

Notices regarding the solicitation “FY 2019 DNA Capacity Enhancement for Backlog Reduction (CEBR) Program (Formula)”

May 14, 2019: The deadline for applications was extended to May 14, 2019 at 11:59 p.m. eastern time.

April 29, 2019: NIJ would like to provide a clarification with regard to section 8 of unallowable expenses on page 16 of the solicitation. Rapid DNA systems to be purchased for use under the FBI Modified Rapid DNA analysis protocol, including personnel, validation, and supply costs, **are** allowable under the FY2019 DNA CEBR Program.

April 15, 2019: NIJ would like to provide a clarification from the webinar for the FY 2019 CEBR solicitation regarding the secondary formula allocation. During the webinar it was erroneously stated that the secondary allocation could only be used for tasks and allowable expenses associated with SAK analyses. This is incorrect. The secondary allocation may be used for any allowable expenses on any type of casework with the understanding that the “test all” legislation adds significant work to your respective caseloads. The secondary funding does not have to be tracked separately for metrics/performance measures but can simply be included in your normal reporting procedures.

Changes have been applied to the webinar transcript on pages x and xiii.

April 5, 2019: The March 26, 2019 webinar for this funding opportunity has been uploaded online, and can be viewed here: <https://youtu.be/51oNAqmJTGk>.

April 4, 2019: Chart 2 under Appendix A was updated to include estimated aggregate amounts available for each state (secondary amount).

April 3, 2019: On March 26, 2019, NIJ hosted a webinar which included an overview and discussion on this funding opportunity. The slides and transcript from this webinar have been added to the end of this solicitation document.

April 3, 2019: Information clarifying how the secondary allocation will be applied was updated throughout Section B. Federal Award Information; with clarifications also made under “Chart 2: Estimated Aggregate Amounts Available for Each State (Secondary Amount) – FY 2019” and under “Appendix C: Application Checklist.”

March 26, 2019: On the “Casework Laboratories” table under “Baseline Backlog Data,” the year seeking measurements for average number of days needed to complete (including peer review and report) non-priority forensic DNA cases for calendar year was changed from 2017 to 2018.

March 14, 2019: The year used to calculate the secondary amount described on page 7 under item 2. "Secondary Amount (Estimated Aggregate Amount Available – \$12 million)" in Section B. Federal Award Information was changed from 2016 to 2017.

The original solicitation document begins on the next page.



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for the FY 2019 DNA Capacity Enhancement for Backlog Reduction (CEBR) program. This program furthers the Department's mission by funding States and units of local government with existing crime laboratories that conduct DNA analysis to increase the capacity of publicly funded forensic DNA and DNA database laboratories to process more DNA samples, thereby helping to reduce the number of forensic DNA and DNA database samples awaiting analysis and/or prevent a backlog of forensic and database DNA samples.

FY 2019 DNA Capacity Enhancement for Backlog Reduction (CEBR) Program (Formula)

Applications Due: May 14, 2019

Eligibility

Eligible applicants are States¹ and units of local government with existing crime laboratories or laboratory systems that conduct forensic DNA and/or DNA database sample analysis and:

- Participate in external audits, not less than once every two years, that demonstrate compliance with the requirements of the Quality Assurance Standards established by the Director of the Federal Bureau of Investigation (FBI).
- Are accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community.
- Participate in the National DNA Index System (NDIS), or have an agreement with an NDIS participating laboratory to upload their data.

A State or unit of local government (or any department, agency, or instrumentality of the foregoing) that does not own, control, or operate a crime laboratory or laboratory system is not an eligible applicant under this program. (For example, a State or unit of local government that receives forensic services only by way of an inter- or intra-governmental arrangement, or contract, but does not own, control, or operate its own crime laboratory within its jurisdiction, is not eligible under this program.)

¹ For purposes of this announcement, the term "State" includes the District of Columbia and the Commonwealth of Puerto Rico. The U.S. territories of American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the Virgin Islands also may be eligible for funding. Please contact NCJRS at 1-800-851-3420 for additional information, including information on allocation of funds.

Note: A prospective recipient of grant funds that is found to have an “unresolved audit finding” from a DOJ Office of the Inspector General audit, as described at 34 U.S.C. § 10263, will be ineligible to receive grant funds during the period specified in that statute. See 34 U.S.C. § 10263(2).

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

Deadline

Applicants must register in the OJP Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/> prior to submitting an application under this solicitation. All applicants must register, even those that previously registered in GMS. Select the “Apply Online” button associated with the solicitation title. All registrations and applications are due by 11:59 p.m. eastern time on May 14, 2019.

Applicants should also refer to [Section B. Federal Award Information](#), at page 7, regarding “test all” Sexual Assault Kit legislation certification documentation (if applicable) that is to be submitted within by 11:59 p.m. eastern time on April 3, 2019.

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 Management System Support Hotline at 888-549-9901, option 3, or via email at GMS.HelpDesk@usdoj.gov. The GMS Support Hotline operates 24 hours a day, 7 days a week, including on federal holidays.

An applicant that experiences unforeseen GMS 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. For information on reporting technical issues, see “[Experiencing Unforeseen GMS Technical Issues](#)” under [How to Apply](#) in [Section D. Application and Submission Information](#).

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; 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 operates from 10:00 a.m. until 6:00 p.m. eastern time, Monday through Friday, and from 10:00 a.m. until 8:00 p.m. eastern time on the solicitation close date. General information on applying for NIJ awards can be found at www.nij.gov/funding/Pages/welcome.aspx. Answers to frequently asked questions that may assist applicants are posted at www.nij.gov/funding/Pages/faqs.aspx.

Release date: March 13, 2019

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FY 2019 DNA Capacity Enhancement for Backlog Reduction (CEBR) Program (Formula)

CFDA No. 16.741

A. Program Description

Overview

The goal of NIJ's FY 2019 DNA Capacity Enhancement for Backlog Reduction (CEBR) program is to assist States and units of local government with existing crime laboratories to increase the capacity of publicly funded forensic DNA and DNA database laboratories to process more DNA samples, thereby helping to reduce the number of forensic DNA and DNA database samples awaiting analysis and/or prevent a backlog of forensic and database DNA samples.

Statutory Authority: Department of Justice Appropriations Act, 2019 (Public Law 116-6); section 3(a) of the Justice for All Reauthorization Act of 2016 (Public Law 114-324).

Program-Specific Information

As a general matter, grant funds awarded under NIJ's FY 2019 DNA CEBR program are for the following purposes:

- 1) to carry out, for inclusion in the Combined DNA Index System, DNA analyses of database samples collected under applicable legal authority;
- 2) to carry out, for inclusion in the Combined DNA Index System, DNA analyses of forensic case (e.g., "crime scene") samples; and
- 3) to increase the capacity of publicly-funded forensic DNA and DNA database laboratories.

The following requirements apply to all DNA analyses conducted under this program:

- Applicants must ensure that all eligible DNA profiles obtained with funding from this program are entered into the Combined DNA Index System (CODIS) and, where applicable, are uploaded into the National DNA Index System (NDIS). No profiles generated with funding from this program may be entered into any non-governmental DNA database without prior express written approval from NIJ.
- Applicants must ensure that all profiles uploaded to NDIS² follow NDIS DNA Data Acceptance Standards.
- Applicants must ensure that each DNA analysis conducted and resulting profile generated under this program is maintained pursuant to all applicable federal privacy requirements, including those described in 34 U.S.C. § 12592(b)(3).

² <https://www.fbi.gov/services/laboratory/biometric-analysis/codis/codis-and-ndis-fact-sheet>.

Goals, Objectives, and Deliverables

The overarching goal of NIJ's FY 2019 DNA CEBR program is to assist eligible States and units of local government with existing crime laboratories or laboratory systems to increase the capacity of publicly funded forensic DNA and DNA database laboratories to process more DNA samples, thereby helping to reduce the number of forensic DNA and DNA database samples awaiting analysis and/or prevent a backlog of forensic and database DNA samples. The DNA CEBR program awards funding to eligible entities with two (2) program objectives:

1. Increase the number of samples analyzed in forensic DNA and DNA database laboratories.
2. Reduce forensic case and DNA database sample turnaround time.

Both objectives can be achieved by implementing allowable long-term capacity enhancement activities and short-term direct case analysis activities. Long-term capacity enhancement activities include, but are not limited to, purchasing newer and more efficient instruments; evaluating, validating, and implementing different chemistries; and purchasing and upgrading Laboratory Information Management Systems (LIMS) to more efficiently manage laboratory operations. Short-term direct case analysis activities include, but are not limited to, overtime for existing personnel, purchasing and using DNA analysis supplies, funding contracts to private vendors for forensic case or DNA database sample analysis, and funding additional personnel to analyze forensic cases or DNA database samples.

The Goals, Objectives and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed under [What an Application Should Include](#).

Information Regarding Potential Evaluation of Programs and Activities

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

B. Federal Award Information

NIJ expects to make awards with an estimated total amount awarded of up to \$82 million. NIJ expects to make awards for a 24-month period of performance, to begin on January 1, 2020.

The aggregate amount of FY 2019 funds expected to be awarded to eligible applicants from each State (including the State and its units of local government with existing crime laboratories) will be based on NIJ's determination of a primary amount and a secondary amount, using the criteria detailed below. The secondary allocation amount is to be **added** to the primary

allocation amount for the State, and then distributed among the eligible applicants (through one FY 2019 award to each) within the State.

1. Primary Amount (Estimated Aggregate Amount Available – \$70 million).

The primary amount is determined based on:

- a. The number of Uniform Crime Report (UCR) Part 1 Violent Crimes reported to the FBI for 2017.³
- b. The number of Uniform Crime Report (UCR) Part 1 Property Crimes reported to the FBI for 2017.⁴
- c. The population of the State.
- d. A minimum (total) amount available to eligible applicants from each State. A minimum amount will be applied to each eligible State before the formula is calculated for the remainder of the allocation. For FY 2019, the minimum amount is \$250,000 and the rest of the allocation available to each state will be based on the number of UCR Violent Crimes and UCR Property Crimes reported to the FBI and on the State's population.

The number of State and local applicants may also affect funding allocations.

See "[Chart 1: Estimated Aggregate Amounts Available for Each State — FY 2019 \(Primary Amount\)](#)" under Appendix A for a chart that identifies the estimated aggregate amount for each State (to fund eligible public forensic DNA laboratories in the State).

If there is more than one publicly funded DNA laboratory within a State, funds generally are expected to be allocated among the eligible applicants on the basis of the UCR Part 1 Violent Crimes, UCR Property Crimes, and population of the State, such that the total funding requested by all applicant agencies from each State does not exceed the aggregate level listed for the State in "[Chart 1: Estimated Aggregate Amounts Available for Each State — FY 2019 \(Primary Amount\)](#)" under Appendix A. NIJ expects applicants from States with multiple eligible applicants to coordinate among themselves to set a minimum level of funding for each applicant so that, if practicable, each eligible applicant within the State receives a minimum of \$250,000, regardless of whether its proportion of available funding based on UCR Part 1 Violent Crimes, UCR Property Crimes and population of the State reaches \$250,000.

If an eligible laboratory does not want to take the minimum aggregate amount of \$250,000 (or the full portion of the minimum aggregate amount for which it would be eligible), then that laboratory must submit official documentation to NIJ stating that it has agreed to cede a portion of the minimum aggregate amount to other eligible entities within the State.

³ <https://ucr.fbi.gov/crime-in-the-u.s/2017/crime-in-the-u.s.-2017/topic-pages/tables/table-5>.

⁴ <https://ucr.fbi.gov/crime-in-the-u.s/2017/crime-in-the-u.s.-2017/topic-pages/tables/table-5>.

2. Secondary Amount (Estimated Aggregate Amount Available – \$12 million).

The secondary amount of \$12 million will be available for distribution among States that have demonstrated that the applicant's State has enacted "test all" Sexual Assault Kit (SAK) legislation that is in effect before or as of January 1, 2019. To qualify to receive this secondary amount, eligible States must send a certification statement that includes the effective start date of the legislation, the statutory citation of the legislation, an express request to receive additional funding under this second allotment of DNA CEFR funds, and a copy of the applicable statute to Forensic.DNACapacity@ojp.usdoj.gov within 30 days of the release date of this solicitation. After NIJ compiles these certifications, NIJ will update and post the secondary allocation table, which will list all eligible States that timely submitted sufficient documentation that demonstrates the applicant's qualification for a portion of this secondary amount. This secondary amount will be determined based on:

- a. The number of Uniform Crime Report (UCR) Part 1 Violent Crimes reported to the FBI for 2017.
- b. The population of the State.

See "[Chart 2: Estimated Aggregate Amounts Available for Each State — FY 2019 \(Secondary Amount\)](#)" under Appendix A for a chart that will specify (once NIJ has compiled any complete certifications submitted) the estimated aggregate amount available for States with "test all" SAK legislation, as described above.

Only one applicant from a State needs to send in all certification statement elements described above in order for a State to qualify to receive the secondary allocation amount which, once added to the State's primary allocation amount, is to be distributed among all applicants within the State.

Type of Award

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

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through 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,

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.

and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

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

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

Budget Information

A. Permissible Uses of Funds For Forensic DNA Laboratories and DNA Database Laboratories

Under this program, in general, eligible applicants are given the opportunity, based on their individual needs, to determine what portion of their anticipated funding should be used for capacity-building purposes and what portion should be used for analysis of forensic DNA and/or DNA database samples.

In developing requests for funding under this program, applicants should consider whether, if awarded, funds requested can be obligated in a timely manner and fully expended within required timeframes. For large projects projected to take longer than two years, applicants should consider a phased approach and submit requests for one phase or more if appropriate, that can be completed within the two-year time frame of a DNA CEFR award.

All obligations properly incurred by the end of the federal award must be liquidated no later than 90 days after the end date of the award. *Properly obligated awards will have the full liquidation period for remaining expenditures.* The liquidation period exists to allow project time to receive ordered goods and make final payments. **No new obligations may be made during the liquidation period.** Disbursements made by recipients or subrecipients after the end date but within the liquidation period must have documentation to demonstrate that the obligation occurred before the end date of the award.

1. Salary and benefits of laboratory employees

Funds may be used to hire **additional** full-time or part-time laboratory employees to directly process, record, screen, and/or analyze forensic DNA and/or DNA database samples. Funds may also be used to hire **additional** full-time or part-time laboratory employees (excluding executive personnel) to directly perform capacity enhancement-specific activities, such as validating new DNA analysis technologies for the forensic DNA laboratory and/or the laboratory responsible for analysis of DNA database samples. Funds are subject to applicable restrictions on supplanting. Matching funds are not required.

Note: NIJ makes no assurance that funds will be available for this purpose in future award announcements.

(See “[Budget and Associated Documentation](#)” under “What an Application Should Include”).

Federal funds must be used to **supplement** existing State and local funds for program activities and must not supplant those funds that have been appropriated for the same purpose.

