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

OMB No. 1121-0329

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA) is pleased to announce that it is seeking applications for funding under the Harold Rogers Prescription Drug Monitoring Program. This program furthers the Department's mission by breaking the cycle of drug abuse and violence by reducing demand and enforcing laws to reduce and prevent the misuse and abuse of prescription drugs.

Harold Rogers Prescription Drug Monitoring Program FY 2011 Competitive Grant Announcement

Eligibility

Planning Grants (Category 1): Applicants are limited to state[1] governments **without** enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency.

Implementation (Category 2) and Enhancement Grants (Category 3): Applicants are limited to state governments that have in place an enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency.

Note: States with pending legislation or regulations may apply for an implementation grant, but will not be awarded an implementation grant unless the legislation or regulations are in place at the time that funding decisions are made by BJA.

Within Category 3 in FY 2011, funding priority will be given to state applicants who propose to implement information sharing with other state Prescription Drug Monitoring Programs within the grant period using the prescription monitoring information exchange specifications.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 12.) All applications are due by 11:59 p.m. eastern time on May 19, 2011. (See "Deadlines: Registration and Application," page 4.)

Contact Information

For technical assistance with submitting the application, contact Grants.gov Customer Support Hotline at 800–518–4726 or via e-mail to support@grants.gov.

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

[1] "States" includes the 50 states, the District of Columbia, Commonwealth of Puerto Rico, Northern Mariana Islands, U.S. Virgin Islands, Guam, and American Samoa.

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

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Harold Rogers Prescription Drug Monitoring Program (CFDA #16.754)

Overview

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

BJA was first appropriated funding for the Harold Rogers Prescription Drug Monitoring Program in FY 2002 and has received an appropriation every subsequent year. On August 11, 2005, the National All Schedules Prescription Electronic Reporting Act of 2005 (NASPER) was signed into law. Under NASPER, a formula grant program for state prescription monitoring programs was created to be administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). Please note that currently, states can participate in both funding programs, but requirements and priorities for each program may vary. A comparison of these programs is attached.

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on May 19, 2011. Please see the "How to Apply" section, page 12 for more details. Please note that while the deadline for submission is 11:59 p.m. eastern time on May 19, 2011, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see "Contact Information" on the title page for more information about BJA's Justice Information Center).

Eligibility

Please refer to the title page for eligibility under this program.

Harold Rogers Prescription Drug Monitoring Program—Specific Information

Goals and Objectives

PDMPs help prevent and detect the diversion and abuse of pharmaceutical controlled substances. Thirty-four states now have operational PDMPs and nine states and one U.S. territory (Guam) have enacted legislation to establish a PDMP but are not fully operational. Under the BJA grant program, 15 awards were made in FY 2010 for states to plan for, implement, or enhance a PDMP. Since inception of the grant program in FY 2002, grants have been awarded to 47 states and 1 U.S. territory to support their efforts to plan, implement, or enhance a PDMP. Although the program has largely met its goal of funding the implementation

of PDMPs in every state, continued congressional appropriation for the program will ensure that states can continue to expand and achieve greater outcomes. Performance measure data results for current grantees can be found at: www.ojp.usdoj.gov/BJA/grant/prescripdrugs.html.

The Harold Rogers Prescription Drug Monitoring Program allows for state discretion as they plan, implement, or enhance a PDMP to accommodate local decision-making based on state laws and preferences, while encouraging the replication of promising practices.

Grant funds under this program can be used to:

- Build a state-level data collection and analysis system to enhance the capacity of regulatory and law enforcement agencies and public health officials for future prevention efforts.
- Enhance existing programs' abilities to analyze and use collected data to identify drug abuse trends, identify and address sources of diversion, and increase the number of users of the PDMP.
- Facilitate and participate in national evaluation efforts to assess efficiency and effectiveness.
- Encourage and implement the exchange of information among states to prevent cross-border diversion.
- Assess the efficiency and effectiveness of state-level programs to make improvements and encourage additional states to implement programs.
- Enhance collaborations with law enforcement, prosecutors, treatment professionals, the medical community, and pharmacies to establish a comprehensive PDMP strategy.

