



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications to plan and implement comprehensive strategies in response to the growing opioid epidemic. This program furthers the Department's mission by providing resources to state, local, and tribal governments to intervene with persons with substance use disorders.

Comprehensive Opioid Abuse Site-based Program FY 2017 Competitive Grant Announcement Applications Due: April 25, 2017

Eligibility

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

Category 1: Overdose Outreach Projects – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

Category 2: Technology-assisted Treatment Projects – Applicants are limited to state agencies. State agencies include state administrative offices, state criminal justice agencies, and other state agencies involved with the provision of substance use disorder services to justice-involved individuals such as the State Administering Agency (SAA), the Administrative Office of the Courts, and the State Alcohol and Substance Abuse Agency.

Category 3: System-level Diversion and Alternatives to Incarceration Projects – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

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

Category 5: Harold Rogers Prescription Drug Monitoring Program (PDMP) Implementation and Enhancement Projects – Applicants are limited to state governments that have a pending or enacted enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency. Applicants within a state that does not have an enabling state statute requiring the submission of controlled substance prescription data to an authorized state agency are eligible to apply as a city, county, or region if (a) the city, county, or region has enacted an enabling statute, ordinance, or regulation requiring the submission of controlled substance prescription data to an authorized city, county, or region and (b) the city, county, or region agrees to transition the PDMP system to an authorized state

agency when and if the state adopts an enabling state statute requiring the submission of controlled substance prescription data to an authorized state agency and ensures that all vendor contracts are written to permit the transfer of ownership of the system to the authorized state agency.

Category 6: Data-driven Responses to Prescription Drug Misuse – Applicants are limited to state agencies and units of local government located in states with existing and operational prescription drug monitoring programs and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

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

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

NOTE: In addition to this announcement, in FY 2017, BJA is offering stand-alone solicitations for Drug Courts and Veterans Treatment Courts, Residential Substance Abuse Treatment, Smart Policing, Smart Prosecution, and Second Chance Act reentry initiatives. These solicitations may be relevant to potential applicants seeking to implement specific drug-related strategies. Eligible applicants are encouraged to review these other solicitations as they are released. The stand-alone Harold Rogers Prescription Drug Monitoring grant program has been incorporated into the FY 2017 Comprehensive Opioid Abuse Site-based Program solicitation as Categories 5 and 6 of funding. For more information on BJA’s current solicitations, visit the following link: <https://www.bja.gov>.

BJA may also elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on April 25, 2017.

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

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

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

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

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

Contact Information

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

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

For assistance with any unforeseen Grants.gov technical issues beyond an applicant’s control that prevent it from submitting its application by the deadline, or any other requirement of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email grants@ncjrs.gov; 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.

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

A. Program Description

Overview

Signed into law on July 22, 2016, the Comprehensive Addiction and Recovery Act (CARA) is the first major federal substance use disorder treatment and recovery legislation in 40 years and the most comprehensive effort to address the opioid epidemic. CARA establishes a comprehensive, coordinated, and balanced strategy through enhanced grant programs that expand prevention and education efforts while also promoting treatment and recovery. The Comprehensive Opioid Abuse Site-based program was developed as part of the CARA legislation. The purpose of the Comprehensive Opioid Abuse Site-based Program is to provide financial and technical assistance to states, units of local government, and Indian tribal governments to plan, develop, and implement comprehensive diversion and alternatives to incarceration programs that expand outreach, treatment, and recovery efforts to individuals impacted by the opioid epidemic who come into contact with justice system. A separate competitive Comprehensive Opioid Abuse Training and Technical Assistance (TTA) solicitation will be posted during the first quarter of FY 2017. The TTA program is designed to complement the site-based competitive solicitation.

The Harold Rogers Prescription Drug Monitoring Program (PDMP) is being incorporated into the FY 2017 Comprehensive Opioid Abuse Site-based Program. The purpose of this program is to improve collaboration and strategic decision-making of regulatory and law enforcement agencies and public health officials to address prescription drug and opioid misuse, save lives, and reduce crime. This is made possible through the collection and analysis of controlled substance prescription data and other scheduled chemical products through a centralized database administered by an authorized state agency.

Statutory Authority

The Comprehensive Opioid Abuse Site-based Program was authorized by the Comprehensive Addiction Recovery Act of 2016 (CARA) (Public Law 114–98), and codified at 42 U.S.C. § 3797ff. The Harold Rogers Prescription Drug Monitoring Program, which funds Category 5 and 6 grants in this solicitation, was created by the FY 2002 U.S. Department of Justice Appropriations Act; any awards for Categories 5 and 6 of this solicitation may be made under statutory authority provided by a full-year appropriations act for FY 2017. As of the writing of this solicitation, the Department of Justice is operating under a short-term "Continuing Resolution;" no full-year appropriation for the Department has been enacted for FY 2017.

Program-specific Information

The misuse of opioids such as heroin, morphine, and other prescription pain medicines has developed into a serious national epidemic. In 2015, 1 in 10 Americans reported using an illicit drug in the past 30 days.² Marijuana use and the misuse of prescription pain relievers account for the majority of illicit drug use. Of the 21.5 million Americans 12 years or older who had a

² Center for Behavioral Health Statistics and Quality. (2016). *Key substance use and mental health indicators in the United States: Results from the 2015 National Survey on Drug Use and Health* (HHS Publication No. SMA 16-4984, NSDUH Series H-51). Retrieved from <http://www.samhsa.gov/data/>.

substance use disorder in 2014, 1.9 million had a substance use disorder involving prescription pain relievers and 586,000 had a substance use disorder involving heroin.³

Widespread use of opioids has devastated many communities. In 2014, more people died from drug overdoses than in any year in history. More specifically, an average of 78 Americans died every day from an opioid overdose. Drug overdose now surpasses motor vehicle crashes as the leading cause of injury death in the United States. In response to this epidemic, the Comprehensive Opioid Abuse Site-based Program was designed to: promote the leveraging of existing resources within a community while maximizing diversion opportunities for individuals who come in contact with the justice system as a result of an opioid use disorder; expand outreach, treatment, and recovery opportunities to under-served populations; promote cross-system planning and coordination of service delivery; and reduce the incidence of fatal overdoses associated with opioid use.

The Comprehensive Opioid Abuse Site-based Program focuses on system-wide initiatives as well as innovative approaches to promote substance misuse treatment and recovery support. These concepts are rooted in [the Sequential Intercept Model](#) developed by Mark R. Munetz, MD, and Patricia A. Griffin, PhD, in conjunction with the GAINS Center. The Sequential Intercept Model provides a conceptual framework for communities to use when considering the interface between individuals with opioid use disorders and the criminal justice and treatment systems. Within the criminal justice system there are numerous intercept points—opportunities for linkage to services and for prevention of further penetration into the criminal justice system. The model shows the paths an individual may take through the criminal justice system, where the intercept points fall, and areas that communities can target for diversion, engagement, and reentry. Applicants should also review the latest [expansion of the Sequential Intercept Model](#) to include Intercept 0 when designing their initiatives.

Applicants interested in effective policy strategies to respond to the opioid epidemic may wish to review the National Governors Association’s document [Solutions to the Prescription Opioid and Heroin Crisis: A Roadmap for States](#). Examples of successful BJA-funded projects from past years can be found [here](#). Applicants should note that this solicitation allows for projects broader in scope than the previous projects provided as examples. Applicants can find information on evidence-based treatment practices in the Substance Abuse and Mental Health Services Administration’s (SAMHSA) *Guide to Evidence-Based Practices* available at www.samhsa.gov/ebpwebguide. 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. 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.

The two funding categories that existed in the FY 2016 Harold Rogers Prescription Drug Monitoring Program solicitation have been incorporated into the Comprehensive Opioid Abuse Site-based program as Category 5 and Category 6. Prescription drug monitoring programs

³ Substance Abuse and Mental Health Services Administration, Center for Behavioral Health Statistics and Quality. (2015). Behavioral health trends in the United States: Results from the 2014 National Survey on Drug Use and Health. Rockville, MD: Substance Abuse and Mental Health Services Administration.