Please refer to the DOJ Grants Financial Guide, section 2.3 “[Standards for Financial Management Systems](#),” for more information on supplanting.

2. Overtime for laboratory staff

Funds may be used to pay overtime for laboratory employees (excluding executive personnel) to directly process, record, screen, and/or analyze forensic DNA and/or DNA database samples. Funds may also be used to pay overtime for existing laboratory employees to directly perform capacity enhancement-specific activities such as validating new DNA analysis technologies for the forensic DNA or DNA database laboratory. Any payments for overtime must be in accordance with the applicable provisions of the [DOJ Grants Financial Guide](#).

3. Training

Funds may be used for appropriate training of forensic DNA laboratory and DNA database laboratory personnel. In general, funds used for training are intended to aid personnel in the forensic DNA laboratory and DNA database laboratory to meet continuing education requirements mandated in the DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

- “Appropriate training” includes internal or external training and continuing education/training opportunities **that are directly related to the forensic DNA laboratory or DNA database laboratory operation.**
- Funds used towards travel and registration expenses for **appropriate** continuing education/training opportunities that are associated with professional meetings and conferences (including workshops provided at such meetings and conferences) are limited to **no more than eight (8) percent of the total award.**
- Funds used towards travel expenses, registration fees, and required learning aids (e.g., textbooks) for appropriate training and continuing education opportunities that are not associated with professional meetings and conferences are not subject to the eight (8) percent restriction.

4. Travel (Limited)

Funds may be used for travel to conduct required site visits to public or private accredited laboratories that will be conducting DNA analyses on behalf of the eligible State or unit of local government to review procedures and practices prior to initial sample shipment; funds may also be used to make one additional unannounced site visit.

Funds may be used for travel associated with DNA training, described in item 3 “Training,” above.

Travel expenses must be reasonable and comply with the applicable provisions of the grant award terms and special conditions, the DOJ Grants Financial Guide, the recipient’s (and any subrecipient’s) written policies, and DOJ regulations (Part 200 Uniform Requirements). Justifications for the number of staff traveling and the benefit of their attendance at the event must be included.

5. Equipment

In general, funds may be used to upgrade, replace, or purchase laboratory equipment, instrumentation, and associated computer hardware for the forensic DNA and/or the DNA database laboratory. See “[Expenses That Are Not Permitted](#),” below, for specific equipment items that are excluded from the FY 2019 program.

Requests for equipment must adequately be justified with the demonstrated need. Updates to computer hardware must be based on new technology or software upgrades to instrumentation.

6. Supplies

Justification of expenses for supplies must include support for the number of units requested and reasoning for the request. Recipients are expected to use expendable supplies, including kits, prior to their expiration date and by no later than the end date of the award.

a. Laboratory supplies for validation

Allowable supply expenses include the purchase of laboratory supplies that can be directly attributed to the validation of new DNA analysis technologies (instruments, processes, or chemistries).

b. Laboratory supplies for DNA sample analysis

Allowable supply expenses include the purchase of laboratory supplies that can be directly attributed to the processing, recording, screening, and analysis of forensic DNA casework and/or DNA database samples, to include mtDNA, Y-STR, or any other NDIS-approved analysis platform used to analyze challenging samples such as cold case evidence or unidentified human remains.

c. Collection kits for database samples

Collection kits for database samples (convicted offender or arrestee) may be purchased.

7. Contracts

a. Contracts for analysis of forensic DNA casework samples or DNA database samples to public or private accredited DNA laboratories

Funds may be used to send forensic DNA and/or DNA database samples to fee-for-service laboratories to conduct DNA analyses. Funds may also be used to enter into agreements with government-owned laboratories to conduct forensic DNA and/or DNA database sample analyses, perform data review, enter eligible DNA profiles into CODIS and, where applicable, upload to NDIS. All obligations properly incurred by the end of the federal award must be liquidated no later than 90 days after the end date of the award. Properly obligated awards will have the full liquidation period for remaining expenditures. No new obligations may be made during the liquidation period.

Every laboratory that is contracted to conduct forensic DNA or DNA database sample analyses under this program must undergo an external audit, not less than once every two (2) years, that demonstrates compliance with the requirements of the Quality Assurance Standards for Forensic DNA Testing Laboratories and/or the Quality Assurance Standards for DNA Database Laboratories established by the Director of the Federal Bureau of Investigation, and must be accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community.

b. Contracts for DNA audits

DNA laboratories may establish contracts with vendors (individuals or entities) that can provide an external DNA audit once every two (2) years, as required by the Quality Assurance Standards for Forensic DNA Testing and DNA Database Laboratories established by the Director of the Federal Bureau of Investigation.

As part of the decision as to whether to award a contract to a vendor for a DNA audit, an award recipient is expected to examine carefully any costs charged by the vendor, including auditor fees (costs should not exceed \$650 per auditor for each day on site) and auditor travel expenses, and to determine whether all such charges are reasonable and justified. All audit-related costs must be detailed in the budget. Note that NIJ will use the rates established by GSA as a benchmark in examining the reasonableness of audit-related travel expenses.

Auditors must meet the requirements specified in the Quality Assurance Standards for Forensic DNA Testing and/or DNA Database Laboratories and, additionally, must reside outside the State where the laboratory to be audited operates. The same auditors cannot be used in consecutive audits, and all auditors must sign a conflict of interest and nondisclosure form prior to performing any work.

c. Contracts for process mapping or other efficiency studies

Contracts may be established for an outside vendor to conduct a process mapping or efficiency type study, such as a Lean Six Sigma-type efficiency study, of the DNA laboratory. One of the potential benefits from such an approach is highlighted in the following report: [Increasing Efficiency of Forensic DNA Casework Using Lean Six Sigma Tools](#).

d. Warranty, service, or maintenance contracts for equipment

Contracts may be established to provide warranty, service, or maintenance contracts for laboratory equipment.

e. Contracts for temporary laboratory employees

Contracts may be established to hire personnel to process, record, screen, and analyze forensic DNA casework; to process, record, and analyze DNA database samples; or to perform capacity enhancement activities such as validating new DNA analysis technologies. Contracts may be established for data review in accordance with the Quality Assurance Standards for Forensic DNA Testing and DNA Database Laboratories.⁷

f. Contracts for validation studies for new DNA analysis technologies

Contracts may be established for an outside vendor to validate new instruments, processes, or chemistries that are National DNA Index System (NDIS) approved within the DNA laboratory.

⁷ <https://archives.fbi.gov/archives/about-us/lab/forensic-science-communications/fsc/july2000/quality-assurance-standards-for-forensic-dna-testing-laboratories> and www.fbi.gov/file-repository/quality-assurance-standards-for-forensic-dna-testing-laboratories.pdf.

g. Contracts for in-house training services

Contracts may be established for an outside vendor to provide in-house training to laboratory personnel directly involved in the processing, recording, screening, and/or analysis of forensic DNA or DNA database samples.

Note: Procurements under awards made under this program are subject to the “Procurement Standards” set forth in 2 C.F.R. 200 (“Subpart D — Post Federal Award Requirements”) — including the provisions relating to competition — and other applicable law.

The Procurement Standards, at 2 C.F.R. §200.317 through §200.326, detail requirements and restrictions imposed on non-federal entities (i.e., recipients and subrecipients) that use federal assistance funds to procure property or services needed to carry out the grant-funded project.

Recipients or subrecipients must conduct all procurement transactions in a manner providing full and open competition consistent with the Procurement Standards. Contractors that develop or draft specifications, requirements, statements of work, and invitations for bids or requests for proposals must be excluded from competing for such procurements.

Sole source procurement (or, noncompetitive procurement) should be used only when use of competitive solicitation procedures like sealed bids, or competitive proposals is not applicable to the requirements, or is impracticable. All sole source procurements in excess of the Simplified Acquisition Threshold (currently set at \$250,000)⁸ must receive advance authorization from the grant-making agency component to use a non-competitive approach for the procurement before entering into the contract.

8. Direct administrative expenses

Up to three (3) percent of the federal portion of an award under this program may be used for direct administrative expenses specifically related to grant administration and management, including travel and training costs related to federal grant management.

9. Costs associated with and including accreditation

Details regarding the costs associated with accreditation and the justification of these costs must be included with the budget narrative.

10. Software

Allowable software is that which is associated with running the DNA laboratory. Allowable purchases may include, but are not limited to, software and licenses

⁸ Consistent with the provisions of Office of Management and Budget memorandum, OMB-M-18-18, dated June 20, 2018, and entitled, “Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance,” DOJ will allow recipients (and any subrecipients) of awards made under this solicitation to use a simplified acquisition threshold of \$250,000 and a micro-purchase threshold of \$10,000, for federal grants administrative purposes.

associated with running DNA instrumentation, software associated with running temperature monitoring systems and other quality control systems, licenses for existing Laboratory Information Management Systems (LIMS) for users in the forensic biology and/or DNA laboratory who are directly involved in the processing, recording, screening, or analysis of forensic DNA or DNA database samples, and software for DNA mixture interpretation.

11. Laboratory Information Management Systems (LIMS)

a. New LIMS to upgrade or replace existing systems.

Contracts may be established to purchase and install a new LIMS to upgrade or replace existing systems, or to install a LIMS in a laboratory previously without a LIMS. Projects to purchase and install a new LIMS are expected to be completed by the end of the two-year award period. Applicants should consider a phased approach and submit requests for one phase or more, if appropriate, that can be completed within the two-year time frame of a DNA CEFR award.

b. Existing Laboratory Information Systems

Contracts may be established to purchase and install **DNA modules to existing** LIMS, extra licenses for the DNA unit users to an existing LIMS system, or software upgrades for an existing LIMS or DNA module. **NOTE:** See the definitions of **LIMS and module**.

c. Accessories for existing LIMS

Accessories for existing LIMS in the forensic biology and/or DNA section of the laboratory may be purchased. Allowable accessories include items such as barcode printers and barcode scanners; however, do not include hardware items such as laptops, desktop computers, or computer tablets. A detailed justification for these items would need to be submitted with the application documents.

d. Annual maintenance and service contracts and licensing agreements for new and existing LIMS

Contracts may be established for annual maintenance and service contracts as well as licensing agreements for users in the forensic biology/DNA section of the laboratory.

For the purposes of this solicitation:

LIMS — a software-based laboratory and information management system with features that support a modern laboratory's operations. Key features include, but are not limited to, workflow and data tracking support, flexible architecture, and data exchange interfaces.

Module — a sample/case tracking component separate from the laboratory's LIMS that functions only for the purposes of the forensic

biology/DNA unit. **NOTE:** The module may be a product of the same, or a different, vendor as the laboratory's current LIMS.

12. Renovations

Funds may be used to upgrade existing laboratory and office space in the forensic biology and DNA section to accommodate new equipment, more personnel, or to renovate existing space to a more efficient layout to increase the number of samples that can be processed, to decrease the turnaround time of casework or database samples, reduce the backlog, or prevent a backlog from occurring. Renovations do not include new construction of a building or construction of a new room(s) on an existing building. **Applicants should note that applications that include renovations costs must include a cash match of at least twenty five (25) percent.**

Renovations may include electrical, plumbing, and construction of new walls within the "four walls" of the existing building. Examples may include expansion of the office space for analysts to accommodate additional analysts, re-configuring of an existing office space for analysts to allow for a more efficient layout, expansion of the laboratory space to accommodate additional equipment or additional work spaces, or reconfiguring of laboratory space to close-off a dedicated screening area so alternate light sources (ALS) can be used effectively.

Applicants should think about undertaking large renovation projects in a phased-approach so requests for one, or more if appropriate, phases can be completed in the two-year time frame of a DNA CEBR award.

B. Expenses That Are Not Permitted

Federal funds awarded under this program may only be used for the permissible uses of funds outlined above. Among other things, they may not be used for:

1. Salaries and benefits other than as discussed in "[Permissible Uses of Funds](#)."
2. Travel, other than authorized travel expenses associated with appropriate DNA training and visits to outsourcing laboratories as discussed in section "Permissible Uses of Funds."
3. Travel and training costs for continuing education/training opportunities that are associated with professional meetings and conferences (including workshops provided at such meetings and conferences) that exceed eight (8) percent of the total award.
4. Testimony and associated travel costs.
5. Construction, other than as discussed in "Permissible Uses of Funds," above, under "Renovations."
6. Direct administrative expenses that exceed three (3) percent of the federal portion of the award.

7. General office supplies and equipment — including but not limited to — paper, pens, toner, printer cartridges, office/modular furniture, chairs, tables, floor mats, “basic supplies,” etc.) Equipment directly related to DNA analysis (e.g. printers connected directly to genetic analyzers or CODIS terminals) is allowable.
8. Purchase of equipment or technologies that have not been approved for use by the National DNA Index System (NDIS), including personnel and supply costs that would be needed to validate equipment or technologies not approved for use by NDIS. This includes Rapid DNA Analysis instruments proposed to be used in a way not compatible with the FBI’s Addendum to the QAS for Rapid DNA Analysis,⁹ Massively Parallel Sequencing (MPS) instruments, or other instruments not immediately available for purchase through a commercial entity.

Rapid DNA, or Rapid DNA Analysis, describes the fully automated (hands-free) process of developing a CODIS Core STR profile from a reference sample buccal swab. The “swab in – profile out” process consists of automated extraction, amplification, separation, detection and allele calling without human intervention.

9. Work that is funded under another federal award. Recipients and subrecipients are prohibited from commingling funds on either a program-by-program or project-by-project basis.
10. Any items not directly related to capacity enhancement or backlog reduction.
11. Costs incurred outside of the project period.
12. Costs for the overtime or compensatory time of executives, such as the president or executive director of an organization.

Program Income

In December 2018, NIJ released an updated program income policy for the DNA CEBR Program. All applications submitted in response to this solicitation are to comply with the policy. Applicants should carefully read the updated policy to complete the FY 2019 DNA CEBR grant application, as well as to ensure compliance with the policy, post-award. This policy can be found at <https://nij.gov/documents/nij-dna-program-income-policy.pdf>.

All applicants are to submit a Program Income Declaration with their grant application.

The declaration should be attached as a separate document in the grant application, and the electronic file must be labeled as “program income declaration.”

The Program Income Declaration should indicate one of the following statuses for the applicant in light of any proposed activities to be funded by a grant award. The applicant organization:

1. Does not employ a fee-for-service model or otherwise accept compensation from external organizations or jurisdictions to conduct DNA sample testing; or

⁹ <https://www.fbi.gov/about-us/lab/biometric-analysis/codis/rapid-dna-addendum-to-qas-final-effective-12-1-2014>.

2. Employs a fee-for-service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, but does not plan to use grant funds for any fee-for-service-related activity; or
3. Employs a fee-for-service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, and does plan to accept fees for activities and/or services performed using grant funds, in whole or part, from the Programs referenced in this policy; or
4. Employs a fee for service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, but can claim the exclusion in Section 8 of the December 2018 Program Income Policy, and can produce the required documentation in support of this exclusion.

