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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding under the FY 2014 NIJ DNA Arrestee Collection Process Implementation Grants Program. This program furthers the Department's mission by offering assistance to eligible States with existing designated DNA database laboratories to help defray the costs associated with the implementation of DNA arrestee collection processes, to improve the capacity of laboratories that conduct DNA analysis of DNA database samples.

## FY 2014 NIJ DNA Arrestee Collection Process Implementation Grants Program

### Eligibility

Eligible applicants are States with a designated existing crime laboratory that conducts analysis of DNA database samples. For additional eligibility information regarding the applicant's designated DNA database laboratory, see page 3. Also, to be eligible for an award, an applicant must submit a certification from the chief legal officer of the State, as specified under "Eligibility" on pages 3-4.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 19.) All applications are due by 11:59 p.m. eastern time on August 7, 2014. (See "Deadlines: Registration and Application," page 3.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

### Contact Information

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the NIJ contact identified below **within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirements of this solicitation, contact Charles Heurich, Program Manager, by telephone at 202-616-9264, or by e-mail at [Charles.Heurich@usdoj.gov](mailto:Charles.Heurich@usdoj.gov). General information on applying for NIJ awards can be found at <http://www.nij.gov/funding/Pages/welcome.aspx>. Answers to frequently asked questions that may assist applicants are posted at [www.nij.gov/funding/faqs.htm](http://www.nij.gov/funding/faqs.htm).

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# FY 2014 NIJ DNA Arrestee Collection Process Implementation Grants Program

(CFDA No. 16.741)

## Overview

NIJ seeks applications from eligible States with designated DNA database laboratories for funding to assist with the costs associated with the implementation of DNA arrestee collection processes, in keeping with the purposes of the Katie Sepich Enhanced DNA Collection Act of 2012 (Public Law 112-253), thereby helping to improve the capacity of laboratories that conduct DNA analysis of DNA database samples.

**Authorizing Legislation:** Department of Justice Appropriations Act, 2014 (Public Law 113-76).

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on August 7, 2014. See “How to Apply” on page 19 for details.

## Eligibility

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

**Additional eligibility information:** Eligible applicants are States with a designated existing crime laboratory that conducts analysis of DNA database samples, provided the designated DNA database laboratory meets **all** of the following requirements:

- The laboratory is accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community.
- The laboratory is a participant in the National DNA Index System (NDIS).
- The laboratory undergoes external audits, not less than once every 2 years, to demonstrate compliance with the requirements of the Quality Assurance Standards for DNA Databasing Laboratories established by the Director of the Federal Bureau of Investigation.

**Certification as to the State’s legal authority to implement a DNA arrestee collection process in the applicant State:** To be eligible for an award, the applicant State must submit an express certification from its chief legal officer (typically the Attorney General) that one (**only one**) of the following two circumstances (options (1) or (2) shown immediately below) applies with respect to the applicant State:

- (1) The State has legal authority to implement a DNA arrestee collection process in the applicant State under a State statute enacted on or after January 1, 2013.
- (2) The State has legal authority to implement a DNA arrestee collection process in the applicant State under a State statute enacted prior to January 1, 2013, but with regard to which the State is submitting documentation with this application for funding that—
  - a. details the State’s plan (or statutory scheme), developed prior to January 1, 2013, to implement a DNA arrestee collection process in the applicant State on or after January 1, 2013; or
  - b. explains how the State’s request for funds via this application would be used to implement enhancements or other changes to existing DNA arrestee collection processes within the State pursuant to the enactment of legal authority to collect DNA arrestee samples from individuals arrested or charged with crimes with respect to which such legal authority was not previously available.

Any certification that is submitted must be personally executed by the chief legal officer of the State after a determination that the certification may properly be made. To establish eligibility, the certification must be received by NIJ **no later than the application deadline** as an attachment to the application. See also “What an Application Should Include” below and Appendix I, which includes a template for the certification. **This certification must be submitted using the template that appears in Appendix I.**

## **Program-Specific Information**

This solicitation seeks applications for funds to assist States with designated DNA database laboratories with the costs associated with the implementation of DNA arrestee collection processes, in keeping with the purposes of the Katie Sepich Enhanced DNA Collection Act of 2012 (Public Law 112-253), thereby helping to improve the capacity of laboratories that conduct DNA analysis of DNA database samples.