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

Grantees within **Category 1**, **Category 3**, and **Category 6** that choose to have a research partner will follow the model set by the BJA “Smart Suite” initiative. BJA’s Smart Suite of programs invests in the development of practitioner-researcher partnerships that use data, evidence, and innovation to create strategies and interventions that are effective and economical. This data-driven approach enables jurisdictions to understand the full nature and extent of the challenges they are facing and to target resources to the highest priorities. This represents a strategic approach to bring more “science” into DOJ-funded programs by leveraging innovative applications of analysis, technology, and evidence-based practices with the goal of improving performance and effectiveness while containing costs. For more information on BJA’s Smart Suite programming, visit the following link:
<https://www.bja.gov/Programs/CRPPE/smartsuite.html>

For projects that involve research elements, this funding will serve to build local capacity to develop research-based strategies and focus on program fidelity to increase the chances of success. This requires practitioner agencies to partner with researchers using an “action research” approach to enhance collection and review of data, which in turn can serve as a strong foundation for outcome evaluations of program interventions. In “action research,” researchers work closely with practitioners to most effectively address specific challenges (e.g., increased drug overdose rates, or PDMP utilization). In addition, research partners work with the agency and/or consortium of partners to assess problems, identify underlying causes of these problems, develop effective strategies to address these problems (e.g., “theory of change”), implement data-driven strategies/programs, conduct program assessments (e.g., process and/or outcome evaluations), and provide “real-time” feedback to enhance decision-making. Successful partnerships between practitioners and researchers require investments of planning, time, communication, complementary skills, and adequate resources.

Goals, Objectives, and Deliverables

The goals of the Comprehensive Opioid Abuse Site-based Program are twofold. First, the program aims to reduce opioid misuse and the number of overdose fatalities. Second, the program supports the implementation, enhancement, and proactive use of prescription drug monitoring programs to support clinical decision-making and prevent the misuse and diversion of controlled substances.

The objectives of the Comprehensive Opioid Abuse Site-based Program are to:

- Encourage and support comprehensive cross-system planning and collaboration among officials who work in law enforcement, pretrial services, the courts, probation and parole, child welfare, reentry, PDMPs, emergency medical services and health care providers, public health partners, and agencies that provide substance misuse treatment and

recovery support services.

- Develop and implement strategies to identify and provide treatment and recovery support services to “high frequency” utilizers of multiple systems (e.g., health care, child welfare, criminal justice, etc.) who have a history of opioid misuse.
- Expand diversion and alternatives to incarceration programs.
- Expand the availability of treatment and recovery support services in rural or tribal communities by expanding the use to technology-assisted treatment and recovery support services.
- Implement and enhance prescription drug monitoring programs.
- Develop multi-disciplinary projects that leverage key data sets (e.g., de-identified PDMP data, naloxone administrations, fatal and non-fatal overdose data, drug arrests, etc.) to create a holistic view of the environment and develop interventions based on this information.
- Objectively assess and/or evaluate the impact of innovative and evidence-based strategies to engage and serve justice-involved individuals with a history of opioid misuse.

Category 1: Overdose Outreach Projects

The hours and days immediately after a non-fatal overdose present a unique opportunity to link individuals to treatment and recovery supports. Historically, overdose survivors were medically stabilized and then discharged, often without referrals to treatment or recovery support services. Innovative communities throughout the nation are piloting new approaches to connecting an overdose survivor to services. This includes models that use law enforcement, in partnership with peer recovery coaches or treatment providers, to connect overdose survivors with services in the days that follow a non-fatal overdose. Applicants must identify a project coordinator to manage the day-to-day operations of the initiative.

Applicants under Category 1 may request a project period of up to 36 months, and an award amount no greater than \$300,000. The application budget must reflect the total requested funding amount for the entire grant period in the application and not request per year. Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and budget for each partner’s project costs appropriately. Specifically, applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.

Mandatory Project Components for Category 1

Applicants applying for funds under Category 1 must:

- Undertake a systematic analysis of available data on law enforcement calls for service, as well as data about naloxone administrations, to ensure that programming decisions are responsive to current service demands and consistent with resources.
- Demonstrate a multi-disciplinary, collaborative approach to addressing the needs of the individuals with a history of opioid misuse. The interventions proposed must involve law enforcement as a component of a multi-disciplinary response and be designed to reduce the number of overdose deaths and/or increase treatment and recovery engagement among overdose survivors.
- Document the impact of the opioid epidemic based on local, regional, or state-level data.
- Identify a project coordinator, who dedicates a portion of their time beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phase. No less than 50% of the project coordinator’s time should be

directed toward the BJA-funded project activities. The project coordinator will work closely with the selected TTA provider to:

- Identify the needs of the community, including collecting and analyzing administrative and overdose data.
- Work with the project staff to design an appropriate outreach and prevention strategy based on the data.
- Convene regular stakeholder discussions surrounding project implementation.
- Respond to requests for data, reports, and information about the proposed initiative.
- Ensure continued project implementation and redirection if needed.
- Agree to work closely with BJA's designated training and technical assistance (TTA) provider(s), which will be selected through a separate BJA Comprehensive Opioid Abuse TTA program solicitation, as well as an evaluator who may conduct a site specific or cross-site evaluation in future years.
- Track quarterly performance measures, including measures associated with future naloxone administrations as well as treatment engagement and retention. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

Allowable Uses of Funds for Category 1

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

- Connect survivors of a non-fatal overdose with treatment providers or a peer recovery coach in an emergency department setting or immediately following the overdose in an effort to engage the survivor in treatment or support services. Peer recovery support services involve an array of supports and services that are responsive to the specific needs of the participant.
- Provide survivors of non-fatal overdoses, and their friends and family, with access to naloxone and other recovery support services.
- Provide prioritized—ideally immediate—access to detox and treatment services as well as access to medication-assisted treatment.
- Provide overdose prevention education and community outreach.
- Engage a research partner to conduct action research providing skills and assistance in identifying performance measures, tracking measures to assist in the improvement of program implementation and fidelity, providing subject matter expertise and guidance, performing performance evaluations, and/or ensuring outcomes are being evaluated effectively.
- Support the mandatory project coordinator position.

Priority Consideration for Category 1

Priority consideration will be given to applicants that:

- Demonstrate that they have been disproportionately impacted by the illegal opioid epidemic as evidenced, in part, by high rates of primary treatment admissions for heroin and other opioids; high rates of overdose deaths from heroin and other opioids; and/or a lack of accessibility to treatment providers and facilities or to emergency medical services.

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

Category 2: Technology-assisted Treatment Projects

Technology-assisted Treatment Projects are designed to pilot, in up to three states, how technology can be used to expand treatment and recovery support opportunities to justice-involved individuals with opioid use disorders who have limited access to services due to geographic isolation. Applicants may propose the use of secure and innovative technology to conduct substance abuse assessments, develop and monitor case plans, monitor medication-assisted treatment, and/or deliver cognitive behavioral treatment remotely to justice-involved individuals with opioid use disorders.

Applicants under Category 2 may request a project period of up to 36 months, and an award amount no greater than \$750,000. The application budget must reflect the total requested funding amount for the entire grant period in the application and not request per year. Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and budget for each partner's project costs appropriately. Specifically, applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.

Mandatory Project Components for Category 2

All applicants under Category 2 must:

- Submit letters of support and/or an interagency agreement from the [State Administrative Agency](#) (SAA) responsible for directing criminal justice planning and coordination and the [Single State Agency](#) (SSA) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.
- Document the impact of the opioid epidemic based on local, regional, or state-level data.
- Propose to pilot technology-assisted treatment projects in at least three sites within the applicant state.
- Document at least one partner with experience providing services to rural communities.
- Document the rural nature of the state, as appropriate, and the challenges related to treatment access.
- Identify a project coordinator who must have dedicated time set aside beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phase. No less than 50% of the project coordinator's time should be directed toward the BJA-funded project activities. The project coordinator will be required to work closely with designated BJA Comprehensive Opioid Abuse TTA program providers to:
 - Identify the needs of the community, including collecting and analyzing administrative data.
 - Work with the project staff to design an appropriate implementation strategy based on the data.
 - Convene regular stakeholder discussions surrounding project implementation.
 - Respond to requests for data, reports, and information about the proposed initiative.
 - Ensure continued project implementation and redirection if needed.
- Agree to work closely with BJA's designated training and technical assistance (TTA) provider(s), which will be selected through a separate solicitation, as well as an

- evaluator who may conduct site specific evaluations or a cross-site evaluation.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
 - Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

Allowable Uses of Funds for Category 2

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

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

Grant funds may not be used to:

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

Priority Consideration for Category 2

Priority consideration will be given to applicants that:

- Demonstrate that the state, or regions within the state, have been disproportionately impacted by the illegal opioid epidemic as evidenced, in part, by high rates of primary treatment admissions for heroin and other opioids; high rates of overdose deaths from

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

- Are rural states with underserved communities.