Cost Sharing or Matching Requirement (cash only)

Federal funds awarded under this solicitation may not cover more than **seventy-five (75) percent** of the total costs of a renovation project. An applicant must identify the source of the **twenty-five (25) percent** non-federal portion¹⁰ of the total project costs and how it will use match funds. If a successful applicant’s proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. (“Match” funds may be used only for purposes that would be allowable for the federal funds.) Recipients must satisfy this match requirement with cash only. The formula for calculating match is:

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

Required Recipient’s Share Percentage x Adjusted Project Cost = Required Match

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

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

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

Requests for approval of pre-agreement costs will not be considered under this solicitation.

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,

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

and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

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

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified 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 OJP will not make funds available for an application that OJP determines is nonresponsive to the scope of the solicitation, for an application to a "high risk"-designated applicant determined to pose a substantial risk of program implementation failure, or that OJP determines does not include the application elements that NIJ has designated to be critical.

For this solicitation, **NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative, and Proof of Laboratory Accreditation.**

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

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet," "Timelines," "Memoranda of Understanding,"

“Resumes”) for all attachments. Also, OJP recommends that applicants include resumes in a single file.

Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. GMS takes information from the applicant’s profile to populate the fields on this form.

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 5), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system.) Also, current applicants should enter the 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 its official legal name, its address, its EIN, and its Data Universal Numbering System (DUNS). A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

Intergovernmental Review: This solicitation (“funding opportunity”) is subject to [Executive Order 12372](#). An applicant may find the names and addresses of State Single Points of Contact (SPOCs) at the following website: https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental_-Review-_SPOC_01_2018_OFFM.pdf. If the State appears on the SPOC list, the applicant must contact the State SPOC to find out about, and comply with, the State’s process under E.O. 12372. In completing the SF-424, an applicant whose State appears on the SPOC list is to make the appropriate selection in response to question 16 once the applicant has complied with its State E.O. 12372 process. (An applicant whose State does not appear on the SPOC list should answer question 16 by selecting the response that the “Program is subject to E.O. 12372 but has not been selected by the State for review.”)

2. Project Abstract

Applications should include a high quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be —

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.

- Single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.

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

3. Program Narrative

The program narrative must specifically describe the manner in which the DNA Capacity Enhancement for Backlog Reduction grant funds will be used to increase the capacity of the forensic DNA laboratory, and DNA database laboratory if applicable, to process more DNA samples — thereby helping to: reduce the number of forensic DNA and DNA database samples awaiting analysis and/or prevent a backlog of forensic and database DNA samples. The program narrative section of the application should not exceed 10 pages, double-spaced, in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 10-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 10-page limit.

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

The following sections should be included as part of the program narrative:¹¹

a. Description of the Issue.

- i. Applicants should discuss identified bottlenecks in the DNA analysis process.
- ii. Applicants should discuss the challenges their laboratory faces that hamper significant improvements in laboratory processing capacity or decreasing turnaround times. The primary objective should be to increase the capacity of publicly funded forensic DNA and DNA database laboratories to process more DNA samples, thereby helping to reduce the number of forensic DNA and DNA database samples awaiting analysis and/or prevent a backlog of forensic and database DNA samples.

b. Project Design and Implementation.

- i. This section should address the goals, objectives, and expected results of the applicant's proposal.
- ii. A detailed plan showing how the applicant intends to use FY 2019 DNA CEBR Program funds to meet the programmatic goals of this solicitation: increasing the capacity of the forensic DNA laboratory and DNA database laboratory if applicable, and thereby helping to reduce the number of forensic DNA and DNA database samples awaiting analysis and/or prevent a backlog of forensic DNA and DNA database samples. The goals and/or objectives of the application

¹¹ 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](#).

should not be the purchase of cost items or a restating of the budget request, but should be what processes, policy, or technology implementation this project will introduce to the agency to reduce turnaround time, increase throughput, reduce the number of forensic DNA and/or database samples awaiting analysis, or prevent a backlog of forensic DNA and/or database samples.

This plan should include a detailed timeline for the project (e.g., for the procurement, validation, and implementation of any new equipment; for the implementation of new chemistries; for the implementation of personnel costs [hiring and/or overtime]; for the execution of contracts.)

- iii. Applicants should discuss how they intend to address bottlenecks in the DNA analysis process.
 - iv. Applicants should also provide descriptions of any observed and/or anticipated increases in DNA submissions that would be expected to significantly impact the DNA laboratory's backlog and/or capacity that may negatively impact the project's expected results.
 - v. Applicants seeking funds for processing, recording, screening, and analysis of forensic DNA cases and/or DNA database samples must make a statement of the estimated number of forensic DNA cases and/or DNA database samples that can be processed, recorded, screened, and analyzed within the 24-month project period.
 - vi. Applicants should include a sustainability plan in their application for all activities proposed to be funded under this program. For example, how does the applicant plan to maintain its proposed capacity-building efforts should it not receive later federal funding?
- c. Capabilities and Competencies.
- i. The applicant must identify proposed project staff, including any and all individuals (and organization) who will be significantly involved in substantive aspects of the proposal and provide their qualifications and experience.
 - ii. The applicant organization must demonstrate its ability to manage the effort.
 - iii. The applicant must also show the relationship between the capabilities/competencies of the proposed staff (including the applicant organization) and the scope of the proposed project.
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures.
- i. The applicant should describe how the performance measure data will be derived, state who will be responsible for collecting the data, and state that the data will be available for review for three (3) years from the date of submission of the final federal financial report (SF-425) under the award, or as otherwise required by law. See 2 C.F.R. 200.333. The data collection plan should be rigorous to ensure that the performance measure data provided are accurate, auditable, and correctly measure the impact of the federal funds provided.

- ii. The data collection plan should clearly describe both the method for the collection and tracking of performance measure data produced as a result of federal assistance provided under this solicitation and the method for reporting such data on a semi-annual basis.
- iii. The applicant should also provide its policy on **validating performance measure data** at the applicant level, including who is responsible for the process of collecting and calculating the data, who is responsible for quality control of the data, and how the data will be stored.

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

Applicants should visit OJP’s performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

Performance measures for this solicitation are listed in [Appendix B: Performance Measures Table](#).

The application should demonstrate the applicant’s understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Applicants should note that all awardees will be required to submit the following data in the Performance Metric Tool (PMT) along with the [performance measures listed in Appendix B](#). The data collection plan should include information on how the applicant will collect and report the data in the following chart:

| |
|--|
| Did your agency expend any amounts under this award on procurement contracts to private accredited DNA laboratories for analysis of forensic DNA casework samples this reporting period? |
| Did any subrecipient(s) under this award expend any amounts under this award on procurement contracts to private accredited DNA laboratories for analysis of forensic DNA casework samples during the reporting period? |
| Please provide a list specifying each such private laboratory and the total amounts expended for such procurement contracts during the reporting period. Please indicate below by selecting "add laboratory" for the private laboratories your agency used this reporting period. For every laboratory added an "amount expended" field will generate in turn. |
| Please provide a list specifying each such private laboratory and the total amounts the subrecipient(s) expended for such procurement contracts during the reporting period. |
| Did your agency expend any amounts under this award on procurement contracts to private accredited DNA laboratories for analysis of forensic DNA database samples this reporting period? |
| Did any subrecipient(s) under this award expend any amounts under this award on procurement contracts to private accredited DNA laboratories for analysis of DNA database samples during this reporting period? |
| Please provide a list specifying each such private laboratory and the total amounts expended for such procurement contracts during the reporting period. Please indicate below by selecting "add laboratory" for the private laboratories your agency used this reporting period. For every laboratory added an "amount expended" field will generate in turn. |
| Please provide a list specifying each such private laboratory and the total amounts the subrecipient(s) expended for such procurement contracts during the reporting period |

To assist NIJ in determining baseline national backlogs, all applicants are to submit the baseline backlog data requested in the following table as part of their program narrative.

The request encompasses backlog data for the database laboratory, regardless of whether Federal funding assistance is being sought for the database operation.

Baseline Backlog Data

| | |
|--|--|
| Casework Laboratories | |
| Number of untested/not completed forensic biology/DNA cases on hand on January 1, 2018. | |
| Number of untested/not completed forensic biology/DNA cases more than 30 days old (backlogged) on January 1, 2018. | |
| Please estimate percentage of the backlogged cases that were from property crimes. | |
| Number of new cases for forensic biology/DNA received in 2018. | |
| Please estimate percentage of these cases that were from property crimes. | |
| Total number of forensic biology/DNA cases completed in 2018. | |
| Please estimate percentage of these cases that were property crimes. | |
| Forensic biology/DNA cases closed by administrative means in 2018. | |
| Number of untested/not completed forensic biology/DNA cases on hand on December 31, 2018. | |
| Number of untested/not completed forensic biology/DNA cases more than 30 days old (backlogged) on December 31, 2018. | |
| The average number of days needed to complete (including peer review and report) non-priority forensic DNA cases for calendar year 2018. Please indicate violent crime time with a “ V ” and the nonviolent crime time with “ NV .” If the applicant cannot separate violent and nonviolent cases, give the number with no other markings. | |

| | |
|--|--|
| Database Laboratories | |
| Convicted Offender Samples | |
| The number of untested/not completed convicted offender samples on hand on January 1, 2018. | |
| The number of untested/not completed convicted offender samples more than 30 days old (backlogged) as of January 1, 2018. | |
| The number of new convicted offender samples received in 2018. | |
| The total number of convicted offender samples completed in 2018. | |
| Samples closed by administrative means (duplicates, non-authorized samples, etc.) in 2018. | |
| Number of untested/not completed convicted offender samples on December 31, 2018. | |
| Number of untested/not completed convicted offender samples more than 30 days old (backlogged) on December 31, 2018. | |
| Average number of days to complete the processing of a convicted offender sample (including upload to CODIS) for calendar year 2018. | |
| Arrestee Samples | |
| The number of untested/not completed arrestee samples on hand as of January 1, 2018. | |
| The number of untested/not completed arrestee samples more than 30 days old (backlogged) on January 1, 2018. | |
| The number of new arrestee samples received in 2018. | |
| The total number of arrestee samples completed in 2018. | |
| Samples closed by administrative means (duplicates, non-authorized samples, etc.) in 2018. | |
| Number of untested/not completed arrestee samples on December 31, 2018. | |
| Number of untested/not completed arrestee samples more than 30 days old (backlogged) on December 31, 2018. | |
| Average number of days to complete the processing of an arrestee sample (including upload to CODIS) for calendar year 2018. | |

Definitions for Requested Baseline Backlog Data

Backlogged forensic biology/DNA case — a forensic biology/DNA case that has not been completed within 30 days of receipt in the laboratory.

Backlogged DNA database sample — a DNA database sample that has not been uploaded to CODIS within 30 days of receipt in the laboratory.

Case — analysis request for examination in one forensic investigation area (forensic biology/DNA for this purpose).

DNA — for the purposes of determining baseline national backlogs for casework laboratories, “DNA” will be considered to be biology screening (the location, screening, identification, and characterization of blood and other biological stains and substances) and/or DNA analysis (the identification and comparison of DNA in

biological samples). For the purpose of determining baseline national backlogs for database laboratories, “DNA” will be considered the testing of DNA in biological samples collected from convicted offenders and/or arrestees, and subsequent upload to CODIS databases.

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 regulatory definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

“Research,” for the 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 2018 Awards"](#) available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

4. Budget and Associated Documentation

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

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

a. Budget Detail Worksheet

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

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

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 narratives 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) and on Proposed Procurement Contracts (if any)

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

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

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

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

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

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement -- for purposes of federal grants administrative requirements -- is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

1. Information on proposed subawards

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

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

If an applicant proposes to make one or more subawards to carry out the federal award and program, and those subawards are not specifically authorized (or required) by statute or regulation, 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 \$250,000¹²)

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold — currently, \$250,000 — 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 \$250,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$250,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$250,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

d. Pre-Agreement Costs

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

¹² Consistent with the provisions of Office of Management and Budget memorandum, OMB M-18-18, dated June 20, 2018, and entitled, “Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance,” DOJ will allow recipients (and any subrecipients) of awards made under this solicitation to use a simplified acquisition threshold of \$250,000 and a micro-purchase threshold of \$10,000, for federal grants administrative purposes.

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

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

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

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

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

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

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

The Questionnaire should only be completed by financial staff most familiar with the applicant’s systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant’s financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding.

However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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

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

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

7. Disclosure of Lobbying Activities

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

8. Additional Attachments

a. Proof of DNA Laboratory Accreditation

Acceptable types of documentation of current accreditation include: an electronic (scanned) copy of the current accreditation certificate(s), a digital photograph of the current accreditation certificate(s), or a letter from the accrediting body that includes the certificate number. Additionally, if a certificate references another document that contains key information on the type or scope of the accreditation, provide a copy of that supplemental documentation.

b. Eligibility Statements

a. The “Eligibility Statements” should include:

- i. Information or documentation that any crime laboratory that would receive funding under this program is 1) an existing crime laboratories or laboratory system that conducts analysis of DNA samples and, if applicable, a State designated existing crime laboratory that conducts analysis of DNA database samples; 2) accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community; 3) participates in external audits, not less than once every two (2) years, that demonstrate compliance with the requirements of the Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.
- ii. Statement or documentation that 1) all eligible DNA profiles obtained with funding from this program will be entered into the Combined DNA Index System (CODIS) and, where applicable, uploaded to the National DNA Index System (NDIS).
- iii. Statement acknowledging that any crime laboratory that would receive funding under his program 1) participates in the National DNA Index System (NDIS), or has an agreement with an NDIS participating laboratory to upload its data; and 2) must follow NDIS DNA Data Acceptance Standards for all profiles uploaded to NDIS.
- iv. Statement that all DNA analysis performed under this program will be maintained under applicable federal privacy requirements.

b. Certification of Non-supplanting

Applicants should include a written certification from the applicant, at the time of application submittal into GMS, on agency letterhead from the Authorized Representative that “Federal funds will be used to supplement existing State and local funds for program activities and will not supplant those funds that have been appropriated for the same purpose.”

c. Program Income Declaration (see page 16 for more information)

Applicants are to submit a Program Income Declaration with their grant application. The declaration should be attached a separate document in the grant application, and the electronic file should be labeled as “program income declaration”.

The Program Income Declaration should indicate one of the four statuses for the applicant in light of any proposed activities to be funded by a grant award.

c. Potential Environmental Impact Coversheet and Checklist

Each applicant is to submit an NIJ Programmatic Coversheet and Checklist with its application to assist NIJ in assessing the potential environmental impacts of the activities proposed for funding by the applicant. Specifically, the applicant is expected to:

- Carefully read the [Programmatic Environmental Assessment](#);
- Complete the [Cover Sheet and the attached the Programmatic Checklist](#); and
- Attach the completed documents to the grant application.