For the purposes of this announcement, “DNA arrestee collection process” means a process under which the State provides for the collection, for purposes of inclusion in the National DNA Index System, of DNA profiles or DNA data from the following individuals who are at least 18 years of age:

- (A) Individuals who are arrested for or charged with a criminal offense under State law that consists of a homicide.
- (B) Individuals who are arrested for or charged with a criminal offense under State law that has an element involving a sexual act or sexual contact with another and that is punishable by imprisonment for more than 1 year.
- (C) Individuals who are arrested for or charged with a criminal offense under State law that has an element of kidnaping or abduction and that is punishable by imprisonment for more than 1 year.
- (D) Individuals who are arrested for or charged with a criminal offense under State law that consists of burglary punishable by imprisonment for more than 1 year.

(E) Individuals who are arrested for or charged with a criminal offense under State law that consists of aggravated assault punishable by imprisonment for more than 1 year.

**Non-supplanting:** As the primary purpose of this program is to assist States by defraying DNA arrestee process implementation costs, successful applicants will be expected to provide assurances, as a condition of receiving grant funds under this program, that the funds will be used to supplement, not supplant, State funds that would otherwise be available for the purposes described in this solicitation. NIJ will include grant special conditions to this effect in any award made from this solicitation.

**Expungement of profiles:** If funded, applicants must agree to provide to NIJ (within 60 days of award notification), as a condition of receiving access to grant funds, documentation that demonstrates that the applicant has a procedure in place to—

- Provide written notification of expungement provisions and instructions for requesting expungement to all persons who submit a DNA profile or DNA data for inclusion in the index;
- Provide the eligibility criteria for expungement and instructions for requesting expungement on an appropriate public web site; and
- Make a determination on all expungement requests not later than 90 days after receipt and provide a written response of the determination to the requesting party.

If this information is available for inclusion with the application, applicants are encouraged to include documentation of procedures regarding expungement of profiles, as described above, with the application for funding.

Also, in addition to any requirements under State (or other applicable) law, States must adhere to applicable Federal expungement of records requirements for States described in 42 U.S.C. § 14132(d)(2).

**Please note:** No profiles generated with funding from this program may be entered into any non-governmental DNA database without prior express written approval from NIJ.

All DNA analyses conducted and profiles generated under this program must be maintained pursuant to all applicable Federal privacy requirements, including those described in 42 U.S.C. § 14132(b)(3).

NIJ may choose to conduct an evaluation of one or more projects funded under this solicitation. Any such evaluation may focus on the impact of the project and its implementation and may result in publication of a report. An example of a NIJ-funded report (on Boston's Operation Ceasefire) may be found [here](#).

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

The goal of this program is for States to implement an arrestee DNA collection program in keeping with the purposes of the Katie Sepich Enhanced DNA Collection Act of 2012 (Public Law 112-253). The program objectives are for States to develop and/or enhance the infrastructure(s) and process(es) needed to implement and sustain an arrestee DNA collection

program. The project plan should discuss, in detail, how the proposed program would absorb any additional samples anticipated should the proposed project be implemented as planned.

### **Amount and Length of Awards**

Total funding for this solicitation and the number of awards made will depend on the availability of funds, the quality of the applications, and other pertinent factors, which may include, but are not limited to, underserved populations, geographic diversity, and past performance and previous funding. **All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.**

The project period for awards under this FY 2014 program is expected to be October 1, 2014, to September 30, 2015. Project period extensions may be granted with sufficient justification but the total award period, including any project period extensions, will not exceed 18 months. Funding under this program will be provided to an agency only once, so grantees should not expect to be able to submit a subsequent application for funding under this program.

### **Budget Information**

#### **Permissible Expenses**

**Permissible uses of funds for eligible applicants for assistance with in-house analysis, data review, and upload of data to NDIS may include the following:**

1. **Overtime.** Funds may be used for overtime of existing in-house laboratory employees directly engaged in (a) handling and analyzing DNA database samples, including handling and analyzing quality-assurance samples, and (b) data review of profiles generated in-house that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>.
2. **Certain Supplies.** Funds may be used to acquire commercially available PCR kits accepted by NDIS and other laboratory supplies for analysis of DNA database samples, including analysis of quality assurance samples.
3. **Administrative Expenses.** Up to 3 percent of the Federal portion of an award under this program may be used for direct or indirect administrative expenses specifically related to grant administration and management. Applicants submitting budgets that include indirect costs must submit documentation of their federally approved indirect cost rate, but may not request indirect costs or direct costs in excess of 3 percent.

