

Please note that "Target Population Requirements" on page 17 was modified on 1/30/2017

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**U.S. Department of Justice**  
Office of Justice Programs  
*Bureau of Justice Assistance*



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP) [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding for the Justice and Mental Health Collaboration Program. This program furthers the Department's mission by increasing public safety through innovative cross-system collaboration for individuals with mental illness who come into contact with the juvenile or adult criminal justice system.

## **Justice and Mental Health Collaboration Program FY 2017 Competitive Grant Announcement Applications Due: April 4, 2017**

### **Eligibility**

Eligible applicants are limited to states, units of local government, and [federally recognized Indian tribal governments](#) (as determined by the Secretary of the Interior). BJA will only accept applications that demonstrate that the proposed project will be administered jointly by an agency with responsibility for criminal or juvenile justice activities and a mental health agency. Only one agency is responsible for the submission of the application in Grants.gov. This lead agency must be a state agency, unit of local government, or federally recognized Indian tribal government. Under this solicitation, only one application by any particular applicant entity will be considered. Any others must be proposed as subrecipients ("subgrantees").<sup>1</sup> An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application. 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.

Per Pub. L. 108-414, a "criminal or juvenile justice agency" is an agency of state or local government or its contracted agency that is responsible for detection, arrest, enforcement, prosecution, defense, adjudication, incarceration, probation, or parole relating to the violation of the criminal laws of that state or local government (sec. 2991(a)(3)). A "mental health agency" is an agency of state or local government or its contracted agency that is responsible for mental health services or co-occurring mental health and substance abuse services (sec. 2991(a)(5)). A substance abuse agency is considered an eligible applicant if that agency provides services to individuals suffering from co-occurring mental health and substance abuse disorders.

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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 2017 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](http://Grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on April 4, 2017.

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, 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 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, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](http://Grants.gov) Support Hotline operates 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** in order 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 solicitation: BJA-2017-11380

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# Justice and Mental Health Collaboration Program (CFDA #16.745)

## A. Program Description

### Overview

The Justice and Mental Health Collaboration Program (JMHCPC) supports innovative cross-system collaboration to improve responses and outcomes for individuals with mental illnesses or co-occurring mental health and substance abuse disorders who come into contact with the justice system. BJA is seeking applications that demonstrate a collaborative project between criminal justice and mental health partners from eligible applicants to plan and implement justice and mental health strategies collectively designed between justice and mental health.

**Statutory Authority:** This program is authorized by the Mentally Ill Offender Treatment and Crime Reduction Act of 2004 (MIOTCRA) (Pub. L. 108-414) and the Mentally Ill Offender Treatment and Crime Reduction Reauthorization and Improvement Act of 2008 (Pub. L. 110-416).

### Program-Specific Information

JMHCPC seeks to increase public safety by facilitating collaboration among the criminal justice, mental health, and substance abuse treatment systems to increase access to mental health and other treatment services for individuals with mental illnesses or co-occurring mental health and substance abuse disorders. The program encourages early intervention for these multisystem-involved individuals; maximizes diversion opportunities for multisystem-involved individuals with mental illnesses or co-occurring mental and substance abuse disorders; promotes cross-training for justice and treatment professionals; and facilitates communication, collaboration, and the delivery of support services among justice professionals, treatment and related service providers, and governmental partners.

This solicitation specifically seeks to increase early identification and front-end diversion of people with mental health and co-occurring substance use disorders identified at early intercept points within the justice system. This program seeks to increase the number of justice, mental health, and community partnerships; increase evidence-based practices and treatment responses to people with behavioral health disorders in the justice system; and increase the collection of health and justice data to accurately respond to the prevalence of justice-involved people with mental health and co-occurring substance use disorders.

**Recent National Highlights:** In the past year, several initiatives and resources have launched and evolved to assist jurisdictions that are committed to improving their justice system responses to people with mental illnesses and co-occurring substance use disorders. JMHCPC applicants are encouraged to take advantage of the information and resources highlighted below.

A BJA-supported Toolkit was released in 2016 to assist law enforcement agencies to collaborate and strategize with their local mental health provider in responding to people with mental illness. This toolkit complements the Stepping Up Initiative led by the Council of State Governments (CSG) Justice Center, the National Association of Counties and the American Psychiatric Foundation to assist jurisdictions in planning to reduce the prevalence of people with

mental illnesses in their jails.. As part of that initiative, counties are supported to follow outlined steps to achieve this goal and to track four outcome measures including:

- A reduction in the number of people with mental illnesses booked into jail.
- A reduction in the length of time people with mental illnesses remain in jail.
- An increase in connections to treatment.
- A reduction in recidivism.

As demonstrated through the Stepping Up Initiative, mental health and substance use screening should be completed at the earliest possible point in the justice system. Early identification will increase the likelihood of stabilization in the community and reduce the likelihood of a person's deeper involvement in the justice system.<sup>2</sup>

In October 2016, BJA launched the [Police Mental Health Collaboration Toolkit \(PMHC Toolkit\)](#) to provide resources for law enforcement agencies to partner with mental health providers to effectively respond to calls for service, improve outcomes for people with mental illnesses, and advance public safety. By engaging in a national dialogue with key stakeholders throughout the law enforcement and mental health fields, BJA has gathered the best practices and resources to help officers respond appropriately and safely to people with mental illness.

BJA launched the PMHC Toolkit in tandem with the International Association of Chiefs of Police [One Mind Campaign](#), which seeks to ensure successful interactions between police officers and persons affected by mental illness. To join the campaign, law enforcement agencies must commit to implementing four promising practices over a 12- to 36-month timeframe. These practices include:

- Establishing a clearly defined and sustainable partnership with one or more community mental health organization.
- Developing and implementing a model policy addressing police response to persons affected by mental illness.
- Training and certifying 100 percent of an agency's sworn officers (and selected non-sworn staff, such as dispatchers) in Mental Health First Aid for Public Safety.
- Providing Crisis Intervention Team training to a minimum of 20 percent of an agency's sworn officers (and selected non-sworn staff, such as dispatchers).

### **Goals, Objectives, and Deliverables**

For FY 2017, BJA has revised the goals of JMHCP to move away from facilitating small-scale programming, which meets the needs of a limited target population, and move toward support for systemic reviews and changes. This will allow state, local, and tribal justice systems to more comprehensively respond to people with mental illnesses and co-occurring substance use disorders, to include:

- Universal screening and assessment.
- Enhanced comprehensive law enforcement diversion strategies.
- Appropriate resource allocation and program placement for treatment and supervision based on risk level and needs.

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<sup>2</sup> Substance Abuse and Mental Health Services Administration. Screening and Assessment of Co-occurring Disorders in the Justice System. HHS Publication No. (SMA)-15-4930. Rockville, MD: Substance Abuse and Mental Health Services Administration, 2015.

- Assessing and adjusting treatment capacity, evidence-base, and quality to meet the needs of justice-involved individuals with mental illnesses and co-occurring substance use disorders.
- Measuring progress.

In FY 2017, there are three types of grants supported under JMHCP:

- **Category 1: Collaborative County<sup>3</sup> Approaches to Reducing the Prevalence of Individuals with Mental Disorders in Jail:** Category 1 grantees will demonstrate a systemwide coordinated approach to safely reduce the prevalence of individuals with mental disorders in local jails.
- **Category 2: Strategic Planning for Law Enforcement and Mental Health Collaboration:** Category 2 grantees will design their community's law enforcement mental health collaboration strategy to improve responses to, and connections to services for, people with mental health and co-occurring disorders by conducting a comprehensive agency assessment of policy and practice, developing an agency training plan, building and maintaining a data collection system, and partnering with mental health and the community.
- **Category 3: Implementation and Expansion:** Category 3 grantees will implement targeted mental health and justice system interventions to address the needs of individuals with mental disorders or expand upon (or improve) well-established mental health and justice system collaboration strategies to address the needs of individuals with mental health disorders and to improve public safety.

**Category 1: Collaborative County Approaches to Reducing the Prevalence of Individuals with Mental Disorders in Jail Competition ID: BJA-2017-11381**

Category 1 applicants will engage in a collaborative planning process with county leadership toward the goal of reducing the number of individuals with mental disorders and co-occurring substance use disorders in local jails who can be safely supervised and/or treated in the community. Category 1 grants will support a targeted analysis of the prevalence of people with mental disorders in the local jail, a review of existing community resources, and identification and initial implementation of policy and practice changes to minimize contact or deeper involvement of individuals with mental disorders and co-occurring substance use disorders in the criminal justice system.