The applicant should also submit a Cover Sheet and NIJ Programmatic Checklist for any organization identified in the Budget Detail Worksheet that will receive grant funds through a sub-award or procurement contract to perform any of the following activities: new construction or renovations that change the basic prior use of a facility or significantly change the size; research and/or technology development that could be expected to have an effect on the environment; or implementation of programs involving the use of chemicals.

d. Applicant Disclosure of Pending Applications

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

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

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

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

| Federal or State Funding Agency | Solicitation Name/Project Name | Name/Phone/E-mail for Point of Contact at Federal or State Funding Agency |
|--|---|---|
| DOJ/Office of Community Oriented Policing Services (COPS Office) | COPS Hiring Program | Jane Doe, 202/000-0000; jane.doe@usdoj.gov |
| Health and Human Services/ Substance Abuse and Mental Health Services Administration | Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program | John Doe, 202/000-0000; john.doe@hhs.gov |

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

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

e. Applicant Disclosure and Justification – DOJ High Risk Grantees¹³ (if applicable)

An applicant that is designated as a DOJ High Risk Grantee is to submit, as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named “DOJ High Risk Grantee Applicant Disclosure and Justification.” (See, also, “[Review Process](#),” below, under Section E. Application Review Information, for a brief discussion of how such information may be considered in the application review process.)

OJP constantly seeks to optimize its investments in criminal- and juvenile justice-focused programs and activities, increase program effectiveness, and maximize the return – and program impact – from limited programmatic resources. Therefore, OJP may remove from consideration or not select for award a “DOJ High Risk Grantee” applicant that is determined to pose a substantial risk of program implementation failure. In making such determinations, OJP will consider one or more of the following factors: the applicant’s lack of sufficient progress in addressing required corrective actions

¹³ A “DOJ High Risk Grantee” is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

necessary for removal of the DOJ High Risk Grantee designation; the nature and severity of the issues leading to or accompanying the applicant's DOJ High Risk Grantee designation; or the applicant's expected ability to manage grant funds and achieve grant goals and objectives.

In this attachment, the applicant is to provide any additional information or justification – especially with regard to corrective actions yet to be implemented (as of the application date) – that may help demonstrate how the applicant has addressed or otherwise mitigated such uncorrected matters, such that any negative impact on the proposed program and its implementation would be immaterial or would be significantly reduced or eliminated. (To the extent that the applicant believes that any of the information provided pursuant to this disclosure may be confidential in nature, the applicant should specifically identify it.)

How To Apply

An applicant must submit its application through the [Grants Management System \(GMS\)](#), which provides support for the application, award, and management of awards at OJP. Each applicant entity **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges each applicant entity to **register promptly**, especially if this is the first time the applicant is using the system. Find complete instructions on how to register and submit an application in GMS at www.ojp.gov/gmscbt/. An applicant that experiences technical difficulties during this process should email GMS.HelpDesk@usdoj.gov or call 888-549-9901 (option 3), 24 hours every day, including during federal holidays. OJP recommends that each applicant **register promptly** to prevent delays in submitting an application package by the deadline.

Note on File Types: 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.

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

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

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

If the applicant entity already has an Employer Identification Number (EIN), the SAM registration will take **up to two weeks to process**. If the entity does not have an EIN, then **the applicant should allow two-to-five weeks for obtaining the information from IRS when requesting**

the EIN via phone, fax, mail or Internet. For more information about EIN, visit <https://www.irs.gov/individuals/international-taxpayers/taxpayer-identification-numbers-tin>.

Registration and Submission Steps

1. All applicants should complete the following steps: **Acquire a unique entity identifier (currently, a DUNS number)**. The Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at www.dnb.com/. A DUNS number is usually received within 2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at sam.gov/SAM/ to learn more about what is required in the notarized letter, and read the Frequently Asked Questions (FAQs) at www.gsa.gov/samupdate to learn more about this process change. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). Information about SAM registration procedures can be accessed at sam.gov/SAM/.
3. **Acquire a GMS username and password.** New users must create a GMS profile by selecting the "First Time User" link under the sign-in box of the [GMS](http://www.ojp.gov/gmscbt) home page. For more information on how to register in GMS, go to www.ojp.gov/gmscbt. Previously registered applicants should ensure, prior to applying, that the user profile information is up-to-date in GMS (including, but not limited to, address, legal name of agency and authorized representative) as this information is populated in any new application.
4. **Verify the SAM (formerly CCR) registration in GMS.** OJP requires each applicant to verify its SAM registration in GMS. Once logged into GMS, click the "CCR Claim" link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the "Funding Opportunities" link on the left side of the page. Select NIJ and DNA Capacity Enhancement for Backlog Reduction (CEBR) Program (Formula), FY 2019.
6. **Register by selecting the "Apply Online" button associated with the funding opportunity title.** The search results from step 5 will display the "funding opportunity" (solicitation) title along with the registration and application deadlines for this solicitation. Select the "Apply Online" button in the "Action" column to register for this solicitation and create an application in the system.

- 7. Follow the directions in GMS to submit an application consistent with this solicitation.** Once the application is submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, an applicant must wait for GMS approval before submitting an application. OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date.

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 GMS Technical Issues

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [GMS Help Desk](#) or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any GMS 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 GMS Help Desk 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 GMS in sufficient time (SAM registration and renewal can take as long as 10 business days to complete).
- Failure to follow GMS instructions on how to register and apply as posted on the GMS 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.

E. Application Review Information

Review Process

OJP is committed to ensuring a fair and open process for making awards. NIJ reviews the application to make sure that the information presented is reasonable, understandable,

measurable, and achievable, as well as consistent with the solicitation. Applications for statutory formula awards will be reviewed to ensure statutory requirements have been met.

NIJ will consider responsive applications that include all required elements designated as critical in [Section D. Application and Submission Information](#), above, under “What an Application Should Include.” An additional consideration, with respect to “high-risk”-designated applicants, is the potential risk of program implementation failure, as detailed immediately below.

In order to advance for further consideration in the review process, an application, if submitted by an applicant that is a DOJ High Risk Grantee,¹⁴ or is designated “high risk” by a federal grant-making agency outside of DOJ, must not have been determined by the Director to pose a substantial risk of program implementation failure, based on 1) the applicant’s lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee (or non-DOJ high risk) designation, 2) the nature and severity of the issues leading to or accompanying the DOJ High Risk Grantee (or non-DOJ high risk) designation, and/or 3) the applicant’s expected ability to manage grant funds and achieve grant goals and objectives.

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.

In addition, if OJP anticipates that an award will exceed \$250,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIIS”).

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by the applicant. The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants. OJP takes into account information pertinent to matters such as —

1. Applicant financial stability and fiscal integrity.
2. Quality of the applicant’s management systems, 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.

¹⁴ See “Applicant Disclosure and Justification – DOJ High Risk Grantees” under “What an Application Should Include,” above, for a definition of “DOJ High Risk Grantee.”

5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Note on applicants with a “high risk” designation: Risks associated with DOJ High Risk Grantees, or applicants designated as “high risk” by a federal grant-making agency outside of DOJ, are taken into account during the review process, and each applicant with such “high risk” designations will be considered for funding on a case-by-case basis, depending on the nature and severity of the issues that led to the DOJ High Risk Grantee (or non-DOJ high risk) designation, status of progress in addressing corrective actions, and expected ability to manage grant funds and achieve grant goals and objectives. A “high risk” designated applicant is to submit disclosure and justification documentation consistent with the requirements specified, above, under “What an Application Should Include” in Section D. Application and Submission Information.

Absent explicit statutory authorization or written delegation of authority to the contrary, the Assistant Attorney General will make all final award decisions.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2019. OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official. 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 a physical signature on the award document by the authorized representative. The fully-executed award document must then be scanned and submitted 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 award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed at the time of award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

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

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

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2018 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2019. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to verification of employment eligibility. The condition will, generally speaking, require the recipient (and any subrecipient) that accepts the award to verify the employment eligibility of any individual hired under the award, consonant with 8 U.S.C. § 1324a(a)(1).

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to competition requirements set forth at 2 C.F.R. § 200.319. The condition will, generally speaking, prohibit recipients (and any subrecipients) from procuring goods and services with award funds by means of any competition that disadvantages or excludes vendors on the basis of their having (or their having had) a prior or existing contractual relationship with the federal government.

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 <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful

applicants will be required to access OJP's performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

Performance measures are also listed as [Appendix B](#).

G. Federal Awarding Agency Contact(s)

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

For contact information for GMS, 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 the 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 to messages it receives in this mailbox. A 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 solicitation 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 resume to ojpprsupport@usdoj.gov. (Do not send your resume to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Appendix A

**Chart 1: Estimated Aggregate Amounts Available for Each State (Primary Amount) –
FY 2019**

| Estimated Aggregate ¹⁵ Amounts Available for each State (Primary Amount) ¹⁶ — FY 2019 | | | |
|--|-----------------------|----------------|-----------------------|
| Alabama | \$1,293,104.00 | Montana | \$432,969.00 |
| Alaska | \$466,117.00 | Nebraska | \$543,362.00 |
| Arizona | \$1,713,616.00 | Nevada | \$889,211.00 |
| Arkansas | \$919,263.00 | New Hampshire | \$401,487.00 |
| California | \$7,709,076.00 | New Jersey | \$1,356,165.00 |
| Colorado | \$1,224,363.00 | New Mexico | \$854,420.00 |
| Connecticut | \$705,230.00 | New York | \$3,235,632.00 |
| Delaware | \$431,069.00 | North Carolina | \$1,997,676.00 |
| District of Columbia | \$488,282.00 | North Dakota | \$360,735.00 |
| Florida | \$4,001,895.00 | Ohio | \$2,045,280.00 |
| Georgia | \$2,070,785.00 | Oklahoma | \$1,026,030.00 |
| Hawaii | \$466,265.00 | Oregon | \$912,648.00 |
| Idaho | \$460,213.00 | Pennsylvania | \$2,086,839.00 |
| Illinois | \$2,529,267.00 | Puerto Rico | \$631,242.00 |
| Indiana | \$1,424,750.00 | Rhode Island | \$384,875.00 |
| Iowa | \$714,100.00 | South Carolina | \$1,322,387.00 |
| Kansas | \$793,789.00 | South Dakota | \$401,001.00 |
| Kentucky | \$841,014.00 | Tennessee | \$1,869,724.00 |
| Louisiana | \$1,321,789.00 | Texas | \$5,535,455.00 |
| Maine | \$381,140.00 | Utah | \$704,062.00 |
| Maryland | \$1,429,849.00 | Vermont | \$316,813.00 |
| Massachusetts | \$1,272,031.00 | Virginia | \$1,287,042.00 |
| Michigan | \$2,005,568.00 | Washington | \$1,495,801.00 |
| Minnesota | \$1,009,624.00 | West Virginia | \$533,500.00 |
| Mississippi | \$719,951.00 | Wisconsin | \$1,105,723.00 |
| Missouri | \$1,552,127.00 | Wyoming | \$325,644.00 |

— ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF APPROPRIATED FUNDS —

¹⁵ Units of local government that meet the eligibility requirements may apply directly to NIJ for a portion of the estimated funds allocated for awards to their State.

¹⁶ The U.S. territories of American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the Virgin Islands also may be eligible for funding. Please contact NCJRS at 1-800-851-3420 for additional information, including information on allocation of funds.

Chart 2: Estimated Aggregate Amounts Available for Each State (Secondary Amount) – FY 2019

| Estimated Aggregate ¹⁷ Amounts Available for each State ¹⁸ (Secondary Amount)— FY 2019 | |
|---|----------------|
| Alabama | \$0.00 |
| Alaska | \$0.00 |
| Arizona | \$428,307.00 |
| Arkansas | \$0.00 |
| California | \$2,368,934.00 |
| Colorado | \$291,409.00 |
| Connecticut | \$160,270.00 |
| Delaware | \$0.00 |
| District of Columbia | \$78,260.00 |
| Florida | \$1,213,648.00 |
| Georgia | \$0.00 |
| Hawaii | \$72,393.00 |
| Idaho | \$74,818.00 |
| Illinois | \$766,927.00 |
| Indiana | \$0.00 |
| Iowa | \$0.00 |
| Kansas | \$0.00 |
| Kentucky | \$199,650.00 |
| Louisiana | \$0.00 |
| Maine | \$0.00 |
| Maryland | \$0.00 |
| Massachusetts | \$0.00 |
| Michigan | \$609,600.00 |
| Minnesota | \$252,049.00 |
| Mississippi | \$0.00 |
| Missouri | \$0.00 |
| Montana | \$0.00 |
| Nebraska | \$0.00 |
| Nevada | \$225,611.00 |
| New Hampshire | \$0.00 |
| New Jersey | \$0.00 |
| New Mexico | \$164,456.00 |
| New York | \$1,096,253.00 |
| North Carolina | \$0.00 |
| North Dakota | \$0.00 |
| Ohio | \$580,382.00 |
| Oklahoma | \$0.00 |
| Oregon | \$192,195.00 |
| Pennsylvania | \$654,219.00 |
| Puerto Rico | \$0.00 |
| Rhode Island | \$0.00 |
| South Carolina | \$0.00 |
| South Dakota | \$50,421.00 |
| Tennessee | \$0.00 |
| Texas | \$1,650,691.00 |
| Utah | \$138,256.00 |
| Vermont | \$0.00 |
| Virginia | \$369,385.00 |
| Washington | \$361,866.00 |
| West Virginia | \$0.00 |
| Wisconsin | \$0.00 |
| Wyoming | \$0.00 |

— ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF APPROPRIATED FUNDS —

(See text of solicitation for additional information)

¹⁷ Units of local government that meet the eligibility requirements may apply directly to NIJ for a portion of the estimated funds allocated for awards to their State.

¹⁸ The U.S. territories of American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the Virgin Islands also may be eligible for funding. Please contact NCJRS at 1-800-851-3420 for additional information, including information on allocation of funds.

Appendix B: Performance Measures Table

| Objective | Performance Measure(s) | Data Recipient Provides |
|--|--|---|
| <p>Improve the DNA analysis capacity of existing State and local government crime laboratories that conduct forensic DNA analysis.</p> | <p>Increase in DNA analysis throughput for the laboratory.</p> | <p>Number of forensic biology/DNA cases submitted to the laboratory during the reporting period.</p> <p>Total number of forensic biology/DNA cases completed by the laboratory during the reporting period.</p> <p>Total number of forensic DNA samples completed by the laboratory during the reporting period.</p> |
| | <p>Reduction in response time for requests.</p> | <p>Average number of days between the submission of a request, by type, for forensic biology/DNA analysis to the laboratory and the delivery of the test results at the beginning of the award period.</p> <p>Average number of days between the submission of a request, by type, for forensic biology/DNA analysis to the laboratory and the delivery of the test results at the end of the reporting period.</p> |
| <p>Reduce backlogged forensic DNA casework in State and local government crime laboratories.</p> | <p>Percentage decrease in DNA backlog.¹⁹</p> | <p>Number of backlogged forensic biology/DNA cases at the beginning of the award period.</p> <p>Number of backlogged forensic biology/DNA cases, at the end of the reporting period.</p> |
| <p>Enter DNA profiles into the FBI's National DNA Index System using CODIS version 7.0</p> | <p>Percent of DNA profiles resulting in a CODIS match.</p> | <p>Total number of DNA profiles from forensic analyses entered into CODIS for the DNA laboratory.</p> <p>Total number of CODIS hits from forensic analyses for the DNA laboratory</p> |

¹⁹ A backlogged case is defined as a forensic biology/DNA case that has not been completed within 30 days of receipt in the laboratory.