**Permissible uses of funds for eligible applicants for assistance with analysis of DNA database samples by an accredited fee-for-service laboratory and data review of the resulting profiles may include the following:**

1. **Overtime.** Funds may be used for overtime of laboratory employees directly engaged in data review of DNA database profiles generated by an accredited fee-for-service laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>.

2. **Contracts.** Funds may be used to establish a contract for analyzing DNA database samples with an accredited fee-for-service laboratory. Procurements are subject to the standards set forth in 28 C.F.R. section 66.36 and other applicable Federal law, including the provisions of 28 C.F.R. section 66.36 that relate to competition.
3. **Administrative Expenses.** Up to 3 percent of the Federal portion of an award under this program may be used for direct or indirect administrative expenses specifically related to grant administration and management. Applicants submitting budgets that include indirect costs must submit documentation of their federally approved indirect cost rate, but may not request indirect costs or direct costs in excess of 3 percent.

**Permissible uses of funds for eligible applicants solely for assistance with review and upload to NDIS of DNA profile data generated from DNA database samples by an accredited fee-for-service laboratory may include the following:**

1. **Overtime for Existing Laboratory Employees.** Funds may be used to pay overtime for existing laboratory employees who will be directly engaged in the review of DNA profiles generated by an accredited fee-for-service laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>.
2. **Administrative Expenses.** Up to 3 percent of the Federal portion of an award under this program may be used for direct or indirect administrative expenses specifically related to grant administration and management. Applicants submitting budgets that include indirect costs must submit documentation of their federally approved indirect cost rate, but may not request indirect costs or direct costs in excess of 3 percent.

**Expenses that are not permitted:**

Federal funds awarded under this program may only be used for the permissible expenses outlined above. Applicants must be careful not to request items that may be duplicated in any application for the [FY 2014 DNA Capacity Enhancement and Backlog Reduction Program](#). Among other things, funds may not be used for:

1. **Salaries and Benefits for Existing Staff.** Funds may not be used to pay salaries and/or benefits for existing staff, other than overtime as discussed above.
2. **Consultant and Contractor Services for In-House Sample Analysis.**
3. **Payment for Technical Review of Data to Individuals Who Do Not Meet Standard 17.5.2 of the Quality Assurance Standards for DNA Databasing Laboratories Established by the Director of the Federal Bureau of Investigation.** This standard currently states, in relevant part, "A technical review of a vendor laboratory's DNA data shall be performed by an analyst or technical reviewer, employed by the NDIS participating laboratory, who is qualified or was previously qualified in the technology, platform and test kit used to generate the DNA data, and participates in the laboratory's proficiency testing program."

4. **Travel.**
5. **Construction.**
6. **Training or Continuing Education.**
7. **Accreditation.**
8. **Laboratory and Computer Equipment for the DNA Database Laboratory.**
9. **Renovations.**
10. **Other Capacity Enhancement Expenses.** Funds may not be used to purchase software, such as expert systems and Laboratory Information Management Systems.
11. **Administrative Expenses that Exceed 3 Percent.** Direct or indirect administrative expenses that exceed 3 percent of the Federal portion of the award are not permitted.

#### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>1</sup> The 2014 salary table for SES employees is available at [www.opm.gov/salary-tables](http://www.opm.gov/salary-tables). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of

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<sup>1</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix C to 2 C.F.R. Part 230.

conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including 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 of the OJP "Other Requirements for OJP Applications" Web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

**Match Information**

See “Cofunding” paragraph under “What an Application Should Include” (below).

**Performance Measures**

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

<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Data Grantee Provides</b>
Develop and/or enhance infrastructure(s) and process(es) needed to implement and sustain an arrestee DNA collection program, in keeping with the purposes of the Katie Sepich Enhanced DNA Collection Act of 2012 (Public Law 112-253).	1. Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits.	1. Number of eligible arrestee DNA samples collected (if applicable). 2. Number of eligible Arrestee DNA profiles entered into CODIS (if applicable). 3. Number of eligible Arrestee DNA profiles resulting in a CODIS match (if applicable). 4. Quarterly financial reports, semi-annual progress reports, and a final project report on the work performed under the NIJ award.

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data

for performance measures. Refer to the section “What an Application Should Include” on page 10 for additional information.