Category 1 grantees will demonstrate a commitment to system-level reduction in the prevalence of mental illness in jails. Beyond intercept-specific programs (e.g., pretrial diversion, mental health courts, correctional programs, reentry programs, etc.), counties will work toward a coordinated response to maximize diversion for individuals with mental disorders that includes: a county system analysis to identify strategies to reduce the prevalence of individuals with mental disorders in local jails; screening and assessing all people with potential mental disorders booked into the jail for criminogenic risk and needs; recording this information in an electronic record; ensuring this information is shared appropriately to inform pretrial decisionmaking; and defining mental health needs in terms that align with state definitions that pertain to eligibility for publicly funded mental health services. All grantees **must** establish a

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<sup>3</sup> While the focus of this category is a county-based approach, BJA recognizes there are 41 cities around the country that are not within a county system, which are also eligible to apply.

team (or utilize a pre-existing team) of county leaders, stakeholders, and decisionmakers from multiple agencies to engage in the planning process

Counties of all sizes are encouraged to apply, although priority consideration will be given to:

- Large urban counties seeking to implement universal screening and assessment of all people booked into the jail for mental health disorders, risk, and need using an appropriate validated risk assessment tool to inform pretrial decisionmaking.
- Rural counties in partnership with neighboring counties or the state to ensure that all people booked into jail are screened for risk and need and that the information gathered will be used to inform pretrial decisionmaking.

Grantees must work with BJA's training and technical assistance (TTA) provider for JMHCP, the CSG Justice Center, to complete a Planning and Implementation Guide as well as a planning phase; and, after completion of the planning phase, an implementation phase to help grantees complete the activities below.

### **Completion and Submission of the Planning and Implementation Guide**

Grantees will receive intensive technical assistance and will have access to up to \$100,000 of the total grant award in order to complete and submit a required Planning and Implementation Guide, provided by the BJA TTA provider, which will guide each grantee in developing a strategic plan that is the result of; system mapping, data analyses, and policy and practice reviews. Program budget approval and coordination with a technical assistance coordinator is required to complete and submit a Planning and Implementation Guide.

### **Allowable Uses of Funds for Category 1 Planning Phase:**

- Make use of an outside facilitator to assist in planning team meetings.
- Engage a research partner/evaluator to ensure outcomes are being evaluated effectively.
- Gather, consolidate and analyze existing local data.
- Clarify and document how individuals with mental disorders move through the local justice system and identify and gather relevant sources of data for analyses to identify policy options to safely reduce the prevalence of individuals, especially high utilizers, with mental disorders in jail through diversion, alternative sentencing, or other strategies.

### **Allowable Uses of Funds for Category 1 Implementation Phase:**

After completion and BJA approval of the Planning and Implementation Guide, grant funds may be used to support any one or combination of the following allowable activities:

- Improve the administration of screening and/or assessment tools needed to identify mental disorders, substance use disorders, and criminogenic risk/needs among adults entering jail.
- Develop or reform policies and practices for the use of risk/need assessment data, including how it is shared among agencies, and how it is used in making pretrial decisions that are responsive to the individual risks and needs, enhancing diversion opportunities as well as continuity of care upon release back to the community.
- Use assessment data to measure the prevalence of individuals with mental disorders or co-occurring substance use disorders in jail.

- Inventory the policies, programs, and services currently in use that may minimize contact or deeper involvement for individuals with mental disorders in the criminal justice system, and identify gaps.
- Develop and implement a plan to change policies and/or realign existing programs and services to minimize contact or deeper involvement of individuals with mental disorders and co-occurring substance use disorders in the criminal justice system.
- Develop alternatives to hospital and jail admissions for high utilizers that provide treatment, stabilization, and other appropriate supports in the least restrictive, yet appropriate environment, such as receiving centers, intensive case management, or other specialized responses.

**Category 2: Strategic Planning for Law Enforcement and Mental Health Collaboration**  
**Competition ID: BJA-2017-11382**

Category 2 grantees will demonstrate a commitment on the part of law enforcement, mental health agencies, and local government leaders by conducting a strategic planning process to select a law enforcement mental health collaboration (Crisis Intervention Team; CIT, Co-Responder Model, etc.) that will be expected to improve responses to people with mental illnesses and co-occurring substance use disorders. For more information about police–mental health collaboration options, please visit [PMHC Toolkit](#). Teams consisting of police, local government, and mental health organization leadership will receive intensive technical assistance, including a mandatory in-person strategic planning session, to conduct a comprehensive assessment of current policies, practices, and resources available to respond to this population. Agencies and their partners will select and design the best model approach for growing an agency and community-wide strategy to improve police and community responses to people with mental health and co-occurring disorders. Agencies will be provided practical and actionable written guidance, drawn from the successful experiences of law enforcement, to design their police–mental health collaboration strategy. The main grant deliverable includes an action plan encompassing such elements as the commitment of leadership; collaboration with behavioral health agencies; written policies and procedures; necessary police and mental health resource allocations; training curricula and practices (including what percent of the force is trained, how to select who receives training, training for calltakers/dispatchers, etc.); staffing and performance evaluations; and the use of data for performance and outcomes measurement.

**Allowable Use of Funds for Strategic Planning for Law Enforcement and Mental Health Collaboration (Category 2):**

During the planning period, Category 2 grantees must complete a Police Mental Health Collaboration Action Plan. Grant funds may be used to support the following allowable activities:

- Personnel costs related to a police–mental health coordinator position to lead and coordinate a review and planning process.
- Consultant services to assist with improving data and performance measurement systems/processes; revising policies and procedures; improving staff performance evaluations; or delivering trainings.
- Conducting a local evaluation of an existing police–mental health collaboration, such as a Crisis Intervention Team or Mobile Crisis Team. Priority consideration will be given to grantees that include evaluation as a program component (see “**Priority Considerations**” section).
- Law enforcement consultant services to assist with:
  - the assessment and review of data related to calls for service.
  - the assessment of written policies and procedures related to response.



- the assessment of current practices in information systems and communications.
- the review of agency training curricula, delivery and peer support.
- Meeting expenses related to planning.
- Travel costs to attend the Mandatory Strategic Planning Session.
- Travel costs related to visiting approved law enforcement–mental health learning sites for peer-to-peer learning or approved conferences to further develop the strategy (e.g., JMHCP, CIT, etc.).

### **Category 3: Implementation and Expansion Competition ID: BJA-2017-12123**

Category 3 grants can be used to implement an already initiated plan or expand upon (or improve) a well-established collaboration plan between justice and mental health partners. Grant funds may be used to support a combination of the allowable use categories below, or be concentrated on one specific category. Any of the following examples of allowable uses of grant funds may be combined with one another, or may be combined with an evaluation component, which would receive priority consideration (see “**Priority Considerations**” section). Category 3 grants can support law enforcement response programs; court-based initiatives such as mental health courts, pretrial services, and diversion/alternative prosecution and sentencing programs; treatment accountability services; specialized training for justice and treatment professionals; corrections/community corrections initiatives; transitional and reentry services; treatment; and non-treatment recovery support services coordination and delivery including case management, housing placement and supportive housing, job training and placement, education, primary and mental health care, and family supportive services. Grantees will receive technical assistance through written guidance and review of their implementation/expansion strategy. They will be required to complete and submit a Planning and Implementation Guide<sup>4</sup> (to be provided by the BJA TTA provider) that reflects the program being implemented.

### **Completion and Submission of the Planning and Implementation Guide**

Grantees will receive intensive technical assistance and will be allowed to access up to \$100,000 of the total grant award in order to complete and submit a required Planning and Implementation Guide provided by the BJA TTA provider, which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. Program budget approval and coordination with a technical assistance coordinator is required to complete and submit a Planning and Implementation Guide.

Law enforcement agencies that apply under Category 3 must demonstrate a track record of collaboration or partnership with community mental health agencies.

Law enforcement applicants must demonstrate in the narrative:

- A written action plan describing areas needing improvement or enhancement based on a comprehensive review/assessment.
- An executed memorandum of understanding or other similar written agreement between the law enforcement agency and one or more behavioral health partners outlining the terms of their partnership and collaboration.
- A description of training curricula and in-service training regarding behavioral health.

