

**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 The Justice and Mental Health Collaboration State-Based Capacity Building Program. This program furthers the Department's mission by delivering resources and services to unfunded, eligible Justice and Mental Health Collaboration applicants.

# **Justice and Mental Health Collaboration State-Based Capacity Building Program FY 2016 Competitive Grant**

**Applications Due: May 19, 2016**

## **Eligibility**

Eligible applicants are nonprofit organizations (including tribal nonprofit and for-profit organizations), for-profit (commercial) organizations, faith-based and community organizations, and institutions of higher education (including tribal institutions of higher education). Competitive applicants will include partnership with a police organization or association that has the capacity to consult and engage communities on issues of improved justice system and public health responses to people with mental health disorders (MDs) or co-occurring substance use disorders (CODs). For-profit organizations must agree to forgo any profit or management fee.

BJA welcomes applications that involve two or more entities that will carry out the funded federal award activities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for administering the funding and managing the entire program. Only one application per lead applicant will be considered; however, a subrecipient may be part of multiple proposals.

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

## **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 19, 2016.

All applicants are encouraged 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](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the BJA contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

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

Grants.gov number assigned to this announcement: BJA-2016-9213

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# Justice and Mental Health Collaboration State-Based Capacity Building Program (CFDA #16.745)

## A. Program Description

### Overview

The Bureau of Justice Assistance's (BJA) Justice and Mental Health Collaboration State-Based Capacity Building Program (SBC) supports BJA's Justice and Mental Health Collaboration Program (JMHCP) by seeking a provider(s) to deliver resources and services to unfunded, but eligible JMHCP applicants. This program is authorized through 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) and is funded through the Consolidated Appropriations Act, 2016 (Pub. L. 114-113). Additional funding for this program is made available through Edward Byrne Memorial JAG Program, pursuant to Pub. L. No. 113-235, 128 Stat 2130, 2198.

### Program-Specific Information:

The primary purpose of the JMHCP is to increase public safety by facilitating collaboration among the criminal justice, juvenile justice, and mental health and substance abuse treatment systems to increase access to mental health and other treatment services for adult and juvenile individuals with MDs or CODs. For details on the JMHCP, see <https://www.bja.gov/JMHCP16>. The primary goal of the Justice and Mental Health Collaboration State-Based Capacity Building Program (CBP) is to provide comprehensive resources and services to eligible but unfunded JMHCP applicants ("customers").

In a 2015 report to help police implement public health strategies to reduce low-level arrests titled "First Do No Harm: Advancing Public Health in Policing Practices," the Vera Institute found that in 2013, 83 percent of the more than 11.3 million arrests made by police nationwide were for possession of a controlled substance, and this research estimates that 7-10 percent of all police interactions involve a person with a mental illness. In too many jurisdictions, jails are the only place where uninsured and underserved people can access health and social services.<sup>1</sup> By providing needed information to eligible, yet unfunded, communities through CBP, all jurisdictions may have access to important information to coordinate service delivery and improve their responses to, and improve outcomes for, individuals with MDs and CODs in contact with their justice systems.

In addition to providing needed information, the CBP helps states and counties to invest in sustainable policy solutions to reduce the number of people with MDs and CODs in the criminal justice system and increase treatment options. In December 2012, The Council of State Governments Justice Center, in partnership with BJA, published "Statewide Law Enforcement/ Mental Health Efforts: Strategies to Support and Sustain Local Initiatives." The 2012 report

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<sup>1</sup> <http://www.vera.org/sites/default/files/resources/downloads/public-health-and-policing.pdf>

highlights three different states—Connecticut, Ohio and Utah—and demonstrates the impact of statewide efforts in mental health and justice system collaboration to improve responses to people with MDs and CODs. The report further demonstrates that state-level organizations are well-positioned to create incentives for innovative partnerships among law enforcement agencies, the community, and the mental health system. Through the SBC, assisting jurisdictions to coordinate specialized statewide responses can also facilitate regional pooling of resources, which helps ensure that small or rural agencies can implement specialized responses to people with MDs and CODs in support of statewide initiatives. The SBC program provides the assistance needed to solidify statewide strategies and create long term policy solutions.<sup>2</sup>

