

**DNA Capacity Enhancement Program
Formula Grant Announcement
Fiscal Year 2005
June 1, 2005
SL 000708**

The National Institute of Justice (NIJ), a component of the Office of Justice Programs (OJP), U.S. Department of Justice, announces that funding is now available to States (including the District of Columbia and the Commonwealth of Puerto Rico) and units of local government through the Fiscal Year 2005 DNA Capacity Enhancement Program.¹

Funds are to be used by States and units of local government with existing crime laboratories that conduct DNA analysis to improve laboratory infrastructure and analysis capacity so that DNA samples can be processed efficiently and cost effectively. These improvements are critical to preventing future DNA backlogs and to helping the criminal justice system use the full potential of DNA technology.

Please read this announcement carefully for important information on eligibility, funding amounts, and application instructions.

The deadline for applications is July 1, 2005. Applications must be submitted through the OJP Web-based Grants Management System (GMS). Begin the process early by registering at <http://www.ojp.usdoj.gov/fundopps.htm>.

¹ The U.S. Territories of American Samoa, Guam, the Northern Mariana Islands, and the U.S Virgin Islands also may be eligible for funding for existing laboratories. Please contact NIJ at 202-307-2942 for more instructions.

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I. Funding for the DNA Capacity Enhancement Program

In December 2004, President Bush signed the Department of Justice Appropriations Act, 2005 (Public Law 108-447, Division B, Title 1). The Act appropriated \$110 million for a DNA analysis and capacity enhancement program. A portion of that amount is being made available to improve DNA analysis capacity so that DNA samples can be processed efficiently and cost effectively and to help prevent future backlogs.

II. Eligibility and Program Description

Eligible applicants include States and units of local government with existing crime laboratories that conduct DNA analysis and either:

- Are accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community (e.g., American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB), or Forensic Quality Services (FQS));
- Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation (FBI); or
- Will undergo an external audit to seek to demonstrate compliance with the DNA Quality Assurance Standards established by the Director of the FBI by the end of the award period, September 30, 2006; with the intent of seeking accreditation within 2 years of the date of the award for funding under this program.

Funding is allocated based on the number of offenses of forcible rape, murder, and non-negligent manslaughter reported to the FBI for 2003. The program is designed to:

- **Provide basic infrastructure support.** Some public crime laboratories still need assistance to help them obtain equipment and material to conduct the basic processes of

DNA analysis—extraction, quantitation, amplification, and analysis—and to help them satisfy Federal quality assurance standards and meet various accreditation requirements.

- **Build infrastructure through laboratory information management systems.** Laboratory information management systems (LIMS) are designed to automate evidence handling and casework management, improve the integrity and speed of evidence handling procedures, and ensure proper chain of custody.
- **Provide automation tools to public DNA laboratories.** To streamline aspects of the DNA analysis procedure that are labor and time intensive, crime laboratories should have automated systems such as robotic DNA extraction units. Automated DNA analysis systems increase analyst productivity, limit the potential for human error, and reduce the potential for contamination.
- **Provide support for the retention and storage of forensic evidence.** Forensic evidence must be stored in a manner that ensures its integrity and maintains its availability throughout criminal investigations and judicial proceedings. Appropriate evidence storage conditions require costly equipment such as security systems, environmental control systems, ambient temperature monitors, and dehumidifiers.
- **Provide support for additional laboratory employees.** Some government crime laboratories need additional laboratory employees to help them conduct DNA-related forensic activities to improve the overall laboratory capacity in DNA analysis.

Applications must meet the specific requirements set forth in this announcement (including those concerning permissible uses of funds) and must satisfy all other applicable requirements, including those that apply generally to NIJ and OJP grants. All awards are subject to the availability of appropriated funds.

III. Expected Results and Outcomes

The result of receiving capacity enhancement funding should be a demonstrated improvement over current operations in the average number of days between submission of DNA evidence to a forensic science laboratory and the delivery of test results to the requesting office or agency, and an overall increase in DNA analysis throughput for the laboratory.