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<sup>4</sup> A [Planning and Implementation Guide](#) has been developed for grantees that will direct and assist with training and technical assistance. We encourage all applicants to use the guide as a resource when crafting the project design and implementation section of the application.

- A letter or document indicating the commitment of leadership from the law enforcement agency and/or local officials to carry out this plan.
- The availability of data and capacity to measure:
  - Number or rates of arrest among people with mental health needs/co-occurring disorders.
  - Diversion from jail for people with mental health needs/co-occurring disorders.
  - Referrals or hand-offs of people with mental health needs/co-occurring disorders to behavioral health or services providers.
  - Number or rate of incidents involving the use of force involving people with mental health needs/co-occurring disorders.
  - Number or rates of injuries to officers or citizens for incidents involving people with mental health needs/co-occurring disorders.

**Allowable Uses for Implementation and Expansion (Category 3):**

After completion and BJA approval of the Planning and Implementation Guide, grant funds may be used to support any one or combination of the following allowable activities:

**a. Training for criminal justice, mental health, and substance use treatment personnel**

Training strategies may include, but are not limited to, a combination of the following:

- Training programs that offer specialized and comprehensive training for law enforcement personnel in procedures to identify and respond appropriately to incidents in which the unique needs of individuals with mental disorders are involved, such as Crisis Intervention Team training.
- Training staff, including supervising officers, to provide highly specialized and skilled evidence-based services targeting mental health and criminogenic needs.
- Cross-system training programs for law enforcement, corrections-based staff, courts personnel, community supervision personnel, and community-based mental health and substance use providers. Training programs should be designed to facilitate collaboration and enhance competency of personnel working with individuals with mental disorders involved in the criminal justice system. Training areas may include behavioral health and criminogenic risk and needs, case management, trauma-informed care, crisis responses, integrated treatment and supervision strategies, and improving access to treatment and supportive services.
- Training for judges and attorneys on recognizing indications of mental health need, being familiar with different screening/assessment options and dispositional options that are available to create linkages to community-based care and supervision, and understanding the collateral consequences of justice involvement for people with mental illnesses (e.g., breaks in care and suspension/loss of benefits).

**b. Enhance Access to Community-Based Healthcare Services and Coverage**

Plan and implement strategies for increasing access to healthcare, including behavioral health treatment, for populations that are anticipated to reduce recidivism and costs associated with detention and incarceration. Strategies include:

- Strengthening partnerships among criminal justice, health, and behavioral health partners (e.g., corrections, local Medicaid offices, local healthcare providers, navigators at health insurance marketplaces, local Federally Qualified Health

Centers [FQHCs] and public health departments) to better identify and enroll people in coverage.

- Developing a process to determine status of coverage, identify individuals who are eligible and not currently enrolled, and institutionalize the enrollment of eligible individuals in some form of healthcare coverage, including improving access to other related benefit programs such as Social Security (OASDI and SSI/SSDI) and VA benefits.
- Developing information systems within and across criminal justice and behavioral health treatment agencies to facilitate sharing of information, make eligibility determinations, and ensure direct connections to healthcare services in the community.
- Incorporating health literacy into pre-release planning.
- Providing guidance on the applicability of the 'individual mandate' for the criminal justice population. The 'individual mandate' as set by the Patient Protection and Affordable Care Act requires individuals to secure healthcare coverage or be subject to a federal tax.
- Identifying options and exclusions under Medicaid and private coverage relating to court-mandated treatment.
- Collaborating with state Medicaid agencies to address policies relating to Medicaid managed care enrollment and suspending and/or terminating Medicaid benefits during incarceration.

### **c. Law Enforcement Responses**

These responses include implementing or expanding police–mental health law enforcement strategies that are tailored to the needs of people with mental disorders. This may include, but is not limited to, a combination of the following:

- Developing specialized receiving or diversion centers for individuals in custody of law enforcement to assess for suicide risk and mental health or co-occurring mental health and substance use treatment needs, and refer to or provide appropriate evaluation or treatment services.
- Developing or enhancing computerized information systems to provide timely information to law enforcement and other criminal justice system personnel to improve the response to incidents involving people with mental disorders and co-occurring substance use disorders, which foster the systematic analysis of incidents involving people with mental disorders and co-occurring substance use disorders.
- Developing or expanding law enforcement–mental health programs such as co-responder programs or Crisis Intervention Teams for responding to incidents involving people with mental disorders and co-occurring substance use disorders, in which law enforcement and mental health professionals collaborate to make decisions that balance the needs of individuals with mental disorders with public safety.
- Conducting a local evaluation of an existing specialized response program, such as a Crisis Intervention Team, based on the components under “Program Evaluation.”

Any applicant who chooses to incorporate law enforcement responses into their program design should begin with a systematic analysis of available data on law enforcement calls for service and dispositions, as well as data about mental health crisis response activities, to ensure that programming decisions are responsive to current service demands and consistent with resources. Additionally, law enforcement-focused

applicants are strongly encouraged to secure equal engagement and commitment for the proposed project from the local mental health authority and/or community of treatment providers.

Implementation and Expansion law enforcement grantees must demonstrate readiness through a written improvement plan encompassing the following areas: the commitment of leadership; collaboration with behavioral health agencies; written policies and procedures; training curricula and practices; staffing and performance evaluations; and the use of data for performance and outcomes measurement.

**d. Diversion and Alternative Sentencing**

Develop collaborative responses to identify individuals with mental disorders or co-occurring mental and substance use disorders as close to the time of initial detention as possible; maximizing diversion opportunities through pre-trial and court-based programs, and developing, expediting, and coordinating linkages to treatment and other services. Responses may include, but are not limited to, a combination of the following:

- Developing mental health courts or other specialized court-based programs.
- Developing systematic screening, assessment, and information sharing processes at early court processing stages to identify individuals with mental disorders or co-occurring mental substance use disorders in order to appropriately inform decisionmaking and prioritize limited resources and identify needed capacity. (*Information sharing is a priority consideration.*)
- Developing or enhancing diversion opportunities, which could include:
  - Pretrial release with specialized supervision and treatment.
  - Alternative prosecution and sentencing options (e.g., alternative to detention and incarceration programs).
- If there is a case management and direct service component to the diversion and alternative sentencing program, please follow the expectations outlined under “Case Management and Direct Services” below.

**e. Correctional Facility Grants**

Improve the capacity of a correctional facility (jail, prison, or other detention facility used to house people who have been arrested, detained, held, or convicted by a criminal justice agency or court) to:

- Identify and screen for eligible inmates.
- Plan and provide initial and periodic assessments of the clinical, medical, and social needs of inmates.
- Develop, implement, and enhance post-release transition plans for eligible inmates that, in a comprehensive manner, coordinate health, housing, medical, employment, and other appropriate services and public benefits.
- Develop, implement, and enhance the availability of mental health care services and substance abuse treatment services within correctional facilities.
- Develop, implement, and enhance alternatives to solitary confinement and segregated housing and mental health screening and treatment for inmates placed in solitary confinement or segregated housing.
- Administer training to correctional facility employees to identify and appropriately respond to inmates with mental health or co-occurring mental health and substance abuse disorders.

**f. Community Supervision Strategies**

Focus on probation and other community supervision agencies that are developing and cultivating new relationships with community mental health and substance use providers to develop and implement effective responses to individuals with mental disorders. This may include, but is not limited to, ensuring supervisees are receiving appropriate mental health services in the community and prioritizing caseloads to create a focus on mental health for people on community supervision with more significant mental health needs and higher risk of reoffending.