By identifying, disseminating, and training on evidenced-based and best practices to reduce contact and to improve outcomes for justice-involved individuals with MDs and CODs, this program helps communities who have not yet been successful in obtaining federal funding as well as informs the field at large. Since jurisdictions are implementing a variety of programming throughout the criminal justice system—within police, courts, and corrections—to provide people with MDs and CODs alternative diversion/treatment options, the applicant selected under this competition must have the capacity to develop products and resources that can meet a variety of needs including the behavioral health treatment system. Program applicants must be able to assist individual communities and states in different parts of the justice system.

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

### **Goals:**

BJA is seeking a SBC service provider with extensive justice and behavioral health system expertise, to provide TTA to unfunded JMHCP states seeking to increase public safety and public services for people with MDs and CODs. Because improving front end criminal justice system responses to people with MDs and CODs is a BJA and JMHCP priority, BJA requires the service provider to partner with a national police organization to deliver intense assistance to unfunded states in order to increase training opportunities for state and local police agencies to develop community-based response protocols and collaboration with mental health authorities to maximize diversion and treatment options for those with MDs and CODs. The provider will increase capacity through 1) state and county-level engagement, 2) providing resources and products for the field at large, and 3) assisting states in their development of police training strategies that improve the state's overall response to people with MDs and CODs. Applicants will specifically provide assistance to unfunded applicant states under BJA's Justice and Mental Health Collaboration Program.

### **Objectives:**

1. To provide up to four states, and their counties, with technical assistance to improve their planning and collaboration strategies for comprehensive, statewide collaboration in response to justice-involved people with mental disorders (MDs) and co-occurring mental and substance use disorders (CODs).

**Deliverables:** The provider(s) will:

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<sup>2</sup> [https://www.bja.gov/Publications/CSG\\_StatewideLEMH.pdf](https://www.bja.gov/Publications/CSG_StatewideLEMH.pdf)

- a) Propose a strategy to identify states that have the capacity to establish a statewide coalition/advisory to coordinate a statewide program to improve collaboration and response to justice-involved people with MDs and CODs.
  - b) Establish and support state justice and behavioral health coalitions/advisories to serve as a primary source for information on justice and mental health programming, evidence-based practices and current resources
    - o Assist with identifying appropriate leaders and coalition members from justice, health and community sectors; training of members; setting goals; developing agendas and timelines to meet goals; and provide analysis of local strategies and partnerships, including current resources and data collection processes.
  - c) Identify and provide targeted technical assistance to unfunded state coalitions to engage in activities which may include:
    - o Establish statewide initiatives which may include providing assistance with determining appropriate specialized police responses in local jurisdictions that increase collaborative strategies between law enforcement and behavioral health professionals; providing local policy recommendations and state legislative recommendations; and providing resources to support local efforts to establish justice and mental health programs.
    - o Design and recommend options for mental health receiving centers to serve as alternatives to jail or emergency room visits, and/or support the behavioral health sector in establishing certified community-based health centers that provide behavioral health treatment.
    - o Actively engage state administering offices of the court (State AOC's) to provide guidance to local courts, where pretrial screening and assessment can be used to identify populations with MDs and CODs to increase the use of case management and pre-release therapeutic programming.
  - d) Assist counties through flow analysis and intercept mapping techniques to identify gaps in services and points of contact where people with mental health and co-occurring disorders come in contact with police, courts, corrections, community partners, and service providers. Provide support and technical assistance to the [Stepping Up Initiative](#), a collaborative effort to help advance counties' efforts to reduce the number of adults with mental and co-occurring substance use disorders in jails, which may include:
    - o Provide staff support to all aspects of the Initiative's efforts;
    - o Update key materials and products developed under the Initiative;
    - o Provide technical assistance to counties working to meet the articulated goals of the Initiative
2. To respond, engage, and equip communities with products and resources guided by evidence-based and best practices to improve justice and treatment system responses to people with MDs and CODs.

