

**Comprehensive Opioid Abuse Site-based Program  
FY 2018 Competitive Grant Announcement**

June 6, 2018

The closing date for this grant announcement has been extended from June 8, 2018, to June 18, 2018.  
Thank you for your attention to this change.



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA), in partnership with the Office for Victims of Crime (OVC), is seeking applications to plan and implement comprehensive programs in response to the growing opioid epidemic. This program furthers the Department's mission by providing resources to support state, local, tribal, and territorial efforts to reduce violent crime and drug abuse and enhance public safety, while supporting victims.

## Comprehensive Opioid Abuse Site-based Program FY 2018 Competitive Grant Announcement Applications Due: June 18, 2018

### Eligibility

Eligible applicants are those that meet the following criteria for the six categories:

**Category 1: First Responder Partnerships** – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior). Jurisdictions without a county- or local government-based addiction service system may designate the [State Administering Agency \(SAA\)](#) to serve as the primary applicant and subgrant funds to providers at the county level.

**Category 2: Technology-assisted Treatment Projects** – Applicants are limited to state agencies. State agencies include state administrative offices, state criminal justice agencies, and other state agencies involved with the provision of substance abuse treatment services to individuals who come in contact with the criminal justice system such as the SAA, the Administrative Office of the Courts, and the State Alcohol and Substance Abuse Agency.

**Category 3: System-level Diversion Projects** – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior). Jurisdictions without a county- or local government-based addiction service system may designate the SAA to serve as the primary applicant and subgrant funds to providers at the county level. BJA recognizes that there are at least 41 cities around the country that are not within a county system, which are also eligible to apply.

**Category 4: Statewide Planning, Coordination, and Implementation Projects** – Applicants are limited to the SAA responsible for directing criminal justice planning or the State Alcohol and Substance Abuse Agency.

**Category 5: Harold Rogers Prescription Drug Monitoring Program (PDMP)**

**Implementation and Enhancement Projects** – Applicants are limited to state governments and territories that have a pending or enacted enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency. Applicants within a state that does not have an enabling state statute requiring the submission of controlled substance prescription data to an authorized state agency are eligible to apply as a city, county, or region if (a) the city, county, or region has enacted an enabling statute, ordinance, or regulation requiring the submission of controlled substance prescription data to an authorized city, county, or region; (b) the city, county, or region agrees to transition the PDMP system to an authorized state agency if the state adopts an enabling state statute requiring the submission of controlled substance prescription data to an authorized state agency; and (c) ensures that all vendor contracts are written to permit the transfer of ownership of the system to the authorized state agency.

**Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships**

– Applicants are limited to state agencies and units of local government located in states with existing and operational prescription drug monitoring programs and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

For any of the categories listed above, BJA welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (“subgrantees”).<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. Under this category, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application. This includes applications that propose to serve a region that crosses state boundaries. Subrecipients may include treatment providers, victim service providers, and other not-for-profit entities as part of a comprehensive cross-disciplinary response as outlined in Categories 1–4 and Category 6.

An agency should submit only one application per category. If an agency wishes to apply under multiple categories, a separate application is needed for each category of funding.

NOTE: In addition to this announcement, in fiscal year (FY) 2018, BJA is offering solicitations for Drug Courts and Veterans Treatment Courts, Residential Substance Abuse Treatment, Strategies for Policing Innovation, Innovations in Prosecution, and Second Chance Act reentry initiatives. These solicitations may be relevant to potential applicants seeking to implement specific drug-related strategies. Eligible applicants are encouraged to review these other solicitations as they are released. For more information on BJA’s current solicitations, visit: <https://www.bja.gov/funding.aspx#1>.

NOTE: The formerly standalone Harold Rogers Prescription Drug Monitoring grant program has been incorporated into the FY 2018 Comprehensive Opioid Abuse Site-based Program solicitation as Categories 5 and 6 of funding.

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<sup>1</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

BJA may elect to fund applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

## Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on June 18, 2018.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant 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.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How To Apply](#) in Section D. Application and Submission Information.

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or via email to [support@grants.gov](mailto:support@grants.gov). The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the contact identified below **within 24 hours after the application deadline** to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How To Apply](#) section.

For assistance with any unforeseen Grants.gov technical issues beyond an applicant’s control that prevent it from submitting its application by the deadline, or any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: BJA-2018-13607

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## Contents

A. Program Description.....	5
Overview .....	5
Program-specific Information .....	5
Objectives and Deliverables.....	7
Evidence-based Programs or Practices.....	21
Information Regarding Potential Evaluation of Programs and Activities .....	22
B. Federal Award Information .....	22
Type of Award.....	22
Financial Management and System of Internal Controls .....	23
Budget Information.....	24
Cost Sharing or Match Requirement.....	24
Pre-agreement Costs (also known as Pre-award Costs) .....	24
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	25
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	25
Costs Associated with Language Assistance (if applicable) .....	25
C. Eligibility Information .....	26
D. Application and Submission Information .....	26
What an Application Should Include .....	26
How To Apply.....	39
E. Application Review Information .....	43
Review Criteria.....	43
Review Process .....	53
F. Federal Award Administration Information.....	54
Federal Award Notices.....	54
Administrative, National Policy, and Other Legal Requirements.....	55
General Information about Post-Federal Award Reporting Requirements.....	56
G. Federal Awarding Agency Contact(s) .....	56
H. Other Information .....	56
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) .....	56
Provide Feedback to OJP .....	57
Appendix A: Application Checklist .....	58

# **Comprehensive Opioid Abuse Site-based Program CFDA #16.838 and CFDA #16.754**

## **A. Program Description**

### **Overview**

Signed into law on July 22, 2016, the Comprehensive Addiction and Recovery Act (CARA) is the first major federal substance abuse treatment and recovery legislation in 40 years and the most comprehensive legislative effort to address the opioid epidemic. CARA establishes a comprehensive, coordinated, and balanced strategy through enhanced grant programs that encompass prevention and education efforts, effective responses to those affected by substance abuse, and services for treatment and recovery from addiction. The Comprehensive Opioid Abuse Site-based Program (COAP) was developed as part of the CARA legislation. COAP's purpose is to provide financial and technical assistance to states, units of local government, and Indian tribal governments to plan, develop, and implement comprehensive efforts to identify, respond to, treat, and support those impacted by the opioid epidemic.

Note that the Harold Rogers Prescription Drug Monitoring Program (PDMP) has been incorporated into the FY 2018 Comprehensive Opioid Abuse Site-based Program. PDMPs collect, monitor, and analyze electronically transmitted prescribing and dispensing data submitted by pharmacies and dispensing practitioners. The purpose of the Harold Rogers PDMP is to improve collaboration and strategic decision-making among regulatory and law enforcement agencies and public health entities to address prescription drug and opioid abuse, save lives, and reduce crime.

### **Statutory Authority**

The Comprehensive Opioid Abuse Site-based Program was authorized by the Comprehensive Addiction Recovery Act of 2016 (CARA) (Public Law 114–198), and codified at 34 U.S.C. § 10701. The victim response and services component of Category 1 is authorized by 34 U.S.C. § 20103(c)(1)(A).

The Harold Rogers Prescription Drug Monitoring Program, which funds grant Categories 5 and 6 in this solicitation, was created by the FY 2002 U.S. Department of Justice Appropriations Act. Awards under this solicitation will be made with funds provided through the Consolidated Appropriations Act, 2018.

### **Program-specific Information**

The opioid crisis is a public health emergency that threatens the wellbeing of individuals who abuse drugs and impacts the safety of communities. The opioid epidemic is impacting first responders, the criminal justice system, child welfare and foster care, and behavioral health systems. Responding to this epidemic is one of the Department's top priorities. According to the Centers for Disease Control and Prevention (CDC), in 2016, there were more than 63,600 drug overdose deaths in the United States, mostly from opioids. The age-adjusted rate of drug overdose deaths in 2016 (19.8 per 100,000) was 21 percent higher than the rate in 2015 (16.3

per 100,000)<sup>2</sup>. These numbers are alarming, yet they only capture one tragic element of the epidemic—drug overdose deaths. We now know that the consequences are vast and serious and reach far beyond one person, extending to their children and families. Many factors can stem from, as well as lead to, addiction, including: poverty and economic instability; a range of physical, mental, and behavioral health ailments; decreased ability to parent and care for children; and trauma, exposure to violence, and victimization.

In response to this epidemic, the FY 2018 Comprehensive Opioid Abuse Site-based Program is designed to support our nation's first responders and provide for the needs of crime victims; support diversion programs for non-violent individuals who abuse illicit and prescription opioids; implement and enhance prescription drug monitoring programs; promote cross-system planning and coordination of service delivery; and reduce the incidence of fatal overdoses associated with opioid use. Effective responses must be comprehensive and address the needs of the individual who is abusing drugs, as well as any children and loved ones who may be experiencing trauma, violence, and victimization.

COAP focuses on systemwide initiatives, as well as innovative approaches, to promote substance abuse treatment and recovery support. These concepts are rooted in the Sequential Intercept Model (<https://www.prainc.com/wp-content/uploads/2015/10/SIMBrochure.pdf>) developed by Mark R. Munetz, MD, and Patricia A. Griffin, PhD, in conjunction with the GAINS Center (<https://www.samhsa.gov/gains-center>). The Sequential Intercept Model provides a conceptual framework for communities to use when considering the interface between the criminal justice and substance abuse treatment systems. Within the criminal justice system, there are numerous intercept points—opportunities for linkage to services and for prevention of further penetration into the criminal justice system. The model shows the paths an individual may take through the criminal justice system, where the intercept points fall, and areas that communities can target for diversion, engagement, and reentry. Applicants should also review the latest expansion of the Sequential Intercept Model (<https://www.prainc.com/wp-content/uploads/2016/11/Intercept-0-Infographic-2.pdf>), to include Intercept 0 when designing their initiatives.

Examples of successful BJA-funded projects from past years can be found [here](#). Applicants should note that this solicitation allows for projects broader in scope than previous projects. Applicants can find information on evidence-based treatment practices in the Substance Abuse and Mental Health Services Administration's (SAMHSA) *Guide to Evidence-Based Practices* available at [www.samhsa.gov/ebpwebguide](http://www.samhsa.gov/ebpwebguide). The *Guide* provides a short description and a link to dozens of websites with relevant evidence-based practices information—either specific interventions or comprehensive reviews of research findings.