- For any applicant that chooses to incorporate community supervision strategies into their program design, a criminogenic risk/need assessment must be completed for all program participants. This risk/need assessment, in conjunction with behavioral health needs assessments, should inform the types of services to provide and the intensity of supervision for this population.
- In addition, access to healthcare services and coverage as mentioned above should be prioritized, such as information sharing within and across criminal justice and behavioral health treatment agencies to make eligibility determinations, and ensure direct connections to healthcare services in the community. (*Information sharing is a priority consideration.*)

**g. Case Management and Direct Services**

Focus on mental health and other treatment providers who are working to tailor their evidence-based practices to address the needs of individuals with mental illnesses or co-occurring mental and substance use disorders. These treatment providers may be coordinating with a law enforcement, court, or corrections agency as part of a larger initiative that involves the allowable uses listed above. Direct services include mental health treatment, co-occurring mental and substance use disorder treatment, interventions to address criminogenic needs, and other supports including housing, supported employment, and supported education programs that are appropriate for individuals with mental illness. Applicants providing mental health treatment directly or through referral, including Diversion and Alternative Sentencing programs, are strongly encouraged to use evidence-based or promising mental health treatment practices shown to improve clinical outcomes for people with serious mental disorders.<sup>5</sup> For any applicant that chooses to incorporate case management and direct services into their program design, the following expectations must be met:

- The case plan and treatment referrals must be informed by criminogenic risk/need, mental health, and substance use screening and assessment tools. If the lead service provider is not a dedicated mental health agency, the service provider must work in concert with dedicated mental health professionals to ensure case

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<sup>5</sup> OJP's CrimeSolutions.gov website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services; See also The National Registry of Evidence-Based Programs and Practices (NREPP), a searchable database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. Being included in NREPP or CrimeSolutions.gov does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances. Applicants must document that the selected practice is appropriate for the specific target population and purposes of your project.

management and treatment plans effectively meet the mental health needs of the target population.

- The lead agency that is serving in a case management role and making referrals to services must put mechanisms in place (e.g., memorandum of understanding [MOU]/contractual language) to ensure that the service provider delivers evidence-based treatment models that are tailored to meet the assessed mental health, substance use, and criminogenic needs of the target population.
- Community-based treatment providers or other agencies providing or coordinating the delivery of services to the target population must have interagency guidelines (e.g., MOUs) in place with a corrections partner to access criminogenic risk/need assessment information.

### **Applicant References:**

#### **Program Evaluation**

Program Evaluation is critical to the effectiveness and utility of JMHCP programs, as evaluation not only determines which programs are most effective for which populations, but also contributes toward the expansion of the knowledge base of what programs have the highest likelihood for success in lowering recidivism and improving public health outcomes. BJA strongly urges applicants to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluation. One resource that applicants may be interested in using is the e-Consortium for University Centers and Researchers for Partnership with Justice Practitioners. The purpose of this e-Consortium is to provide a resource to local, state, federal, and other groups who seek to connect to nearby (or other) university researchers and centers on partnerships and projects that are mutually beneficial to the criminal justice community. The e-Consortium can be found online at [www.gmuconsortium.org](http://www.gmuconsortium.org).

#### **Risk-Need-Responsivity Principle**

Current research supports the “Risk-Need-Responsivity” (RNR) model for how criminal justice authorities should be identifying and prioritizing individuals to receive appropriate interventions<sup>6</sup>. BJA intends to fund programs that have a demonstrated evidence base and that are appropriate for the target population. Applicants should incorporate the following evidence-based practices in the development or enhancement of their client-based programs:

##### **1. Screening and Assessment Tools**

Use validated screening and assessment tools that have a demonstrated evidence base and that are appropriate for the target population.

Screening and Assessment Resources:

- [Screening and Assessment of Co-Occurring Disorders in the Justice System](#)—Provides an overview of screening and assessment of persons with co-occurring disorders involved in the criminal justice system and includes an extensive list of screening and assessment instruments for different target populations.

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<sup>6</sup> See The Council of State Governments Justice Center, “Adults with Behavioral Health Needs under Correctional Supervision: A Shared Framework for Reducing Recidivism and Promoting Recovery” available at [www.csjjusticecenter.org/mental-health-projects/behavioral-health-framework/](http://www.csjjusticecenter.org/mental-health-projects/behavioral-health-framework/) for a thorough discussion of the RNR principle and how it should be applied to the justice-involved population with mental disorders.

- [Mental Health Screening within Juvenile Justice: The Next Frontier](#)—Provides an overview of new issues and offers policy clarification on mental health screening in the juvenile justice system.
- [Brief Jail Mental Health Screen](#)—Booking tool developed by the University of Maryland School of Medicine and Policy Research Associates to screen incoming detainees in jails and detention centers for the need for further mental health assessment.

## 2. Providing Interventions that Address Criminogenic Need

Tailor treatment interventions to individuals' specific criminogenic and behavioral health needs to improve public safety and public health outcomes. Criminogenic needs are risk factors closely associated with offending behavior and to which targeted interventions are responsive. Criminogenic risk and needs factors include history of anti-social behavior, anti-social personality pattern, anti-social cognition, anti-social associates, unsupportive relationships with family and/or spouse, especially in regard to refraining from criminal activity, underperforming and lacking motivation in school and/or work, lacking in non-criminal leisure and/or recreation activities, and substance use.

## 3. Mental Health Treatment Services

Provide mental health treatment practices that have a demonstrated evidence base and that are appropriate for the target population. The following evidence-based mental health treatment practices have been shown to improve clinical outcomes for people with serious mental illnesses:

- [Assertive Community Treatment \(ACT\)](#)
- [Illness Management and Recovery \(IMR\)](#)
- [Integrated Mental Health and Substance Abuse Services](#)
- [Supported Employment \(SE\)](#)
- [Psychopharmacology](#)

Other promising practices:

- [Forensic ACT \(FACT\)](#)
- [Cognitive Behavioral Therapy \(CBT\)](#)

Applicants can also find information on evidence-based 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. Please note that SAMHSA's *Guide to Evidence-Based Practices* also references the National Registry of Evidence-Based Programs and Practices (NREPP), a searchable database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. *Being included in NREPP, or in any other resource listed in the Guide, does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances.* Applicants must document that the selected practice is appropriate for the specific target population and purposes of your project.

## 4. Housing, Supported Employment, and Supported Education

Utilize other evidence-based practices based on the needs of the target population. [Supported Employment](#) is an evidence-based practice that is designed to help the individual find and keep competitive work. [Housing programs](#) for persons with mental illness should take into consideration the demands of the criminal justice system and ensure that a range of options are available. Supported Education interventions have also been found to be a promising practice. The Center for Psychiatric Rehabilitation at Boston University has developed the [Higher Education Support Toolkit](#) that can be used as a resource.

### **Priority Considerations**

#### **1. For Category 1: Large Urban Counties or Rural Counties in Partnership with Neighboring Counties or States**

Large urban counties face unique challenges in implementing universal screening and assessment for criminogenic risk and need for all individuals suspected of having a mental disorder. Similarly, rural counties face a different set of unique challenges in providing universal screening and assessment based on limited resources spread across a vast geographic area. Both large urban and rural counties are encouraged to apply under Category 1 to devise programs that will address these challenges with the same end goal for both: universal screening and assessment for all jail inmates suspected of a mental disorder and the use of the information gathered to inform pretrial decisionmaking.

#### **2. For Category 1: Counties with a Demonstrated Commitment to Reducing the Prevalence of People with Mental Illness in Jail**

Counties that can demonstrate commitment and capacity to reduce the prevalence of people with mental illness in the county jail, such as through participation in the Stepping Up Initiative or other reasonable means.

#### **3. Program Evaluation**

Program Evaluation is critical to the effectiveness and utility of JMHCP programs, as evaluation not only determines which programs are most effective for which populations, but also contributes toward the expansion of the knowledge base of what programs have the highest likelihood for success in lowering recidivism and improving public health outcomes. BJA strongly urges applicants to consider a partnership with a local research organization that can assist with data collection, performance measurement, and local evaluation.

#### **4. Provision of Services for Justice System-Involved Females**

Consistent with the Mentally Ill Offender Treatment and Crime Reduction Reauthorization and Improvement Act of 2008 ([Sec. 3 \(c\)\(2\)](#)), priority will be given to applications that promote effective strategies for identification and treatment of justice system-involved females with mental illness or co-occurring mental health and substance abuse disorders.

#### **5. Information sharing between criminal justice agencies and community behavioral health services**

Developing information systems within and across criminal justice and behavioral health treatment agencies to facilitate the sharing of information creates and promotes the delivery of timely information for both law enforcement and mental health services to make appropriate decisions that are inclusive of one another for people with mental health and co-occurring substance use disorders.