Based on promising practices identified by existing programs, BJA encourages PDMPs to include:

- The required electronic submission of data for prescriptions in Schedules II, III, IV, and/or V and other scheduled listed chemical products.
- The submission of data elements consistent with standards established by the American Society for Automation in Pharmacy.
- Access to collected data by federal, state, and local law enforcement and public health officials.
- Confidentiality and privacy provisions regarding the collected data.
- The authority and capability to exchange information with other state PDMPs.

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

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

Priority Consideration:

Within Category 3 in FY 2011, funding priority will be given to applicants who propose to implement information sharing with other state PDMPs within the grant period using the prescription monitoring information exchange (PMIX) specifications.

The PMIX project allows states to share data seamlessly back and forth across state borders. The specific technology used, known informally as the PMIX hub server, significantly reduces the cost and effort that would be required to implement a communications link with every single

exchange partner state. This single link allows a state PDMP to process a request for information from one of its authorized users to additional states by transmitting one request to the PMIX hub server; rather than transmitting individual requests to each state being queried. While providing a central query and routing mechanism simplifies the process of interstate sharing, the PMIX hub retains no prescription or confidential data whatsoever, thus protecting each state's ability to control access to its own data.

The benefits of PMIX for states include the following:

- PMIX technology offers the ability to share and query PMP data nationwide, while preserving local control and allowing state authorities to determine how and with whom the information can be shared.
- PMIX implements open standards including NIEM and JRA (maybe hyperlink to each site for background) which meet certain federal grants requirements for funding recipients. In addition, use of these consensus-driven standards will enable states to establish a single connection to PMIX using any PMP system they desire, which will then provide access to every other state without the need for further development.
- PMIX was designed and is owned directly by the states through leadership from the Alliance of States with Prescription Monitoring Programs (ASPMP) and participants in the PMIX working group, which brought together experts from PMP programs, private industry, and government agencies to achieve consensus on the PMIX system. This consensus process will define system requirements and updates in the future with decision making directly in the hands of state PMP administrators.

For more information on PMIX including guidance documents and sample state agreements, please visit the Alliance of States with Prescription Monitoring Programs website at: www.pmpalliance.org/content/prescription-monitoring-information-exchange-pmix.

Amount and Length of Awards

A state should submit one application only in either Category 1, 2, or 3.

Pending the outcome of the FY 2011 appropriations process anticipated in March 2011, BJA may make as few as no awards or make multiple awards this fiscal year under this program.

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

CATEGORY 1: PLANNING. Up to: $50,000. Project period: 18 months. Competition ID: BJA-2011-2984.
States without a PDMP may apply for a planning grant, and need not have legislation or regulations pending or in place. Funds may be used to assist states in planning for a data collection and analysis system. Activities could include creating a planning advisory committee and ensuring key stakeholders in the state are involved in the planning process.

CATEGORY 2: IMPLEMENTATION. Up to: $400,000. Project period: 24 months. Competition ID: BJA-2011-2985.
States that have in place legislation or regulations that require the submission of dispensing data to a centralized database and authorize and/or designate a state agency to provide program oversight and implementation may apply for an implementation grant. States with legislative authority to establish a pilot program in one or more jurisdictions of that state also

may apply for an implementation grant. Funds may be used to plan, establish, and build a data collection and analysis system; develop an infrastructure to support programmatic activities; facilitate the exchange of information and collected prescription data and other scheduled chemical products among states; facilitate the establishment of collaborations; develop a training program for system users; produce and disseminate educational materials; and assess the efficiency and effectiveness of the program.

CATEGORY 3: ENHANCEMENT. Up to: $400,000. Project period: 24 months. Competition ID: BJA-2011-2986.
States seeking to improve existing PDMPs are eligible to apply for an enhancement grant. Funds may be used to enhance the functioning of a data collection and analysis system; enhance an existing educational or training program; support collaborations with law enforcement and prosecutors or public health officials; support collaborations with treatment providers and drug courts; facilitate electronic information sharing among states using PMIX specifications; expand monitoring to Schedules III, IV, and V; and assess the efficiency and effectiveness of the program. If proposing to assess the efficiency and effectiveness of a program, applicants are strongly encouraged to partner with local universities and/or state agencies in order to evaluate the program as it relates to prescription drug diversion and overdose.