Applicants are required to assess all aspects of their forensic DNA evidence examination to identify bottlenecks and general inefficiencies that could be alleviated with DNA capacity enhancement funding. Increased efficiency and effectiveness in laboratory evidence storage, DNA processing, and information technology and sharing should also be considered when applying for funding.

Award recipients will be required to submit to NIJ quarterly performance metrics reports documenting their results and outcomes. These reports shall contain information detailing improvements of DNA testing capacity. Please see “Reporting Requirement” in Section VII for details.

IV. Use of DNA Capacity Enhancement Funds

A. Permissible Uses of Funds

Funds requested are to be used to address the bulleted program goals listed under Section II, “Eligibility and Program Description.” Expenditures from awards under this program may include the following:

- 1. Laboratory and Computer Equipment.** Funds may be used for upgrading, replacing, and purchasing laboratory equipment, instrumentation, and computer hardware or software (e.g., LIMS) for forensic DNA analyses and data management.
- 2. Certain Supplies.** Funds may be used to acquire convicted offender-related evidence collection kits, laboratory supplies for validation studies, and other expenses directly attributable to validation of new DNA analysis technologies. However, use of funds for laboratory supplies for forensic casework and/or convicted offender sample analysis, as well as for standard office supplies (e.g., staplers, paperclips, pens), is not permitted.
- 3. Renovation.** Funds may be used for the renovation of facilities that will improve the effectiveness or efficiency of forensic DNA laboratory operation. For example, benches, cabinets, interior dividing walls, evidence storage rooms, and extraction rooms can be funded if it can be demonstrated that such renovations will improve the efficiency of forensic DNA analyses in the laboratory. Funds may also be used for facility renovations related to DNA analysis, including short- and long-term evidence storage facilities, amplification rooms, evidence examination and preparation rooms, drying rooms, and walk-in freezers.
- 4. Accreditation.** Funds may be used to assist States and units of local government with existing crime laboratories that conduct DNA analysis, to satisfy, with respect to their DNA operations, the requirements for accreditation from a nonprofit professional association actively involved in forensic science and nationally recognized within the forensic science community (e.g., ASCLD/LAB, FQS).
- 5. Training.** Funds may be used for appropriate internal and external training, appropriate continuing education/training opportunities (e.g., via forensic conferences), and/or applicable graduate-level course work that is directly related to the program. Reasonable travel expenses directly associated with training may be paid in accordance with the provisions of the *OJP Financial Guide* (available at <http://www.ojp.usdoj.gov/FinGuide>).
- 6. Salary and Benefits (Partial) of Additional Laboratory Employees.** Funds may be used to hire additional full- or part-time laboratory employees who will be directly engaged in the handling, screening, and/or analyzing of forensic evidence that may contain DNA, or who will be validating new methodologies. NIJ funds may be used for a maximum of 75 percent of the approved salary and benefits for each such newly hired staff member. To be eligible to use funds for this purpose, applicants for awards must provide:

- a. Documentation that the additional new full-/part-time laboratory employees will be directly engaged in handling, screening, and/or analyzing forensic evidence that may contain DNA.
- b. Documentation that the State or unit of local government will provide the funds for the remaining 25 percent (minimum) of the salaries and benefits for each newly hired staff member.

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

7. Administrative Expenses. Not more than 3 percent of the Federal portion of a grant awarded under this program may be used for administrative expenses.

B. Uses of Funds that Are Not Permitted

Federal funds awarded under the DNA Capacity Enhancement Program may not be used for:

1. Construction.

2. Travel. Funds may not be used for travel, other than travel expenses associated with appropriate training as discussed above.

3. Salaries and Benefits for Existing Staff; Overtime. Funds may not be used for salaries or benefits for existing staff or overtime for any staff.