**Deliverables:** The provider(s) will:

- a) Develop content for a BJA web resource (toolkit). While BJA anticipates that the website and content management system will be developed, hosted, and maintained by an existing OJP contractor, BJA is seeking an entity to develop the content that will be featured on this site. The toolkit audience is state/local/tribal law enforcement executives and staff. The toolkit will include guidance and information on: selecting the most effective specialized policing responses to people with MDs and CODs based on

- local resources and needs; engaging community treatment and other service partners; a guide to mental health terms/jargon; information sharing; and other relevant topic areas.
- b) Update existing BJA-funded printed and electronic resources for police, courts, corrections and public health-justice collaborative partnerships that contain recent developments in response strategies for people with MDs and CODs.
  - c) Maintain online a 50 state repository of state law enforcement training standards and requirements (including type of and length of curricula used and methods of delivery) for responding to people with MDs and CODs, to include de-escalation training.
  - d) Produce a web-based document highlighting state standards and practices on mental health and de-escalation training for law enforcement officers to include examples of successful approaches to raise standards and/or implement statewide training programs.
  - e) Identify, curate, and maintain online relevant policy papers, publications, articles, and reports or other data from local, state, national, and federal sources for the field at large that highlight/demonstrate research and innovative, evidence-based, and successful approaches to respond/divert/treat people from MDs and CODs who are justice-system involved. Highlight promising/successful justice and mental health collaboration programs and provide customers with the opportunity to learn from these programs.
  - f) Plan and host distance learning opportunities such as webinars and subject-specific conference calls on topics such as strategic planning, sustainability, identifying target populations, effective collaborations, subjects such as pre-trial services, and designing successful grant applications.
  - g) Develop and maintain a listserv of customers to distribute updates and information and to facilitate ongoing communication.
  - h) Support and work with national and federal partners on related projects, including the JMHCP training and technical assistance provider, and support and maintain a presence at justice and mental health national and state training events, which may include proposing and presenting at state and national association meetings for the police, mental health, courts, and corrections disciplines.
  - i) Plan for and host, in coordination with BJA and the JMHCP TTA provider, a national training event for JMHCP grantees and nongrantees that focuses on the facilitation of communication and collaborative planning between states and counties/municipalities that have adopted criminal and/or juvenile justice strategies that address the public health and public safety needs of people with MDs and CODs.
3. To provide technical assistance to states aimed at developing statewide training mechanisms for specialized police-based response teams and developing statewide justice strategies to reduce the number of people with mental health disorders and co-occurring substance use disorders in the criminal justice system:

**Deliverables:**

- a) Propose and execute a mechanism to expand the number and location of mental health/law enforcement learning sites, which currently are select sites that serve as models to other jurisdictions around the country of effective, specialized police-based responses.
- b) Support existing and new learning sites to develop and offer additional resources to customers such as promising practices and sustainability plans. Learning sites should have the capability to host site visits from criminal justice and mental health professionals in the unfunded states. Include costs in budget to support these sites develop materials and host site visits.

- c) Propose and execute a process to select up to six, state-led training demonstration sites (hubs), where states that demonstrate existing support from training academies, administration agencies, state sheriff's associations/chief's associations, state mental health authorities and public health authorities, to raise state training standards, serve as state training hubs for local law enforcement agencies.
- d) To assist states in their design of state and regional collaborative training hubs for new cadets, seasoned officers, and leadership to learn and progress in their understanding and skill building to respond to people with MDs and CODs. Training design should be inclusive of other first responders, dispatch, crisis/behavioral health/public health professionals.
- e) Develop regionalized response techniques to expand the utilization of resources to reach underserved communities, especially rural areas with limited MD and COD treatment resources.
- f) Gather the national expertise of law enforcement executives, behavioral health experts and trainers, in a focus group, to collectively respond to the state training hub model and selection of states to serve as leaders in training strategies and curricula for other states.