Category 3: System-level Diversion and Alternatives to Incarceration Projects

Grantees awarded Category 3 awards will demonstrate a system-level commitment to establishing effective diversion and/or alternatives to incarceration programs for individuals with opioid use disorders. Category 3 applicants should propose initiatives in at least two intercepts within the Sequential Intercept Model (e.g., law enforcement or prosecutor diversion, pretrial diversion, drug courts or other problem-solving courts, community-based supervision, corrections programs, reentry programs, etc.) The population of focus must primarily be justice-involved individuals with a history of opioid misuse as well as individuals who have come in contact with law enforcement but have not been formally charged.

The focus of Category 3 is on developing county-based approaches to diversion and alternatives to incarceration. BJA recognizes that there are 41 cities around the country that are not within a county system, which are also eligible to apply. Additionally, tribal governments may propose a reservation- or tribal-region-wide approach, as appropriate. Applicants under Category 3 may request a project period of up to 36 months, and an award amount no greater than \$400,000. The application budget must reflect the total requested funding amount for the entire grant period in the application and not request per year. Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and budget for each partner's project costs appropriately. Specifically, applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.

Mandatory Project Components for Category 3

All applicants under Category 3 must:

- Establish a team (or utilize a pre-existing team) of stakeholders from across government and the community to engage in the planning process. The appropriate composition of the team may vary based on the proposed project but should generally include representatives from county administration; public health; health care providers; substance use treatment agencies; law enforcement; the local pretrial agency; adult probation and parole; juvenile probation; the trial courts; the adult, juvenile, family, tribal and problem-solving courts; child welfare; corrections administrators; and nonprofit organizations that provide wraparound or recovery support services. Applicants must provide letters of support and/or an interagency agreement documenting each agency's commitment to participating in the planning and implementation processes. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.
- Complete a structured planning phase before beginning project implementation. Each grant award made under Category 3 will have in place a special condition withholding all but \$100,000, which will allow grantees to establish an action plan within 180 days of receiving the award before moving into the implementation phase.
- Document the impact of the opioid epidemic based on local, regional, or state-level data.
- Identify a project coordinator who must have dedicated time set aside beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phases. No less than 50% of the project coordinator's time should be directed toward the BJA-funded project activities. The project coordinator will work closely with designated BJA Comprehensive Opioid Abuse TTA

program providers to:

- Identify the needs of the community, including collecting and analyzing administrative data.
- Work with the project staff to design an appropriate outreach and prevention strategy based on data.
- Convene regular stakeholder discussions surrounding project implementation.
- Respond to requests for data, reports, and information about the proposed initiative.
- Ensure continued project implementation and redirection if needed.
- Agree to work closely with BJA's designated TTA provider(s), which will be selected through a separate solicitation, as well as an evaluator who may conduct site specific evaluations or a cross-site evaluation.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

Allowable Uses of Funds for Category 3 – Planning Phase

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

- Identify high-frequency utilizers across multiple systems (e.g., those with a high number of contacts with police, ambulance, or emergency departments, child welfare, the courts, the jail, or community supervision). Once these individuals are identified, the planning group should use the planning phase to identify policy options and approaches to engage these individuals in treatment and recovery supports.
- Document the prevalence of individuals with opioid use disorders in the various local intercept points, identify the population's needs, and identify intervention options that reduce the use of incarceration, promote treatment engagement, minimize need for child protective services involvement and/or foster care placement, or reduce the risk of overdose death.
- Engage a research partner to provide skills and assistance in identifying performance measures, providing subject matter expertise and guidance, and/or ensuring performance and outcome evaluations are being considered within the planning phase.

Allowable Uses of Funds for Category 3 – Implementation Phase

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

- Link high-frequency utilizers with evidence-based treatment and recovery support services with a goal of reducing overreliance on emergency health care and encounters with the criminal justice system.
- Implement a plan to universally screen individuals entering community-based supervision and/or jail for risk of overdose and prioritize services to these individuals.
- Develop and implement a comprehensive plan to reduce the risk of overdose death and enhance treatment and recovery service engagement among the pretrial and post-trial populations leaving local jails or secure residential treatment facilities.
- Implement or expand the system-wide use of recovery support services using peer recovery coaches to help justice-involved individuals enter into and navigate

systems of care, remove barriers to recovery, and stay engaged in the recovery process.

- Expand the use of cognitive-behavioral treatment in combination with medication-assisted treatment to help individuals engage in the treatment process, modify their attitudes and behaviors related to opioid misuse, and increase life skills.
- Implement wraparound services that facilitate meaningful coordination between the justice system and family support agencies, especially child welfare, to safeguard the lives and wellbeing of minor children and family members who experience the impacts of opioid use. These initiatives may focus on improving parental functioning or engaging family members as a natural support system at all points in the justice system. Applicants are highly encouraged to review the National Center on Substance Abuse and Child Welfare (NCSACW) website <https://ncsacw.samhsa.gov> for additional information and incorporate these concepts into their grant proposals.
- Establish collaborative public health and justice partnerships to address the unique needs of justice-involved women with opioid use disorders, including pregnant women.
- Develop data or information systems to facilitate analyses and help track progress and assist in efforts to report on outcomes.
- Implement other comprehensive approaches that serve individuals within more than one intercept and align with the goals of the Comprehensive Opioid Abuse Site-based Program.
- Support the mandatory project coordinator position.
- Engage a research partner to conduct action research providing skills and assistance in identifying performance measures, tracking measures to assist in the improvement of program implementation and fidelity, providing subject matter expertise and guidance, performing performance evaluations, and/or ensuring outcomes are being evaluated effectively.

Priority Consideration for Category 3

Priority consideration will be given to applicants that:

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

Category 4: Statewide Planning, Coordination, and Implementation Projects

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

Category 4 contains two subcategories of funding. Category 4a is designed to support the development of a coordinated plan between the SAA and the SSA to assist localities in engaging and retaining justice-involved individuals with opioid use disorders in treatment and

recovery services; increase the use of diversion and/or alternatives to incarceration; and/or reduce the incidence of overdose death. In addition to supporting the development of a coordinated plan, which is a mandatory project deliverable of Category 4a, applicants may propose: training and/or technical assistance programs for localities geared toward improving treatment engagement and client outcomes; tracking, compiling, coordinating, and disseminating statewide and local data; or increasing communication, coordination, and information sharing among state and local programs. Category 4b allows the applicant to provide financial support to localities or a region to implement the strategies contained in the plan developed as part of Category 4a. These strategies may focus on supporting treatment and recovery service engagement; increasing the use of diversion and/or alternatives to incarceration; and/or supporting initiatives that reduce the incidence of overdose death.

Applicants may apply for Subcategory 4a (up to \$100,000) for up to a 24-month period or Subcategory 4b (up to \$750,000) for up to a 24-month period separately; however, it is suggested that applicants apply for each and maximize funds available from both categories (for up to \$850,000) to assist with state-based coordination, planning, and training. Applicants that already have an existing state plan, jointly developed by the SAA and the SSA, may choose to apply for Category 4b without applying for Category 4a. Applicants should clearly indicate in their application whether they are applying for Subcategory 4a, Subcategory 4b, or Subcategory 4a and 4b. The budget must reflect the total requested funding amount for the entire grant period in the application and not request per year. Applicants should fully consider the partnerships required, the logistics of establishing data sharing or data use agreements to support the proposed project, and budget for each partner's project costs appropriately. The application budget must reflect the total requested funding amount for the entire grant period in the application and not request per year.

All federal funds under Category 4b must be passed through to localities within the state; no funds may be retained for administrative purposes, except to the extent those funds are included in a current federally approved indirect cost rate and amount to no more than 10 percent of the grant amount.

Mandatory Project Components for Category 4a or 4b

All applicants under Category 4 must:

- Provide letters of support or an interagency agreement from both the SAA responsible for directing criminal justice planning and coordination and the SSA for Substance Abuse Services. Additional letters of support should be submitted if the applicant is seeking priority consideration. These letters should clearly articulate the level of involvement each agency will have in the proposed project.
- Document the impact of the opioid epidemic based on local, regional, or state-level data.
- Agree to work closely with BJA's designated training and technical assistance (TTA) provider(s), which will be selected through a separate BJA Comprehensive Opioid Abuse TTA program solicitation, as well as an evaluator who may conduct a site specific or cross-site evaluation in future years.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

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

Allowable Uses of Funds for Category 4a

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

- Develop a comprehensive state plan that identifies policies and practices that will assist the state and localities in engaging and retaining justice-involved individuals with opioid use disorders in treatment and recovery services; increasing the use of diversion and/or alternatives to incarceration; and/or reducing the incidence of overdose death. The proposed strategies should be part of a larger statewide substance misuse strategy that is not specific to opioids.
- Complete a review of the gaps that exist between the amount of treatment services that are needed to serve individuals who are criminal justice involved within the state and what currently exists and develop a plan to build treatment service delivery systems that can meet the demand.
- Conduct workforce planning and development to increase the capacity of treatment agencies to provide evidence-based treatment to individuals who are criminal justice involved.
- Complete a review of the state's Medicaid plans to ensure that the plans address the criminogenic needs of individuals, other than substance abuse treatment, such as cognitive behavioral therapy to address criminal thinking, etc.
- Provide training and/or technical assistance programs for localities geared toward improving treatment engagement and client outcomes.
- Support tracking, compiling, coordinating, and disseminating statewide and local data.
- Increase communication, coordination, and information sharing among state and local agencies.