PDMPs are designed to collect, monitor, and analyze electronically transmitted prescribing and dispensing data submitted by pharmacies and dispensing practitioners. This information is used to assist prescribers, dispensers, and other health care professionals in making clinical decisions for their patients. PDMPs have been shown to reduce adverse drug interactions and help health care professionals identify patients who may be in need of substance abuse treatment. Law enforcement and regulatory/licensing board officials utilize PDMP information, under appropriate circumstances, to further their investigations of suspected violations of controlled substance laws and compliance with regulatory/licensing board practice standards. Many states have also begun to use PDMPs as a public health surveillance tool. PDMPs

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<sup>2</sup> See <https://www.cdc.gov/nchs/data/databriefs/db294.pdf> for more information.

continue to be among the most promising state-level interventions to improve opioid prescribing, inform clinical practice, and protect at-risk patients.

### **Research Component**

For Category 1, 3, and 6, BJA encourages the development of a research plan. Applicants are encouraged to partner with a researcher using an “action research” approach to enhance collection and review of data, which in turn can serve as a strong foundation for outcome evaluations of program interventions. In “action research,” researchers work closely with practitioners to most effectively address specific challenges (e.g., increased drug overdose rates or PDMP utilization). In addition, research partners work with the agency and/or consortium of partners to assess problems, identify underlying causes of these problems, develop effective strategies to address these problems, and provide “real-time” feedback to enhance decision-making.

### **Objectives and Deliverables**

The Comprehensive Opioid Abuse Site-based Program aims to reduce opioid abuse and the number of overdose fatalities, as well as to mitigate the impacts on crime victims. The program also supports the implementation, enhancement, and proactive use of prescription drug monitoring programs to support clinical decision making and prevent the abuse and diversion of controlled substances.

The objectives of COAP are to:

- Expand law enforcement and victim service partnerships.
- Encourage and support comprehensive cross-system planning and collaboration among officials who work in law enforcement, pretrial services, the courts, probation and parole, child welfare, reentry, PDMPs, and emergency medical services, as well as health care providers, public health partners, and agencies that provide substance abuse treatment and recovery support services.
- Develop and implement strategies to identify and provide treatment and recovery support services to “high frequency” utilizers of multiple systems (e.g., health care, child welfare, criminal justice) who have a history of opioid abuse.
- Expand law enforcement diversion programs.
- Expand the availability of treatment and recovery support services in rural or tribal communities by expanding the use to technology-assisted treatment and recovery support services.
- Implement and enhance prescription drug monitoring programs.
- Develop and enhance public safety, behavioral health, and public health information-sharing partnerships that leverage key public health and public safety data sets (e.g., de-identified PDMP data, naloxone administrations, fatal and non-fatal overdose data, drug arrests) and develop interventions based on this information.

### **Category 1: First Responder Partnerships**

Law enforcement and other first responders are at the front line of the opioid epidemic, responding to frequent drug overdose calls. A variety of multidisciplinary overdose response and diversion models, led by first responders, have emerged in communities throughout the nation. These models often include first responders working in partnership with substance abuse treatment providers and peer recovery coaches to help overdose victims access treatment and recovery support services.

The purpose of this category is to support multidisciplinary opioid response partnerships that include, at a minimum, a law enforcement/first responder component. Subcategory 1a supports partnerships that focus primarily on law enforcement/first responder and behavioral health and/or public health partnerships. Subcategory 1b supports partnerships that focus not only on law enforcement/first responders and behavioral health, but also on victim services and child welfare.

Applicants under Subcategory 1a may request a project period of 24 months and an award amount no greater than \$500,000. Applicants under Subcategory 1b may request a project period of 24 months and an award amount no greater than \$800,000. Applicants under Subcategory 1b must direct a **minimum** of \$400,000 of the budget to victim services. Up to \$400,000 must be directed to general services. The application budget must reflect the total requested funding amount for the entire grant period and not the amount per year. Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and budget for each partner's project costs appropriately. Applicants must identify a project coordinator to manage the day-to-day operations of the initiative. Specifically, applicants should fully consider the data collection needed to support the proposed project and appropriately budget for that cost.

### ***Mandatory Project Components and Deliverables for Category 1***

All applicants under Category 1 must:

- Establish a coordinated multi-disciplinary response team that includes law enforcement and other first responders, treatment providers, and/or peer recovery specialists. Other team members may include child welfare providers, public health providers, hospital-based program providers, prosecutors, the courts, etc.
- Establish pre-arrest or post-arrest diversion programs for individuals who commit low level, non-violent offenses to community-based substance abuse and behavioral health services. There are a variety of recognized pathways to diversion. This includes self-referral, active outreach, naloxone plus, officer prevention, and officer intervention. Examples of diversion programs that reflect these different pathways include Police Assisted Addiction and Recovery Initiative (PAARI), Quick Response Teams (QRT), Drug Abuse Response Teams (DART), Stop, Triage, Engage, Educate and Rehabilitate (STEER), and Law Enforcement Assisted Diversion (LEAD). BJA supports all models of diversion. As directed by Congress, a minimum of 2.5 million in COAP funds will be used to support communities seeking to replicate the LEAD model. Jurisdictions seeking to replicate the [LEAD model](#) should familiarize themselves with the goals and core principles of LEAD and reflect these concepts in their application.
- Identify a project coordinator who dedicates a portion of their time beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phases. No less than 50 percent of the project coordinator's time should be spent on BJA-funded project activities. The project coordinator will work closely with the selected training and technical assistance (TTA) provider to:
  - Identify the needs of the community, including collecting and analyzing administrative and overdose data.
  - Work with project staff to design an appropriate outreach and prevention strategy, based on the data.
  - Convene regular stakeholder discussions surrounding project implementation.
  - Respond to requests for data, reports, and information about the proposed initiative.
  - Ensure continued project implementation and redirection, if needed.

- Agree to work closely with BJA's designated TTA provider(s) as well as an evaluator who may conduct a site-specific or cross-site evaluation in future years.
- Track quarterly performance measures, including measures associated with future naloxone administrations as well as treatment engagement and retention. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend one face-to-face meeting each year for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

***Allowable Uses of Funds for Subcategory 1a***

Grant funds under Subcategory 1a may be used to:

- Connect individuals at risk for overdose and/or survivors of a non-fatal overdose and their families with substance abuse and behavioral health treatment providers or peer recovery support. Peer recovery support services involve an array of supports and services that are responsive to the specific needs of the participant.
- Provide survivors of non-fatal overdoses with access to recovery support services.
- Provide prioritized—ideally immediate—access to detox and treatment services as well as access to medication-assisted treatment for the person experiencing addiction.
- Provide overdose prevention education and community outreach.
- Engage a research partner to conduct action research providing skills and assistance in identifying performance measures, tracking measures to assist in the improvement of program implementation and fidelity, providing subject expertise and guidance, performing performance evaluations, and/or ensuring outcomes are being evaluated effectively.
- Support the mandatory project coordinator position.

***Allowable Uses of Funds for Subcategory 1b***

The crime victims' field plays a critical role in supporting crime victims who are impacted by the opioid crisis. Due to the established link between trauma and substance abuse, many victim service providers are encountering increasingly complex issues within their day-to-day work—often interfacing with the same individuals and families that the first responders are encountering in moments of crisis. While many strong community partnerships and established multidisciplinary teams exist, linkages between first responders and victim service providers may not exist or could be strengthened to ensure that the comprehensive needs associated with substance abuse and victimization are addressed. Subcategory 1b is designed to support the incorporation of victim service and child welfare components into first responder and behavioral health and/or public health partnerships. Through these partnerships, BJA and OVC believe that those impacted by the opioid epidemic and those who are victimized will be provided a more comprehensive, long-term, and effective response.

Grant funds under Subcategory 1b may be used to support a combination of victim services and general services as outlined below.

**Victim Services**

Funds may be used to:

- Fund victim service providers and other staff specially trained to meet the needs of children present at an overdose scene and/or impacted by drug use in the home.

- Provide a rapid response intervention program for children who witness a parent or loved one suffer an overdose in order to help children cope with trauma and build resiliency.
- Develop and provide specialized training to first responders, victim service providers, and child protective services professionals to ensure that there is an established process/protocol to follow when encountering a child or youth affected by overdose or in a home where the child is exposed to substance abuse.
- Respond to the specific needs of children impacted by a fatal or non-fatal overdose of a loved one (either as witnesses on the scene or as victims of abuse and neglect associated with a caretaker's substance abuse).
- Support cross-system collaborative activities (e.g., multidisciplinary training, regular partnership meetings) to increase understanding among the different service systems about issues facing families involved in child protective services due to a parent's substance abuse.
- Provide immediate and long-term support, resources, and services to crime victims—particularly children and families—to help them identify and attend to traumatic experiences, support them when in the criminal or civil justice systems, and develop long-term healthy coping strategies.
- Co-locate staff to assist with screening, assessment, referral, and/or the provision of services to children and families impacted by substance abuse.
- Provide training and information on resources to child and youth-serving organizations, such as schools, athletic leagues and faith-based organizations, on the impact of substance abuse on children, youth, and families.
- Implement a combination of evidence-based or evidence-informed programs and practices, including parenting and/or family strengthening, treatment for trauma or mental health problems, counseling and peer support groups, and child development services designed to support children and youth exposed to drug use and their caregivers.

### **General Services**

Funds may be used to:

- Connect individuals at risk for overdose and/or survivors of a non-fatal overdose and their families with substance abuse and behavioral health treatment providers or peer recovery support. Peer recovery support services involve an array of supports and services that are responsive to the specific needs of the participant.
- Provide survivors of non-fatal overdoses with access to recovery support services.
- Provide prioritized—ideally immediate—access to detox and treatment services as well as access to medication-assisted treatment for the person experiencing addiction.
- Provide overdose prevention education and community outreach.
- Engage a research partner to conduct action research providing skills and assistance in identifying performance measures, tracking measures to assist in the improvement of program implementation and fidelity, providing subject expertise and guidance, performing performance evaluations, and/or ensuring outcomes are being evaluated effectively.

### ***Priority Consideration for Category 1***

Priority consideration will be given to applicants that:

- Demonstrate they have been disproportionately impacted by the abuse of illicit opioids and prescription drugs as evidenced, in part, by high rates of primary treatment admissions for heroin and other opioids; high rates of overdose deaths from heroin and

other opioids; and/or a lack of accessibility to treatment providers and facilities or to emergency medical services.

- Incorporate the use of Overdose Detection Mapping Application Program (ODMAP) data collection tools to track near real-time fatal and non-fatal overdose data. This information is designed to facilitate public safety, behavioral health, and/or public health partnerships, and help inform prevention, outreach, treatment and enforcement initiatives. Communities with existing data tracking systems that capture fatal and non-fatal overdose data can receive priority consideration by agreeing to also make data available through ODMAP.
- Include a research plan that will assist in the identification of the problem, design of the solution, and evaluation of the proposed initiative.