### **Evidence-Based Programs or Practices**

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

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

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The [OJP CrimeSolutions.gov](http://OJP.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 provider(s) selected under this solicitation will be expected to provide TTA in the following:

### **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>3</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:

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<sup>3</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.csgjusticecenter.org/mental-health-projects/behavioral-health-framework/](http://www.csgjusticecenter.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.

## 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.
- [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](#)

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.

## **B. Federal Award Information**

BJA estimates that it will make up to 1 award of approximately \$1,956,000 or less for a 12-month project period, beginning on October 1, 2016. The State-Based Capacity Building Program is funded via JMHCP per the state-based minimum allocation provision. The state-based minimum allocation provision is a formula that is calculated in part by the number of states that did not receive funding in category 1 and 2. Added to this number is the maximum local/state collaboration amount allowed by the program authorization (5 percent of all Category 1 planning funds). The amount of the state-based minimum allocation provision is difficult to predict until BJA has made the final JMHCP awards, the unfunded programs are tallied, and the formula is calculated. Additional funds are provided through the Edward Byrne Memorial Justice Assistance Grant (JAG) Program, pursuant to Pub. L. No. 113-235, 128 Stat 2130, 2198.

BJA anticipates providing supplemental funding in future years to the award made under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of 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.

### **Type of Award<sup>4</sup>**

BJA expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if BJA expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal](#)

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<sup>4</sup> See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).

[Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

## **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity<sup>5</sup>) must, as described in the Part 200 Uniform Requirements 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.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## **Budget Information**

### **Cost Sharing or Matching Requirement**

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

### **Pre-Agreement Cost (also known as Pre-award Cost) Approvals**

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

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<sup>5</sup> For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [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, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>6</sup> The 2016 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. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

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

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<sup>6</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

### **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 "Solicitation Requirements" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see title page.

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

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

## **D. Application and Submission Information**

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

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative, and résumés/curriculum vitae of key personnel and position to be held. Applicants 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](#) 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).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.") This solicitation is limited to State Based Capacity Building.

## 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 (Times New Roman) with 1-inch margins

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

All project abstracts should follow the detailed template available at [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 BJA 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 proposals.

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

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of 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

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

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures  
 To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Post award, recipients will be required to submit performance metric data semi-annually through BJA’s online Training and Technical Assistance Reporting Portal. More information on reporting requirements can be found at: <https://www.bjatraining.org/working-with-nttac/providers>

For direct questions and guidance on account set up and data entry, email the BJA NTTAC Concierge Team at [nttac@bjatraining.org](mailto:nttac@bjatraining.org).

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

Below are the performance measures for this solicitation:

Objectives	Catalog ID	Performance Measure	Data Grantee Provides
<b>Objective 1</b> To provide up to four states, and their counties, with technical assistance to improve their planning and collaboration strategies for comprehensive, statewide collaboration in response to justice-involved people with mental health	458	Number of trainings conducted	For the current reporting period:  Number of trainings (by type): <ul style="list-style-type: none"> <li>• In-person</li> <li>• Web-based</li> <li>• CD/DVD</li> <li>• Peer-to-peer</li> <li>• Workshop</li> </ul> Number of individuals who: <ul style="list-style-type: none"> <li>• Attended the training (in-person) or started the training (web-based)</li> <li>• Completed the training</li> <li>• Completed an evaluation at the conclusion of the training</li> </ul>
	228	Number of participants who attend the training	
	239	Percentage of participants who successfully completed the training	
	235	Percentage of participants who rated the training as satisfactory or better	
	215	Percentage of participants trained and subsequently demonstrated performance improvement	