Allowable Uses of Funds for Category 4b

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

- Provide financial support to localities or a region to implement strategies that support treatment and recovery service engagement; increase the use of diversion and/or alternatives to incarceration; and/or reduce the incidence of overdose death.

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

All federal funds under Category 4b must be passed through to localities within the state; no funds under 4b may be retained by the state for administrative purposes, except to the extent those funds are included in a current federally approved indirect cost rate and amount to no more than 10 percent of the grant amount.

Priority Consideration for Category 4

Priority consideration will be given to applicants that:

- Demonstrate that the state, or regions within the state, have been disproportionately impacted by the illegal opioid epidemic as evidenced, in part, by high rates of primary treatment admissions for heroin and other opioids; high rates of overdose deaths from heroin and other opioids; and/or a lack of accessibility to treatment providers and facilities and to emergency medical services.

- Category 4a only: Leverage multiple resources to include all of the following agencies or representatives as part of the planning process:
 1. The Administrative Office of the Courts
 2. Representatives from probation and parole and/or community corrections
 3. Representatives from child welfare
 4. Representatives from law enforcement, including the Drug Enforcement Agency (DEA) and your local High Intensity Drug Trafficking Area (HIDTA), if applicable
 5. County/city representation

Category 5: Harold Rogers PDMP Implementation and Enhancement Projects

Applicants under Category 5 may request a project period of 24 months, and an award amount no greater than \$400,000. The application budget must reflect the total requested funding amount for the entire grant period in the application.

Mandatory Project Components for Category 5

All applicants under Category 5 must:

- Agree to work closely with BJA's designated training and technical assistance (TTA) provider(s), which will be selected through a separate solicitation.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend a national meeting in Washington, D.C. Each national meeting should be budgeted for 3 days. Applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.
- Any applicant that requests funds to implement information sharing with other state PDMPs must use technical solutions that are compliant with the National PMIX Architecture. Documentation regarding compliance to this requirement should be included as part of the application. For instance, if an interstate data-sharing hub has been certified as PMIX compliant, convey this information. Absent such a statement, BJA will withhold funding for such purposes until compliance can be verified. For more information on the National PMIX Architecture, visit the PDMP Training and Technical Assistance Center's website at <http://www.pdmpassist.org/content/prescription-drug-monitoring-information-architecture-pmix>.

Allowable Uses of Funds for Category 5

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

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

- Assess the efficiency and effectiveness of the PDMP program or specific PDMP initiatives.

Category 6: Data-driven Responses to Prescription Drug Misuse

PDMPs are charged with supporting the needs of a diverse group of stakeholders. To meet those needs, many have developed different methods of collecting information, ensuring data quality and integrity, producing data reports and analysis, and creating and enforcing access rules that define to whom and under what circumstances certain data can be made available, as well as developing differences in a wide array of other procedures, rules, regulations, capabilities, and practices. In addition, there are numerous efforts at the local, state, regional, and tribal levels to address the growing prescription drug and opioid epidemic in different ways by leveraging information from the PDMP and other data sources to analyze problems and potential solutions. This diversity creates an opportunity to bring together stakeholders with different perspectives and different sets of information to create a holistic view of the environment, examine the impact of various policies and procedures on patient and community-level outcomes, and implement proven practices on a larger scale. Examples of successful projects in past years can be found [here](#).

The maximum award amount for a local or state-level project within a single state is \$600,000 for up to 36 months. The maximum award amount to a region is \$1,000,000 for up to 36 months. A region is defined as a project that involves two or more states. BJA welcomes applications from a region that crosses state boundaries to carry out the goals of the federal award; however, only one entity may be the authorized representative listed on the application. Any others must be proposed as subrecipients ("subgrantees").⁴ The authorized representative must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. Other entities may, however, be proposed as subrecipients ("subgrantees") in more than one application.

Mandatory Project Components for Category 6

All applicants under Category 6 must:

- Form a multidisciplinary action group that may include (but is not limited to): the district attorney's office, the state or local health department, state medical and pharmacy boards, police and sheriff departments, probation and parole, drug court representatives, child welfare representatives, local drug treatment providers, and community organizations. Applicants must describe how they will collaborate with the PDMP to partner on grant activities, obtain relevant data sets, perform data analysis and assessment, and communicate with stakeholders. If the PDMP is named as a partner organization but is not the applicant, then a letter of support from the PDMP must accompany the application.
- Agree to work closely with BJA's designated training and technical assistance (TTA) provider(s), which will be selected through a separate solicitation.
- Track quarterly performance measures. Applicants should fully consider the data collection needed to support the proposed project and budget for these project costs appropriately.
- Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face

⁴ For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C

Allowable Uses of Funds for Category 6

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

- Develop multi-disciplinary projects that leverage key data sets (e.g., de-identified PDMP data, law enforcement data related to fentanyl and/or heroin, naloxone administrations, fatal and non-fatal overdose data, drug arrests, etc.) to create a holistic view of the environment and develop targeted interventions based on this information.
- Examine the impact of various policies and procedures on patient and community-level outcomes, and implement proven practices on a larger scale.
- Identify geographic areas or populations at greatest risk for prescription drug and opioid misuse and overdose deaths and create data-driven responses at the local or state level to include education, outreach, treatment, and enforcement.
- Determine best practices for sharing data across diverse stakeholders.
- Implement other innovative activities that demonstrate a multi-disciplinary, data-driven approach to addressing the opioid epidemic.
- Assess the impact of specific policy or practice changes on PDMP utilization and/or patient or community-level outcomes. Examples of policy assessments include evaluating the impact of PDMP “report cards” and other unsolicited reports on prescriber behavior; evaluating the impact of interstate data sharing on prescriber behavior with a focus on assessing the volume of cross-state patient matches within specific regions; and evaluating the impact of patient-level, non-fatal overdose data and/or drug conviction information being available within the PDMP system on prescriber behavior.

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

Priority Consideration for Category 6

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

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

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

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

Any organization using OJP grant funds, in whole or in part, to collect, aggregate, and/or share data on behalf of a government agency must guarantee that the agency that owns the data and

its approved designee(s) will retain unrestricted access to the data, in accordance with all applicable laws, regulations, and BJA policy. This includes providing data (a) in an expeditious manner upon request by the agency; (b) in a clearly defined format that is open, user-friendly, and unfettered by unreasonable proprietary restrictions; and (c) at a minimal additional cost to the requestor (which cost may be borne by using grant funds).

Interagency Coordination

OJP administers the Harold Rogers Prescription Drug Monitoring Program in partnership and collaboration with the U.S. Centers for Disease Control and Prevention (CDC) and the Substance Abuse and Mental Health Services Administration's (SAMHSA) Center for Substance Abuse Treatment and is cognizant of the importance of PDMP to the U.S. Drug Enforcement Administration's (DEA) Office of Diversion Control and the Office of National Drug Control Policy (ONDCP). Similarly, OJP is cognizant of the importance of the Comprehensive Opioid Abuse Site-based Program to the agencies noted above. OJP will communicate with these and other agencies as needed to inform the grant-making process, prevent duplication across federal funding sources, and support the Administration's goals with respect to substance misuse and diversion.

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](https://www.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.

Collaborative partnerships between researchers and practitioners have great potential to improve practice and policy. The National Institute of Justice recently published findings of the Research-Practitioner Partnerships Study, which documents, synthesizes, and shares what makes partnerships between researchers and practitioners successful: "[Recommendations for Collaborating Successfully With Academic Researchers, Findings from the Research-Practitioner Partnerships Study \(RPPS\)](#)."

For information related to implementation science, applicants may wish to refer to the [National Implementation Research Network](#) website.

Finally, applicants can obtain more information on PDMP data driven approaches and funded pilots on the [PDMP Training and Technical Assistance Center](#) website.