### **Category 2: Technology-assisted Treatment Projects**

The Technology-assisted Treatment Projects grant program is designed to pilot, in up to five states, projects that demonstrate how technology can be used to expand treatment and recovery support services to individuals who abuse illicit and prescription opioids and have limited access to treatment and recovery services due to geographic isolation. Applicants may propose the use of technology to allow staff to remotely conduct substance abuse assessments, develop and monitor case plans, monitor medication-assisted treatment, and/or deliver cognitive behavioral treatment.

Applicants under Category 2 may request a project period of 36 months and an award amount no greater than \$1,000,000. The application budget must reflect the total requested funding amount for the entire grant period and not the request per year. Applicants should fully consider the partnerships required and budget for each partner's project costs appropriately. Specifically, applicants should fully consider the data collection needed to support the proposed project and appropriately budget for this project cost.

### ***Mandatory Project Components and Deliverables for Category 2***

All applicants under Category 2 must:

- Submit letters of support and/or an interagency agreement from the [State Administering Agency](#) (SAA) responsible for directing criminal justice planning and coordination and the [Single State Agency](#) (SSA) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.
- Document the impact of the opioid epidemic based on local, regional, or state-level data.
- Propose to pilot technology-assisted treatment projects in **at least three sites** within the applicant state.
- Document at least one partner with experience providing services to rural communities.
- Document the rural nature of the state, as appropriate, and the challenges related to treatment access.
- Identify a project coordinator who must have dedicated time set aside, beyond their normal job duties, to manage the day-to-day operations of the initiative during the planning and implementation phases. No less than 50 percent of the project coordinator's time should be spent on BJA-funded project activities. The project coordinator will be required to work closely with designated BJA COAP TTA providers to:
  - Identify the needs of the community, including collecting and analyzing administrative data.
  - Work with project staff to design an appropriate implementation strategy based

- o on the data.
  - o Convene regular stakeholder discussions surrounding project implementation.
  - o Respond to requests for data, reports, and information about the proposed initiative.
  - o Ensure continued project implementation and redirection if needed.
- Agree to work closely with BJA’s designated TTA provider(s) as well as an evaluator who may conduct a site specific or cross-site evaluation in future years.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

***Allowable Uses of Funds for Category 2***

Grant funds may be used to support a combination of the allowable use categories below, or be concentrated on one specific area:

- Purchase technology—including equipment, hardware, and software—to establish a secure and private two-way, real time, interactive audio and video connection between a qualified treatment provider and a client located at another location. This includes the purchase of computer hardware and software as well as audio and video equipment. Proposed expenses should be reasonable and limited to what is necessary to support the project.
- Purchase hardware and software needed to implement web-based behavioral interventions to treat substance abuse. Applicants should review existing technology-assisted care products (see <http://sudtech.org/>) developed by the National Institute on Drug Abuse (NIDA) and SAMHSA when designing their programs.
- Provide training and staff support to manage the proposed project or provide services.
- Develop, purchase, and/or maintain web-based services and electronic applications that can be accessed from computers, tablets, and/or smart phone devices that are designed to enhance or support treatment and recovery support services (e.g., apps for self-management through reminders and educational prompts). Support for this area cannot exceed 10 percent of the total proposed budget.
- Purchase or lease devices that allow for the remote monitoring of offenders (e.g., applications or services that remotely monitor the location of an individual or monitor the use of substances remotely). Support for this area cannot exceed 10 percent of the total proposed budget.
- If the proposed project is part of a diversion program, funds may be used to develop or support remote, secure, and private two-way, real time, interactive audio and video connections between the supervision officer and the offender located at another location. Support for this area cannot exceed 20 percent of the total proposed budget.
- Support the mandatory project coordinator position.

Grant funds may not be used to:

- Support services such as telephone conversations, electronic mail messages, or facsimile transmissions as the primary proposed intervention.

***Priority Consideration for Category 2***

Priority consideration will be given to applicants that:

- Demonstrate the state, or regions within the state, have been disproportionately impacted by the abuse of illicit opioids and prescription drugs as evidenced, in part, by high rates of primary treatment admissions for heroin and other opioids; high rates of overdose deaths from heroin and other opioids; and/or a lack of accessibility to treatment providers and facilities and to emergency medical services.
- Are rural states where communities have limited resources.

**Category 3: System-level Diversion Projects**

Applicants must demonstrate a commitment to establish effective diversion programs for offenders who abuse illicit or prescription opioids. Category 3 applicants may propose projects that support pretrial diversion, court-based diversion programs (other than drug courts or Veterans treatment courts, which are funded under a separate BJA solicitation), community-based supervision, corrections programs, and/or reentry programs. .

Jurisdictions without a county or local government-based addiction service system may designate the SSA to serve as the primary applicant and subgrant funds to providers at the community level. Additionally, tribal governments may propose a reservation- or tribal-region-wide approach, as appropriate.

Applicants under Category 3 may request a project period of 36 months and an award amount no greater than \$900,000. The application budget must reflect the total requested funding amount for the entire grant period and not request per year. Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and budget for each partner’s project costs appropriately. Specifically, applicants should fully consider the data collection needed to support the proposed project and appropriately budget for this project cost.

***Mandatory Project Components and Deliverables for Category 3***

All applicants under Category 3 must:

- Establish a team (or utilize a pre-existing team) of stakeholders from across government and the community to engage in the planning process. The appropriate composition of the team may vary, based on the proposed project, but should generally include representatives from county administration; public health; health care providers; substance abuse treatment agencies; law enforcement; the local pretrial agency; adult probation and parole; juvenile probation; the trial courts; the adult, juvenile, family, tribal and problem-solving courts; child welfare; corrections administrators; and nonprofit organizations that provide wraparound or recovery support services. Applicants must provide a letter of support and/or an interagency agreement documenting each agency’s commitment to participating in the planning and implementation processes. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.
- Document the impact of the opioid epidemic based on local, regional, or state-level data.
- Identify a project coordinator who must have dedicated time set aside beyond their normal job duties to manage the day-to-day operations of the project during the planning and implementation phases. No less than 50 percent of the project coordinator’s time should be spent on BJA-funded project activities. The project coordinator will work closely with designated COAP TTA provider(s) to:
  - Identify the needs of the community, including collecting and analyzing administrative data.
  - Work with project staff to design an appropriate outreach and prevention

- strategy based on data.
  - Convene regular stakeholder discussions on project implementation.
  - Respond to requests for data, reports, and information about the proposed project.
  - Ensure continued project implementation and redirection if needed.
- Agree to work closely with BJA's designated TTA provider(s), as well as an evaluator who may conduct a site-specific or cross-site evaluation in future years.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and appropriately budget for this project cost.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

### ***Allowable Uses of Funds for Category 3***

Grant funds must be used to serve individuals at any intercept point. Grant funds may be used to support a combination of the allowable use categories below, or be concentrated on one of the following specific areas:

- Establish court-based intervention programs or family court programming to prioritize and expedite treatment and recovery services to individuals at high risk for overdose. Funding is available under other BJA solicitations to implement or enhance an adult drug court and/or a veteran treatment court. As such, implementing or enhancing these court models is not an allowable funding activity under this solicitation.
- Develop, implement, or enhance programs to address the opioid epidemic in tribal communities.
- Link high frequency drug users with evidence-based treatment and recovery support services, with the goal of reducing overreliance on emergency health care and encounters with the criminal justice system.
- Implement a plan to universally screen offenders entering community-based supervision and/or jail for risk of overdose and prioritize services to these offenders.
- Develop and implement a comprehensive plan to reduce the risk of overdose death and enhance treatment and recovery service engagement among the pretrial and post-trial populations leaving jails or secure residential treatment facilities.
- Implement or expand the system wide use of recovery support services using peer recovery coaches.
- Expand the use of cognitive behavioral treatment, in combination with medication-assisted treatment, to help offenders engage in the treatment process, modify their attitudes and behaviors related to opioid abuse, and improve their life skills.
- Implement wraparound services that facilitate meaningful coordination between the justice system and family support agencies, especially child welfare, to safeguard the lives and wellbeing of children and family members who experience the impacts of opioid abuse. These initiatives may focus on improving parental functioning or engaging family members as a natural support system at all points in the justice system. Applicants are encouraged to review the National Center on Substance Abuse and Child Welfare (NCSACW) website at <https://ncsacw.samhsa.gov> for additional information and incorporate these concepts into their grant applications.
- Establish collaborative public health and justice partnerships to address the unique needs of women in the criminal justice system who abuse illicit or prescription

opioids, including pregnant women.

- Develop data or information systems to facilitate analyses, help track progress, and assist in efforts to report on outcomes.
- Implement other comprehensive approaches that serve individuals within more than one intercept and align with the objectives of COAP.
- Support the mandatory project coordinator position.
- Engage a research partner to conduct action research providing skills and assistance in identifying performance measures, tracking measures to assist in the improvement of program implementation, providing subject expertise and guidance, performing performance evaluations, and/or ensuring outcomes are being evaluated effectively.

### ***Priority Consideration for Category 3***

Priority consideration will be given to applicants that:

- Demonstrate that they have been disproportionately impacted by the abuse of illicit opioids and prescription drugs as evidenced, in part, by high rates of primary treatment admissions for heroin and other opioids; high rates of overdose deaths from heroin and other opioids; and/or a lack of accessibility to treatment providers and facilities and to emergency medical services.
- Include a research plan that will assist in the identification of the problem, design of the solution, and evaluation of the proposed initiative.

### **Category 4: Statewide Planning, Coordination, and Implementation Projects**

Category 4 statewide planning, coordination, and implementation projects are designed to support initiatives jointly planned and implemented by the [State Administering Agency](#) (SAA) responsible for directing criminal justice planning and the [Single State Agency](#) (SSA) for Substance Abuse Services. Either the SAA or the SSA may be the applicant. The application must contain a letter of support or an interagency agreement from both entities that outlines each agency's commitment to the project in order to be eligible.

Category 4 contains two subcategories of funding. **Subcategory 4a** funds the development of a coordinated plan between the SAA and the SSA to assist localities in engaging and retaining offenders who abuse illicit or prescription opioids in treatment and recovery services; increase the use of diversion; and/or reduce the incidence of overdose death. In addition to supporting the development of a coordinated plan, which is a mandatory project deliverable of Category 4a, applicants may propose training and/or technical assistance programs for localities geared toward improving treatment engagement and client outcomes; tracking, compiling, coordinating, and disseminating statewide and local data; or increasing communication, coordination, and information sharing among state and local programs.