and substance use disorders.	237    144 520 521	Percentage of scholarship recipients surveyed who reported that the training provided information that could be utilized in their job.   Number of curricula developed  Number of curricula that were pilot tested  Percentage of curricula that were revised after pilot testing	<ul style="list-style-type: none"> <li>Completed an evaluation and rated the training as satisfactory or better</li> <li>Completed the post-test with an improved score over their pre-test</li> </ul> <p>For the current reporting period, number of individuals who:</p> <ul style="list-style-type: none"> <li>Received a scholarship</li> <li>Completed the training</li> <li>Completed a survey at the conclusion of the training</li> <li>Reported the training provided information that could be utilized in their job</li> </ul> <p>Number of training curricula:</p> <ul style="list-style-type: none"> <li>Developed</li> <li>Pilot tested</li> <li>Revised after being pilot tested</li> </ul>
<b>Objective 2</b> To respond, engage, and equip communities with products and resources guided by best and evidenced-based practices, to improve system delivery response to people with mental health and co-occurring substance use disorders:	12   11	Percentage of requesting agencies who rated services as satisfactory or better   Percentage of requesting agencies that were planning to implement one or more recommendations	<p>For the current reporting period :</p> <ul style="list-style-type: none"> <li>Number of onsite visits completed</li> <li>Number of reports submitted to requesting agencies after onsite visits</li> <li>Number of requesting agencies who completed an evaluation of services</li> <li>Number of agencies who rated the services a satisfactory or better <ul style="list-style-type: none"> <li>a) in terms of timeliness</li> <li>b) quality</li> </ul> </li> <li>Number of follow-ups with requesting agencies completed 6 months after onsite visit</li> <li>Number of agencies that were planning to implement at least one or more recommendations 6 months after the onsite visit</li> </ul>
<b>Objective 3</b> To assist states by providing technical assistance to increase the delivery of statewide training mechanisms for specialized	247   246	Percentage of peer visitors who reported that the visit to the other agency was useful in providing information on policies or practices   Percentage of peer visitors that were planning to implement one or more policies or practices 6 months after they were observed at the visited site	<ul style="list-style-type: none"> <li>Number of peer-to-peer visits completed</li> <li>Number of peer visitors who completed an evaluation</li> <li>Number of peer visitors who reported that the visit was useful in providing information on policies or practices</li> <li>Number of follow-ups with the requesting peer visitor completed</li> </ul>

police-based response teams and increase the number of statewide justice strategies to reduce the number of people with mental health disorders and co-occurring substance use disorders in the criminal justice system:	526	Percentage of requesting agencies of other onsite services who rated the services provided as satisfactory or better	6 months after the peer-to-peer visit <ul style="list-style-type: none"> <li>• Number of peer visitors who were planning to implement at least one or more recommendations 6 months after the onsite visit</li> <li>• Number of other onsite services provided</li> <li>• Number of requesting agencies who completed an evaluation of other onsite services</li> <li>• Number of agencies who rated the services a satisfactory or better</li> </ul>
<b>Objective 4</b> Increase information provided to BJA and the criminal justice community through the development of tools and resources, as program products, and lessons learned from the field, to Increase peer to peer communication and consultation as practitioners in the field.	147 493 144 145 492 486 354	Number of conferences or advisory/focus groups held  Percentage of advisory/focus groups evaluated as satisfactory or better  Number of publications developed Number of publications disseminated Percent of websites developed and maintained. Percent increase in the number of visits to websites  Percentage of information requests responded to	For the current reporting period: <ul style="list-style-type: none"> <li>• Number of conferences or advisory/focus groups held</li> <li>• Number of conference or advisory/focus group attendees who completed an evaluation</li> <li>• Number of conference or advisory/focus group attendees who rated the advisory/focus group as satisfactory or better</li> <li>• Number of publications/resources developed</li> <li>• Number of publications/resources disseminated <ul style="list-style-type: none"> <li>○ Number of websites developed.</li> <li>○ Number of websites maintained.</li> </ul> </li> <li>• Number of visits to websites during the current reporting period</li> <li>• Number of visits to websites during the previous reporting period</li> <li>• Number of information requests</li> <li>• Number of information requests responded to</li> </ul>

BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

**Note on Project Evaluations**

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the [OJP Funding Resource Center](http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm) web page (<http://ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm>). Applicants whose proposals may involve 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 Detail Worksheet and Budget Narrative**