### **Service Provision Considerations**



Applicants are encouraged to take into consideration additional targeted responses when making decisions about the appropriate service response for justice-involved individuals with mental illnesses:

- **Trauma-Informed Care (TIC)** is the framework for the practice of implementing trauma screening, assessment, and recovery support. Within the TIC framework, services are organized and delivered in a manner that meets the unique needs of consumers who have survived traumatic events, and safety, as identified by the service recipient, is the primary concern. The practice approach emphasizes the consumer empowerment and the consumer as driver of services, adopts universal precautions in asking about trauma, builds organizational capacity and knowledge of TIC through ongoing training, and policy review to ensure “do no harm” practices. For more information, visit SAMHSA’s [National Center for Trauma-Informed Care](#).
- **Co-occurring disorders** are prevalent in many behavioral health settings and program planning should address how to treat the co-occurring disorders. Applicants can find additional information on evidence-based practices for people with mental illnesses or co-occurring disorders on SAMHSA’s website: <https://www.samhsa.gov/disorders/co-occurring> and on the Center for Mental Health Services’ National GAINS Center website: [www.samhsa.gov/gains-center](http://www.samhsa.gov/gains-center)

### **Target Population Requirements**

Current research points toward the “Risk-Need-Responsivity” (RNR) model for how corrections and judicial authorities should be identifying and prioritizing individuals to receive appropriate interventions (see pages 14 and 15 for additional information). When prioritizing individuals with behavioral health needs involved with the justice system for scarce programming and treatment resources, priority should be given to those at higher risk for recidivism and higher criminogenic need as determined by validated actuarial risk and need assessment.

Per the 21st Century Cures Act (§ 14028 (a)(2)(9)), grant funds must be used to support a target population that includes adults or juveniles who:

- Have been diagnosed as having a mental illness or co-occurring mental health and substance abuse disorders or manifest obvious signs of mental illness or co-occurring mental illness and substance abuse disorders during arrest or confinement or before any court;
- Have been unanimously approved for participation in a program funded under this solicitation by (as appropriate) the relevant prosecuting attorney, defense attorney, probation or corrections official, judge, and a representative from the relevant mental health agency, having been determined by each of these relevant individuals to not pose a risk of violence to any person in the program, or the public, if selected to participate in the program; and
- Have not been charged with or convicted of any sex offense (as defined at 42 U.S.C. §16911) or any offense relating to the sexual exploitation of children, or murder or assault with intent to commit murder.

For court-based programs, in addition to the requirements listed above, in determining a defendant’s eligibility for participation in a program funded under this solicitation, the relevant

prosecuting attorney, defense attorney, probation or corrections official, judge, and mental health or substance abuse agency representative shall take into account the following considerations (1) whether the participation of the defendant in the program would pose a substantial risk of violence to the community <sup>7</sup> (2) the criminal history of the defendant and the nature and severity of the offense for which the defendant is charged, (3) the views of any relevant victims to the offense, (4) the extent to which the defendant would benefit from participation in the program, (5) the extent to which the community would realize cost savings because of the defendant's participation in the program, and (6) whether the defendant satisfies the eligibility criteria for program participation unanimously established by the relevant prosecuting attorney, defense attorney, probation or corrections official, judge and mental health or substance abuse agency representative.

All programs should have clear and transparent eligibility requirements and accept any individual who meets those requirements after they have been screened for criminogenic risk and mental health need.

Applicants may review [Pub. L. 108-414](#) and [Pub. L. 110-416](#) for supporting information related to this solicitation.

**Please note:** While co-occurring mental and substance use disorders are common in this population, applicants should **not** work with a substance use population only. JMHCP funds are intended for use with a population with mental disorders only or co-occurring mental and substance use disorders. Applicants must justify in the proposal the reason(s) for selecting their identified target population and should provide data on the needs of the target population to support this selection. In addition, applicants must specify the total number of individuals the project expects to serve during the grant period and provide evidence demonstrating this figure is achievable.

The Goals, Objectives and Deliverables are directly related to the performance measures set out in the table 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

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<sup>7</sup> The risk of potential violence is not related to the risk of recidivism but to other variables, such as a pattern of making written or verbal threats, a pattern of physical altercations, and other behaviors that are in and of themselves unrelated to whether someone is at a higher risk of general recidivism.

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](http://CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

The Goals, Objectives, and Deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

## **B. Federal Award Information**

BJA estimates that it will make up to 78 awards for an estimated total of \$7,400,000. BJA expects to make no more than 10 awards for Category 1, 40 awards in Category 2, and 8 awards in Category 3. Specific award amounts and performance periods, which should begin on October 1, 2017, are identified below.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, 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: COLLABORATIVE COUNTY APPROACHES TO REDUCING THE PREVALENCE OF INDIVIDUALS WITH MENTAL DISORDERS IN JAIL. Grant amount: Up to \$200,000. Project period: 24 months. Competition ID: BJA-2017-11381**

**CATEGORY 2: STRATEGIC PLANNING FOR LAW ENFORCEMENT AND MENTAL HEALTH COLLABORATION. GRANT AMOUNT Up to \$75,000. Project period: 12 months. Competition ID: BJA-2017-11382**

**CATEGORY 3: IMPLEMENTATION AND EXPANSION. GRANT AMOUNT Up to \$300,000. Project period 24 months. Competition ID: BJA-2017-12123**

### **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>8</sup>) must, as described in the Part 200 Uniform Requirements<sup>9</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 sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

### **Budget Information**

Applicants for Categories 1 and 3 must explain their inability to fund the collaboration program adequately without Federal assistance; specify how the Federal support will be used to supplement, and not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available, including billing third-party resources for services already covered; and outline plans for obtaining necessary support to continue the proposed collaboration program following federal support.

### **Unallowable Uses for Award Funds**

In addition to the unallowable costs identified in the Financial Guide, award funds may not be used for:

- Prizes/rewards/entertainment/trinkets (or any type of monetary incentive)

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<sup>8</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>9</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.

- Client stipends
- Gift cards
- Vehicles
- Food and beverage unless prior approval is obtained from the programs' office.

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

**Cost Sharing or Match Requirement (cash or in-kind)**

Federal funds awarded under this program may not cover more than 80 percent of the total costs of the project being funded. An applicant must identify the source of the 20 percent non-federal portion<sup>10</sup> of the total project costs and how it will use match funds. If a successful applicant's proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. ("Match" funds may be used only for purposes that would be allowable for the federal funds.) Recipients may satisfy this match requirement with either cash or in-kind services. See the [DOJ Grants Financial Guide](#) for examples of "in-kind" services. The formula for calculating the match is:

$$\frac{\text{Federal Award Amount}}{\text{Federal Share Percentage}} = \text{Adjusted (Total) Project Costs}$$

$$\text{Required Recipient's Share Percentage} \times \text{Adjusted Project Cost} = \text{Required Match}$$

**Example:** 90%/10% match requirement: for a federal award amount of \$500,000, calculate match as follows:

$$\frac{\$500,000}{90\%} = \$555,555 \quad 10\% \times \$555,555 = \$55,555 \text{ match}$$

**Example:** 75%/25% match requirement: for a federal award amount of \$350,000, calculate match as follows:

$$\frac{\$350,000}{75\%} = \$466,667 \quad 25\% \times \$466,667 = \$116,667 \text{ match}$$

**Example:** 50% match requirement: for a federal award amount of \$350,000, calculate match as follows:

$$\frac{\$350,000}{50\%} = \$700,000 \quad 50\% \times \$700,000 = \$350,000 \text{ match}$$

**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.

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<sup>10</sup> Indian tribes and tribal organizations that otherwise are eligible for an award may be able to apply certain types of funds received from the federal government (for example, certain funds received under an Indian "self-determination contract") to satisfy all or part of a required "non-federal" match.

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](#) 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>11</sup> The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). 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, this 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, as well as some conference, meeting, and

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<sup>11</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.

training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

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

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

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see the 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 elements, 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: Program Narrative, Budget Detail Worksheet, and Budget Narrative. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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. Current OJP award recipients, when completing the field for "Legal Name" 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. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 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 should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its applications (e.g., articles of incorporation, 501C3, etc.) to confirm the legal name, address, and EIN entered into the SF-424.