**Subcategory 4b** enables the applicant to provide financial support to localities or a region to implement the strategies in the plan developed as part of Category 4a. These strategies may focus on supporting treatment and recovery service engagement; increasing the use of diversion; and/or supporting initiatives that reduce the incidence of overdose death.

Applicants may apply for Subcategory 4a (up to \$100,000) for a 24-month period or Subcategory 4b (up to \$1,200,000) for a 36-month period separately; however, it is suggested that applicants apply for both and maximize funds available from each category (for up to \$1,300,000) to assist with state-based coordination, planning, and training.

Applicants that already have an existing state plan, jointly developed by the SAA and the SSA, may choose to apply for Subcategory 4b without applying for Subcategory 4a. Applicants should clearly indicate in their applications whether they are applying for Subcategory 4a, Subcategory 4b, or Subcategories 4a and 4b. Those applicants applying for both Subcategories 4a and 4b should submit one application including both categories.

Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and appropriately budget for each partner's project costs. The application budget must reflect the total requested funding amount for the entire grant period and not request per year.

**All federal funds under Subcategory 4b must be passed through to localities within the state except 10 percent of the grant award that may be retained for administrative purposes. States that have no county or local government-managed addiction service system may contract funds directly to providers at the community level.**

#### ***Mandatory Project Components and Deliverables for Category 4***

All applicants under Category 4 must:

- Provide a letter of support or an interagency agreement from both the SAA responsible for directing criminal justice planning and coordination and the SSA for Substance Abuse Services. These letters should clearly articulate the level of involvement each agency will have in the proposed project.
- Document the impact of the opioid epidemic, based on local-, regional-, or state-level data.
- Agree to work closely with BJA's designated TTA provider(s), as well as an evaluator who may conduct a site-specific or cross-site evaluation in future years.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

Statewide planning, coordination, and implementation grants are available for two purposes:

#### **Mandatory Project Components for Subcategory 4a**

- Develop a comprehensive state plan that identifies policies and practices that will assist the state and its localities in engaging and retaining offenders who abuse illicit or prescription opioids in treatment and recovery services; increasing the use of diversion; and/or reducing the incidence of overdose death.

#### **Allowable Uses of Funds for Subcategory 4a**

Grant funds may be used to support a combination of the allowable use categories below, or be concentrated on one specific area:

- Complete a review of the gap that exists between the amount of treatment services that are needed to serve offenders within the state and what currently exists, and develop a plan to build treatment service delivery systems that can meet the demand.
- Conduct workforce planning and development to increase the capacity of treatment agencies to provide evidence-based treatment to offenders.

- Provide TTA programs for localities geared to improving treatment engagement and client outcomes.
- Support tracking, compiling, coordinating, and disseminating statewide and local data.
- Increase communication, coordination, and information sharing among state and local agencies.

***Allowable Uses of Funds for Subcategory 4b***

Grant funds may be used to implement comprehensive policies and practices that assist units of local government to:

- Provide financial support to localities or a region to implement strategies that support treatment and recovery service engagement; provide prevention and education programs for youth; increase the use of diversion or family court programming; and/or reduce the incidence of overdose death.

These policies and practices must be part of an existing state comprehensive opioid plan or part of the plan developed under Subcategory 4a.

***Priority Consideration for Category 4***

Priority consideration will be given to applicants that:

- Demonstrate the state, or regions within the state, have been disproportionately impacted by the abuse of illicit opioids and prescription drugs as evidenced, in part, by high rates of primary treatment admissions; high rates of overdose deaths from heroin and other opioids; and/or a lack of accessibility to treatment providers and facilities and to emergency medical services.
- **Subcategory 4a only:** Leverage multiple resources to include all of the following agencies or representatives as part of the planning process:
  1. The Administrative Office of the Courts
  2. Representatives from probation and parole
  3. Representatives from child welfare
  4. Representatives from law enforcement, including the Drug Enforcement Agency (DEA) and local High Intensity Drug Trafficking Area (HIDTA) Program, if applicable
  5. County/city representation

**Category 5: Harold Rogers PDMP Implementation and Enhancement Projects**

Applicants under Category 5 may request a project period of 24 months, and an award amount no greater than \$750,000. The application budget must reflect the total requested funding amount for the entire grant period.

***Mandatory Project Components and Deliverables for Category 5***

All applicants under Category 5 must:

- Agree to work closely with BJA’s designated TTA provider(s).
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one national meeting each year in Washington, D.C. Each national meeting should be budgeted for 3 days. Applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.
- Use technical solutions that are compliant with the Prescription Monitoring Information Exchange (PMIX) National Architecture if requesting funds to implement information sharing with other state PDMPs. Documentation regarding compliance to this

requirement should be included as part of the application. For instance, if an interstate data-sharing hub has been certified as PMIX compliant, include this information. Absent such a statement, BJA will withhold funding for such purposes until compliance can be verified. For more information on the National PMIX Architecture, visit the PDMP Training and Technical Assistance Center's website at <http://www.pdmpassist.org/content/prescription-drug-monitoring-information-architecture-pmix>.

#### ***Allowable Uses of Funds for Category 5***

Grant funds may be used to support a combination of the allowable use categories below, or be concentrated on one specific category:

- Establish or enhance a PDMP system.
- Facilitate the exchange of information and collection of data on prescriptions and other scheduled chemical products among states.
- Develop a training program for system users.
- Produce and disseminate educational materials.
- Support collaborations among law enforcement, prosecutors, public health officials, treatment providers, and/or drug courts.
- Facilitate electronic information sharing among states in compliance with the PMIX National Architecture.
- Expand monitoring to Schedules II, III, IV, and V.
- Improve the quality and accuracy of PDMP data.
- Develop or enhance the capacity to provide unsolicited reports of controlled substance prescribing to authorized individuals or entities.
- Assess the efficiency and effectiveness of the PDMP program or specific PDMP initiatives.

#### ***Priority Consideration for Category 5***

Priority consideration will be given to applicants that have pending or enacted state legislation that:

- Requires licensed prescribers to register with the PDMP.
- Requires prescribers to query the PDMP before prescribing drugs in Schedules II, III, and IV.
- Allows the PDMP to proactively analyze their data.
- Requires interstate data sharing of PDMP data.
- Allows law enforcement access to the PDMP based on an open investigation.
- Allows unsolicited reports to be sent to regulatory/licensing boards and law enforcement.

On March 19, 2018, the Trump Administration released its "Initiative to Stop Opioids Abuse and Reduce Drug Supply and Demand." This initiative seeks to "leverage Federal funding opportunities related to opioids to ensure that States transition to a nationally interoperable Prescription Drug Monitoring Program network." This initiative also aims to "leverage Federal funding opportunities to State and local jurisdictions to incentivize and improve nationwide overdose tracking systems that will help resources to be rapidly deployed to hard-hit areas." Over the coming months, the Office of Justice Programs (OJP) will work with the leadership at the Department of Justice (DOJ) and within Health and Human Services (HHS) to determine how the language in the White House initiative will be implemented. All applicants applying under this category should be aware of this language and that OJP and HHS will support this

initiative. It is anticipated that grant conditions relevant to this initiative may be attached to any grant awards made under this solicitation.

### **Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships**

To respond effectively to the opioid epidemic, stakeholders need access to timely and accurate data that provide a comprehensive view of the drug abuse environment. Unfortunately, data on drug abuse, treatment, and public safety outcomes are often maintained in different agencies and are not integrated in a way that supports the policy and practice needs of public safety, public health, or behavioral health partners. However, there are a growing number of models at the local and state levels that leverage information from a variety of public health and public safety data sources to analyze substance abuse issues and identify potential solutions from public health, treatment, and public safety perspectives. Specifically, models such as drug monitoring initiatives, overdose fatality review teams, and New York City's RxStat Program (<http://www.pdmpassist.org/pdf/RxStat.pdf>) create an opportunity to bring together stakeholders with different perspectives and different data sets. This information can be used to drive changes in policy or practice, monitor community-level outcomes, and implement proven practices on a larger scale. Examples of successful projects in past years can be found at <http://www.pdmpassist.org/content/data-driven-multi-disciplinary-approaches-reducing-rx-drug-abuse-grants>.

The maximum award amount for a local- or state-level project within a single state is \$1,000,000 for 36 months. The maximum award amount to a region is \$1,500,000 for 36 months. A region is defined as an area that involves two or more states.

### ***Mandatory Project Components and Deliverables for Category 6***

All applicants under Category 6 must:

- Form a multidisciplinary action group that may include (but is not limited to) law enforcement representatives (this may include local law enforcement and/or High Intensity Drug Trafficking Area [HIDTA] Program or fusion center staff), the state or local health department, state medical and pharmacy boards, prosecutors, medical examiner/coroner offices, forensic science laboratories, probation and parole, drug court representatives, child welfare representatives, local drug treatment providers, and community organizations. Applicants must describe how they will collaborate with the PDMP to partner on grant activities, obtain relevant data sets, perform data analysis and assessment, and communicate with stakeholders.
- Agree to work closely with BJA's designated TTA provider(s) as well as an evaluator who may conduct a site specific or cross-site evaluation in future years.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

### ***Allowable Uses of Funds for Category 6***

Grant funds may be used to support a combination of the allowable use categories below, or be concentrated on one specific category:

- Develop or enhance public safety/behavioral health/public health treatment partnerships that leverage key data sets (e.g., fatal and non-fatal overdose data, naloxone administration data, law enforcement data, PDMP data) to develop targeted interventions based on this information. The primary focus should be on using data to deploy drug prevention, education, outreach, treatment, and enforcement efforts that reduce drug abuse and fatalities **and** protect public safety.
- Support the timely collection of data from medical examiner and coroner offices, forensic science laboratories (including seized drug analysis and toxicology analysis), and crime scenes and combine these data with other data sets, including fatal and non-fatal overdoses and PDMP records.
- Support the incorporation of ODMAP and companion law enforcement tools into a broader public safety, behavioral health, and/or public health partnership.
- Identify geographic areas or populations at greatest risk for prescription drug and opioid abuse and overdose deaths to create data-driven responses at the local or state level to include education, outreach, treatment, and enforcement information.
- Implement other innovative activities that demonstrate a multidisciplinary, data-driven approach to addressing the opioid epidemic.
- Assess the impact of specific policy or practice changes on PDMP utilization and/or patient or community-level outcomes. Examples of policy assessments include evaluating the impact of PDMP “report cards” and other unsolicited reports on prescriber behavior; evaluating the impact of interstate data sharing on prescriber behavior with a focus on assessing the volume of cross-state patient matches within specific regions; and evaluating how patient-level, non-fatal overdose data and/or drug conviction information being available within the PDMP system impacts prescriber behavior.