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

A sample Budget Detail Worksheet can be found at <http://ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf>. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

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

##### **b. Budget Narrative**

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

Applicants should demonstrate in their Budget Narratives how they will maximize cost effectiveness of grant expenditures. Budget Narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a Budget Narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but

need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

Additional budget requirements:

- Include funding to support for SBC staff to plan for and host, in coordination with BJA and the JMHCP TTA provider, a national training event for JMHCP grantees and nongrantees that focuses on the facilitation of communication and collaborative planning between states and counties/municipalities, which have adopted criminal and/or juvenile justice strategies that address the public health and public safety needs of offenders with mental health and co-occurring mental health and substance use disorders. Speakers should include representation from the criminal justice, public health, mental health, and social services communities. For cost estimates, plan for this to be a 2-day meeting in Washington, D.C
- All applicants must set aside at least 5 percent of the federal funds requested in order to implement a data collection plan. The plan should be described in the program narrative under Selection Criteria 4.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

**d. Pre-Agreement Cost Approvals**

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

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

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant 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).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 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://ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as

both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.<sup>7</sup>

## 6. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

## 7. Additional Attachments

### a. Staff/Consultant Résumés, Project Timeline and Memoranda of Understanding/Letters of Support

Attach staff résumés and qualifications relative to their job/role. Attach a *Project Timeline* (with an estimated start date of October 1, 2016) with each project goal, related objective, activity, expected completion date, and responsible person or organization; and *Memoranda of Understanding* or *Letters of Support* from co-applicants and collaborative partners (signed copies should be scanned and submitted with the electronic submission of the application).

### b. Samples of publications and website/web resources

Attach 1-3 publications and 1-3 links to websites/resources developed by proposed staff and/or consultants on topics that relate to this solicitation.

### c. Applicant Disclosure of Pending Applications

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the Budget Narrative and Budget Detail Worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement

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<sup>7</sup> See 2 C.F.R. § 200.414(f).

comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

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

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

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

Applicants should include the table as a separate attachment to their application. The file should be named “Disclosure of Pending Applications.”

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the Budget Narrative and Budget Detail Worksheet in the application under this solicitation.”).

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

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
  - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients)

and it has concluded that the design, conduct, or reporting of research and evaluation funded by BJA grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization.

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research 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 applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial

conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

#### **8. Financial Management and System of Internal Controls Questionnaire**

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

#### **9. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

#### **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**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

BJA 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 all required documents are attached in the mandatory category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

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>When using the ampersand (&amp;) in XML, applicants must use the “&amp;#amp;” format.</b>		

Grants.gov is designed to forward successfully submitted applications to the OJP Grants Management System (GMS).

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” 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:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget (OMB) requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Applications 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 up to 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. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, 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 number for this solicitation is 16.745, titled Justice and Mental Health State-Based Capacity Building Program FY 2016 Competitive Grant Announcement "CFDA# 16.745" and the funding opportunity is number is BJA-2016-9213.
- 6. 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 and the second will state whether the application has been successfully validated, or 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 well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 19, 2016.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, BJA will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How to Apply](#).

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their 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. Then applicants must email the BJA contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally 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, including firewalls, browser incompatibility, etc.

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

## **E. Application Review Information**

### **Selection Criteria**

- Statement of the Problem (20%)
  - Provide a thorough understanding of the need for innovative cross-system collaborative best practices in programming for individuals with MDs and CODs who come into contact with the criminal or juvenile justice systems. Describe the challenges communities face in planning, implementing, or expanding a collaborative criminal justice mental health initiative and the need for TTA for communities that apply for, but do not receive funding under JMHCP. Discuss the unique needs of law enforcement agencies in responding to people with MDs

and CODs as well as the challenges of veteran populations in the criminal justice system.