Under Category 3, priority will be given to states seeking to implement interstate data exchanges with other states using the Prescription Monitoring Program Information Exchange (PMIX) specifications. Funds should be used to implement information sharing with other state PDMPs within the grant period using the Prescription PMIX specifications. Applicants are required to submit a Letter of Commitment from another state that demonstrates commitment to share data with the applicant state once the technology and appropriate agreements are in place. Guidance materials and technical assistance are available to all state PDMPs who have the authority to exchange data beyond their state border. States that receive funding to engage in PMIX will be required to participate in a BJA Implementation Working Group to ensure states can work together for timely implementation.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than $250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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

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

Match Requirement: This solicitation does not require a match.

Performance Measures

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

Program Goals	Performance Measures	Data Grantee Provides
1) Reduce the rate of "inappropriate use or dispensing of prescription drugs."	The number of Licensed PRESCRIBERS, DISPENSERS, and INDIVIDUALS AUTHORIZED TO CONDUCT INVESTIGATIONS that were trained in the use of the state's PDM system.	• For this reporting period, how many licensed PRESCRIBERS were trained formally (in a classroom setting) in the use of the PDM system? • For this reporting period, how many licensed PRESCRIBERS were trained informally (e.g., via the Internet, mass mailings, and so on) in the use of the PDM system? • For this reporting period, how many licensed PRESCRIBERS are there in your state? • For this reporting period, number of licensed PRESCRIBERS in your state that issued one or more controlled substance prescriptions. • For this reporting period, how many licensed DISPENSERS were trained formally (in a classroom setting) in the use of the PDM system? • For this reporting period, how many licensed DISPENSERS were trained informally (e.g., via the Internet, mass mailings, and so on) in the use of the PDM system? • For this reporting period, how many licensed DISPENSERS are there in your state? • For this reporting period, how many INDIVIDUALS AUTHORIZED TO

		CONDUCT INVESTIGATIONS were trained formally (in a classroom setting) in the use of the PDM system? • For this reporting period, how many INDIVIDUALS AUTHORIZED TO CONDUCT INVESTIGATIONS were trained informally (e.g., via the Internet, mass mailings, and so on) in the use of the PDM system? • For this reporting period, how many INDIVIDUALS AUTHORIZED TO CONDUCT INVESTIGATIONS are there in your state?
	The number of coroner reports that indicate controlled prescription drug use as the primary or contributing cause of death.	• For this reporting period, how many coroner reports indicated that controlled prescription drug use was the primary or contributing cause of death?
2) Reduce the quantity of pharmaceutical controlled substances obtained by individuals attempting to engage in fraud and deceit (i.e., "doctor shopping").	Increase in reports generated.	• For PRESCRIBERS: o For this reporting period, how many solicited reports were produced? o For this reporting period, how many unsolicited reports were produced? • For DISPENSERS: o For this reporting period, how many solicited reports were produced? o For this reporting period, how many unsolicited reports were produced? • For INDIVIDUALS AUTHORIZED TO CONDUCT INVESTIGATIONS: o For this reporting period, how many solicited reports were produced? o For this reporting period, how many unsolicited reports were produced?
	The number of individuals that filled prescriptions from multiple pharmacies.	• For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II drugs? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II drugs from 5 or more PRESCRIBERS at 5 or more pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II drugs from 10 or more PRESCRIBERS at 10 or more

		pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II drugs from 15 or more PRESCRIBERS at 15 or more pharmacies?
		• For this reporting period, how many non-liquid doses of the following were associated with INDIVIDUALS that filled prescriptions for Schedule II drugs: o Pain relievers. o Tranquilizers. o Stimulants. o Sedatives. • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III drugs? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III drugs from 5 or more PRESCRIBERS at 5 or more pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III drugs from 10 or more PRESCRIBERS at 10 or more pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III drugs from 15 or more PRESCRIBERS at 15 or more pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III, IV drugs? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III, IV drugs from 5 or more PRESCRIBERS at 5 or more pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III, IV drugs from 10 or more PRESCRIBERS at 10 or more pharmacies? • For this reporting period, how many INDIVIDUALS filled prescriptions for Schedule II, III, IV drugs from 15 or more PRESCRIBERS at 15 or more pharmacies?