B. Federal Award Information

Type of Award

BJA expects to make up to 45 grant awards for varying amounts and performance periods depending on the category under which the application is awarded (see below). BJA anticipates that over half of these awards will be funded by the new CARA appropriation and the remaining awards will be funded under the Harold Rogers Prescription Drug Monitoring Program. All performance periods should begin on or after October 1, 2017.

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

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

Category 1: Overdose Outreach Projects – Multiple awards up to \$300,000 per applicant. Project Period: 36 months. Competition ID: BJA-2017-12480.

Category 1: Type of Award

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

Category 2: Technology-assisted Treatment Projects – Three awards of up to \$750,000 per applicant. Project Period: 36 months. Competition ID: BJA-2017-12481.

Category 2: Type of Award

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

Category 3: System-level Diversion and Alternatives to Incarceration Programs – Multiple awards of up to \$400,000 per applicant. Project period: 36 months. Competition ID: BJA-2017-12482.

Category 3: Type of Award

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

Category 4: Statewide Planning, Coordination, and Implementation Projects.
Subcategory 4a: Multiple awards of up to \$100,000 per applicant. Subcategory 4b:
Multiple awards of up to \$750,000 per applicant. Project period: 24 months. Competition
ID: BJA-2017-12483.

Category 4: Type of Award

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

Category 5: Harold Rogers Prescription Drug Monitoring Program (PDMP)
Implementation and Enhancement Projects – Multiple awards of up to \$400,000 per
applicant. Project period: 24 months. Competition ID: BJA-2017-12484.

Category 5: Type of Award

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

CATEGORY 6: Data-driven Responses to Opioid Abuse. Multiple awards of up to
\$600,000 for proposed projects that involve a single state. Up to \$1,000,000 for proposed
projects that are regional in nature and involve more than one state. Project period: 36
months. Competition ID: BJA-2017-12485.

Category 6: Type of Award

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

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁵) must, as described in the Part 200 Uniform Requirements⁶ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and

⁵ For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to a subrecipient (“subgrantee”) to carry out part of the funded award or program.

⁶ The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

(b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.

(c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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

Budget Information

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

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

Cost Sharing or Match Requirement

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

Award Special Condition – Withholding of Funds for BJA Action Plan (Category 3)

Once awarded, each grant award made under Category 3 will have in place a special condition withholding all but \$100,000, which will allow grantees to establish an action plan within 180 days of receiving final approval of the project’s budget from the Office of the Chief Financial Officer (OCFO). The recipient will not be authorized to obligate, expend, or draw down funds in excess of \$100,000 until BJA has reviewed and approved the action plan and a Grant Adjustment Notice has been issued and approved to remove the special condition.

The action plan must:

- Include a comprehensive project work plan based on a *Planning and Implementation (P&I) Guide* provided by BJA’s technical assistance provider which will guide each grantee in developing a strategic plan that incorporates evidence-based programs, policies, and practices. A completed *P&I Guide* will include:
 - Description of the problem and the data that led to its identification

- Logic model that identifies the solution(s) to be tested, intended outcomes, and evaluation metrics, including the research base for proposed strategies
- Evaluation plan, to include ongoing analysis, monitoring, and assessment of the overall project impact
- Provide any executed contracts, agreements, or other memoranda of understanding or agreements that delineate the roles and responsibilities of each partner. These documents should establish the authority of the research or data sharing partners to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative, as applicable.
- Describe the use of data in the project design, including delineating data elements/data sets to be utilized to measure performance outcomes, and any restrictions or challenges with the practical use of the data.
- Provide letters of commitment from external agencies or organizations that are expected to participate in the project, to the extent that letters have not already been provided.
- Demonstrate executive support and commitment of agency resources to the project.

Award Special Condition – Withholding of Funds for BJA Action Plan (Category 6 Grantees that Propose Including a Research Partner)

The following information applies solely to Category 6 grantees involving a research component. At the time of award, each grant will have in place a special condition withholding all but \$100,000 of the total award amount, which will allow grantees to establish an action plan within 180 days of receiving final approval of the project’s budget from the Office of the Chief Financial Officer (OCFO). Recipients will not be authorized to obligate, expend, or draw down funds in excess of \$100,000 until BJA has reviewed and approved the action plan and a Grant Adjustment Notice (GAN) has been issued and approved to remove the special condition. The action plan must:

- Describe the policy, practice, or activity to be examined, the problem, and the data that led to its identification.
- Provide a logic model that identifies the solution(s) to be tested and project result(s).
- If applicable, describe the evaluation to be conducted, including an overview of the methods to be used and the research questions to be answered.
- Describe the use of data in the project design, including delineating data elements/data sets to be utilized, data sharing partners, and any restrictions or challenges with the practical use of the data.
- Provide any executed contracts, agreements, or other memoranda of understanding or agreements that delineate the roles and responsibilities of each partner. These documents should establish the authority of the research or data sharing partners to access agency data, interview personnel, and monitor operations that are relevant to the evaluation of the initiative, as applicable.
- Demonstrate executive support and commitment of agency resources to the project. Include letters of commitment from external agencies or organizations that are expected to participate in the project.

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

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

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior

to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#) 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.⁷ The 2017 salary table for SES employees is available on the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. 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.

⁷ 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 "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see the title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJA has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJA has designated the following application elements as critical: Project Abstract, Program Narrative, Budget Detail Worksheet, Project Timeline, Letters of Support or Interagency Agreements, and the Budget Narrative. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and the OJP Grants

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

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for "Legal Name" should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP's financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501C3, etc.) to confirm the legal name, address, and EIN entered into the SF-424.

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

2. Project Abstract

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

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

For each Project Abstract:

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

As a separate attachment, the Project Abstract will **not** count against the page limit for the Program Narrative.

All Project Abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

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

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

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

3. Program Narrative

The Program Narrative must be double-spaced, using a standard 12-point font (Times New Roman is preferred) with no less than 1-inch margins, and must not exceed 20 pages. Number pages "1 of 20," "2 of 20," etc. If the Program Narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

The Program Narrative must respond to the solicitation and include sections a–e below⁸, in order, as part of the Program Narrative. See "Selection Criteria" on page 47 for more information about what each section should include.

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

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

⁸ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

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

Award recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA’s online Performance Measurement Tool (PMT) located at www.bjaperformancetools.org. The following measures are a sampling of the core performance measures for the Comprehensive Opioid Addiction Site-based program. BJA is currently developing the full list of performance measures, which will be made available to applicants in Spring 2017.

Objectives	Catalog ID	Performance Measure	Data Grantee Provides
Objective 1 Encourage and support comprehensive cross-system planning and collaboration	257	Percentages of grantees completing planning activities	For the current reporting period: Baseline: Number of grantees (Data provided by BJA) Number of grantees completed planning activities
	372	Scheduled data collection series and special analysis to be conducted	Number of data sources used for analysis for planning purposes
	242	Percentage of grantees with partners that are actively involved in the program	Baseline: Number of grantees (Data provided by BJA) Indicate your partner’s level of active involvement rated on a 1–5 scale
	458	Percentage of grantees providing training to staff	Baseline: Number of grantees (Data provided by BJA) Indicate whether your agency/organization provided training to staff
	7	Percentage of grantees receiving technical assistance	Indicate whether your agency/organization received technical assistance from a BJA-funded TTA provider
	22	Percentage of grantees conducting prevention activities to reach target population through training or public awareness campaigns or presentations	Indicate whether your agency/organization designed an outreach and prevention strategy Indicate whether your agency/organization provided overdose prevention education and community outreach
Objective 2 Develop and implement strategies to conduct outreach to the survivors of a non-fatal overdose and their family members and	430	Percent of individuals that experienced a non-fatal overdose that received recovery support services	For the current reporting period: Number of new individuals identified eligible to receive services Number of individuals that survived a non-fatal overdose