- **Project Design and Implementation (40%)**
  - Demonstrate a well thought-out plan for transferring knowledge and best practices. Describe the goals, objectives, and deliverables for providing TTA to unfunded but eligible states. Identify strategies and capacity for designing and implementing the deliverables (see pages 5-8); provide a timeline (as an attachment) for completing the tasks; and identify the percentage of time to be dedicated by the individuals responsible for the tasks. Demonstrate how personnel and technology will be used to assist jurisdictions nationally.
  
- **Capabilities and Competencies (25%)**
  - Describe the organization's ability to provide proactive, comprehensive, user-friendly TTA. Provide examples of the organization's experience in using TTA strategies that include developing tools and resources, using distance learning, peer-to-peer consultations, and onsite and offsite technical assistance. List the consultants with whom the organization plans to work to deliver TTA services. Describe the management structure and outline the organization's ability to conduct the individual activities through the organization's and staff's experience, and recruit and partner with individuals and other organizations with the expertise to enhance the organization's and staff's experience in developing and providing TTA.
  
- **Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)**
  - Discuss the strategy to organize TTA activities and deliverables to report in NTTAC and other federal reports, as required, according to the special conditions of the award.
  
- **Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) (10%)**
  - Budget Narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget Narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>8</sup> Describe all items in the budget and how they will be integral to the program deliverables. Please state and the amount of funding requested.

## **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although

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<sup>8</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.

program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the System for Award Management (SAM).

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

BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior BJA and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

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

## F. Federal Award Administration Information

### Federal Award Notices

OJP sends award notification 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 how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves 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 agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>9</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

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<sup>9</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 [FFATA]).

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, BJA anticipates that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJA.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

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

Recipients must submit quarterly financial reports; semi-annual progress reports; final financial and progress reports; and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Post award, recipients will be required to submit performance metric data semi-annually through BJA’s online Training and Technical Assistance Reporting Portal. More information on reporting requirements can be found at:

<https://www.bjatrainig.org/working-with-nttac/providers>. For direct questions and guidance on account set up and data entry, email the BJA NTTAC Concierge Team at [nttac@bjatrainig.org](mailto:nttac@bjatrainig.org).

Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative, or administrative obligations of the recipient or the program.

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

For Federal Awarding Agency Contact(s), see title page.

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

## **H. Other Information**

### **Provide Feedback to OJP**

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

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

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

## Application Checklist

### Justice and Mental Health Collaboration State-Based Capacity Building Program

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

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

\_\_\_\_\_ Acquire a DUNS Number (see page 24)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 25)

##### *To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 25)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 25)

##### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 25)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 25)

\_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 23)

\_\_\_\_\_ 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 12)

##### *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 25)

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

\_\_\_\_\_ contact BJA regarding experiencing technical difficulties (see page 26)

#### General Requirements:

\_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

#### Scope Requirement:

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of approximately \$1,956,000.00.

**Eligibility Requirement:** Eligible applicants are nonprofit organizations (including tribal nonprofit and for-profit organizations), for-profit (commercial) organizations, faith-based and community organizations, and institutions of higher education (including tribal institutions of higher education). Competitive applicants will include partnership with a police organization or association that has the capacity to consult and engage communities on issues of improved justice system and public health responses to people with mental health disorders (MDs) or co-occurring substance use disorders (COD). For-profit organizations must agree to forgo any profit or management fee.

## What an Application Should Include:

_____	Application for Federal Assistance (SF-424)	(see page 14)
_____	Project Abstract	(see page 14)
_____	Program Narrative	(see page 14)
_____	Budget Detail Worksheet	(see page 18)
_____	Budget Narrative	(see page 18)
_____	Indirect Cost Rate Agreement	(see page 19)
_____	Applicant Disclosure of High Risk Status	(see page 20)
_____	Additional Attachments	
_____	Staff/Consultant Résumés, Project Timeline and Memoranda of Understanding/Letters of Support	
_____	Samples of Publications and website/web resources	
_____	Applicant Disclosure of Pending Applications	(see page 20)
_____	Research and Evaluation Independence and Integrity	(see page 21)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 23)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 23)