The action group is encouraged to incorporate, to the extent possible, research and/or data analytics partners to assist with (a) data collection and analysis, (b) problem assessment, (c) strategy development, or (d) monitoring and evaluation performance. Partners may include other government agencies, national stakeholder organizations, independent consultants, academic institutions, state statistical analysis centers, or other research organizations. Such partners should have demonstrated expertise conducting the type of work proposed and assist with producing a final written report that documents the results of the project.

***Priority Consideration for Category 6***

Include an action researcher that will assist in the identification of the problem, design of the solution, and evaluation of the proposed initiative.

**An applicant may submit only one application per category. If an applicant wishes to apply under multiple categories, a separate application is needed for each category of funding.**

**Mandatory Project Component for Projects that Propose Data Collection, Aggregation, and Sharing**

Any organization using OJP grant funds, in whole or in part, to collect, aggregate, and/or share data 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. This includes providing data (a) in an expeditious manner upon request by BJA; (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).

### **Interagency Coordination**

OJP administers the Harold Rogers PDMP in partnership and collaboration with the CDC and SAMHSA's Center for Substance Abuse Treatment and is cognizant of the importance of PDMPs to the DEA Office of Diversion Control and the Office of National Drug Control Policy (ONDCP). Similarly, OJP is cognizant of the importance of all other COAP programs and projects to the agencies noted above. OJP will communicate with these and other agencies, as needed, to inform the grant-making process, prevent duplication across federal funding sources, and support the Administration's goals with respect to substance abuse and diversion.

The Objectives and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under "Program Narrative."

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

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

- Improving the quantity and quality of evidence OJP generates
- Integrating evidence into program, practice, and policy decisions within OJP and the field
- 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.

The OJP CrimeSolutions.gov website at <https://www.crimesolutions.gov> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Collaborative partnerships between researchers and practitioners have great potential to improve practice and policy. The National Institute of Justice published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful. Access the findings at <http://www.ncjrs.gov/pdffiles1/nij/grants/243911.pdf>.

For information related to implementation science, applicants may wish to refer to the National Implementation Research Network website at <http://nirn.fpg.unc.edu/>.

Last, applicants can obtain more information on PDMP data-driven approaches and funded pilots on the PDMP Training and Technical Assistance Center website at <http://www.pdmpassist.org/content/data-driven-multi-disciplinary-approaches-reducing-rx-drug-abuse-grants>.

## **Information Regarding Potential Evaluation of Programs and Activities**

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that the Office of Justice Programs may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

## **B. Federal Award Information**

### **Type of Award**

BJA expects to make up to 160 awards for varying amounts and performance periods, depending on the category under which the application is awarded (see below). BJA anticipates that over half of these awards will be funded by the CARA appropriation and the remaining awards will be funded under the Harold Rogers Prescription Drug Monitoring Program. All performance periods should begin on or after October 1, 2018.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

**Category 1: First Responder Partnerships. Subcategory 1a: multiple awards up to \$500,000 per applicant. Subcategory 1b: multiple awards of up to \$800,000 per applicant. Project period: 24 months. Competition ID: BJA-2018-13887.**

**Category 2: Technology-assisted Treatment Projects – three awards of up to \$1,000,000 per applicant. Project period: 36 months. Competition ID: BJA-2018-13888**

**Category 3: System-level Diversion Projects – multiple awards of up to \$900,000 per applicant. Project period: 36 months. Competition ID: BJA-2018-13889.**

**Category 4: Statewide Planning, Coordination, and Implementation Projects. Subcategory 4a: multiple awards of up to \$100,000 per applicant. Subcategory 4b: multiple awards of up to \$1,200,000 per applicant. Project period: 36 months. Competition ID: BJA-2018-13890.**

**Category 5: Harold Rogers Prescription Drug Monitoring Program (PDMP) Implementation and Enhancement Projects – multiple awards of up to \$750,000 per applicant. Project period: 24 months. Competition ID: BJA-2018-13891.**

**Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships – multiple awards of up to \$1,000,000 for proposed projects that involve a single state; up to \$1,500,000 for proposed projects that are regional in nature and involve more than one state. Project period: 36 months. Competition ID: BJA-2018-13892.**

**Categories 1–4 and 6: Type of Award**

BJA expects that any award under this solicitation in these categories will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

**Category 5: Type of Award**

BJA expects that any award under this solicitation will be made in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

**Financial Management and System of Internal Controls**

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>3</sup>) must, as described in the Part 200 Uniform Requirements<sup>4</sup> as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers

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<sup>3</sup> For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to a subrecipient (“subgrantee”) to carry out part of the funded award or program.

<sup>4</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire—the [OJP Financial Management and System of Internal Controls Questionnaire](#)—that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

### **Budget Information**

The budget must explicitly describe how the proposed budget items directly apply to the project design and will assist the applicant in meeting the project objectives.

For all Categories, no more than 10 percent of the budget may be used for costs incurred to administer the grant, including administrative costs that are included in an indirect cost rate agreement (see page 32 for more information). Note that expenses involved with the direct implementation of project objectives are not considered administrative for the purpose of this limitation.

### **Cost Sharing or 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.

For additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

### **Pre-agreement Costs (also known as Pre-award Costs)**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm> for more 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, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the 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.<sup>5</sup> The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address, in the context of the work the individual would do under the award, the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at [www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

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

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<sup>5</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

## C. Eligibility Information

For eligibility information, see title page.

For information on cost sharing or match requirements, see Section [B. Federal Award Information](#).

## D. Application and Submission Information

### What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified project components, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet and Budget Narrative, Project Timeline, and Letters of Support or Interagency Agreements.

**NOTE:** OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See "Budget Information and Associated Documentation" below for more information about the Budget Detail Worksheet and where it can be accessed.

*OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet," "Timelines," "Letters of Agreement) for all attachments. Also, OJP recommends that applicants include résumés in a single file.*

Please review the "Note on File Names and File Types" under How To Apply to be sure applications are submitted in permitted formats.

### 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 the OJP Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8b exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How To Apply](#) section for more information on SAM and DUNS numbers.

**Intergovernmental Review:** This solicitation (“funding opportunity”) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

## 2. Project Abstract

Applications should include a high quality Project Abstract that summarizes the proposed project in 400 words or fewer. Project abstracts should be:

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

For each Project Abstract:

- List the category of funding requested.
- State the legal name of the grant recipient and the title of the project.
- State the total federal amount requested for the life of the grant. This total amount should be the same amount listed on the SF-424 form and should align with the objectives of the solicitation.
- Describe the project’s objectives and deliverables.
- Provide the complete list of partners involved in the project, if any. If a research partner is included, identify the name of the research partner and his or her agency affiliation.
- Identify the geographic area to be served by the proposed project (e.g., name of state, county, city, or region)
- Identify any priority considerations being addressed.
- For state applicants only: Indicate whether your state is **currently** a CDC [Prevention for States](#) grantee or a current SAMHSA grantee under the [Targeted Capacity Expansion: Medication Assisted Treatment – Prescription Drug and Opioid Addiction](#) grant or the [Grants to Prevent Prescription Drug/Opioid Overdose-Related Deaths](#) program.

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 [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

### 3. Program Narrative

The Program Narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred); have no less than 1-inch margins; and must not exceed 20 pages. Pages should be numbered “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<sup>6</sup>:

- 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

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see “[General Information about Post-Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the objectives and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

Applicants should visit OJP’s performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP. The application should demonstrate the applicant’s understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT) located at <https://bjapmt.ojp.gov/>.

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<sup>6</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

A set of shared performance measures are required for all awards found [here](#). In addition, category specific performance measures are also required and can be found listed below:

- [Category 1: First Responder Partnerships](#)
- [Category 2: Technology-assisted Treatment Projects](#)
- [Category 3: System-level Diversion Projects](#)
- [Category 4: Statewide Planning, Coordination, and Implementation Projects](#)
- [Category 5: Harold Rogers Prescription Drug Monitoring Program \(PDMP\) Implementation and Enhancement Projects](#)
- [Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships](#)

#### **Note on Project Evaluations**

An applicant that proposes to use award funds 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

“Research,” for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “[Requirements related to Research](#)” webpage of the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

e. Impact/Outcomes, Evaluation, and Sustainment.

#### **4. Budget and Associated Documentation**

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

**a. Budget Detail Worksheet**

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

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

The budget summary page must reflect the amounts in the budget categories as included in the Budget Detail Worksheet. These amounts should mirror the amounts in the Budget Narrative.

The budget reflected on the SF-424 form should reflect the total requested funding amount for the **full** grant period.

BJA anticipates one annual national meeting will occur each year during the grant period for which applicants must budget their travel. Category 1, Category 2, Category 3, Category 4, and Category 6 applicants should budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C. The purpose of this travel may vary according to funding category and specific project goals; however, BJA wants to ensure that all grantees have the opportunity to present their work and collaborate with their peers and other national and federal stakeholder groups.

Category 5 applicants should budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend a national meeting in Washington, D.C. Each national meeting should be budgeted for 3 days. Applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.

Applicants may budget additional travel funding for regional trips or to attend national conferences if it is required as part of the proposed project—for instance, to conduct educational campaigns or training programs or to facilitate meetings between multidisciplinary action teams.

See “Review Criteria” on page 51 for more detail on what a budget should include.

**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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost

effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The Budget Narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

**c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a *subaward* for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither

the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

### **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

### **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement "contracts" under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends—without competition—to enter into a procurement contract that would exceed \$150,000 should

include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

**d. Pre-agreement Costs**

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

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

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired), federally approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both—(1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.) For the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

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

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter,

affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. 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.

An applicant unable to submit an application that includes a fully-executed (i.e., signed) copy of legal appropriate documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJP will make use of and access to award funds contingent on receipt of the fully-executed legal documentation.

#### **7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

Among other things, the form requires each applicant to disclose whether it currently is designated "high risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk
- The date the applicant was designated high risk
- The high risk point of contact at that federal awarding agency (name, phone number, and email address)

- The reasons for the high risk status, as set out by the federal awarding agency

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## **8. Disclosure of Lobbying Activities**

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## **9. Additional Attachments**

### **a. Letters of Support and/or Memoranda of Understanding/Agreement (Required)**

Applicants should attach letters of support and/or an interagency agreement between the partner agencies and offices to show commitment for participation in the project.

**Category 1** applicants must attach letters of support and/or an interagency agreement from the proposed team members. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.

**Category 2** applicants must submit letters of support and/or an interagency agreement from the [State Administering Agency](#) (SAA) responsible for directing criminal justice planning and coordination and the [Single State Agency](#) (SSA) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.