## What an Application Should Include

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

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated the following application elements as critical: Program Narrative; Budget Detail Worksheet and Budget Narrative; resumes/curriculum vitae of key personnel; and the required express certification from the chief legal officer of the State, and any accompanying documentation (see “Eligibility,” pages 3-4, and Appendix I). Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one document, it must contain **both** narrative and detail information.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Resumes”) for all attachments. OJP further recommends that applicants include all resumes in a single file.

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. [Grants.gov](http://Grants.gov) and [OJP's Grants Management System](http://OJP's Grants Management System) (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

### 2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

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

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

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

### 3. Program Narrative

The program narrative section of the application should not exceed 15 double-spaced pages 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 15-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 15-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.

#### Program Narrative Guidelines:

- a. **Title Page** (not counted against the 15-page program narrative limit).  
The title page should include the title of the project, submission date, funding opportunity number, and the applicant's name and complete contact information (i.e., address, telephone number, and e-mail address).
- b. **Table of Contents and Figures** (not counted against the 15-page program narrative limit).
- c. **Main Body.**

The application should document how the applicant proposes to use the grant funds to meet the expenses associated with its implementation of a DNA arrestee collection process. Consistent with this expectation, the main body of the program narrative should describe the proposed project in depth. Proposals should clearly define the strategy and criteria that will be used to implement the DNA arrestee collection process. These may be demonstrated through the inclusion of checklists, flowcharts, diagrams, or narratives, and should be developed through collaboration with appropriate members of the criminal justice community (such as crime laboratory personnel, prosecutors, defense counsel, medical examiners, law enforcement investigators, etc.). Proposals also should clearly define the laboratory(ies) (government-owned or fee-for-service) expected to conduct DNA analyses of biological evidence, including data review and/or entry of eligible DNA profiles into CODIS, and where applicable, NDIS, and should detail how the laboratory(ies) the applicant expects to use would absorb any additional samples anticipated should the proposed project be implemented as planned.

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

- Statement of the Problem.
- Project Design and Implementation.
- Capabilities/Competencies.

- Impact/Outcomes/Plan for Collecting the Data Required for This Solicitation's Performance Measures. **Note:** NIJ does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that NIJ will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.

d. **Appendices** (not counted against the 15-page program narrative limit) include:

- Project timeline with expected milestones.
- List of previous and current NIJ awards to applicant organization and investigator(s).
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Documentation of procedures regarding expungement of profiles (if applicable). See page 5 for details.
- Accreditation certificate and scope of accreditation.

#### 4. Budget Detail Worksheet and Budget Narrative

##### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

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

## **b. Budget Narrative**

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

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

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

## **c. Cofunding**

An award made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-federal support for the project. The application should identify generally any such contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-federal contributions.

If a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

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

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

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories.

For assistance with identifying your cognizant agency, please contact the OJP Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## 6. Applicant Disclosure of High Risk Status

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

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

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

## 7. Additional Attachments

### a. Certification as to the State's legal authority to implement a DNA arrestee collection process in the applicant State

As described above in the "Eligibility" section, to be eligible for an award, a State must submit a specific certification personally executed by its chief legal officer (typically the Attorney General) as to the State's legal authority to implement a DNA arrestee collection process in the applicant State. A template for the certification appears in Appendix I. Any such certification—along with any accompanying documentation for applicant States whose applicable arrestee collection legislation was enacted prior to January 1, 2013—**must be received by NIJ by the application deadline, as an attachment, or the application will neither proceed to peer review nor receive further consideration.**

### b. Applicant Disclosure of Pending Applications

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal

funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

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

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

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

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

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

### 8. Accounting System and Financial Capability Questionnaire

Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years is to download, complete, and submit this [form](#).

## Selection Criteria

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

### **Statement of the Problem** (Understanding of the problem and its importance) – 10%

Applicants should supply information demonstrating an understanding of the problem and the expected impact of the funding in solving cases with DNA.

### **Project Design and Implementation** (Quality and technical merit) – 40%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.
4. Innovation and creativity (when appropriate).

### **Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of applicants) – 20%

1. Qualifications and experience of proposed staff.
2. Demonstrated ability of proposed staff and organization to manage the effort.
3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
4. Successful past performance on NIJ grants and contracts (when applicable).

### **Budget** — Budget seems appropriate and outcome justifies the cost. – 10%

**NOTE:** The budget should be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities.) Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to the proposed level of effort, potential alternatives, and the goals of the project.<sup>2</sup>

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.