DNA database laboratories will provide the following data for performance measures, regardless of whether Federal funding assistance is being sought for the database operation.

| Objectives | Performance Measure(s) | Data Grantee Provides |
|--|---|---|
| Improve the capacity of laboratories that conduct DNA analysis on convicted offender and/or arrestee DNA samples (DNA database samples). | Increase in DNA analysis throughput for the laboratory. | <p>Number of DNA database samples submitted to the laboratory during the reporting period.</p> <p>Total number of DNA database samples completed by the laboratory during the reporting period.</p> |
| | Reduction in response time for requests. | <p>Average number of days between the submission of a DNA database sample to the laboratory and the upload of the profile to CODIS at the beginning of the award period.</p> <p>Average number of days between the submission of a DNA database sample to the laboratory and the upload of the profile to CODIS at the end of the award period.</p> |
| Reduce the backlog of convicted offender and/or arrestee DNA samples (DNA database samples). | Percent decrease in DNA backlog. ²⁰ | <p>Number of backlogged DNA database samples at the beginning of the award period.</p> <p>Number of backlogged DNA database samples at the end of the award period.</p> |
| Enter DNA profiles into the FBI's National DNA Index System using CODIS version 7.0 | Percent of DNA profiles resulting in a CODIS match. | <p>Total number of DNA profiles from DNA database sample analyses entered into CODIS for the DNA laboratory.</p> <p>Total number of CODIS hits from DNA database sample analyses for the DNA laboratory.</p> |

²⁰ A backlogged DNA database sample is defined as a DNA database sample that has not been uploaded to CODIS within 30 days of receipt in the laboratory.

Appendix C: Application Checklist

FY 2019 DNA Capacity Enhancement for Backlog Reduction (CEBR) Program (Formula)

To qualify for the secondary allocation amount (see page 7 for details), an eligible State should:

- _____ Determine that the applicant's State has enacted "test all" Sexual Assault Kit (SAK) legislation that is in effect before, or as of, January 1, 2019.
- _____ Send a certification statement to Forensic.DNACapacity@ojp.usdoj.gov by 11:59 p.m. eastern time on April 3, 2019 that includes:
 - _____ The effective start date of the legislation
 - _____ The statutory citation of the legislation
 - _____ An Express request to receive additional funding under this second allotment of DNA CEBR funds
 - _____ A copy of the applicable statute

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in GMS:

- _____ Acquire a DUNS Number (see page 36)
- _____ Acquire or renew registration with SAM (see page 36)

To Register with GMS:

- _____ For new users, acquire a GMS username and password* (see page 36)
- _____ For existing users, check GMS username and password* to ensure account access (see page 36)
- _____ Verify SAM registration in GMS (see page 36)
- _____ Search for correct funding opportunity in GMS (see page 36)
- _____ Register by selecting the "Apply Online" button associated with the funding opportunity title (see page 36)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 17)
- _____ If experiencing technical difficulties in GMS, contact NCJRS (see page 2)

*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contact designated within GMS at the time the account was established. Neither OJP nor the GMS Help Desk will initiate a password reset unless requested by the authorized official or a designated point of contact associated with an award or application.

Overview of Post-Award Legal Requirements:

- _____ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2018 Awards](https://ojp.gov/funding/index.htm)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

_____ The Federal amount requested is within the allowable limit(s).

Eligibility Requirement: Eligible applicants are States²¹ and units of local government with existing crime laboratories or laboratory system that conduct forensic DNA and/or DNA database sample analysis and:

- Participate in external audits, not less than once every two years, that demonstrate compliance with the requirements of the Quality Assurance Standards established by the Director of the Federal Bureau of Investigation (FBI).
- Are accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community.
- Participate in the National DNA Index System (NDIS), or have an agreement with an NDIS participating laboratory to upload their data.

A State or unit of local government (or any department, agency, or instrumentality of the foregoing) that does not own, control, or operate a crime laboratory or laboratory system is not an eligible applicant under this program. (For example, a State or unit of local government that receives forensic services only by way of an inter- or intra-governmental arrangement, or contract, but does not own, control, or operate its own crime laboratory within its jurisdiction, is not eligible under this program.)

What an Application Should Include:

| | |
|---|---------------|
| _____ Application for Federal Assistance (SF-424) | (see page 19) |
| _____ Intergovernmental Review | (see page 19) |
| _____ Project Abstract | (see page 19) |
| _____ Program Narrative | (see page 20) |
| _____ Budget Detail Worksheet | (see page 27) |
| _____ Budget Narrative | (see page 27) |
| _____ Indirect Cost Rate Agreement (if applicable) | (see page 30) |
| _____ Financial Management and System of Internal Controls Questionnaire | (see page 30) |
| _____ Disclosure of Lobbying Activities (SF-LLL) (if applicable) | (see page 31) |
| _____ Additional Attachments | |
| _____ Proof of DNA Laboratory Accreditation | (see page 31) |
| _____ Eligibility Statements | (see page 32) |
| _____ Certification of Non-supplanting | (see page 32) |
| _____ Program Income Declaration | (see page 32) |
| _____ Potential Environmental Impact Coversheet and Checklist | (see page 33) |
| _____ Applicant Disclosure of Pending Applications | (see page 33) |
| _____ Applicant Disclosure and Justification – DOJ High Risk Grantees (if applicable) | (see page 34) |

²¹ For purposes of this announcement, the term “State” includes the District of Columbia and the Commonwealth of Puerto Rico. The U.S. territories of American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the Virgin Islands also may be eligible for funding. Please contact NCJRS at 1-800-851-3420 for additional information, including information on allocation of funds.

Funding Webinar Transcript

On March 26, 2019, NIJ hosted a webinar that provided an overview of this solicitation. Following are the transcript and slide presentation from that webinar.

MARY JO GIOVACCHINI: And welcome to today's webinar, DNA Capacity Enhancement Backlog Reduction Program, hosted by the National Institute of Justice. At this time, I would like to introduce you to today's presenters. Chuck.

MARY JO GIOVACCHINI: Heurich. Renee Cooper and Alissa Genovese.

CHUCK HEURICH: Good afternoon, everybody. This is Chuck Heurich, the physical science--scientist program manager for the DNA CEBR Program and I'm going to go over some of the program background with you right now. As most of you know, the solicitation has been running in its current form since about 2011 and the solicitations have come in some forms between 2004 and today. It is a formula solicitation program and the formula is set out in the solicitation. And the total is awarded to the State and then divided amongst the eligible crime laboratories in that state. The goals of the solicitation for backlog reduction are to assist the State and local governments with existing DNA crime laboratories. To increase their capacity for the direct analysis of forensic DNA or DNA database samples, to increase the sample throughput, decrease turnaround time, and reduce the backlog of samples waiting in your laboratories. We want to highlight some new things for fiscal year 2019 associated with this program. And this is a summary of those new items in the solicitation that we'll go over one by one. The second formula, LIMS Systems, warranties, service, and maintenance contracts, and renovations.

First, on page seven of this year's solicitation, you'll see a second formula for approximately \$12 million. This money will be available for distribution among applicants that can demonstrate that the States have enacted a "test all" Sexual Assault Kit legislation that is in effect before January 1st, 2019. This is to address the backlog of Sexual Assault Kits around the country that has become a high-profile topic in state and local crime laboratories and the community. One thing you will notice about this secondary formula, it does have a second or separate deadline from the actual solicitation itself. You do need to send to the DNA Capacity website a certification that your state does have a legislation that matches this criteria as well as a copy of that legislation itself. And that is due to the forensic DNA Capacity email at the bottom of this slide by 11:59 p.m. on April 3rd, 2019. Also, once we compile these certifications after the deadline, we will update and post the secondary allocation table on the solicitation itself. So those that apply can look and see how much their allocation is, distributed appropriately and that way the individual applicants inside that particular state that want to take advantage of this money will know how much they need to write their application budget for. And again, this secondary amount is determined based on the UCR Part 1 Violent Crimes in 2017 for that State and the population of the State.

The next new item I'd like to discuss briefly is the allowability of LIMS Systems for purchase under CEBR. Previously, only DNA modules to existing LIMS Systems were

allowable. Due to feedback from the community for improvements to currently existing LIMS Systems or outdated LIMS Systems in fiscal '19, we are allowing the purchase of new LIMS Systems to upgrade or replace these existing systems or to install a LIMS System in a laboratory that may not have a LIMS System currently. The next new item is the change with regard to warranties, maintenance, and service contracts. Previously, these agreements were only allowable for purchase with equipment that was purchased in that fiscal year's award. We have opened that up for 2019 to cover all of the warranty service and maintenance contracts for equipment that can be purchased under this award.

RENEE COOPER: Okay. Hello, everybody. This is Renee Cooper. I'm the Director of the Office of Grants Management at NIJ. Thank you all so much for joining us. We wanted to take a few moments today to actually talk about Program Income and our new Program Income policy, which you will find a link to in the program solicitation. Program Income is one of those things that it's a very small part of our compliance strategy at NIJ but it's something that tends to take up a lot of time. And in fact, in an Office of Inspector General report in I think 2017, the OIG was very clear that NIJ had been--had given you all some persistently inconsistent guidance on Program Income. And so following that review of the Office of Inspector General, our own office of Audit, Assessment and Management here at the Department of Justice followed up with many of you to determine sort of what are some of the issues are that you experienced with Program Income and what we could do to help you. So the important part about the policy is that it helps you to better diagnose what Program Income is and helps you better calculate Program Income. Stick with us through this presentation. We are focusing--it's going to sound like we're making things a little more complicated and we are definitely not. We're attempting to nuance the requirement so that fewer of you would be responsible for actually reporting Program Income. That said, the new policy is completely compliant with 2CFR and the OJP Financial Guide. Most importantly, you do not--all prior guidance that we've given to you all on Program Income, you can disregard that guidance. This new policy is the policy that you should be using to manage your award henceforth. So next slide. The most important question, who does this policy apply to? It applies to all of your current awards under this program--under the CEBR program as well as DNA-EICE and it will apply to your application materials that you're going to be submitting in 2019. It's very important to note that this Program Income policy is specific to these two programs that you're looking at on the slides.

In FY 2019, all applicants for CEBR must submit a Program Income Declaration. Ideally, that declaration is submitted in a separate attachment and labeled as a Program Income Declaration. Sometimes occasionally we've had to bother you all to look for the declaration because it's buried in application materials and isn't easy for us to find. So the best bet is just to quickly put the declaration information in a separate attachment and label it Program Income Declaration. And you'll see now in the policy that there are four different statuses that you can declare. So we'll go over those in the next slide. I know it'll be tempting to read this slide while I'm talking but hopefully I'll be--I--you can decide or intended as a takeaway for after the presentation. So I'll try to walk through them, the different declaration statuses as quick--as succinctly as possible. The first declaration is number one, and that is you're not a fees for--fee for service lab. You do not have to. So,

you don't have to declare Program Income. Just say that in your Program Income Declaration. Status number two is that you employ--you are a fee for service model or you use a fee for service model with your lab but you do not plan to use grant funds for any fee for service related activity. So in other words, we have a lot of grantees that may be a fee for service lab but it's sequestered the activities in another portion of the lab. Status number three is that you are a lab that does use a fee for service model. And you will be applying grant funds to activities that touch--that does fee for service--samples tested through a fee for service model. Number four is important and it's a--it's an exemption that is allowed through 2 CFR. You may be a fee for service lab and you may collect fees from maybe jurisdictions near your own to do testing, you can declare an exemption if you have--if you are doing government-to-government testing. So let's move to the next slide and go a little bit over what that exemption is. To qualify for the Program Income exemption, you need in your fee for service lab, you need to do fee-for--and you're doing fee for service testing with another government organization, that's important that it's another government organization, it can't be quasi-governmental, and your testing--your fee is at cost or the cost that it--you incur in testing which can include overhead, then you can apply for the exemption and you won't have to report Program Income.

In the next slide, we'll go over a little bit more about operationalizing what at cost means. Pardon me, you'll hear me flip my paper here. Generally, at cost means that you can include the overhead that you incur in the fees, but it cannot include profit. The second element is generally the cost to test a sample is the same for your jurisdiction as it is for the jurisdiction paying the fee. So basically, if you're one jurisdiction, you're doing--you have a fee for service model, you do testing for other jurisdictions, it's government-to-government, and you're doing the testing at cost and not incurring a profit, then you can claim this exemption. So in essence, what we've done here for you with these four different status types, again, it sounds a little more complicated, but what that means is very, very few of you and we're thinking that means under five of our recipients will have to report Program Income under this new model. To be clear, everyone has to put a Program Income Declaration in their application, but most of you will be able to, well, not have to report Program Income. So on the next slide, we'll go over a chart and I won't read the chart to you all, but it's a way of sort of quickly assessing whether or not you'll--your organization will be responsible for reporting--tracking and reporting Program Income and applying it per the CFR. I am remiss in saying that many of you already are not, you know, the number of fee for service labs that we interact with. It's fairly small in the first place. So this new policy doesn't affect 90 percent of you all on the phone but we wanted to make sure to clarify the new policy. So this chart you're looking at here is in the policy itself that we've linked to in the solicitation. So moving forward, the point we want you to takeaway here is that those of you claiming Program Income Status #3 which is you're a fee-for-service lab, you are applying our grant funds for fee-for-service activities and you cannot claim the exemption, you are strongly encouraged to use the Program Income calculator that we have provided, that's also linked to in the solicitation and in the policy, and I'm going to very quickly turn it over to Alissa Genovese, who is a Division Director here at NIJ to go over the Program Income calculator.

ALISSA GENOVESE: Hi, everyone. Thanks for joining us. So the preview of the calculator is going to be incredibly brief because as Renee mentioned the number of you that are impacted by this is fewer than 10 we imagine and only for those that are declaring Program Income Scenario #3. So this is a tool that you want to be familiar with, if you think you are declaring item number three, then reach out to your Grant Manager for sure, we can help you on an individual basis. So when you get a chance to click the Excel link, you'll see this is the first tab, it basically just goes over what Program Income is, what the math looks like to determine how you need to report it to us. You can go to the next slide. The second tab in the spreadsheet is a breakdown of your activities that is in two steps. First is determining the revenue that needs to be reported and the second step, next slide, is what actually has to be reported as part of the federal share. So the really important piece of this whole thing is that green highlighted column. That information ultimately is what you report on your quarterly FFR. So kind of some overview things, be familiar with this, use it if you are in the Program Income Situation. Keep in mind that this calculator is updated from the last one, those of you that had to use the last one, you may remember that it was the old 18-month period, this one is updated to the two-year period. It--I've test-driven it with some dummy numbers, it's functional, for real.