**Category 3** applicants must attach letters of support and/or an interagency agreement from the proposed team members. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.

**Category 4** applicants must submit letters of support and/or an interagency agreement from the [State Administering Agency](#) (SAA) responsible for directing criminal justice planning and coordination and the [Single State Agency](#) (SSA) for Substance Abuse Services indicating that they have agreed to partner on this project. If additional partners are included in Category 4, submit letters from the other parties. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.

### **b. Project Timeline (Required)**

Attach a Project Timeline (with an estimated start date of October 1, 2018) with each project objective, activity, expected completion date, and responsible person or organization.

**c. State Substance Abuse (SSA) Agency Director or Designee Letter (Recommended)**

Applicants are encouraged to include a letter from the SSA director or designated representative in support of the application and include confirmation that the proposal conforms to the framework of the State Strategy of Substance Abuse Treatment. A listing of SSAs can be found on SAMHSA’s website at [www.samhsa.gov/sites/default/files/ssadirectory.pdf](http://www.samhsa.gov/sites/default/files/ssadirectory.pdf)

**d. Position Descriptions (Required)**

Include position descriptions for the key positions and **résumés** for the personnel in those positions, including the **project coordinator** and **research partner** position(s) where required.

**e. Applicant Disclosure of Pending Applications (Required)**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, **and** (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid 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.

Each applicant that has one or more pending applications as described above is 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 federal or state funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/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

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.”

**f. Research and Evaluation Independence and Integrity (If applicable)**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate

a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

#### **h. Required Statutory Certifications**

Applicants must provide a statement of assurance signed by the authorized representative of the applicant organization identified on the first page of the application and the SF-424 to assure OJP that:

- Federal funds made available through this grant will not be used to supplant state, local, or tribal funds but will be used to increase the amounts of such funds that would, in the absence of federal funds, be made available for the activities addressed in the application.
- There has been appropriate coordination with all affected agencies.
- The applicant will work with BJA, in collaboration with DEA, to develop an integrated and comprehensive strategy to address opioid abuse.
- The project or program will agree to work with the selected BJA COAP training and technical assistance provider(s) and/or evaluator to complete a program or project assessment pursuant to guidelines established by OJP, in coordination with the National Institute of Justice.

#### **How To Apply**

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

**Important Grants.gov update.** Grants.gov has updated its application tool. The legacy PDF application package was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

**Note on Attachments:** Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Attachments are also labeled to

describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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

Characters
Upper case (A – Z)
Lower case (a – z)
Underscore ( _ )
Hyphen ( - )
Space
Period ( . )

Special Characters		
Parenthesis ( )	Curly braces { }	Square brackets [ ]
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Percent sign ( % )	Plus sign ( + )	Equal sign ( = )

**\*When using the ampersand (&) in XML, applicants must use the “&amp;” format.**

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

**Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)**

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

**Registration and Submission Steps**

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout

the life cycle of an OJP award. 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 <https://www.dnb.com/>. A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at [https://www.fsd.gov/fsd-gov/answer.do?sysparm\\_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm\\_search=kb0013183](https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183).

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours**. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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") numbers for this solicitation are 16.838, titled "Comprehensive Opioid Abuse Program," and 16.754, titled "Harold Rogers Prescription Drug Monitoring Program," and the funding opportunity number is BJA-2018-13607.
- 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:

Category 1: First Responder Partnerships. Competition ID: BJA-2018-13887.

Category 2: Technology-assisted Treatment Projects. Competition ID: BJA-2018-13888.

Category 3: System-level Diversion Projects. Competition ID: BJA-2018-13889.

Category 4: Statewide Planning, Coordination, and Implementation Projects. Competition ID: BJA-2018-13890.

Category 5: Harold Rogers Prescription Drug Monitoring Program (PDMP) Implementation and Enhancement Projects. Competition ID: BJA-2018-13891.

Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships. Competition ID: BJA-2018-13892.

7. **Access Funding Opportunity and Application Package from Grants.gov.** Select “Apply for Grants” under the “Applicants” column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
8. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on June 18, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review **only** the most recent system-validated version submitted.

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

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request

approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.**

## E. Application Review Information

### Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. The following six criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criterion. For example, the first criterion, "Statement of the Problem," is worth 15 percent of the entire score in the application review process

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

##### All applicants

- Clearly identify the community, state, or region that is included in the proposed program.
- Describe the nature and scope of the problem providing local, state, or regional data to support the discussion.
- Identify each partner agency that has demonstrated commitment to this effort via an interagency agreement or letter of support.
- Identify existing strategic plans relevant to the program and describe how the proposed initiative aligns with the existing plan.
- Explain the inability to fund the proposed program without federal assistance and describe any existing funding or resources that are being leveraged to support the proposed program.

### Category 1: First Responder Partnerships

- Detail the need for the program by describing the problems with the current response to individuals who experience a non-fatal overdose and explain how the current response is inadequate.
- Discuss the programs and services already in place in the community and note any components of the proposed program that may already exist.
- Describe what components will be needed to fully implement the program.
- Provide information that documents the impact of the opioid epidemic within the proposed service area. Examples of data include the number of primary treatment admissions for heroin and other opioids, the number of opioid overdose deaths, the number of naloxone administrations, and/or information about the lack of accessibility to treatment providers and facilities and to emergency medical services.

### Category 2: Technology-assisted Treatment Projects

- Detail the need for the project by describing the problems with accessing treatment and recovery support services due to lack of transportation, lack of service providers, or other environmental concerns.
- Describe the proposed pilot sites and explain why they were selected. Please note, at least three pilot sites must be identified.
- Discuss the programs and services already in place in the community and note any components of the proposed project that may already exist. Describe any existing infrastructure that the applicant intends to leverage.
- Describe what components will be needed to fully implement the project and why federal funding is required for the proposed project.
- Provide information that documents the impact of the opioid epidemic within the proposed service area. Examples of data include the number of primary treatment admissions for heroin and other opioids, the number of opioid overdose deaths, the number of naloxone administrations, and/or information about the lack of accessibility to treatment providers and facilities and to emergency medical services.

### Category 3: System-level Diversion Projects

- Using the Sequential Intercept Model as the framework, describe the existing services and the service gaps. If diversion programs currently exist, describe these in detail.
- Describe what components will be needed to fully implement the project and why federal funding is required for the proposed project.
- Identify state and local policy and funding barriers that exist within the community to minimize contact with the criminal justice system.
- Provide information that documents the impact of the opioid epidemic within the proposed service area. Examples of data include the number of primary treatment admissions for heroin and other opioids, the number of opioid overdose deaths, the number of naloxone administrations, and/or information about the lack of accessibility to treatment providers and facilities and to emergency medical services.

### Category 4: Statewide Planning, Coordination, and Implementation Projects

- Describe the need for cross-agency planning at the state level and where the gaps in planning currently exist.

- Indicate whether your state is **currently** a CDC [Prevention for States](#) grantee or a current SAMHSA grantee under the [Targeted Capacity Expansion: Medication Assisted Treatment – Prescription Drug and Opioid Addiction](#) grant or the [Grants to Prevent Prescription Drug/Opioid Overdose-Related Deaths](#) program. If your state is a current grantee, please indicate how the proposed project will be integrated with the other grant(s).
- Identify state policy and funding barriers that exist within the state.
- Provide information that documents the impact of the opioid epidemic within the proposed service area. Examples of data include the number of primary treatment admissions for heroin and other opioids, the number of opioid overdose deaths, the number of naloxone administrations, and/or information about the lack of accessibility to treatment providers and facilities and to emergency medical services.

#### Category 5: Harold Rogers PDMP Grant Projects – Implementation Applicants

Applicants working to **initiate** or complete implementation of a new PDMP program should:

- Describe the impact that the abuse and diversion of controlled substances is having on your state. Provide data to support your discussion.
- Discuss the efforts that have been taken to implement the system and in which department or agency the project is to be housed.
- Indicate how many personnel are required to staff operations of the PDMP. If funds will be used to provide additional PDMP personnel, indicate the percentage increase of total staff in addition to detailing how additional positions will contribute to meeting the overall objectives of the project.
- State how many prescribers and dispensers there are in the state, and any problems they anticipate in implementing a project pilot full scale.

#### Category 5: Harold Rogers PDMP Grant Projects – Enhancement Applicants

Applicants seeking to **enhance** an operational program should:

- Describe the impact that the abuse and diversion of controlled substances is having on your state. Provide data to support your discussion.
- State the total number of prescribers in the past year who have prescribed a controlled substance.
- State the total number of prescribers in the past year who have prescribed a controlled substance, including the percentage of those prescribers who are registered with the state PDMP.
- State the percentage of prescribers who have prescribed a controlled substance in the past month who have checked the PDMP database.
- Describe any changes in the state (rules, regulations, legislative changes) in the last year that have impacted how the PDMP operates.
- Describe current training and registration efforts taken, to date.
- Describe the 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.

#### Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships

Applicants should:

- Describe the need for a multidisciplinary approach to address local, regional, or state substance abuse issues.
- If an evaluation component is proposed, the applicant should identify the major impact areas where detailed evaluation or study is needed, including data or policy analysis that supports the problem statement.

## **2. Project Design and Implementation (35 percent)**

### All Applicants

Applicants should provide a description of how they will complete the required activities, including:

- Clearly articulate the objectives established for this project and connect them to the overarching objectives of the solicitation set forth on page 7.
- Describe how the proposed project addresses the mandatory project components outlined on pages 8–19 and describe, in detail, how the project will be implemented.
- Describe which areas the proposed project will address (refer to the “Allowable Uses for Award Funds” section for the appropriate category on pages 8–19).
- Explain how the proposed project will support and/or enhance the local, state, or tribal government’s capacity to respond to opioid abuse. If a regional approach is proposed, explain how the proposed activities will address regional challenges.
- If applicable, describe how the applicant will address the priority considerations.

### Category 1: First Responder Partnerships

#### All applicants:

- Identify whom the applicant plans to collaborate with, their responsibilities, and how they will support the project. Discuss any previous collaboration that occurred that will help to achieve the objectives.
- Describe the data that are available and needed for the project. This should include a list of who collects and owns this information and their organizational commitment to finding a way to safely and appropriately share the information for the purposes of this project.

For applicants under Subcategory 4b:

- Describe the victim services to be provided.

### Category 2: Technology-assisted Treatment Projects

- Detail a proposal for how the technology-assisted treatment project will be implemented, outlining the specific steps needed.
- Describe how the state applicant agency will work with the pilot sites to implement the project and provide oversight.
- Identify who the applicant plans to collaborate with, their responsibilities, and how they will support the project.
- Discuss any previous collaboration that occurred that will help to achieve the objectives. Explain existing partnership agreements.