<p>prioritize services to this population</p>	<p>624</p> <p>313</p> <p>69</p>	<p>Percentage of individuals engaged in services for 30 days or more</p> <p>Percentage of individuals in the program that experience a future overdose event</p> <p>Percentage of family members/friends of survivors of non-fatal overdoses that were referred to services</p>	<p>Of those, the number of individuals that received recovery support services or connected to a peer recovery coach</p> <p>Of those:</p> <ul style="list-style-type: none"> • the number of individuals that were referred to recovery support services • the number of individuals that received those services • the number of individuals engaged in services for 30 days or more • the number of individuals referred to substance abuse treatment services • the number of individuals that experienced a future overdose (6-12 month follow-up) <p>Number of family members and friends identified</p> <p>Of those,</p> <ul style="list-style-type: none"> • number of individuals referred to services
<p>Objective 3 Develop or expand diversion and alternative to incarceration programs in multiple intercepts for justice-involved individuals with a history of opioid misuse</p>	<p>410</p> <p>5</p> <p>242</p> <p>665</p> <p>663</p>	<p>Percentage of grantees that submit a coordinated plan between the SAA and the SSA</p> <p>Percentage of grantees implementing diversion initiatives (by intercept)</p> <p>Percentage of grantees with partners that are actively involved in the program</p> <p>Percentage of individuals experiencing an opioid overdose where naloxone was used and survived</p> <p>Percentage of individuals with a history of opioid use diverted from jail or into a diversion program</p>	<p>For the current reporting period: Baseline: Number of grantees (Data provided by BJA)</p> <p>Submission of a coordinated plan between the SAA and the SSA</p> <p>Baseline: Number of grantees (Data provided by BJA)</p> <p>Number of grantees implementing diversion initiatives (by intercept)</p> <p>Baseline: Number of grantees (Data provided by BJA) Indicate your partner's level of active involvement rated on a 1-5 scale</p> <p>Number of individuals experiencing an opioid overdose where naloxone was used/deployed</p> <p>Number of individuals that survived an opioid overdose as a result of naloxone</p> <p>Number of individuals that did not survive an opioid overdose</p> <p>Number of individuals screened for substance use disorder</p> <p>Number of individuals that were diverted and referred to a diversion program</p>

	239	Percentage of participants who successfully completed the court-based diversion program (alternative to incarceration)	<p>Number of individuals taken to a "police friendly-drop off location (e.g., crisis unit or triage center) to a community based diversion program</p> <p>Number of individuals linked to a peer recovery coach</p> <p>Number of program participants in a court-based diversion program (alternative to incarceration)</p> <p>Number of participants who left the program successfully and unsuccessfully</p>
	55	Percentage of grantees that screened participants using a validated risk/needs assessment	<p>Baseline: Number of grantees (Data provided by BJA)</p> <p>Indicate whether the program screens individuals using a validated risk/needs assessment for substance use disorders</p>
	554	Number of participants who received a risk/need screening	<p>Number of participants assessed as: Low Risk/Need Moderate risk/need High risk/need</p>
	661	Percentage of grantees providing target population with assistance in obtaining health care coverage	<p>Indicate whether the program provided participants with assistance in obtaining health care coverage</p>
	662	Percentage of target population enrolled in a health care plan	<p>Number of program participants found to be eligible for health care coverage</p> <p>Of those eligible participants, the number enrolled in a health care insurance/benefits plan</p>
Objective 4 Develop and implement strategies for the identification, targeting, supervision, and treatment of "high frequency" utilizers of multiple systems (e.g., health care and criminal justice systems) who have a history of opioid misuse	300	Total number of "high frequency" utilizers served	For the current reporting period: Baseline: Data provided by BJA
	624	Percentage of "high frequency" utilizers referred for services that received those services (by type)	List of data types used in analysis to identify "high frequency" utilizers
	190	Percent of "high frequency" utilizers with an individualized comprehensive case management plan	<p>Number of "high frequency" utilizers identified</p> <p>Number of "high frequency" utilizers referred to treatment services</p> <p>Number of "high frequency" utilizers receiving treatment services (by type)</p> <p>Number of "high frequency" utilizers with an individualized comprehensive case management plan</p>
Objective 5	233	Percent of grantees that implemented new	Baseline: Data provided by BJA

<p>Expand the availability of treatment and recovery support services in rural or tribal communities through the use of technology.</p>	<p>233</p>	<p>technology solutions for the purpose of recovery support service provision</p> <p>Number of participants who have access to services through web-based or other innovative technologies</p> <p>[See measures for Objective 2]</p>	<p>Number of grantees implementing new technology solutions for the purpose of recovery support service provision</p> <p>Number of participants who have access to services through web-based or other innovative technologies</p> <p>[See data grantee provides for Objective 2]</p>
<p>Objective 6 Demonstrate the use and efficacy of PDMPs to improve clinical decision-making and support public health surveillance.</p>	<p>614</p> <p>509</p> <p>616</p>	<p>Percent increase in the number of licensed prescriber's trained to use the state's PDMP system</p> <p>Percent increase in reporting compliance</p> <p>Percent change in the number of high-dose painkiller prescriptions filled</p>	<p>Baseline: Data provided by BJA</p> <p>Number of licensed prescribers in the state</p> <p>Number of licensed prescribers formally trained to use the PDMP system</p> <p>Number of licensed prescribers informally trained to use the PDMP system</p> <p>Baseline: Data provided by BJA</p> <p>Number of pharmacies required to report to the PDMP system</p> <p>Of those, number who reported to the PDMP at least once during the 3-month reporting period</p> <p>Baseline: Data provided by BJA</p> <p>Number of adults filling prescriptions for painkillers with a morphine equivalent greater than 100mg per day during the reporting period</p> <p>Number of youth filling prescriptions for painkillers with a morphine equivalent greater than 100mg per day during the reporting period</p> <p>Number of patients receiving a LA/ER opioid without first having an opioid prescription in the previous 60 days</p> <p>Number of patients filling prescriptions for painkillers with a morphine equivalent greater than 100 mg per day during the previous reporting period.</p>
<p>Objective 7 Objectively assess and/or evaluate the impact of innovative and evidence-based strategies to engage and serve justice-involved individuals with a history of opioid misuse</p>	<p>34</p> <p>512</p>	<p>Percent of grantees that are actively involved with their research partner</p> <p>Percent of grantees reporting <u>positive</u> impact of program</p>	<p>Baseline: Number of grantees (Data provided by BJA)</p> <p>Research partner's level of active involvement rated on a 1-5 scale</p> <p>List of activities performed by research partner in support of the program</p> <p>Baseline: Number of grantees (Data provided by BJA)</p>

		Percent of grantees reporting a <u>negative</u> impact of program	List of quantitative measures tracked to determine impact
		Percent of grantees reporting a <u>neutral</u> impact of program	Impact of response on problem area of focus (positive, negative, or neutral)
	630	Percentage of grantees using data to inform project activities	Baseline: Number of grantees (Data provided by BJA) Indicate the data types used in analysis
	84	Percentage of grantees utilizing evidence-based responses	Indicate the project activities informed by data analysis
	398	Number of agencies/entities participating in the multidisciplinary action group	Indicate the agencies/entities participating in the multi-disciplinary action group (by type)

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) web page of the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017," available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

- e. Impact/Outcomes, Evaluation, and Sustainment.

4. Budget and Associated Documentation

a. Budget Detail Worksheet

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

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

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

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

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

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

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

See “Review Criteria” on page 47 for more detail on what a budget should include.

b. Budget Narrative

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

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be

used to reduce costs, without compromising quality.

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

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

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

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

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

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

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

Note: a nonprofit organization that holds money in offshore accounts for the purpose of avoiding pay the tax described in section 511(a) of the Internal Revenue Code of 1986 may not be a party to a contract supported by this award or receive a subaward under this award.

1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ

regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

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

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

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

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

d. Pre-agreement Costs

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

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

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

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

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the "de minimis" rate should attach written documentation to the application that advises OJP of both (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the "de minimis" rate.)

6. Tribal Authorizing Resolution (if applicable)

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

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

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

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic

or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

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

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

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments

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

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

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

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

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

Category 6 applicants MUST include a letter of support from the PDMP administrator if the PDMP is not the applicant but is named as a project partner (especially in cases where data-use agreements will be required).

b. Project Timeline (Required)

Attach a Project Timeline (with an estimated start date of October 1, 2017) with each project goal, related objective, activity, expected completion date, and responsible person or organization.

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

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

d. Position Descriptions (Required)

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

e. Applicant Disclosure of Pending Applications (Required)

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

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

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

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

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

Health and Human Services/Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov
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Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

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

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

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

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

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

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts

may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

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

OR

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

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that

could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

g. Disclosure of Process Related to Executive Compensation

An applicant that is a nonprofit organization (to include any subrecipients or parties to contracts under the award) may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

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

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

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

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

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

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

h. Required Statutory Certifications

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

- Federal funds made available through this grant will not be used to supplant state, local, or tribal funds, but will be used to increase the amounts of such funds that would, in the absence of federal funds, be made available for the activities addressed in the application.
- There has been appropriate coordination with all affected agencies.
- The applicant will work with the Bureau of Justice of Assistance, in collaboration with the Drug Enforcement Administration, to develop an integrated and comprehensive strategy to address opioid abuse.
- The program will agree to work with the selected BJA Comprehensive Opioid Abuse Training and Technical Assistance Provider and/or evaluator to complete a program assessment pursuant to guidelines established by OJP, in coordination with the National Institute of Justice.