RENEE COOPER: Really, really this time.

ALISSA GENOVESE: Really, really this time. And you should be using this on a word by word basis. So you would use this tab, the two--the two slides that you just saw for say your 2018 award and then if you had to report Program Income on your 2019, you would duplicate the tab, and you would report completely separately so that there's no double counting. But again, this is pretty--a pretty limited application, if you have any questions, always reach out to your Grant Manager. We're happy to answer specific questions.

RENEE COOPER: Great. Okay. So this is Renee again and we'll just go over a few more summary slides here for Program Income. When is this policy applicable? It's applicable now and it's live, but that's for most of you does not mean any additional work. Grantees who would claim status 1 and 2, no action is required for your currently active award. You do not need to do anything. For your FY '19 application, please just include an updated Program Income Declaration that accurately notes your status per the policy. Recipients who claim statuses 3 and 4, for your active awards, that means your current--your current awards, contact your Grant Manager as soon as possible and just let us know what you plan to do, whether or not you're going to claim status 3 or 4, and we can certainly help you, if you're claiming status 4 with the documentation we would require or for status 3, we can help you with the calculator as Alissa just mentioned. And then similarly, for your FY 2019 application, please just submit a Program Income Declaration that includes your updated status. As ever, if the status of your declaration changes during the course of your award, please notify your NIJ Grant Manager as quickly as possible.

So we'll go to the last slide here, just a couple of housekeeping items. And the procedures for tracking and reporting Program Income, they haven't changed, they're in the DOJ Financial Guide. So to be clear, what our policy does is it helps you better diagnose when you're incurring Program Income and it tells you how to calculate it. If you

are one of our--very few of our grantees that must you are in a Program Income reporting status, the--after you've calculated what your Program Income is, you report it on your FFR and you have to select the additive or deductive method for applying the funds to your award as you've always had to do. And again, that's in the DOJ Financial Guide. Grantees who are going to request an exclusion, that's for government-to-government testing at cost, you don't have to submit your IIAs or your MOUs or your letters of agreement or contractual agreements, or anything like that with your application, that's completely unnecessary. However, the policy does say for audit purposes, that you need to be able to provide this information upon request. So if we're doing desk reviews or we're actually doing on-site monitoring, please be prepared to share your government-to-government agreements with us and your cost calculations as well. The most important thing you can take away from this presentation is that if you are declaring status three or four, just contact your Grant Manager. Contact them, we'll walk you through this, because this presentation, again, isn't applicable to most of you, we're not deep diving and answering probably all of the questions you have. And also, a lot of the questions we get are so specific to a particular jurisdiction or a particular grantee that it's not helpful to answer those more detailed questions in a--in a setting like this. We certainly want to answer your question in context of your specific jurisdiction. Finally, the Program Income policy itself, as we mentioned, it's in the solicitation but here's the location. It's not a very long document, it's pretty quick, and we hope that it's far more helpful and that many of you will have much better defined--a much better defined decision tree for when you need to report Program Income. If you have any questions, we'll answer them at the end of the call and I'll turn it back over to Chuck.

CHUCK HEURICH: Thank you, Renee. Just some last slides before we open it up for questions and answers. Some reminders about allowable expenses, please remember that there's an eight percent cap on travel and training. And some of the expenses that are not permitted but certainly not all of them, the purchase of equipment of unapproved technologies, which is on pages 15 and 16, and that means the technologies that do not have NDIS or QAS standards approved by the FBI are not allowed to be applied for if they are not already approved. If they are pending approval, you may not put them in your application. And then obviously work funded under another federal award because that would be considered potential comingling of funds or duplication of efforts.

The application requirements are pretty straightforward in the solicitation itself. I do want to make everyone aware that as with last year, there are critical elements that are required: the Program Narrative, the Budget Detail Worksheet, and the Budget Narrative, as well as the Proof of Accreditation. Those four items must be attached to your application if one or more of those are not present, you will not receive an award for fiscal year 2019. Next slide please. And again, here it is. Basic minimum requirements, BMR, so you're familiar with that term, Program Narrative, Budget Detail Worksheet, Budget Narrative, and Proof of Accreditation. Please before you hit submit, before 11:59 on the deadline, please make sure that all four of those are attached. Some recommendations in general, we do these at presentations, we do these on webinars, and we really hope that you read the solicitation carefully. We understand that's a long document but it has lots of T's crossed and I's to dot, so please make sure that you're familiar with everything

including the new items and the items that have been there routinely over the years. Please don't wait until the last day to upload, get it done early and get it done before 11:59 on that deadline. We appreciate and understand that the vast majority of you have jobs working in the laboratory and your sole job is not grant application writing. But please, do not wait until the last day to submit your application. And be thoughtful when you write your narrative for your Program Narrative. How can this money help your laboratory increase its efficiency as well as its capacity while reducing the backlog? Try to think outside of the box and not cut and paste your application from year to year, try to think of some new and novel ways that you can purchase equipment or use personnel to develop a more efficient practice in your laboratory and include that in your Program Narrative. And please make sure that you use program funds for the specific goal of that capacity enhancement slash backlog reduction.

RENEE COOPER: And this is Renee, I'll just add onto Chuck's slide and say that we are at NIJ getting increasing pressure to communicate the outputs and outcomes of our programs and individually being asked to demonstrate the fidelity of your outcomes with your original grant proposal. So I think it's really important to be not only thoughtful about how you plan to meet the goals and objectives of the grant program but to be realistic in your expectations and clear and thoughtful on what it is that you want to achieve. It's really, really important because we're starting to find that applications may look the same year over year, but we're either getting an incredible number of scope change requests because people are get--sort of getting their award and then really starting to think about what they want to do or that the final progress report looks a lot different from what the application looks like. And so we're just encouraging people to be really thoughtful and use the application period as a planning period for your organization.

CHUCK HEURICH: Thanks Renee.

MARY JO GIOVACCHINI: Okay. At this time, we are going to start diving into the questions that have come in but if you would give us one second before we do that.

So our first question today is: "What is the definition of test all?"

CHUCK HEURICH: This is Chuck, I'll respond to that with we really didn't device a definition for test all because understanding the different state legislation can vary from state to state, test all would mean anything from your state has legislated that all Sexual Assault Kits that are collected are tested, it may mean that all Sexual Assault Kits submitted to the crime laboratory are tested. So the definition can vary based upon your legislation. What it absolutely does not include is a test all policy at your laboratory. It must be a state legislation that was enacted before January 1st of 2019.

MARY JO GIOVACCHINI: "If we have agreements with some agencies, local police departments but not others, how do we calculate PI? Isn't agreement for processing with city or county LEAs and agreement qualifies for the exemption?"

RENEE COOPER: This is Renee, and we would basically need to look at the agreements. So call your Grant Manager and we'll be happy to go over those with you in more detail. We're absolutely ready to help and if we need to give you all time to get other agreements in place or if we need to split up and count some portion of your grant is program--applying to Program Income and some not, we'll do that as well. So make sure you call your Grant Manager and we'll work with you.

MARY JO GIOVACCHINI: "Does the training eight percent include college course costs?"

CHUCK HEURICH: Generally the answer to that is no, the training--the training and travel eight percent cap includes in-house professional training, also external training at conferences or meetings for professional development, as well as potential external training at a vendor site or having a vendor come into your facility and do a training on a particular instrument, kit, or technology.

MARY JO GIOVACCHINI: "I work in a County Medical Examiner's Office, which collects bone samples to be processed for DNA analysis for ID purposes, but our office itself does not have the capacity to do so. Can we use this grant to contract out to a lab that we currently use?"

CHUCK HEURICH: If you are an accredited laboratory that meets the eligibility guidelines of the solicitation, that is an allowable cost.

MARY JO GIOVACCHINI: I'm going to ask--I'm going to stop here for one second and just ask if you're submitting questions through chat, would you mind please sending them to the Q&A and addressing them to all panelists? Thank you.

"As a CEBR service lab, can we request funds to cover the fees for--that LEAs would be paying to us for testing so that we can assist smaller LEA's that have limited testing budgets?"

RENEE COOPER: I think we'd have to look at whether or not that's a subaward agreement as opposed to an actual--some--I don't think we would look at that in a program income context, I think we'd look at that potentially in a subaward context. So, call your Grant Manager and we can work through that with you.

MARY JO GIOVACCHINI: "If an applicant agency is responsible for multiple crime laboratories, does the \$250,000 minimum apply to each laboratory that the said applicant agency is responsible for?"

CHUCK HEURICH: Yes. So as outlined in the solicitation, each state gets an allocation based upon the formula and then that \$250,000 is the minimum amount that all of the laboratories in that state should receive unless the laboratories within that state all agree on a different and separate allocation. But the main point is that all of the laboratories must agree upon the final allocation within the state.

MARY JO GIOVACCHINI: "Why did the minimum increase for each laboratory within a state? And if a local lab tests 10 percent of the cases, why would they receive a quarter of the state's allotment?"

CHUCK HEURICH: This was a decision that was made internally based on feedback from the community. And again, it's up to the individual state's crime laboratories to come together, have this discussion about the allocation of the allotment, and come to an agreement with them based on their discussions internally within the state.

MARY JO GIOVACCHINI: "Would a small administrative processing fee that is added to fees charged count as profit?"

RENEE COOPER: It depends on whether it's at cost. If that's part of your overhead, the--and that's something that you would say is a cost that you would incur for your own testing as much as for anybody else, then that is--can be part of their exclusion. If it's something where you're actually making a profit and you're not just covering your own cost, than that moves you into needing to declare program income. If you call us, we can help you look specifically at your cost calculation.

MARY JO GIOVACCHINI: "Is there a central repository where we can view previous applications of others, ones that have been rated as exceptional?"

RENEE COOPER: Yeah, we--yeah. We typically don't make applications available in a central repository because there are--there's proprietary information that's in different applications. We also--when we're looking at formula awards don't rate necessarily on something that's exceptional, we look at--look at basic minimum requirements. However, I think what you're asking is would we be able to potentially, at some point, give a sample of what we thought an ideal application looks like and that is something we can most certainly look into doing. I think that's a great idea.

MARY JO GIOVACCHINI: "Is the purchase of [INDISTINCT] equipment an eligible equipment expense?"

CHUCK HEURICH: Yes. The purchase of anything related to true [INDISTINCT] software equipment etcetera is an allowable expense.

MARY JO GIOVACCHINI: "If our in-house Grant Manager is attending a grant management workshop, does that fall under the training category and the eight percent cap?"

RENEE COOPER: I think we'd have to look at what the training is.

CHUCK HEURICH: Right.

RENEE COOPER: Well, I don't think we've actually thought about that. Alissa, do you know if we've encountered that before?

ALISSA GENOVESE: So training for Grant Management or other staff that are working as part of the administrative expenses that are permissible under the award, we have permitted, depending on the topic, and it counts, in the past, kind of towards both the travel cap and your administrative cap. I think I've seen that once.

MARY JO GIOVACCHINI: "Does the change in the maintenance agreements permissible under this grant include equipment purchased outside of this grant? Example, may we include agreements on equipment already operational in the DNA unit?"

CHUCK HEURICH: At this point in time, yes, that is the allow--that is the interpretation of that change.

MARY JO GIOVACCHINI: "Could we use funds for contract technical reviews of cases out--." I assume that means outsourced. Yeah.

CHUCK HEURICH: Yes. Outsourcing of DNA samples for analysis, as well as outsourcing of technical review of case reports in any data is an allowable expense.

MARY JO GIOVACCHINI: "If a technology is expected to get NDIS approval very soon, within the next one to two months, how could this be included in applications?"

CHUCK HEURICH: As I've stated earlier in the webinar, it cannot be included in applications. The technology has to have approval now essentially, or before the deadline for application.

RENEE COOPER: Now that doesn't preclude you down the line from seeking a budget modification scope change, things like that.

MARY JO GIOVACCHINI: "Is the Second Formula Grant, NOFO, posted to--at the NIJ website? When is the due date for applications submission for the Second Formula Grant?"

CHUCK HEURICH: I'm not sure I understand the question. The...

RENEE COOPER: Talking about the sexual...

MARY JO GIOVACCHINI: Sexual.

CHUCK HEURICH: The second formula is in the actual solicitation that is on the street now. And it is eligible for any state that has a "test all" sexual call--assault kit legislation on the books as of January 1st, 2019. So, there is no second solicitation. There's one solicitation with one deadline. The deadline for the certification and copy of the actual legislation is April 3rd, 2019. To be considered for that second pot of money.

MARY JO GIOVACCHINI: I believe this is a similar question, but I'm going to read it again. "Could we use funds for contract technical review of cases outsourced with other funds?"

CHUCK HEURICH: Yes, if you can show that that particular outsourcing of the technical review is going to increase or improve your efficiency, and streamline your workload, yes, that would be an allowable expense.

MARY JO GIOVACCHINI: "Can you go over the new allowances regarding renovation?"

CHUCK HEURICH: For this particular fiscal year, renovations are essentially defined as any changes within your four walls or within you're already existing structure. If you want to take office space and renovate it into laboratory space, for example, that's allowable. If you want to build an addition onto your currently existing building, that is not allowable.

MARY JO GIOVACCHINI: "We have contacted our Grant Manager concerning subaward issues just discussed, funding testing for LEAs, and we have been waiting several months for a response. It is under consideration. And do you have another suggestion for whom to contact?"

RENEE COOPER: You can contact me. My address--my email address is R-E-N-E-E. C-O-O-P-E-R 2, that's the number 2, @usdoj.gov.

MARY JO GIOVACCHINI: "Can you clarify the changes in regards to equipment services--service contracts?"

CHUCK HEURICH: The clarification for this particular change for this year, for example, last year in fiscal year 2018, those service and maintenance contracts with regards to equipment were only allowed to be purchased for equipment bought with the fiscal year 2018 money. The change this year from feedback we've heard from the community is that the maintenance and warranties, and service contracts for 2019 can be purchased for any existing laboratory equipment, preferably existing laboratory equipment that was purchased previously with NIJ funds.

MARY JO GIOVACCHINI: "Once, and if a secondary allocation is made based on a "test all" SAK legislation, will that funding be limited to testing of Sexual Assault Kits only or can it be used for any eligible expenses?"

CHUCK HEURICH: It can be used for any of the allowable expenses **under the program**.

[REDACTED]

MARY JO GIOVACCHINI: "If there is not enough to give all laboratories within the state to receive the minimum, should the laboratories in the state split the money equally regardless of crime stuff?"

CHUCK HEURICH: Again, NIJ doesn't get involved in the discussions of the allocations within the state. We give the state the amount that they are going to get in the fiscal year.