### Category 3: System-level Diversion Projects

- Detail the diversion programs to be implemented.
- Identify whom the applicant plans to collaborate with, their responsibilities, and how they will support the project.
- Discuss any previous collaboration that occurred that will help to achieve the objectives. Explain existing partnership agreements.

- Describe the data that are available and needed for the project. This should include a list of who collects and owns this information and their organizational commitment to finding a way to safely and appropriately share the information for the purposes of this project.

Category 4: Statewide Planning, Coordination, and Implementation Projects

For applicants under Subcategory 4a:

- Identify who will participate in the statewide planning efforts between the State Administrative Agency responsible for directing criminal justice planning and coordination and the Single State Agency for Substance Abuse Services.
- Discuss any previous collaboration that occurred that will help to achieve the objectives. Explain existing partnership agreements.
- Describe the data that are available and needed for the project. This should include a list of who collects and owns this information and their organizational commitment to finding a way to safely and appropriately share the information for the purposes of this project.

For applicants under Subcategory 4b:

- Describe if the proposed initiatives to be funded have been identified in an existing state plan or will be identified as part of the plan developed under Subcategory 4a.
- Describe how subgrantees have been selected or will be selected during the grant period. If no decisions have been made in this area, describe how decisions may be made in the future.
- Describe what role, if any, state agencies will have in providing oversight to the subgrantees.

Category 5: Harold Rogers PDMP Implementation and Enhancement Projects

- Summarize the current strategy to reduce the abuse and diversion of pharmaceutical controlled substances, and how the proposal supports or expands upon it.
- Describe how the state's PDMP fits into existing state opioid strategies. Where relevant, identify the statutory authority and/or restrictions for the prescription drug monitoring database, the state agency that has been designated to carry out the legislative mandates, and how the applicant agency is positioned to implement the activities proposed.
- Applications that are proposing to implement information sharing with other state PDMPs must 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. Describe how the proposed technical solution used to support interstate data sharing is compliant with the PMIX National Architecture. For instance, if an interstate data-sharing hub has been certified as PMIX compliant, include this information.
- If applicable, describe how the applicant meets the priority considerations.

Category 6: Public Safety, Behavioral Health, and Public Health-information Sharing Partnerships

- Identify whom the applicant plans to collaborate with (e.g., research partner; emergency department representatives; state, regulatory, and law enforcement officials; public health officials; child welfare practitioners; treatment agency representatives; drug court officials; researchers; etc.), their responsibilities, and how they will support the project.

- Discuss any previous collaboration that occurred that will help to achieve the objectives. Explain existing partnership agreements.
- Describe the data that are available and needed for the project. This should include a list of who collects and owns this information and their organizational commitment to finding a way to safely and appropriately share the information for the purposes of this project.
- Describe how best practices will be identified and shared.
- If an evaluation is proposed, articulate how an in-depth evaluation of the subject will provide meaningful insights into solving local, state, or regional challenges while contributing to the national body of knowledge with respect to PDMP best practices.

### 3. Capabilities and Competencies (25 percent)

#### All Applicants

- Describe the management structure and staffing, specifically identifying the key person (or people) responsible for carrying out program or project activities.
- Provide letters of support or interagency agreements.
- Demonstrate the capability to implement the project successfully. Attach position descriptions for key personnel.
- Indicate each project objective, activity, expected completion date, and responsible person or organization in the attached project timeline.
- Describe any potential barriers to implementing the project and the strategies that will be used to overcome those barriers.
- If applicable, describe the roles and responsibilities of the research partner in the project.

#### Category 1: First Responder Partnerships

- Describe who will serve as the project coordinator, the project coordinator's project-related duties, the amount of time this position will dedicate to the project per week, and which agency will house the project coordinator. If the project coordinator will be hired after the award, please provide a job description.
- Indicate a willingness to work closely with BJA's designated TTA provider(s), which were selected through a separate BJA COAP TTA program solicitation, as well as an evaluator who may conduct a site-specific or cross-site evaluation in future years.
- For applications involving a research component, describe the qualifications of the research partner and the prior experience of the researcher with action research, including prior work with drug monitoring and treatment agencies and other partners. The research partners should be experienced in several different data collection and analytic methods. It is preferable that they have several years of evaluation research experience. Specifically, the application should include the proposed research partner's experience completing the following activities as a member of a task force or implementation team:
  - Collecting and analyzing data sets relevant to the field
  - Ability to work through barriers to research-driven problem solving
  - Identifying and proposing proven strategies to address problems
  - Documenting program operations and processes
  - Measuring program outcomes
  - Using data to determine program effectiveness
  - Assessing implementation fidelity

- Regularly presenting findings and conclusions, both orally and in written form, to a task force or implementation team
- Making recommendations for program improvement
- Developing real-time products and resources for strategic decision making
- Working with a team to develop a sustainability plan
- Communicating with a wide variety of public sector, private, and community representatives who may be called upon to help present or support the evaluation findings, conclusions, and recommendations

For applicants under Subcategory 4b:

- Describe the victim services provider and their capabilities.

### Category 2: Technology-assisted Treatment Projects

- Identify at least one partner with experience providing services to rural communities and describe their experience in this area.
- Indicate a willingness to work closely with BJA's designated TTA provider(s), which were selected through a separate BJA COAP TTA program solicitation, as well as an evaluator who may conduct a site-specific or cross-site evaluation in future years.
- Describe who will serve as the project coordinator, the project coordinator's project-related duties, the amount of time this position will dedicate to the project per week, and which agency will house the project coordinator. If the project coordinator will be hired after the award, please provide a job description.

### Category 3: System-level Diversion Projects

- Describe who will serve as the project coordinator, the project coordinator's project-related duties, the amount of time this position will dedicate to the project per week, and which agency will house the project coordinator. If the project coordinator will be hired after the award, please provide a job description.
- Indicate a willingness to work closely with BJA's TTA provider(s), which were selected through a separate BJA COAP TTA program solicitation, as well as an evaluator who may conduct a site-specific or cross-site evaluation in future years.
- For applications involving a research component, describe the qualifications of the research partner and the prior experience of the researcher with action research, including prior work with drug monitoring and treatment agencies and other partners. The research partner should be experienced in several different data collection and analytic methods. It is preferable that they have several years of evaluation research experience. Specifically, the application should include the proposed research partner's experience completing the following activities as a member of a task force or implementation team:
  - Collecting and analyzing data sets relevant to the field
  - Ability to work through barriers to research-driven problem solving
  - Identifying and proposing proven strategies to address problems
  - Documenting program operations and processes
  - Measuring program outcomes
  - Using data to determine program effectiveness
  - Assessing implementation fidelity
  - Regularly presenting findings and conclusions, both orally and in written form, to a task force or implementation team
  - Making recommendations for program improvement
  - Developing real-time products and resources for strategic decision making

- Working with a team to develop a sustainability plan
- Communicating with a wide variety of public sector, private, and community representatives who may be called upon to help present or support the evaluation findings, conclusions, and recommendations

**Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships**

- For applications involving a research component, describe the qualifications of the research partner and the prior experience of the researcher with “action research,” including prior work with drug monitoring and treatment agencies and other partners. The research partner should be experienced in several different data collection and analytic methods. It is preferable that they have several years of evaluation research experience. Specifically, the application should include the proposed research partner’s experience completing the following activities as a member of a task force or implementation team:
  - Collecting and analyzing data sets relevant to the field
  - Ability to work through barriers to research-driven problem solving
  - Identifying and proposing proven strategies to address problems
  - Documenting program operations and processes
  - Measuring program outcomes
  - Using data to determine program effectiveness
  - Assessing implementation fidelity
  - Regularly presenting findings and conclusions, both orally and in written form, to a task force or implementation team
  - Making recommendations for program improvement
  - Developing real-time products and resources for strategic decision making
  - Working with a team to develop a sustainability plan
  - Communicating with a wide variety of public sector, private, and community representatives who may be called upon to help present or support the evaluation findings, conclusions, and recommendations

**4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5 percent)**

**All Applicants**

- Describe who will be responsible for collecting and reporting the required performance measures and how data will be collected.
- List any additional performance metrics that will be used to assess the project’s effectiveness and the process for collecting the information, including who will be responsible and how data will be collected.
- Discuss what data sources will be used and any legal, policy, or other barriers to gaining access to the data and how those barriers will be addressed.

**Category 1: First Responder Partnerships**

- Discuss the applicant’s plan for tracking future incidence of naloxone administration, time to treatment engagement post-overdose, and treatment retention.

**5. Impact/Outcomes, Evaluation, and Sustainment (10 percent)**

**All Applicants**

- Identify the expected impact of the proposed initiatives, programs, projects, or strategies once implemented.
- Describe how performance will be documented, monitored, and evaluated. BJA expects that grantees should be able to report timely, complete, and accurate data in the required grant reports.
- Discuss how this effort will be financially sustained after federal funding ends, and the expected long-term results for the program or project. Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery, if any.

Category 1: First Responder Partnerships and Category 3: System-level Diversion Projects

- Outline what data and information will be collected and describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the project or program.

If an independent research partner is proposed:

- Address how the information will be disseminated among team members throughout the life of the project to promote greater knowledge and understanding about the value of research and evidence-based practice. Applicants may budget for dissemination activities in pursuit of these goals.
- Describe how research findings will be disseminated at the state or national level, including planned publications, briefs, and education outreach efforts. While outreach to the research or academic community may be proposed, BJA is particularly interested in outreach efforts geared to practitioners or policymakers.

Category 4: Statewide Planning, Coordination, and Implementation Projects  
For Subcategory 4b applicants

- Discuss how the initiatives or programs funded through subgrants will be financially sustained after federal funding ends, and the expected long-term results for the program.

Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships

- Describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources for the program.

If an independent research partner is proposed:

- Address how the information will be disseminated among team members throughout the life of the project in order to promote greater knowledge and understanding about the value of research and evidence-based practice. Applicants may budget for dissemination activities in pursuit of these goals.
- Describe how research findings will be disseminated at the state or national level, including planned publications, briefs, and education outreach efforts. While outreach to the research or academic community may be proposed, BJA is particularly interested in outreach efforts geared to practitioners or policymakers.