How to Apply

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

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

OJP strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

Note on Attachments: Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Please ensure that all required

documents are attached in either Grants.gov category.

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

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

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

All applicants are required to complete the following steps:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

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

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

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

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a

DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.

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

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

Information about SAM registration procedures can be accessed at www.sam.gov.

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance ("CFDA") numbers for this solicitation are 16.838, titled "Comprehensive Opioid Abuse Program," and 16.754, titled "Harold Rogers Prescription Drug Monitoring Program," and the funding opportunity number is BJA-2017-11447.
- 6. Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application:

Category 1: Overdose Outreach Projects. Competition ID: BJA-2017-12480.

Category 2: Technology-assisted Treatment Projects. Competition ID: BJA-2017-12481.

Category 3: System-level Diversion and Alternatives to Incarceration Programs. Competition ID: BJA-2017-12482.

Category 4: Statewide Planning, Coordination, and Implementation Projects. Competition ID: BJA-2017-12483.

Category 5: Harold Rogers Prescription Drug Monitoring Program (PDMP) Implementation and Enhancement Projects. Competition ID: BJA-2017-12484.

CATEGORY 6: Data-driven Responses to Opioid Abuse. Competition ID: BJA-2017-12485.

- 7. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on April 25, 2017.

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

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the NCJRS Response Center identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

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

The following conditions generally are insufficient to justify late submissions:

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

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) web page.

E. Application Review Information

Review Criteria

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

1. Statement of the Problem (15 percent)

All applicants

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

Category 1: Overdose Outreach Projects

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

Category 2: Technology-assisted Treatment Projects

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

Category 3: System-level Diversion and Alternatives to Incarceration

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

Category 4: Statewide Planning, Coordination, and Implementation Projects

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

Category 5: Harold Rogers PDMP Grant Projects – Implementation Applicants

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

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

Category 5: Harold Rogers PDMP Grant Projects – Enhancement Applicants

Applicants seeking to enhance an operational program should:

- Describe the impact that the misuse and diversion of controlled substances is having on your state. Provide data to support your discussion.
- State the total number of prescribers in the past year who have prescribed a controlled substance.
- State the total number of prescribers in the past year who have prescribed a controlled substance, including the percentage of those prescribers who are registered with the state PDMP.
- State the percentage of prescribers who have prescribed a controlled substance in the past month who have checked the PDMP database.
- Describe any changes in the state (rules, regulations, legislative changes) in the last year that have impacted how the PDMP operates.
- Describe current training and registration efforts taken, to date.
- Describe the results of any completed program analysis or evaluation and the weaknesses of the current system.
- For applicants proposing to implement information sharing with other state PDMPs using the PMIX specifications, discuss the need for interstate data sharing; describe the current barriers in place to implement interstate data sharing; and discuss the efforts that have been taken to implement interstate data sharing.

Category 6: Data-driven Responses to Prescription Drug Abuse

Applicants should:

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

2. Project Design and Implementation (35 percent)

All Applicants

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

- Clearly articulate the goals established for this project and connect them to the overarching goals of the solicitation set forth on page 8.
- Describe how the proposed project addresses the mandatory project components outlined on pages 9–19 and describe, in detail, how the project will be implemented.

- Describe which areas the proposed project will address (refer to the “Allowable Uses for Award Funds” section for the appropriate category on pages 10–19).
- Explain how the proposed project will support and/or enhance the local, state, or tribal government’s capacity to respond to opioid misuse. If a regional approach is proposed, explain how the proposed activities will address regional challenges.
- If applicable, describe how the applicant will address the priority considerations.

Category 1: Overdose Outreach Projects

- Identify whom the applicant plans to collaborate with, their responsibilities, and how they will support the project.
- Discuss any previous collaboration that occurred that will help to achieve these goals. Explain existing partnership agreements.
- Describe the data that are available and needed for the project. This should include a list of who collects and owns this information and their organizational commitment to finding a way to safely and appropriately share the information for the purposes of this project
- Describe the roles and responsibilities of the project coordinator.
- If applicable, describe the roles and responsibilities of the research partner in the project. At a minimum, the research partner should provide ongoing analysis, monitoring, and assessment of the solution’s impact; and prepare a final report that thoroughly assesses the results of the project.

Category 2: Technology-assisted Treatment Projects

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

Category 3: System-level Diversion and Alternatives to Incarceration

- Identify whom the applicant plans to collaborate with, their responsibilities, and how they will support the project.
- Discuss any previous collaboration that occurred that will help to achieve these goals. Explain existing partnership agreements.
- Describe the data that are available and needed for the project. This should include a list of who collects and owns this information and their organizational commitment to finding a way to safely and appropriately share the information for the purposes of this project.
- Describe how the planning team will inventory the policies, programs, and services currently in use that may minimize contact or deeper involvement for these individuals in the criminal justice system, and identify gaps.
- Describe the roles and responsibilities of the project coordinator.
- If applicable, describe the roles and responsibilities of the research partner in the project. At a minimum, the research partner should provide ongoing analysis, monitoring, and assessment of the solution’s impact; and prepare a final report that thoroughly assesses the results of the project.

Category 4: Statewide Planning, Coordination, and Implementation Projects

For applicants under Category 4a:

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

For applicants under Category 4b:

- Describe how subgrants will be used to engage and retain justice-involved individuals in treatment recovery support services; increase the use of diversion and/or alternatives to incarceration; or reduce the incidence of overdose death.
- Describe if the proposed initiatives to be funded have been identified in an existing state plan or will be identified as part of the plan developed under Category 4a.
- Describe how subgrantees have been selected or will be selected during the grant period.
- Describe what role, if any, state agencies will have in providing oversight to the subgrantees.

Category 5: PDMP Implementation and Enhancement

- Summarize the current strategy to reduce the misuse and diversion of pharmaceutical controlled substances, and how the proposal supports or expands upon it.
- Describe how the state's PDMP fits into existing state opioid strategies. Where relevant, identify the statutory authority and/or restrictions for the prescription drug monitoring database, the state agency that has been designated to carry out the legislative mandates, and how the applicant agency is positioned to implement the activities proposed.
- Applications that are proposing to implement information sharing with other state PDMPs: identify the authority (either through statute or regulation) that allows information sharing with other states and describe the agency's capacity and readiness to implement the activities required for information sharing. Describe how the proposed technical solution used to support interstate data sharing is compliant with the National PMIX Architecture. For instance, if an interstate data-sharing hub has been certified as PMIX compliant, convey this information.

Category 6: Data-driven Responses to Prescription Drug Abuse

- Identify whom the applicant plans to collaborate with (e.g., research partner; emergency department representatives; state, regulatory, and law enforcement officials; public health officials; child welfare practitioners; treatment agency representatives; drug court officials; researchers; etc.), their responsibilities, and how they will support the project.
- Discuss any previous collaboration that occurred that will help to achieve these goals. Explain existing partnership agreements.
- Describe the data that are available and needed for the project. These should include a list of who collects and owns this information and their organizational

commitment to finding a way to safely and appropriately share the information for the purposes of this project.

- Describe how best practices will be identified and shared.
- If an evaluation is proposed, articulate how an in-depth evaluation of the subject will provide meaningful insights into solving local, state, or regional challenges while contributing to the national body of knowledge with respect to PDMP best practices.

3. Capabilities and Competencies (25 percent)

All Applicants

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

Category 1: Overdose Outreach Projects

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

- Making recommendations for program improvement
- Developing "real-time" products and resources for strategic decision-making
- Working with a team to develop a sustainability plan
- Communicating with a wide variety of public sector, private, and community individuals who may be called upon to help present or support the evaluation findings, conclusions, and recommendations

Category 2: Technology-assisted Treatment Projects

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

Category 3: System-level Diversion and Alternatives to Incarceration

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

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

Category 6: Data-driven Responses to Prescription Drug Abuse

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

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

All Applicants

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

Category 1: Overdose Outreach Projects

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

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

All Applicants

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

Category 1: Overdose Outreach Projects and Category 3: System-level Diversion and Alternatives to Incarceration

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

If an independent research partner is proposed:

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

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

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

Category 6: Data-driven Responses to Prescription Drug Abuse

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

If an independent research partner is proposed:

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

6. Budget (10 percent)

All Applicants

- Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) and includes the required meetings budgeted for each year. The budget narrative should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. The budget narrative should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁹
- Include an appropriate percent of the total grant award for research, data collection, performance measurement, and performance assessment. There is no minimum or maximum requirement regarding what constitutes an appropriate percent; however, the budget designated should be adequate to fund the activities outlined in the application. The budget narrative should explain how the amount dedicated to these activities is adequate to support the proposed activities.
- Where required, include appropriate funding for the project coordinator.
- Applicants must budget funding to travel to DOJ-sponsored grant meetings. BJA anticipates several meetings will occur during the grant period for which applicants must budget their travel. Category 1, Category 2, Category 3, Category 4 and Category 6 applicants should budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C. The purpose of this travel may vary according to funding category and specific project goals; however, BJA wants to ensure that all grantees have the opportunity to present their work and collaborate with their peers and other national and federal stakeholder groups. Category 5 applicants should budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend a national meeting in Washington, D.C. Each national meeting should be budgeted for 3 days. Applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.