		• For this reporting period, how many non-liquid doses of the following were associated with INDIVIDUALS that filled prescriptions for Schedule II, III, IV drugs: o Pain relievers. o Tranquilizers. o Stimulants. o Sedatives.
3) Increase coordination among PDMP partners (e.g., regulatory, health, law enforcement agencies).	The number of licensed PRESCRIBERS and DISTRIBUTORS trained formally in coordinating and sharing data.	• How many licensed PRESCRIBERS and DISTRIBUTORS were trained formally in coordination and data sharing? • How many PDMP partners were trained in coordination of data sharing?
4) Involve stakeholders in the planning process.	For planning grantees: Percentage of stakeholder involvement.	• Number of stakeholders engaged in the project through memorandums of understanding, meeting attendance, etc. • Total number of stakeholders necessary to affect policy change.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section "What an Application Should Include" (below) for additional information.

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

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

Notice of New Post-Award Reporting Requirements

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

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

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800**–**518**–**4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

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

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a

requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password**. Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

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. Please note that there can be more than one AOR for the organization.

5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.754, titled *"*Harold Rogers Prescription Drug Monitoring Program*,"* and the funding opportunity number is BJA-2011-2983.

6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. The 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."

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJA staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late

application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page, www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative and a budget detail worksheet including a budget narrative, will neither proceed to peer review nor receive further consideration.

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

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

2. **Program Abstract**
   Applicant should provide an abstract identifying the applicant's name, title of the project, dollar amount requested, category for which the applicant is applying, and the statute that provides for a prescription drug monitoring database (Category 2 or 3applicants). The abstract should include a brief summary of the goals of the proposed project and a listing of the key/major deliverables of the proposed project. Applicant should use a standard 12-point font (Times New Roman is preferred) with 1-inch margins and should not exceed 1 page.

3. **Program Narrative**
   The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and must not exceed 20 pages. Please number pages "1 of 20," "2 of 20," etc. If the program narrative fails to comply with these length-

related restrictions, noncompliance may be considered in peer review and in final award decisions.

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

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

Further information is available under the Selection Criteria section, page 16.

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

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

Additional Budget Requirements:

- For Category 1 Planning applicants, include funding to support at least two staff to attend one 3-day national meeting in Washington, DC and one 2-day regional meeting within your region.
- For Category 2 Implementation or Category 3 Enhancement applicants, include funding to support at least two staff to attend two 3-day national meetings in Washington, DC and one 2-day regional meeting within your region.
- For Category 3 Enhancement grants, up to 25 percent of enhancement funding can be used toward PDMP operating expenses. The remaining funds must be used to enhance the functioning of an existing program.

5. **Indirect Cost Rate Agreement** (if applicable)
   Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm.

6. **Additional Attachments: Logic Model, Project Timeline, and Position Descriptions**
   Attach a *Logic Model* that links key project activities with program goals and performance measures (for details on the PDMP logic model, see the PDMP FAQs); *Project Timeline* (with an estimated start date of October 1, 2011) with each project goal, related objective, activity, expected completion date, and responsible person or organization; and *Position Descriptions* for key positions. Do not include materials not requested in this attachment; additional material will not be reviewed.

7. **Other Standard Forms**
   Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.usdoj.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

   a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds).

   b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).

   c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded).

   d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds).

Selection Criteria

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

1. **Statement of the Problem (15 percent of 100)**
   Describe the impact that the abuse and diversion of controlled substances is having on your state. Provide data to support your discussion.