## 6. Budget (10 percent)

### All Applicants

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) and includes the required meetings budgeted for each year. The budget narrative should generally demonstrate how the applicant will maximize cost effectiveness of grant expenditures. The budget narrative should demonstrate cost effectiveness in relation to potential alternatives and the objectives of the project.<sup>7</sup>
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment. There is no minimum or maximum requirement regarding what constitutes an appropriate percent; however, the budget designated should be adequate to fund the activities outlined in the application. The budget narrative should explain how the amount dedicated to these activities is adequate to support the proposed activities.
- Where required, include appropriate funding for the project coordinator.
- BJA anticipates one national meeting will occur during each year of the grant for which applicants must budget their travel. Categories 1–4 and 6 applicants should budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C. The purpose of this travel may vary according to funding category and specific project objectives; however, BJA wants to ensure that all grantees have the opportunity to present their work and collaborate with their peers and other national and federal stakeholder groups. Category 5 applicants should budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend a national meeting in Washington, D.C. Each national meeting should be budgeted for 3 days. Category 5 applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.

### Category 1: First Responder Partnerships

Category 1b applicants:

Applicants in Category 1b should ensure that they have abided by the following budget restrictions:

- A minimum of \$400,000 must be budgeted to support victim services as outlined on pages 8–10.
- Up to \$400,000 may be budgeted to support general services as outlined on pages 8–10.

### Category 2: Technology-assisted Treatment Projects

Applicants should ensure that they have abided by the following budget restrictions:

- No more than 10 percent of the proposed budget may be used to purchase and maintain web-based services and electronic applications that can be accessed from computers, tablets, and/or smart phone devices that are designed to enhance or

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<sup>7</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.

- support treatment and recovery support services (e.g., apps for self-management through reminders and educational prompts).
- No more than 10 percent of the proposed budget may be used to purchase or lease devices that allow for the remote monitoring of offenders (e.g., applications or services that remotely monitor the location of an individual or monitor substance use remotely).
  - If the proposed project is part of a diversion program, up to 20 percent of the proposed budget may be used to support remote, secure, and private two-way, real-time, interactive audio and video connections between the supervision officer and the client located at another location in the community. (See the previous note about budget restrictions associated with remote monitoring.)
  - No more than 50 percent of the proposed budget may be used to provide technology-assisted treatment and recovery support services to an incarcerated population.

### **Review Process**

OJP is committed to ensuring a fair and open process for making awards. 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. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant
- The application must request funding within programmatic funding constraints (if applicable)
- The application must be responsive to the scope of the solicitation
- The application must include all items designated as “critical elements”
- The applicant must not be identified in SAM as excluded from receiving federal awards

For a list of the critical elements for this solicitation, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation's review criteria. 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. Peer reviewers' ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for BJA include geographic diversity, strategic priorities, and available funding, as well as the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by the applicant. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, [FAPIIS]).

**Important note on FAPIIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by the applicant.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as:

1. Applicant financial stability and fiscal integrity
2. Quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements

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 take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances;

designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission of the fully executed award document to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards,”](#) available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Certified Standard Assurances](#)

The web pages accessible through the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards”](#) are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJA expects to make any award under categories 1-4 and category 6 in this solicitation in the form of a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to an award condition that sets out the nature of the anticipated “substantial federal involvement” in the award, cooperative agreements awarded by OJP include an award condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

## **General Information about Post-Federal Award Reporting Requirements**

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP web site at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP.

## **G. Federal Awarding Agency Contact(s)**

For OJP contact(s), see the title page.

For contact information for Grants.gov, see the title page.

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate

circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojppeerreview@l-secb.com](mailto:ojppeerreview@l-secb.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

**Appendix A**  
**Application Checklist**  
**FY 2018 Comprehensive Opioid Abuse Site-based Program**

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

**What an Applicant Should Do:**

*Prior to Registering in Grants.gov:*

- Acquire a DUNS Number (see page 40)
- Acquire or renew registration with SAM (see page 41)

*To Register with Grants.gov:*

- Acquire AOR and Grants.gov username/password (see page 41)
- Acquire AOR confirmation from the E-Biz POC (see page 41)

*To Find Funding Opportunity:*

- Search for the Funding Opportunity on Grants.gov (see page 41)
- Select the correct Competition ID (see page 41)
- Access Funding Opportunity and Application Package (see page 42)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 39)
- Read [Important Notice: Applying for Grants in Grants.gov](#)
- Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 25)

*After application submission, receive Grants.gov email notifications that:*

- (1) application has been received,
- (2) application has either been successfully validated or rejected with errors

*If no Grants.gov receipt, and validation or error notifications are received:*

- contact the NCJRS Response Center regarding experiencing technical difficulties

**Overview of Post-Award Legal Requirements:**

- Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center.

**Scope Requirement:**

- The federal amount requested is within the allowable limits and not to exceed:
  - \$500,000 for Subcategory 1a: First Responder Partnerships; \$800,000 for Subcategory 1b First Responder Partnerships
  - \$1,000,000 for Category 2: Technology-assisted Treatment Projects
  - \$900,000 for Category 3: System-level Diversion Projects
  - \$100,000 for Subcategory 4a: Statewide Planning and Coordination Projects
  - \$1,200,000 for Subcategory 4b: Statewide Implementation Projects
  - \$1,300,000 for Subcategories 4a and 4b: Statewide Planning, Coordination, and Implementation Projects
  - \$750,000 for Category 5: Harold Rogers PDMP Implementation and Enhancement Projects
  - \$1,000,000 for Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships
  - \$1,500,000 if regional

\_\_\_\_\_ Applicants wishing to apply under multiple categories have submitted a separate application for each category of funding. This does not apply to applicants applying for both Subcategories 4a and 4b.

Note, the total federal amount requested for all years should be the same amount as listed on the SF-424.

### **Eligibility Requirements:**

\_\_\_\_\_ The applicant is eligible to apply if:

\_\_\_\_\_ **Category 1: First Responder Partnerships** – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior). Jurisdictions without a county or local government-based addiction service system may designate the SSA to serve as the primary applicant and subaward grant funds to providers at the community level.

\_\_\_\_\_ **Category 2: Technology-assisted Treatment Projects** – Applicants are limited to state agencies. State agencies include the state administrative offices, state criminal justice agencies, and other state agencies, such as the State Administering Agency, the Administrative Office of the Courts, and the State Alcohol and Substance Abuse Agency, involved with the provision of substance abuse treatment services to offenders.

\_\_\_\_\_ **Category 3: System-level Diversion Projects** – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior). Jurisdictions without a county or local government-based addiction service system may designate the SSA to serve as the primary applicant and subaward grant funds to providers at the community level.

\_\_\_\_\_ **Category 4: Statewide Planning, Coordination, and Implementation Projects** Applicants are limited to the SAA responsible for directing criminal justice planning or the State Alcohol and Substance Abuse Agency.

\_\_\_\_\_ **Category 5: Harold Rogers PDMP Implementation and Enhancement Projects** – Applicants are limited to state governments and territories that have a pending or enacted enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency. Applicants within a state that does not have an enabling state statute requiring the submission of controlled substance prescription data to an authorized state agency are eligible to apply as a city, county, or region if (a) the city, county, or region has enacted an enabling statute, ordinance, or regulation requiring the submission of controlled substance prescription data to an authorized city, county, or region; (b) the city, county, or region agrees to transition the PDMP system to an authorized state agency if the state adopts an enabling state statute requiring the submission of controlled substance prescription data to an authorized state agency; and (c) ensures that all vendor contracts are written to permit the transfer of ownership of the system to the authorized state agency.

\_\_\_\_\_ **Category 6: Public Safety, Behavioral Health, and Public Health Information-sharing Partnerships** – Applicants are limited to state agencies and units of local government located in states with existing and operational PDMPs, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

## What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 26)
- \_\_\_\_\_ \*Project Abstract (including affirmation of evidence-based program features and total budget amount) (see page 27)
- \_\_\_\_\_ \*Program Narrative (see page 28)
- \_\_\_\_\_ \*Budget Detail Worksheet and \*Budget Narrative (see page 30)

### **Category 1: First Responder Partnerships**

\_\_\_\_\_ Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

Subcategory 1b:

\_\_\_\_\_ Budget a minimum of \$400,000 to support victim services and up to \$400,000 to support general services.

### **Category 2: Technology-assisted Treatment Projects**

\_\_\_\_\_ Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

### **Category 3: System-level Diversion Projects**

\_\_\_\_\_ Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

### **Category 4: Statewide Planning, Coordination, and Implementation Projects**

\_\_\_\_\_ Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

Applicants for Subcategory 4b should ensure that all federal funds are passed through to localities within the state; except to the extent those funds are included in a current, federally approved indirect cost rate agreement and amount to no more than 10 percent of the grant amount.

### **Category 5: Harold Rogers PDMP Implementation and Enhancement Projects**

\_\_\_\_\_ Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C. Applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.

### **Category 6: Public Safety, Behavioral Health and Public Health Information-sharing Partnerships**

\_\_\_\_\_ Budget for travel expenses (airfare, hotel, per diem, and group transportation) for a minimum of two staff to attend one face-to-face meeting each year of the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 33)

- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 33)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 34)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 35)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Required Statutory Certifications (see page 39)
  - \_\_\_\_\_ \*Project Timeline (Required) (see page 35)
  - \_\_\_\_\_ \*Letters of Support or Interagency Agreements (see page 35)
    - \_\_\_\_\_ **Category 1: First Responder Partnerships** – Submit letters of support and/or an interagency agreement from the proposed project partners.
    - \_\_\_\_\_ **Category 2: Technology-assisted Treatment Projects** – Submit letters of support and/or an interagency agreement from the [State Administrative Agency](#) responsible for directing criminal justice planning and coordination **and** the [Single State Agency](#) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.
    - \_\_\_\_\_ **Category 3: System-level Diversion Projects** – Submit letters of support and/or an interagency agreement from the proposed project partners.
    - \_\_\_\_\_ **Category 4: Statewide Planning, Coordination, and Implementation Projects** Submit letters of support and/or an interagency agreement from the [State Administering Agency](#) responsible for directing criminal justice planning and coordination **and** the [Single State Agency](#) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project. Applicants seeking priority consideration should also include letters of support from **all** of the following agencies:
      - The Administrative Office of the Courts
      - Representatives from probation and parole and/or community corrections
      - Representatives from child welfare
      - Representatives from law enforcement, including DEA and local HIDTA Program, if applicable
      - County/city representation
  - \_\_\_\_\_ Position Descriptions (Required)
    - \_\_\_\_\_ **Categories 1–3:** Provide a job description for the project coordinator, who dedicates a portion of their time beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phases. No less than 50 percent of the project coordinator’s time should be spent on BJA-funded project activities.
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 36)
- \_\_\_\_\_ Research and Evaluation Independence and Integrity, if required (see page 37)

\*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.