It's up to the eligible applicants within that state to come to an 100 percent agreement on the allocations that are made to each individual laboratory in the state with the emphasis that when applicable each state at least receive the minimum of \$250,000.

MARY JO GIOVACCHINI: All right. One second, please. [INDISTINCT] oh, gosh. I think it's okay if we just say [INDISTINCT] technology for them, you can call us if you have any...

CHUCK HEURICH: So next question's via...

MARY JO GIOVACCHINI: I am--I apologize for that delay there. We are having a little bit of technical issue here. And we do have some questions, so if you could just bear with us, we can move along.

"In the attachment, you asked for a declaration of changes for a fee for DNA testing, but also the program income declaration. Isn't this the same thing?"

ALISSA GENOVESE: So we're using fee-for-service lab and program income generating lab interchangeably. Sorry for that. But, yes, they are the same thing. The declaration of program income would be whether or not you're fee-for-service.

RENEE COOPER: Well, that--so nuancing that, there's--if you are a fee-for-service lab, you could claim any one of Statuses 2, 3, and 4. These are the program incomes. So, the program income declaration is required of everyone. If you are a fee-for-service lab, you will fall in one the Statuses 2, 3, or 4. Status 2 is your fee-for-service lab, but you don't intend to apply funding towards your fee-for-service activity. Status 3 is you do tend--you know, you will use grant funds to support fee-for-service activity. Or Status 4, which is you can claim an exemption because the fee-for-service activity is intergovernmental and is at cost.

MARY JO GIOVACCHINI: "How soon after the four three deadline do you anticipate updating the secondary 'test all' allocations table?"

CHUCK HEURICH: Currently working with the other DNA program staff, we're anticipating that that secondary allocation table be out within two and hopefully not more than three days of the deadline so that everybody that is eligible and has submitted will have plenty of time to adjust their budgets accordingly and write their narratives for the overall solicitation deadline.

MARY JO GIOVACCHINI: "Is excel training for DNA analyst allowed?"

CHUCK HEURICH: As far as training goes, you may submit for all different types of training under this award. What you really need to do is make sure that the justification for any type of training, whether it's DNA analysis training, computer training, or training such as excel training, you need to be able to justify why you're sending the people to the training, and how that training is going to improve the efficiency of the day-to-day

operations of that analyst or set of analyst in the laboratory thus reducing things like backlog and turnaround time. So, you may apply for that type of training but you have to justify why it's eligible for payment under this award.

MARY JO GIOVACCHINI: "If DNA casework supplies totaling over \$150,000 for one vendor, self-sourced, are purchased with grant funds, should they be listed in the supplies category or contract? We have been advised two different ways in the past and I'd like to clarify."

ALISSA GENOVESE: So if you are purchasing items that will require you to submit a self-source to us, we would like for you to list that by the vendor under contracts. And then in a breakout, whether that's separate or in the budget narrative for that cost category, detail those cost under the category. So, if you have you \$175,000 going to life tech, you would put \$175,000 to life tech under contracts, and then in some fashion, you would further break that down into \$100,000 for an instrument, and \$75,000 worth of xxxx supplies. That feedback is something that we get from OCFO. And it's kind of frankly contingent on who is looking at it. So, we try to be consistent. We are one OJP. But if you've gotten a different feedback from different people, that's because we're all working to be consistent.

MARY JO GIOVACCHINI: "For the multiple crime laboratories, is this for different physical locations or different organizations? A state lab with one organization but three different physical locations should be given three times the \$250,000 minimum versus one \$250,000?"

CHUCK HEURICH: This minimum amount is recommended for distinct organizations or individual crime laboratories within a state. For example in Missouri, the Missouri State Highway Patrol would get an allocation based on the state allocation and however the state decides to distribute that. Missouri State Highway Patrol would be one organization and the other existing accredited crime laboratories within that state would then receive the rest of the allocations depending upon the state's agreement.

MARY JO GIOVACCHINI: "Can we use these funds to purchase new computers as software updates for DNA software necessitate a new operating system? What about CODIS servers and workstations to meet requirements for new versions of CODIS software?"

CHUCK HEURICH: The answer--the simple answer to that question is yes, that is allowable, but the caveat is it needs to be within reason and that's based on the number of computers, the number of software licenses, and the number of any other add-ons, I guess, I could put it with regards to that particular upgrade that you might need, and then again justify that in the budget narrative to show why it is that you need that particular amount of computers or software licenses, et cetera.

MARY JO GIOVACCHINI: "Again, just to clarify grant funds cannot be used to add on square footage to an existing building, is that correct?"

CHUCK HEURICH: Yes. That's correct.

MARY JO GIOVACCHINI: "For the multiple crime laboratories, is this the--" This is the same question. "Has the definition of program income been changed as the definition found in the DOJ Financial Guide?"

RENEE COOPER: The definition has not changed. We use the definition that is set forth into CFR, and that definition is also found in the Financial Guide. The definition itself, however, is difficult when you start to look at it in context of the CEBR Program, so what we've tried to do with this policy is to give you tools to better diagnose when you have to--when you actually have a situation where you have to declare program income, track it, report it, and apply it to your award. But the definition itself has definitely not changed. It is the same legal definition that all federal agencies and all federal grants are subject to.

MARY JO GIOVACCHINI: "To clarify the Second Formula Funding can only be used for Sexual Assault Kits testing activities?"

CHUCK HEURICH: It can be used for all activities under the CEBR program for any type case. [REDACTED]

MARY JO GIOVACCHINI: "I missed the part for the response on the "test all" allocation must be used. Can you repeat whether or not it is limited to Sexual Assault Kit testing?"

CHUCK HEURICH: No, [REDACTED] it is not limited to Sexual Assault Kit testing, but the allowable or permissible expenses within the solicitation, you may use monies for all of those permissible uses of funds for any case. [REDACTED]

MARY JO GIOVACCHINI: "If some of our work is via in our local agreement, MOU and some is not, are we required to claim Status #3 for the work not covered by the agreement, and #4 for the remainder, or can we declare 3 for everything?"

ALISSA GENOVESE: So I see that this--these questions are coming from the same individual, and I believe we're aware of your situation and your Grant Manager has actually contacted us, and we have been in discussion about it. So, we see that you have ongoing conversations. We'll reach out after this webinar today.

RENEE COOPER: Definitely it sounds like a more complex issue and I know now--sorry, I'm not in a position to see the screen, so I know now what you're referring to, and, yeah, we'll absolutely--we'll absolutely help with that.

MARY JO GIOVACCHINI: I'm not sure if this needs to be repeated because I think you just addressed it, but I'm going to read it again. "Can you please repeat the answer to eligible expenses under the Secondary Sexual Assault Kit allocation?"

CHUCK HEURICH: Under the Secondary Formula for the Sexual Assault Kit allocation, all of the permissible uses of funds can be used for that Second Formula, they have to, again, be directly related to all Sexual Assault Kit activities and cases under the grant.

MARY JO GIOVACCHINI: "If you purchase 35 separate kits under supplies, all from the same vendor, and that total is over \$100,000, does this require sole-sourced?"

ALISSA GENOVESE: So the simplified acquisition threshold is changing in fiscal year '19, it's actually \$250,000 just to the general awareness matter. So the--it would really depend if you are purchasing those supplies through a non-competitive means and the amount is an excess of a simplified acquisition threshold then, yes, you must submit a sole-source scan to us.

MARY JO GIOVACCHINI: Now that is the last question that we have in the Q&A tab. We do have a slide up here with information on the National Criminal Justice Reference Service and it's been up here for a while so you can jot that information down. I am going to mute for a second and go look at the chat and make sure there's nothing there that we've missed, and then that'll also give you some time to go ahead and submit any other questions. So, bear with us.

Can I have a question? "Does an--excuse me, does each applicant agency need to submit proof of a Sexual Assault Kit or can the state apply for all agencies in that state?"

CHUCK HEURICH: That's a--that's a great question, something we did not go into detail about in the solicitation. At this point, the state can be the sole applicant and then take the allocation, and much like the first formula come up on an agreeable allocation formula for all of the eligible entities in that state, but we do also accept applications or certifications and proof from individual state--local agencies as well, so you can do it either way.

MARY JO GIOVACCHINI: And that appears--oh, at the end of the award--one second. The question is cutting off. "At the end of the award, which of the following is true? Do a--do a Fourth Progress Report entertain entering data during the last quarter as well as a final report entering data over the entire two years or just a final report?" So I think they're saying which report...

ALISSA GENOVESE: The progress report.

RENEE COOPER: And final...

MARY JO GIOVACCHINI: Yeah.

RENEE COOPER: Final report?

ALISSA GENOVESE: The Fourth...

RENEE COOPER: Yeah.

ALISSA GENOVESE: Okay. So the Progress Report for semi-annual, so therefore six months as opposed to a quarter, and your Final Report should be for the period as well as cumulative to the award.

RENEE COOPER: And when you're reporting in the PMT you'll get those cumulative...

ALISSA GENOVESE: That's right. Yeah, the PMT I think actually auto calcs the majority of them for you. Yup.

MARY JO GIOVACCHINI: All right. "For labs that are awarded a secondary funding allocation for Sexual Assault Kit, what tracking or metrics will be needed to demonstrate funds were used for that purpose?"

CHUCK HEURICH: Performance metrics were added into this solicitation to capture that Second Formula, so pay attention closely to the performance metrics when you submit your first progress report. They should have--it should be embedded in the PMT by that time so you can calculate and collect that data and report it accurately.

MARY JO GIOVACCHINI: "Do contracts for a--for temporary employees have to end at or before the end of the grant period?"

ALISSA GENOVESE: It doesn't matter. When your contract ends, it's when you're actually billing the grant award.

RENEE COOPER: Yeah. So it's not uncommon for you, folks, to have like lab-wide or state-wide contracts that this award is just contributing to. The important thing is that you're invoicing off of the award only during the award period.

ALISSA GENOVESE: You can't incur cost after the--we--again, we realize your contracts don't fall in line with our own, you know, award cycle, that's perfectly understandable, but you can only incur cost during the project period and not after the 90-day period after the grant is merely to liquidate cost, in other words to seek reimbursement for a cost you incurred during the project period.

MARY JO GIOVACCHINI: One second, please. I'm freezing. "If awarded "all test" funds, do we submit another budget specifics for this?"

CHUCK HEURICH: I would say it's up to the applicant how they want to submit their budget. They can submit it as one budget, breaking out the cost based on the two different formulas and having the totals calculated in the one budget, or if it's easier for them, they could submit two separate budgets outlining which ones are for which specific formula. I think it's up to the individual applicant themselves on which is the easier way for them to create the budget, but I can ask Alissa and Renee to chime in as well.

RENEE COOPER: Yeah. I think that's right because to be perfectly honest, we have a new, you know, OJP-wide suggested budget that everyone used, which is not necessarily

cut out for this specific case and we recognize that. So Chuck is absolutely right, do what works best for you all, as long as you can track the money--which money is going where. We will accommodate you and particularly come out to monitoring as long as you're able to explain the way you're tracking it to us, and the figures add up, I think that's perfectly fine.

MARY JO GIOVACCHINI: That appears to be our last question, and we are at 2:58, so the webinar was scheduled until 3:00, if we want to--you want to say...

RENEE COOPER: Yeah. No, thank you--thanks everyone so much for attending. We're very appreciative. And certainly if you have any questions about your current awards, contact your Grant Manager. If you have questions about the solicitation, contact NCJRS. And again, we'll have this information posted in a few weeks' time, the webinar posted...

MARY JO GIOVACCHINI: Yeah. Yeah. Hopefully under 10 days, that's--that is definitely the goal. It unfortunately takes a little bit of time to get everything transcribed and made 508 compliant, but it will be posted and we will send you an email letting you know that it's been posted. The other thing you can do is if you go to ncjrs.gov, you can sign up to receive their grants and funding email newsletter. It comes out every Friday. They will announce new solicitations that are being posted from all agencies within the Office of Justice Programs, webinar dates, as well as when items from webinars have been posted to the agency's website. So, that would be a good resource for you. So thank you very much for joining. On behalf of NIJ, we appreciate your time, and have a great day.

DNA Capacity Enhancement and Backlog Reduction (CEBR) Program

Today's Presenters:

Chuck Heurich

Renee Cooper

Alissa Genovese

Solicitation Post Date: March 13, 2019

Solicitation Close Date: May 14, 2019*



NIJ

Background

- Solicitation running in its current form since FY 2011
 - Similar solicitations between FY2004 and FY2010
- Solicitation is a “formula” program
 - Funds given out to States by a set formula
 - Total awarded to a State is then divided amongst the eligible crime labs (State, city, county, etc.)



Goals of the Solicitation

- Assists State and local government with existing DNA crime laboratories:
 - Increasing capacity of forensic and database labs
 - Direct analysis of forensic DNA or DNA database samples
- Increase sample throughput
- Decrease sample turnaround time
- Reduce the number of forensic DNA and DNA database samples awaiting analysis

NEW for FY2019

- 2nd formula added for SAK Legislation
- LIMS are now allowable
- Warranty, service, or maintenance contracts for equipment
- Renovations (“within four walls”) are allowable, require 25% matching.

NEW for FY2019 – 2nd Formula (page 7)

- A secondary amount of \$12 million will be available for distribution among applicants that have demonstrated that the applicant's State has enacted "test all" Sexual Assault Kit (SAK) legislation that is in effect before, or as of, January 1, 2019.
- To qualify to receive this secondary amount, eligible applicants must send a certification statement that includes the effective start date of the legislation, the statutory citation of the legislation, an express request to receive additional funding under this second allotment of DNA CEBR funds, and a copy of the applicable statute to **Forensic.DNACapacity@ojp.usdoj.gov** by **11:59 p.m. eastern time on April 3, 2019.**



NEW for FY2019 – 2nd Formula

- After NIJ compiles these certifications, NIJ will update and post the secondary allocation table, which will list all eligible applicants that timely submitted sufficient documentation that demonstrates the applicant's qualification for a portion of this secondary amount. This secondary amount will be determined based on:
 - a. The number of Uniform Crime Report (UCR) Part 1 Violent Crimes reported to the FBI for 2017.
 - b. The population of the State.

NEW for FY2019 – LIMS

- Previously only DNA modules to existing LIMS were allowable.
- For FY2019 Contracts may be established to purchase and install a new LIMS to upgrade or replace existing systems, or to install a LIMS in a laboratory previously without a LIMS. (page 14)



New for FY2019 – Warranties, Maintenance and Service Contracts

- Previously warranties, service or maintenance contracts for equipment were allowable only for equipment purchased under that fiscal year funding.
- For FY2019 warranty, service, or maintenance contracts for equipment can be purchased for any equipment (page 12)



NEW for FY2019 – Program Income

- Past Concerns with Inconsistent/Unclear Guidance
 - OIG Review
 - OAAM Review
- NIJ has substantially improved our policy, which describes:
 - When to declare program income
 - How to calculate program income
- The policy is consistent with 2CFR “grants super circular” and DOJ Financial Guide
- Supersedes all prior NIJ guidance regarding program income for the CEBR Program



NIJ

NEW for FY2019 – Program Income (cont.)