Category 2 Technology-assisted Treatment Projects

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

- No more than 10 percent of the proposed budget may be used to purchase and maintain web-based services and electronic applications that can be accessed from computers, tablets, and/or smart phone devices that are designed to enhance or support treatment and recovery support services (e.g., apps for self-management through reminders and educational prompts).
- No more than 10 percent of the proposed budget may be used to purchase or lease devices that allow for the remote monitoring of justice-involved individuals (e.g., applications or services that remotely monitor the location of an individual or monitor substance use remotely).
- If the proposed project is part of a diversion or alternative to incarceration program, up to 20 percent of the proposed budget may be used to support remote, secure, and private two-way, real-time, interactive audio and video connections between the

⁹ 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.

supervision officer and the client located at another location in the community. (See the previous note about budget restrictions associated with remote monitoring.)

- No more than 50 percent of the proposed budget may be used to provide technology-assisted treatment and recovery support services to an incarcerated population.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

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

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

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJA may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIIS”).

Important note on FAPIIS

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

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

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

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and BJA recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection

with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)," available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

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

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJA expects that any award under categories 1-5 in this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the "substantial federal involvement" in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

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

General Information about Post-Federal Award Reporting Requirements

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

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future

awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

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

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

G. Federal Awarding Agency Contact(s)

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

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

H. Other Information

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

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

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

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify -- quite precisely -- any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an

independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

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

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

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

Application Checklist
FY 2017 Comprehensive Opioid Abuse Site-based Program

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

_____ Acquire a DUNS Number (see page 44)

_____ Acquire or renew registration with SAM (see page 45)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 45)

_____ Acquire AOR confirmation from the E-Biz POC (see page 45)

To Find Funding Opportunity:

_____ Search for the Funding Opportunity on Grants.gov (see page 45)

_____ Select the correct Competition ID (see page 45)

_____ Download Funding Opportunity and Application Package

_____ Sign up for Grants.gov email [notifications](#) (optional)

_____ Read [Important Notice: Applying for Grants in Grants.gov](#)

_____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 25)

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

_____ (1) application has been received,

_____ (2) application has either been successfully validated or rejected with errors

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

_____ contact the NCJRS Response Center regarding experiencing technical difficulties

Overview of Post-Award Legal Requirements:

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

Scope Requirement:

_____ The federal amount requested is within the allowable limits and not to exceed:

_____ \$300,000 for Category 1: Overdose Outreach Projects

_____ \$750,000 for Category 2: Technology-assisted Treatment Projects

_____ \$400,000 for Category 3: System-level Diversion and Alternatives to Incarceration

_____ \$100,000 for Category 4a: Statewide Planning, Coordination and Implementation

_____ \$750,000 for Category 4b

_____ \$850,000 for Category 4a and 4b

_____ \$400,000 for Category 5: Harold Rogers PDMP Implementation and Enhancement Grant

_____ \$600,000 for Category 6: Data-driven Responses to Prescription Drug Misuse

_____ \$1,000,000 if regional

_____ Applicants wishing to apply under multiple categories have submitted a separate application for each category of funding.

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

Eligibility Requirements:

_____ The applicant is eligible to apply if:

_____ **Category 1: Overdose Outreach Projects** – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

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

_____ **Category 3: System-level Diversion and Alternatives to Incarceration** – Applicants are limited to units of local government and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

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

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

_____ **Category 6: Data-driven Responses to Prescription Drug Misuse** – Applicants are limited to state agencies and units of local government located in states with existing and operational prescription drug monitoring programs, and federally recognized Indian tribal governments (as determined by the Secretary of the Interior).

What an Application Should Include:

- | | |
|------------------------------------------------------------------------------------------------------------|---------------|
| _____ Application for Federal Assistance (SF-424) | (see page 26) |
| _____ *Project Abstract (including affirmation of evidence-based program features and total budget amount) | (see page 27) |
| _____ *Program Narrative | (see page 28) |
| _____ *Budget Detail Worksheet and *Budget Narrative | (see page 34) |

- _____ **Category 1: Overdose Outreach Projects** – Budget for travel expenses (airfare, hotel, per diem and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.
- _____ **Category 2: Technology-assisted Treatment Projects** – Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.
- _____ **Category 3: System-level Diversion and Alternatives to Incarceration** – Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.
- _____ **Category 4: Statewide Planning, Coordination, and Implementation** – Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.
Applicants for Subcategory 4b should ensure that all federal funds are passed through to localities within the state; except to the extent those funds are included in a current federally approved indirect cost rate and amount to no more than 10 percent of the grant amount.
- _____ **Category 5: Harold Rogers PDMP Implementation and Enhancement Grant** – Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend a national meeting in Washington, D.C. Each national meeting should be budgeted for 3 days. Applicants should also budget for at least two staff to attend a 2-day regional meeting held annually.
- _____ **Category 6: Data-driven Responses to Prescription Drug Misuse** – Budget for travel expenses (airfare, hotel, per diem, and group transportation) for two staff to attend two face-to-face meetings in year 1 of the grant and one face-to-face meeting each year thereafter for the life of the grant. Each meeting should be budgeted for 3 days each in Washington, D.C.

- _____ Indirect Cost Rate Agreement (if applicable) (see page 36)
- _____ Tribal Authorizing Resolution (if applicable) (see page 37)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 37)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 39)
- _____ Additional Attachments (see page 38)
- _____ Required Statutory Certifications (see page 43)
- _____ *Project Timeline (Required) (see page 39)
- _____ *Letters of Support or Interagency Agreements (see page 38)

_____ **Category 2: Technology-assisted Treatment Projects** – Submit letters of support and/or an interagency agreement from the [State Administrative Agency](#) responsible for directing criminal justice planning and coordination and the [Single State Agency](#) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or interagency agreement should clearly articulate the level of involvement each agency will have in the proposed project.

_____ **Category 3: System-level Diversion and Alternatives to Incarceration** –

Submit letters of support and/or an interagency agreement from the proposed planning team members.

_____ **Category 4: Statewide Planning, Coordination, and Implementation** – Submit letters of support and/or an interagency agreement from the [State Administrative Agency](#) responsible for directing criminal justice planning and coordination and the [Single State Agency](#) for Substance Abuse Services indicating that they have agreed to partner on this project. The letters or Interagency Agreement should clearly articulate the level of involvement each agency will have in the proposed project. Applicants seeking priority consideration should also include letters of support from all of the following agencies:

- The Administrative Office of the Courts
- Representatives from probation and parole and/or community corrections
- Representatives from child welfare
- Representatives from law enforcement, including the Drug Enforcement Agency (DEA) and your local High Intensity Drug Trafficking Area (HIDTA), if applicable
- County/city representation

_____ **Category 6: Data-driven Responses to Prescription Drug Misuse** – Applicants MUST include a letter of support from the PDMP administrator if the PDMP is not the applicant but is named as a project partner (especially in cases where data-use agreements will be required).

_____ Position Descriptions

_____ **Category 1: Overdose Outreach Projects** – Provide a job description for the project coordinator, who dedicates a portion of their time beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phase. No less than 50 percent of the project coordinator's time should be directed toward the BJA-funded project activities.

_____ **Category 2: Technology-assisted Treatment Projects** – Provide a job description for the project coordinator, who dedicates a portion of their time beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phase. No less than 50 percent of the project coordinator's time should be directed toward the BJA-funded project activities.

_____ **Category 3: System-level Diversion and Alternatives to Incarceration** – Provide a job description for the project coordinator, who dedicates a portion of their time beyond their normal job duties to manage the day-to-day operations of the initiative during the planning and implementation phase. No less than 50 percent of the project coordinator's time should be directed toward the BJA-funded project activities.

_____ Applicant Disclosure of Pending Applications

_____ Disclosure of Process Related to Executive Compensation (see page 42)

_____ Research and Evaluation Independence and Integrity, if required (see page 40)

_____ Request and Justification for Employee Compensation; Waiver (if applicable)
(see page 25)

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