**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 less. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.
  
- ❖ The abstract must clearly identify the funding category; 1. Collaborative County Approaches to Reducing the Prevalence of Individuals with Mental Disorders in Jail, 2. Strategic Planning for Law Enforcement and Mental Health Collaboration, or 3. Implementation and Expansion)
- ❖ It must Identify if a priority consideration will be addressed in the application such as; the location to be served is urban or rural county, the county has a demonstrated commitment to reducing the prevalence of people with mental illness in its jails, a program evaluation is part of the proposal, the program serves justice-involved females, and/or the program includes an information-sharing component. (Priority considerations are addressed on page 18.)
- ❖ It must Include the specific allowable use of funds listed under the category for which the applicant is applying (pages 7-15); the names of the lead applicant and the partner applicant (justice and mental health agencies); if applicable, the target population and the proposed number of individuals the applicant plans to serve; the jurisdiction's population and demographic characteristics; a brief description of how the applicant plans to address the problem; and, the amount of federal funding requested.



**For all categories, please also indicate in the Project Abstract whether the applicant is a previous recipient of JMHCP grant funds and include the award number.**

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).

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

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

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

### **3. Program Narrative**

The program narrative must respond to the solicitation and the Selection Criteria (1–5) in the order given. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and must not exceed **10** pages. Please number pages "1 of 15," "2 of 15," 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>12</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

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<sup>12</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](#).

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see “[General Information about Post-Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables" in [Section A. Program Description](#).

Post award, recipients will be required to submit quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT), located at [www.bjaperformancetools.org](http://www.bjaperformancetools.org). Applicants should review the complete list of Justice and Mental Health Collaboration Program performance measures (for Categories 1, 2 and 3) at: <https://www.bjaperformancetools.org/help/JMHCPMeasuresPlanning2016.pdf>. It should be noted that this questionnaire will be revised prior to reporting in January 2018. The revised version will be made available prior to reporting.

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under “Data Recipient Provides,” should it receive funding.

Objectives	Catalog ID	Performance Measure	Data Grantee Provides
<b>Objective 1</b> To safely reduce the prevalence of individuals with mental disorders in local jails	257	Number of planning activities conducted	<b>For the current reporting period:</b> Number of completed planning activities
	582	Percentage of grantees using data to inform local decision-making	Indicate whether your agency/organization used analysis to inform JMHCP activities by activity type
	630	Number of activities informed by analysis	Indicate by type, the data sources used for the analysis of JMHCP activities
	512	Percent of grantees reporting <u>positive</u> impact of program  Percent of grantees reporting a <u>negative</u> impact of program  Percent of grantees reporting a <u>neutral</u> impact of program	<b>Baseline data provided by BJA</b> Baseline: Number of grantees (Data provided by BJA)  List of quantitative measures tracked to determine impact  Impact of response on problem area of focus (positive, negative, or neutral)
	393	Percentage of law enforcement grantees with staff trained in evidence based models	Number of mental health professionals trained in specialized police responses  Number of sworn personnel trained to appropriately respond to a mental health crisis

	27	Percentage of mental health calls for service responded to by a specialty trained officer	Number of mental health calls for service Of those, the number that were responded to by a specialty trained officer
	554	Percentage of people receiving a field assessment or screening by a specialty trained officer	Number of people who received a field assessment or screening for mental illness Of those, number of field assessments or screening given by a specialty trained officer.
	631	Percentage of people involved in a mental health incident diverted from jail and received a different outcome (by disposition type)	Number of people involved in a mental health related incident Number of people diverted from jail and received a different outcome (disposition type)
<b>Objective 2</b> To conduct a comprehensive agency or program assessment of policy and practice and practice and design a model approach to improve police and community responses to people with mental health and co-occurring disorders	410	Percentage of grantees that submit an action plan	<b>For the current reporting period:</b> Baseline: Number of grantees (Data provided by BJA) Delivery of an action plan encompassing the following: <ul style="list-style-type: none"> <li>• The commitment of leadership;</li> <li>• collaboration with behavioral health agencies;</li> <li>• written policies and procedures;</li> </ul>

			<ul style="list-style-type: none"> <li>necessary police and mental health resource allocations;</li> <li>training curricula and practices;</li> <li>staffing and performance evaluations; and</li> <li>the use of data for performance and outcomes measurement</li> </ul>
	458	Percentage of grantees providing training to staff	Baseline: Number of grantees (Data provided by BJA)
	7	Percentage of grantees receiving technical assistance	Indicate whether your agency/organization provided training to staff  Indicate whether your agency/organization received technical assistance from a BJA-funded TTA provider
	242	Percentage of grantees with partners that are actively involved in the program	Baseline: Number of grantees (Data provided by BJA)  Indicate your partner's level of active involvement rated on a 1-5 scale
<b>Objective 3</b> To implement or expand upon well-established mental health and justice system collaboration strategies that address the needs of individuals with mental health disorders and improve public safety	410	Percentage of grantees that submit a Planning and Implementation Guide	For the current reporting period:  Baseline: Number of grantees (Data provided by BJA)  Submit a Planning and Implementation Guide
	458	Percentage of grantees providing training to staff	Indicate whether your agency/organization provided training to staff
	429	Percentage of eligible individuals with a mental health disorder that receives services	Number of new individuals eligible to receive services  Of those, the number that receive services
	236	Total number of participants served	Total number of participants receiving services
	55	Percentage of grantees that assess participants using a validated risk/needs assessment	Baseline: Number of grantees (Data provided by BJA)  Indicate whether the program assesses participants using a validated risk/needs assessment  Number of participants assessed as:

554	Number of participants who received a risk/need assessment	Low Risk/Need Moderate risk/need High risk/need  Number of participants receiving services by type of service
624	Percentage of participants referred for services that received those services (by type)	Number of participants who received employment services
302	Percentage of program participants receiving employment services who are employed	Number of participants who obtained employment  Number of participants who received educational services
238	Percentage of participants receiving educational services who obtained their GED, High school diploma, vocational certificate, or higher degree	Number of participants who obtained their GED, High school diploma, vocational certificate, or higher degree
433	Percentage of participants receiving housing services who have obtained housing	Number of participants receiving housing services  Number of program participants
239	Percentage of participants who successfully completed the program	Number of participants who left the program successfully  Baseline: Number of grantees (Data provided by BJA)
661	Percentage of grantees providing target population with assistance in obtaining health care coverage	Indicate whether the program provided participants with assistance in obtaining health care coverage  Number of program participants found to be eligible for health care coverage
662	Percentage of target population enrolled in a health care plan	Of those eligible participants, the number enrolled in a health care insurance/benefits plan

### 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](#)" web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017," available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that web page.

e. Plan for Measuring Program Success to Inform Plan for Sustainment

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

##### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

##### **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.

**Additional budget requirements:**

- For all applicants, include funding to support attendance to a grantee orientation meeting. Plan for up to four staff to attend the meeting and participants should include a representative from the criminal justice partner, a representative from the mental health partner, and staff responsible for the management of the grant. For cost estimates, plan for this to be a 2-day meeting in Washington, D.C.
- For all applicants, include the amount and source of matching funding (see page 20).
- For applicant categories 1 and 2, additional travel costs should be included to attend a BJA-sponsored strategic planning meeting. Plan for at least three staff to attend a 3-day meeting in Washington, DC.
- Category 1 and 3 applicants must set aside an adequate amount of funding to implement a data collection plan. The plan should be described in the program narrative under Selection Criteria 4.
- Category 1 and 3 applicants should structure their budgets to accommodate only a percentage of funds being available during the planning stage with the remainder to be released upon approval of a Planning and Implementation Guide.

**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 -- for purposes of federal grants administrative requirements -- a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

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.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

## **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 application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as 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. 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. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

**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 (that is, 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 (that is, 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 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 <http://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.)

**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.

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

**Every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

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 \(SF-LLL\)](#). 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. Timeline**

Include a comprehensive timeline that identifies milestones, numerically listed deliverables, and who is responsible for each activity (provide title and agency).

### **b. Position Descriptions and Résumés**

Include position descriptions and résumés for key project personnel.

### **c. Letters of Support/Memoranda of Understanding**

Successful Category 1 applicants must establish a team (or utilize a pre-existing team) of county leaders and decisionmakers from multiple agencies to engage in the project, and must submit documentation in the form of a Memorandum of Understanding,

resolution, Memorandum of Agreement, or an equivalent document clearly documenting the express commitment of all the team members that they commit to full participation in good faith.

Successful Category 2 applicants must have a memorandum of understanding or other similar written agreement between the law enforcement agency and one or more behavioral health partners initiated, with a plan to be finalized. It should outline the terms of their partnership and the extent of their collaboration.