Who does the new policy apply to?

ALL CEBR APPLICANTS and AWARD
RECIPIENTS

CEBR Formula AND DNA-EICE Recipients



NIJ

NEW for FY2019 – Program Income (cont.)

➔ All FY 2019 Applicants must submit a program income declaration.

➔ Ideally, the declaration is submitted in a separate attachment and labeled as a program income declaration.

➔ There are now four possible statuses – applicants should select one.



NIJ

NEW for FY2019 – Program Income (cont.)

1

Does not employ a fee for service model or otherwise accept compensation from external organizations or jurisdictions to conduct DNA sample testing; or

2

Employs a fee for service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, but does not plan to use grant funds for any fee for service-related activity; or

3

Employs a fee for service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, and does plan to accept fees for activities and/or services performed using grant funds, in whole or part, from the Programs referenced in the policy; or

4

Employs a fee for service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, but can claim the exclusion in Section 8 of the policy.



NIJ

NEW for FY2019 – Program Income (cont.)

DNA sample testing conducted for a fee or monetary compensation under **certain intergovernmental agreements** may not have to be reported as program income. The intent to claim this exclusion must be documented in the Program Income Declaration submitted to NIJ.

To Qualify for the Exclusion:

- 1) An executed agreement in the form of an up-to-date intergovernmental agreement or memorandum of understanding that clearly indicates the fee for service or compensation structure between the award recipient and the state or local governmental organization for which DNA sample testing will be done. The award recipient may provide enacted legislation that mandates the arrangement in lieu of an executed agreement.
- 2) A cost breakdown for how the fee or monetary compensation is derived that demonstrates the fee or compensation agreed to supports only the cost of testing the sample.

NEW for FY2019 – Program Income (cont.)

Operationalizing “At Cost”



Can include overhead, must not include profit



Generally, the cost to test a sample is the same for your jurisdiction as it is for the jurisdictions paying the fee



NIJ

NEW for FY2019 – Program Income (cont.)

| Program Income Declaration Status from Section 7 a. | Grant Recipient Receives Compensation for Services Provided? | Grantee Required to Report Program Income |
|---|---|---|
| 1 | No | No |
| 2 | Yes, but grant funds will not be used for any fee for service-related activity | No |
| 3 | Yes, for services supported directly with grant funds from the specified programs | Yes |
| 4 | Yes; however, the inter-governmental agreement exclusion in section 8 of this policy can be applied | No |



NEW for FY2019 – Program Income (cont.)

For those claiming Program Income Status #3*: You are strongly encouraged to report program income using the program income calculator.

<https://nij.gov/documents/dna-program-income-calculator.xls>

*Employs a fee for service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, and does plan to accept fees for activities and/or services performed using grant funds, in whole or part, from the Programs referenced in the policy



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NEW for FY2019 – Program Income (cont.)

OVERVIEW OF THE PROGRAM INCOME CALCULATOR



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NATIONAL INSTITUTE OF JUSTICE - DNA CEBR and EICE PROGRAM INCOME CALCULATOR¹

¹This calculator is informed by the National Institute of Justice Program Income Policy at <https://nij.gov/documents/nij-dna-program-income-p>

Overview: Program income means gross income earned by the non-Federal entity (i.e., a DNA CEBR or DNA EICE Program recipient or subrecipient) that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance. See 2 C.F.R. § 200.80.

A grantee that employs a fee for service model or otherwise accepts compensation from external organizations or jurisdictions to conduct DNA sample testing, and does plan to accept fees for activities and/or services performed using grant funds, in whole or part, from the Programs referenced in the NIJ Program Income Policy¹ must report earned program income on line 10L of the Federal Financial Report (FFR) - SF-425.

Method for Calculating Program Income

$$\frac{\text{Federal Award Expenditures for the Quarter}}{\text{DNA Laboratory Total Expenditures}^2 \text{ for the Quarter}} \times \text{Revenue from DNA Services Provided During the Quarter} = \text{Reportable Program Income}$$

²These expenditures must be those of the DNA Laboratory that generated the DNA Services Revenue.

What's Required: The Calculator has been prepopulated based on an hypothetical 2-year award: 2015-DN-BX-XXX1 for \$200,000.

The Calculator is broken down into two steps:

- The first step of the calculator determines the percentage of the DNA services revenue to be reported as program income.
- The second step calculates federal share of the program income to be reported on Line 10L of the SF-425 (FFR).

For the first step, the user will need to provide the following information: Period (Quarter); Federal DNA CEBR/EICE Award Year; Award Number; Federal DNA CEBR/EICE Award Amount; Federal Award Expenditures for the Quarter; and DNA Laboratory Total Expenditures for the Quarter. Federal Award Cumulative Expenditures at End of Quarter; DNA Laboratory Cumulative Expenditures at End of Quarter; and Percentage of Revenue Required to be Reported as Program Income are columns with calculated cells.

For the second step, the user will need to provide the following information: Revenue Received During Each Quarter for DNA Services. Period (Quarter); % of Revenue From FY15 Award Calculated in Step 1 and Program Income to Report on FFR for the FY15 Award are columns with calculated cells.

Note: The Calculator is for one award only. Program income is to be tracked separately for each award. Therefore, grantees with more than one DNA CEBR/EICE award are to calculate program income for each award by copying the calculator to a separate tab (sheet) for each additional award.



How to Calculate Program Income

This calculator is based on an hypothetical award: 2015-DN-BX-XXX1 . Moreover, the calculator covers two years. The same methodology can be applied to awards with more than 2 years project period.

Step 1: Determine the Percentage of Revenue to be Reported as Program Income

First Year

FY2015 Award

| "a" | "b" | "c" | "d" | "e" | "f" | "g" | "h" | "i" = e divided by f |
|------------------------------|-----------------------------|-----------------|-------------------------------|--|---|---|--|---|
| Period (Quarter) | Federal DNA CEBR Award Year | Award Number | Federal DNA CEBR Award Amount | Federal Award Expenditures for the Quarter | DNA Laboratory Total Expenditures for the Quarter | Federal Award Cumulative Expenditures at End of Quarter | DNA Laboratory Cumulative Expenditures at End of Quarter | Percentage of Revenue Required to be Reported as Program Income |
| 2016 - Q1 (January-March) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 10,000.00 | \$ 400,000.00 | \$ 10,000.00 | \$ 400,000.00 | 2.50% |
| 2016 - Q2 (April-June) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 30,000.00 | \$ 350,000.00 | \$ 40,000.00 | \$ 750,000.00 | 8.57% |
| 2016 - Q3 (July-September) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 40,000.00 | \$ 250,000.00 | \$ 80,000.00 | \$ 1,000,000.00 | 16.00% |
| 2016 - Q4 (October-December) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 20,000.00 | \$ 500,000.00 | \$ 100,000.00 | \$ 1,500,000.00 | 4.00% |

Notes:

1. a = FFR reporting period; b = Award Year; c = Award Number; d = Award Amount; e = the total expenditures charged to the federal award for the quarter; f = the total operating expenditures for the DNA Lab for the quarter; g = the cumulative expenditures charged to the federal award since the inception of the award; h = the cumulative operating expenditures for the DNA Lab for the year; i = e divided by f.
2. For the purpose of program income determination, rather than a lump sum charge, the cost of DNA CEBR/EICE equipment purchased with Federal Funds should be amortized and charged quarterly as *federal award expenditure* over the duration of the grant performance period or the useful life of the equipment, whichever is shorter.

Second Year

This is the addition of \$100,000 from previous year (2016) to 2017 1st Quarter Expenditures of \$10,000.

| Period (Quarter) | Federal DNA/CEBR Award Year | Award Number | Federal DNA/CEBR Award Amount | Federal Award Expenditures for the Quarter | DNA Laboratory Total Expenditures for the Quarter | Federal Award Cumulative Expenditures at End of Quarter | DNA Laboratory Cumulative Expenditures at End of Quarter | Percentage of Revenue Required to be Reported as Program Income |
|------------------------------|-----------------------------|-----------------|-------------------------------|--|---|---|--|---|
| 2017 - Q1 (January-March) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 10,000.00 | \$ 500,000.00 | \$ 110,000.00 | \$ 500,000.00 | 2.00% |
| 2017 - Q2 (April-June) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 35,000.00 | \$ 350,000.00 | \$ 145,000.00 | \$ 850,000.00 | 10.00% |
| 2017 - Q3 (July-September) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 30,000.00 | \$ 500,000.00 | \$ 175,000.00 | \$ 1,350,000.00 | 6.00% |
| 2017 - Q4 (October-December) | 2015 | 2015-DN-BX-XXX1 | \$ 200,000.00 | \$ 25,000.00 | \$ 400,000.00 | \$ 200,000.00 | \$ 1,750,000.00 | 6.25% |

Step 2 : Calculate Federal Share of Program Income

Program Income for First and Second Year

| "j" | "k" | "l" | "m" | "n" = l times m |
|---|------------------------------|---|---|--|
| Notes | Period (Quarter) | Revenue Received During Each Quarter for DNA Services | % of Revenue From FY15 Award Calculated in Step 1 | Program Income to Report on FFR for the FY15 Award |
| <i>When the FY15 DNA Award Becomes Active</i> | 2016 - Q1 (January-March) | \$3,000.00 | 2.50% | \$75.00 |
| | 2016 - Q2 (April-June) | \$4,000.00 | 8.57% | \$342.86 |
| | 2016 - Q3 (July-September) | \$5,000.00 | 16.00% | \$800.00 |
| | 2016 - Q4 (October-December) | \$8,000.00 | 4.00% | \$320.00 |
| Total for First Year | | \$20,000.00 | | \$1,537.86 |
| | 2017 - Q1 (January-March) | \$6,000.00 | 2.00% | \$120.00 |
| | 2017 - Q2 (April-June) | \$8,000.00 | 10.00% | \$800.00 |
| | 2017 - Q3 (July-September) | \$9,000.00 | 6.00% | \$540.00 |
| <i>FY15 DNA Award Ends</i> | 2017 - Q4 (October-December) | \$10,000.00 | 6.25% | \$625.00 |
| Total for Second Year | | \$33,000.00 | | \$2,085.00 |
| Overall Total for Two Years | | \$53,000.00 | | \$3,622.86 |

Quarterly Program Income to be reported quarterly on Line 10L of the SF 425 (FFR)

Notes (continued):

3. Program income earned during the award period that is not obligated and expended within ninety (90) days of the end of the award must be returned to the Department of Justice.

NEW for FY2019 – Program Income (cont.)

When is this policy applicable?

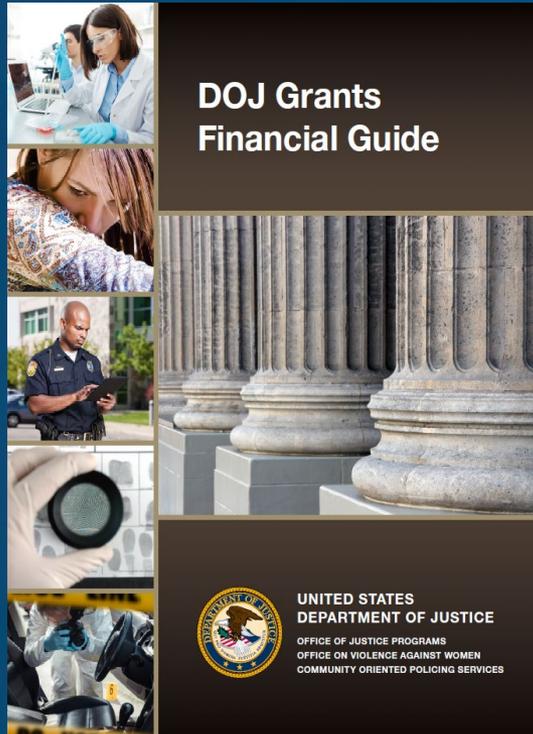
Now

- Grantees who claim statuses 1 and 2, **no action** required **FOR CURRENTLY ACTIVE AWARDS**. Submit an accurate declaration with your 2019 application.
- Grantees who claim statuses 3 and 4, please contact your Grant Manager as soon as possible and submit an accurate declaration with your FY 2019 application.
- If your status changes during the course of your award, notify NIJ immediately.



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NEW for FY2019 – Program Income (cont.)



Procedures for tracking and reporting program income have not changed and are located in the DOJ Financial Guide.

Grantees requesting an exclusion do NOT have to submit their IAAs/MOUs or cost break-downs with their FY 2019 application, but must be able to provide this information upon request

Grantees declaring status 3 or 4: Contact your Grant Manager for technical assistance

The program income policy and calculator can be found at:
<https://nij.gov/documents/nij-dna-program-income-policy.pdf>

Allowable Expenses – Reminders!

- Allowable Expense :
 - Training and Travel (8% cap)
- Expenses that are not permitted:
 - Purchase of equipment of unapproved technologies (pgs. 15 and 16)
 - Work funded under another federal award. Page 16.



Application Requirements

Grants Management System

- SF-424
- Project abstract (250-400 words)
- Program narrative
 - Eligibility statements
 - Baseline Backlog Data
- Budget detail worksheet and narrative
- Attachments
 - Applicant disclosure of high-risk status
 - Proof of Forensic Laboratory Accreditation
 - Certification of Non-supplanting
 - Declaration that the Laboratory Charges a Fee for DNA Testing Services
 - Applicant disclosure of pending applications
 - Program Income Declaration



Application Requirements BMR

- **B**asic **M**inimum **R**equirements
 - For this solicitation, NIJ has designated the following application elements as **critical**: Program Narrative, Budget Detail Worksheet and Budget Narrative, and Proof of Laboratory Accreditation.
- If any ONE or more of these are missing, your application will not be reviewed or approved. NO exceptions or excuses!

Recommendations for Applicants

- READ Carefully!!!
 - FY2019 CEBR program solicitation
- Don't wait until the last day to upload!!
 - Instructions if you have technical difficulties are on page 37!
- How can your lab increase your DNA lab's efficiency and capacity while reducing the backlog?
- Use the CEBR program funds for the specific goal of capacity enhancement

Q&A



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Application Assistance and Support

National Criminal Justice Reference Service (NCJRS) Response Center

<https://www.ncjrs.gov>

- Provides solicitation support and general assistance.
- Links to all current OJP funding opportunities.
- Funding Notices - subscribe to receive email notifications of new opportunities:
 - Sign up to receive the bi-weekly JUSTINFO newsletter as well as the weekly Funding News From NCJRS email.
 - Be sure to select “Grants/funding” as an area of interest in your NCJRS registration profile when you subscribe.
- **email** - grants@ncjrs.gov
- **web chat** - <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>
- **toll free** at 800–851–3420;
- **TTY** at 301–240–6310 (hearing impaired only)

The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday.