Explain the status of the PDMP in your state:

- For Planning applicants (Category 1), discuss the efforts that have been made to date in planning for a PDMP.
- For Implementation applicants (Category 2), discuss the efforts that have been taken to implement the system, in which department/agency the program will be housed, how many prescribers and dispensers there are in the state, and any problems they anticipate in implementing a program/pilot full scale.
- For Enhancement applicants (Category 3), discuss the current registration and utilization of the system of prescribers, dispensers, and law enforcement, how many dispensers report to the system, current training and registration efforts taken to date, results of any completed program analysis or evaluation, and the weaknesses of the current system. For applicants proposing to implement information sharing with other state PDMPs using the PMIX specifications, discuss the need for interstate data sharing, describe the current barriers in place to implement interstate data sharing, and discuss the efforts that have been taken to implement interstate data sharing.

2. Program Design and Implementation (40 percent of 100)

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

For Category 3 applications that are proposing to implement information sharing with other state PDMPs using the PMIX specifications, identify the authority (either through statute or regulation) that allows information sharing with other states and describe the agency's capacity and readiness to implement the activities required for information sharing.

Program Implementation (20 percent of 100): Describe what the state proposes to do and how the state will do it. Include a logic model and a project timeline. Explain how each task will support and/or enhance the development of the PDMP.

For Category 3 applications that are proposing to implement information sharing with other state PDMPs using the PMIX specifications, applicants must clearly demonstrate the program implementation plan to become fully engaged in the PMIX system to share data with other states by the end of the grant period.

Collaboration (10 percent of 100): Identify who the state agency will collaborate with (e.g., state, regulatory, and law enforcement officials; public health officials; state substance abuse director; consumers), their responsibilities, and how the state will involve them in planning and/or implementing/enhancing the PDMP or implementing interstate data sharing and providing outreach to the community. Describe the strategy to collaborate with other public and private agencies and organizations. Include any previous collaboration that occurred in the PDMP that will help to achieve these goals.

3. **Capabilities/Competencies (15 percent of 100)**
   Describe the management structure and staffing, specifically identifying the key person responsible for carrying out program activities. Demonstrate the capability to implement the project successfully.

4. **Plan for Collecting the Data Required for this Solicitation's Performance Measures and Other Outcome Measures (10 percent of 100)**
   For Planning Applicants (Category 1), identify a plan for responding to BJA performance measures and who will be responsible for data collection.

   For all other applicants (Categories 2 or 3), explain how the state will know if the program works in order to assess the impact of its efforts. Describe the data the state has access to and/or will collect to show a reduction in diversion, abuse, and inappropriate use as a result of program implementation or enhancement. Explain what will be measured, how the information will be used, and who is responsible for reporting on BJA performance measures. Current grantees should describe their progress toward compliance with current BJA performance measurement data reporting.

5. **Plan for Measuring Program Success to Inform Plans for Sustainment (10 percent of 100)**
   Describe how efforts and partnerships will be leveraged to build long-term support and resources to sustain the PDMP or the planning process when the federal grant ends. Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

6. **Budget (10 percent of 100)**
   Provide a proposed budget for the entire project period that is complete, allowable, cost effective, and tied to the proposed activities. See the additional budget and budget narrative requirements on page 15.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Assistance 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. The Bureau of Justice Assistance may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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

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

Additional Requirements

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

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations

- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of $5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

Application Checklist
FY 2011 Harold Rogers Prescription Drug Monitoring Program

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

Eligibility Requirement:

_____ Applicant is a state government.
_____ The federal amount requested is within the allowable limit(s) of: Category 1: $50,000; Category 2: $400,000; or Category 3: $400,000.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 14)
_____ Program Abstract (see page 14)
_____ Program Narrative* (see page 14)
_____ Budget Detail Worksheet* (see page 15)
_____ Budget Narrative* (see page 15)
_____ Indirect Cost Rate Agreement (if applicable) (see page 16)
_____ Logic Model (see page 16)
_____ Project Timeline (see page 16)
_____ Position Descriptions (see page 16)
_____ Other Standard Forms as applicable (see page 16), including:
- _____ Disclosure of Lobbying Activities (if applicable)
- _____ Accounting System and Financial Capability Questionnaire (if applicable)

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