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<sup>2</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

3. Use of existing resources to conserve costs.

**Impact/Outcomes/Plan for Collecting Data for Performance Measures** (Relevance to policy and practice) – 20%

1. Potential impact on participating laboratories of any new arrestee samples to be collected under this program.
2. Plan for collecting data and/or performance metrics.

## **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. NIJ may use internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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

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

## **Additional Requirements**

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies

- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Non-profit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

### **Project Deliverables**

If a proposal is funded, the award recipient will be required to submit several reports and other materials.

## Progress and Financial Reports

Grantees must submit a number of reports, including quarterly and final financial status reports, semi-annual progress reports and, if applicable, an annual audit report in accordance with Office of Management and Budget Circular A-133. Future award and fund draw-downs may be withheld if reports are delinquent.

## Final Project Report

Before the end of the project period, grantees must provide an overall summary of the project, documenting project objectives, design and methods, results, and analysis of impact. Specific commentary regarding the degree of completion of planned project goals is required. The final project report should be submitted 30 days prior to the project end date.

## How to Apply

Applicants must register in, and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

NIJ strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Number 0 – 9	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Underscore ( _ )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Hyphen ( - )	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Space	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</b>		
Period ( . )			

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,”

“.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

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

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.741, titled “DNA Backlog Reduction Program,” and the funding opportunity number is NIJ-2014-3737.
- 6. Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.

7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, NIJ will review only the most recent valid version submitted.

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

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the NIJ contact identified in the Contact Information section on page 1 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: NIJ does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in and untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time.
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## Provide Feedback to OJP

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

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

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

# Application Checklist

## FY 2014 NIJ DNA Arrestee Collection Process Implementation Grants Program

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

### What an Applicant Should Do:

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

- \_\_\_\_\_ Acquire a DUNS Number (see page 20)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 20)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 20)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 20)

#### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 20)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 20)
- \_\_\_\_\_ Sign up for Grants.gov email notifications (optional) (see page 19)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

### General Requirements:

- \_\_\_\_\_ Review "[Other Requirements](#)" webpage

### Eligibility Requirement:

- \_\_\_\_\_ Certification as to the State's legal authority to implement a DNA arrestee collection process in the applicant State (see pages 3-4 and Appendix I).

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 10)
- \_\_\_\_\_ Project Abstract (see page 10)
- \_\_\_\_\_ Program Narrative (see page 11)
- \_\_\_\_\_ Appendices (see page 12)
- \_\_\_\_\_ Documentation of Expungement Procedures (if applicable) (see page 5)
- \_\_\_\_\_ Budget Detail Worksheet (see page 12)
- \_\_\_\_\_ Budget Narrative (see page 13)
  - \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 8)
  - \_\_\_\_\_ Read OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm) (see page 9)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 20)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 13)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 14)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 14)
- \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable) (see page 15)

## Appendix I: Certification Template

**(Instructions:** Execute the certification by initialing only one of the two options, (1) or (2), and by signing and completing the information requested at the bottom of the certification template. Scan the completed document and submit the image file electronically through GMS.)

U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
NATIONAL INSTITUTE OF JUSTICE

FY 2014 NIJ DNA Arrestee Collection Process Implementation Grants Program

On behalf of the applicant State named below, I certify the following to the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice:

The State has legal authority to implement a DNA arrestee collection process in the applicant State—

- (1) \_\_\_\_\_ under a State statute enacted on or after January 1, 2013; or
- (2) \_\_\_\_\_ under a State statute enacted prior to January 1, 2013, but with regard to which the State is submitting documentation with this application for funding that—
  - a. details the State's plan (or statutory scheme), developed prior to January 1, 2013, to implement a DNA arrestee collection process in the applicant State on or after January 1, 2013; or
  - b. explains how the State's request for funds via this application would be used to implement enhancements or other changes to existing DNA arrestee collection processes within the State pursuant to the enactment of legal authority to collect DNA arrestee samples from individuals arrested or charged with crimes with respect to which such legal authority was not previously available.

I am the chief legal officer of the applicant State and have authority to make this certification. I am aware that a false statement in this certification may be the subject of criminal prosecution, including under 18 U.S.C. § 1001. I also acknowledge that certifications provided in connection with Office of Justice Programs grants are subject to review by the Office of Justice Programs or by the Department of Justice's Office of the Inspector General.

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Printed Name of Certifying Official

\_\_\_\_\_  
Title of Certifying Official

\_\_\_\_\_  
Name of Applicant State

\_\_\_\_\_  
Date