**d. A letter or document indicating the commitment of law enforcement leadership**

For law enforcement applicants in Category 2 and 3 proposing to plan, implement, or expand improved responses to people with mental illness, a letter must be attached stating the following commitment of agency leadership, who agrees to:

- The assessment and review of data related to calls for service.
- The assessment of written policies and procedures related to police response to individuals with mental illness.
- The assessment of current practices in information systems and communications.
- The review of agency training curricula, delivery, and peer support.

**e. Applicant Disclosure of Pending Applications**

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

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
<b>SAMPLE</b>		

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 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 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 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.

#### **g. Disclosure of Process Related to Executive Compensation**

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (in the "OJP Financial Management and System of Internal Controls Questionnaire" mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the

applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the Internal Revenue Service for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

**Please clearly label all attachments so that they are identified by the bold headings above.**

### **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 [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation 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. 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. Please ensure that all required documents are attached in either Grants.gov category.

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

**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:

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. If an applicant entity has not fully complied with 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.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

- 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.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. 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 [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.



- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. 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.

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 [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-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") number for this solicitation is 16.745, titled "Criminal and Juvenile Justice and Mental Health Collaboration Program" and the funding opportunity number is BJA-2017-11380.
- 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: Collaborative County Approaches to Reducing the Prevalence of Individuals with Mental Disorders in Jail Competition ID: BJA-2017-11381.**

**Category 2: Strategic Planning for Police and Mental Health Collaboration Competition ID: BJA-2017-11382.**

**Category 3: Implementation and Expansion Competition ID: BJA-2017-12123.**

- 7. 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 April 4, 2017.

Click [here](#) 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](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJA 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](#) web page.**

## E. Application Review Information

### Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

1. Statement of the Problem/Description of the Issue (20%)
2. Project Design and Implementation (40%)
3. Capabilities and Competencies (20%)
4. Plan for Collecting the Data required for this Solicitation's Performance Measures (10%)
5. Plan for Measuring Program Success to Inform Plans for Sustainment (5%)
6. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>13</sup> (5%)

### Selection Criteria

#### 1. Statement of the Problem (20 percent)

All applicants must describe the nature and scope of the problem in the jurisdiction, and provide any local/state data and a trend analysis to support the discussion.

#### Category 1: Collaborative County Approaches to Reducing the Prevalence of Individuals with Mental Disorders

- Identify leaders from the county, criminal justice, and behavioral health systems, as well as state partners, who have demonstrated commitment to this effort via MOU, MOA, resolution, etc.
- Describe the behavioral health treatment capacity in the county to determine existing county needs, also identifying state and local policy and funding barriers that exist to maximize treatment opportunities within the community to minimize contact with the criminal justice system.
- Detail the need to conduct an analysis of the local justice and mental health systems in order to measure the prevalence of individuals with mental disorders and co-occurring substance use disorders in jail in the county. Please include any current policies or practices in place that screen/assess for mental disorders for those involved with the criminal justice system, as well as existing systems and capacities for data analysis. Discuss other initiatives that are underway in the county that demonstrate support for addressing this issue that would be advanced further by conducting this type of analysis.
- Detail the current practices for screening and assessment and how this information is used to inform pretrial decisionmaking (if it is used in this way). If screening and assessment is not widely conducted and/or the data is not utilized in pretrial

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<sup>13</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.

decisionmaking, discuss how pretrial decisions are currently made for individuals with mental and co-occurring substance use disorders in jail in the county.

- Identify the specific challenges that your county is experiencing in providing universal screening and assessment and proper utilization of screening and assessment data for appropriate pretrial decisions.

#### Category 2: Strategic Planning for Law Enforcement and Mental Health Collaboration

- Describe the current response or limitations on collaborative police and mental health responses to people with mental health disorders in the community.
- Describe the current costs associated with people with mental health and co-occurring disorders being over represented in the jail.
- Identify the current channels of communication and information sharing between law enforcement and mental health agencies.
- Detail the current capacity to measure and track key data measures such as mental health calls for service, and formal and informal dispositions of those calls to the criminal justice and behavioral health systems.
- Describe current efforts to track and use data and performance and outcome measurements to improve policies and practices in responding to people with mental health and co-occurring disorders in the community.

#### Category 3: Implementation and Expansion

- Detail the need for the program by describing the problems with the current response to individuals with mental illnesses or co-occurring mental health and substance abuse disorders who come into contact with the justice system and explain how the current response is insufficient to meet the needs of this population.
- Discuss the decisionmaking process involved in selecting the proposed intervention point. Discuss the assessment of existing resources and how gaps in services were identified. Applicants can refer to the [Sequential Intercept Model](#) to describe which intervention point the project will focus on.
- Discuss the related agency programs and services already in place in the community and note any components of the program that may already exist.
- Describe what components will be needed to fully implement the program and why federal funding is required for the proposed program.
- Describe how a comprehensive review/assessment of existing policies, practices, and procedures; training curricula and practices; and data revealed the need to implement a particular strategy.
- Describe the areas needing improvement or enhancement based on a comprehensive review/assessment.
- Provide evidence that community buy-in has begun, through a memorandum of understanding or other similar written agreement between the law enforcement agency and one or more behavioral health partners, but there are remaining gaps in the strategy that could be addressed with additional resources.
- Describe any completed program analyses or evaluations of the program that support the need for expansion. Identify gaps in resources, describe what components will be needed to fully expand the program, and explain why federal funding is required for the expansion of the program.
- Describe the data that has been gathered and the results of the data; indicate the need to implement an agency strategy based on:

- Number or rates of arrest among people with mental health needs/co-occurring disorders.
- Diversion from jail for people with mental health needs/co-occurring disorders.
- Referrals or hand-offs of people with mental health needs/co-occurring disorders to behavioral health or services providers.
- Number or rate of incidents involving the use of force involving people with mental health needs/co-occurring disorders.
- Number or rates of injuries to officers or citizens for incidents involving people with mental health needs/co-occurring disorders.

## **2. Project Design and Implementation (40 percent)**

### Category 1: Collaborative County Approaches to Reducing the Prevalence of Individuals with Mental Disorders in Jail

Applicants should provide a description of how they will complete the required activities listed on pages 6-8 of this solicitation, including:

- Additional stakeholders who will be engaged in the planning process and their relationship to existing local and state policy efforts (e.g., membership of local criminal justice coordinating council).
- Describe the data that are available and needed to conduct an analysis of the prevalence of individuals with mental disorders and co-occurring substance use disorders in the local jail. 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 planning process.
- Detail a proposal for how the grant will be used to build capacity needed to identify and track prevalence rates if that information is not currently available.
- Describe the practices, electronic systems, screening and assessment tools, and other systematic enhancements necessary to implement universal screening and assessment and facilitate the use of screening and assessment data into pretrial decisionmaking, including how the data will inform decisionmaking (e.g., how high-, medium/high-, medium-risk, etc. data will inform program designation and treatment determinations).
- Describe how the planning team will inventory the policies, programs, and services currently in use that may minimize contact or deeper involvement for these individuals in the criminal justice system, and identify gaps.
- Describe the planning team's willingness to use the findings of the planning process to change policies and/or realign existing programs and services to reduce the rate of people incarcerated in jail with mental illness.

In general, applicants should focus on describing the process of conducting a data-driven analysis to develop policy recommendations, adopt these recommendations, including the use of universal screening and assessment, and monitor progress, rather than describing a new program or intervention (such proposals are supported under Category 2).

### Category 2: Strategic Planning for Law Enforcement Mental Health Collaboration

- Describe how the planning team will inventory the policies, programs, and services currently in use for how police respond, and work with mental health to respond, to minimize contact or deeper involvement for these individuals in the criminal justice system, and identify gaps.

- Describe the process the team will use to change policies and/or realign existing budget allocations, programs and services to reduce contact and deeper criminal justice system involvement as appropriate for people with mental illness.
- Articulate how additional stakeholders will be engaged in the planning process and their relationship to existing local policy efforts (e.g., membership of local criminal justice coordinating council).
- Discuss personnel costs related to a police–mental health coordinator position to lead and coordinate a review and planning process.
- Describe any consultant services to assist with improving data and performance measurement systems/processes; revising policies and procedures; improving staff performance evaluations; or delivering trainings.
- Describe any local evaluation of an existing police–mental health collaboration program that will be considered, such as a Crisis Intervention Team, based on the components in “Program Evaluation.”
- Discuss the extent that law enforcement consultant services will assist with:
  - the assessment and review of data related to calls for service.
  - the assessment of written policies and procedures related to response.
  - the assessment of current practices in information systems and communications.
  - the review of agency training curricula, delivery, and peer support.
- Articulate how meeting expenses related to planning will be projected; describe what the planning meeting agenda will contain and who will attend.
- Confirm the applicant understands that part of this grant-funded effort will include a mandatory multi-day strategic planning session to include a senior representative from the law enforcement agency, the mental health agency, and the local government.
- Describe the travel costs related to visiting an approved law enforcement–mental health learning site(s) for peer-to-peer learning or approved conferences (e.g., JMHCP, CIT, etc.) and how will this help design the strategy.

### Category 3: Implementation and Expansion

Discuss the efforts that have been made to date in planning for the program. Describe the proposed program implementation or expansion and the project’s purpose, goals, and objectives. Applicants should provide a thorough description of which of the allowable uses of funds on pages 10-14 they plan to address followed by an equally thorough description of which, if any, priority considerations on page 16 will additionally be addressed.

For programs offering direct services to individuals with mental illnesses or co-occurring mental health and substance abuse disorders:

- Provide an analysis of the target population, including the projected number of individuals to be served through this grant program with federal and matching funds, and operational guidelines for identifying eligible program participants, which should include a plan to screen potential participants, conduct needs and strengths-based assessments, and the process for how individuals will be referred to the program. Address the target population considerations (if applicable) and the target population requirements on page 17.
- Discuss the responsibilities of each collaborating agency and how resources will support the delivery of needed services to the target population. Describe how the collaboration relates to existing state and local justice and mental health plans and programs, outlining how any existing recovery support services in the community will be coordinated.

- Describe the plan for staffing to include how the workforce will be selected, trained, supported, and developed on an ongoing basis to deliver the services. Describe the position of the police–mental health coordinator to lead and coordinate the implementation process.
- Describe the role consumers (and consumer advocates) will play in designing, providing, monitoring, and evaluating the services.
- Describe the process for how individuals will be linked to treatment and other recovery support services. Applicants should identify the evidence-based treatment and support practices being used or proposed and identify and discuss the evidence that shows that the practice(s) is/are effective (see pages 11-13 for a discussion of evidence-based treatment). Describe any modifications/adaptations you will need to make this practice meet the goals of your project and why the changes will improve the outcomes.<sup>14</sup>
- Describe the mechanisms that will be put in place to ensure the accountability of the service delivery system on an ongoing basis.

For Programs offering the implementation or expansion of a police-mental health collaboration training and/or strategy:

- Describe the strategies (e.g., training programs, receiving centers, information sharing, or campus security training) to identify and respond to incidents involving individuals with mental illnesses.
- Discuss what response protocols will be utilized for incidents involving persons with mental illnesses or mental health needs.
- Describe how systems will be put in place to provide timely information to criminal justice system personnel to improve the response to incidents involving people with mental illnesses.
- Describe how the program will improve and implement data collection and analysis of calls and dispositions.
- Articulate how the direct delivery of Crisis Intervention Training or comparable model approach or practice will be delivered and sustained in the community with treatment and other justice professionals in a collaborative approach.
- Describe how approved training curricula and in-service training will become part of the response.
- Describe how meetings will relate to collaborative activities with behavioral health and community partners.
- Demonstrate how information systems within and across criminal justice and behavioral health treatment agencies will facilitate sharing of information, help determine eligibility for treatment, and help ensure direct connections to healthcare services in the community are intact as part of the law enforcement diversion strategy.

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<sup>14</sup> BJA recognizes that some evidence-based practices may not exist for all populations and/or service settings. Applicants proposing to serve a population with an intervention that has not been formally evaluated with that population are required to provide other forms of evidence that the practice(s) they propose is appropriate for the target population such as unpublished studies, preliminary evaluation results, clinical guidelines, findings from focus groups with community members, etc.

- Discuss how enhancing computerized information systems to provide timely information to law enforcement and other criminal justice system personnel can improve responses to incidents involving people with mental disorders and co-occurring substance use disorders, and foster systematic analysis of incidents involving people with mental disorders and co-occurring substance use disorders.

### **3. Capabilities and Competencies (20 percent)**

- Discuss the capacity of the proposed or current staffing, including a description of the staff who will be dedicated to lead this effort.
- Describe the project collaboration structure and how it will ensure successful project planning, implementation, and/or expansion. Identify stakeholders and their respective roles. The application should also include Memoranda of Understanding (MOUs) from collaborating partners clearly demonstrating joint commitment.
- For Category 1 applicants, letters of support indicating a commitment to actively participate in the planning process over the full course of the grant must be submitted by the following county stakeholders:
  - a. County leadership (e.g., county manager, county commissioner/supervisor/council member)
  - b. Sheriff and/or jail administrator
  - c. District Attorney
  - d. Administrator for local mental health services
  - e. Leadership or membership of local criminal justice coordinating council or other similar body, if one exists
- For applicants with an evaluation component, describe the qualifications of the research partner who will be conducting the evaluation, including experience and expertise in program evaluation.
- Indicate each project goal, related objective, activity, expected completion date, and responsible person or organization in the attached Project Timeline.
- Describe any potential barriers to implementing the project and strategies to overcome them.

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

- Describe the plan for collecting data and any other state or local outcomes to measure project effectiveness.
- Categories 1 and 3 must set aside funds in the budget in order to implement a data collection plan. The plan should include the process for data collection and reporting for the BJA performance measures, a list of the outcome measures that will be used by the program, a description of how these measures will be used to show program effectiveness and inform program implementation or expansion, and who is responsible for data collection and analysis

### **5. Plan for Measuring Program Success to Inform Plans for Sustainment (5 percent)**

- Discuss how variables like stakeholder support and service coordination will be defined and measured.
- Describe how evaluation and collaborative partnerships will be leveraged to build long-term support and resources to sustain the project when the federal grant ends.



- Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

## 6. Budget (5 percent)

Provide a proposed budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget Narratives should demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>15</sup> See the additional budget and budget narrative requirements on pages 20 and 30.

### 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 OJP include underserved populations, 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.

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<sup>15</sup> Generally speaking, a reasonable cost is a cost that if, 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.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. 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. 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 applicants.

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, 2017. 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 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, regulations, and executive orders (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 2017 Awards](#)," available in the [OJP Funding Resource Center](#). 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.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 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 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or 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.

### **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, Performance Management Tool (PMT) quarterly 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 website at <http://ojp.gov/funding/FAPIS.htm>.

Data on performance measures. In addition to required reports, an 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 recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

## **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@lmsolas.com](mailto:ojppeerreview@lmsolas.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.

**Justice and Mental Health Collaboration Program  
FY 2017 Competitive Grant Announcement  
Section 1.01 Application Checklist**

This application checklist has been created as an aid 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 40)

*To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 40)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 40)

*To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 41)

\_\_\_\_\_ Select the correct Competition ID (see page 41)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 41)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 41)

\_\_\_\_\_ 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](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm)

(see page 22)

*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

(see page 41)

*If No Grants.gov Receipt, and Validation or Error Notifications are Received:*

\_\_\_\_\_ contact BJA regarding experiencing technical difficulties

(see page 2 and 41)

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

\_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

**Scope Requirement:**

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of category 1: up to \$200,000; category 2: \$75,000; and category 3: up to \$200,000.

**Eligibility Requirement:** Eligible applicants are limited to states, units of local government, 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 23)
- \_\_\_\_\_ Project Abstract (see page 23)
- \_\_\_\_\_ \*Program Narrative (see page 24)
- \_\_\_\_\_ \*Budget Detail Worksheet (see page 29)
- \_\_\_\_\_ \*Budget Narrative (see page 30)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 32)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 33)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 33)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 34)

**Additional Attachments:**

- \_\_\_\_\_ Timeline (see page 34)
- \_\_\_\_\_ Position descriptions/resumes (see page 34)
- \_\_\_\_\_ Letters of support, MOUs (see page 34)
- \_\_\_\_\_ \*For law enforcement agency applicants under Category 2 & 3 - Letter or Document Indicating Leadership Commitment (see page 34)
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 34)
- \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 36)
- \_\_\_\_\_ Disclosure of Process related to Executive Compensation (see page 37)
- \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 21)

\*Note: 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.