4. Supplies for Sample Analysis. Funds may not be used for supplies to conduct analysis of DNA samples (e.g., forensic casework, convicted offender samples).

5. Administrative Expenses. Administrative expenses that exceed 3 percent of the Federal portion of the award are not permitted.

C. Supplanting Not Allowed

DNA Capacity Enhancement Program funds may not be used to supplant State or local funds. Federal funds must be used to increase the amount of funds that would, in the absence of Federal funds, be made available from State or local sources for DNA capacity enhancement.

V. Fiscal Year 2005 Application Process

A. Due Date for Applications

Complete proposals must be submitted online through OJP's GMS application system by 8 p.m. eastern time on **July 1, 2005**. Extensions to this deadline are not permitted unless specified by NIJ. **NIJ will not accept faxed or mailed proposals.** NIJ reserves the right to reject incomplete applications, those not responsive to the scope of this announcement, or those not complying with format requirements.

Eligible applicants who do not submit an application for the DNA Capacity Enhancement Program by the deadline **will not** receive funds from the Fiscal Year 2005 Program.

B. How To Apply

All applications for DNA Capacity Enhancement Program funding must be submitted through GMS. NIJ will not accept faxed or mailed proposals. The GMS system is intended to expedite and streamline the receipt, review, and processing of applications. Applicants may call the toll-free GMS Helpline at 888-549-9901 to receive technical assistance with the online application process. The GMS Helpline is open Monday through Friday, 7 a.m. to 8 p.m. eastern time. Begin the application process early by registering with GMS at <http://www.ojp.usdoj.gov/fundopps.htm>.

All applicants must possess a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for funding using GMS. Please call 800-333-0505 to obtain a DUNS number if your agency does not already have one assigned. *Note:* A DUNS number may be requested online at <https://eupdate.dnb.com/requestoptions.html>, but the online process can take up to 30 days.

VI. Required Forms and Documents

Prospective applicants must complete the required application forms and related documents shown in the following checklist. You will complete some of the forms (Standard Form 424 and Standard Assurances and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements) as part of the development of your user profile during the GMS online application process; others must be attached to your application file on GMS (GMS accepts only PDF, Word, and Text document formats). To ensure that your application is complete, please refer to *NIJ Guidelines: How to Submit Applications* at <http://www.ncjrs.org/pdffiles1/nij/202948.pdf>.

Checklist

Forms/Documents	Location	Additional Information
DUNS number	800-333-0505 or http://www.dunandbradstreet.com	Obtaining a DUNS number is a free, onetime activity.
Application for Federal Assistance—Standard Form 424	GMS	<p>Completing the user profile and summary Form SF 424 budget detail on GMS will complete your SF 424. Below are answers to specific items:</p> <ul style="list-style-type: none"> • Item 8: Type of Application—“New.” • Item 9: Name of Federal Agency—“National Institute of Justice.” • Item 10: Catalog of Federal Domestic Assistance (CFDA)—For this program, the number is “16.560.” • Item 11: Descriptive Title of Applicant’s Project—“DNA Capacity Enhancement Program FY 2005—<i>YOUR AGENCY NAME.</i>” • Item 13: Proposed Project Dates—For this program, the proposed project dates should be “October 1, 2005 to September 30, 2006.” • Item 16: Is Application Subject To Review By State Executive Order 12372 Process?—A listing of States that have participated in this process can be found at http://www.whitehouse.gov/omb/grants/spoc.html.
Assurances	GMS	You will provide an electronic signature online by accepting the terms outlined in the “Assurances.”
Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (one form)	GMS	You will provide an electronic signature online by accepting the terms outlined in the “Certifications.”

Survey on Ensuring Equal Opportunity for Applicants	GMS	This form helps DOJ ensure that all qualified applicants, small or large, secular or faith-based, are provided equal opportunity to compete for Federal funding. Completing the form is voluntary.
Abstract	You provide (Required)	The proposal abstract should serve as a succinct and accurate description of the proposed work. Applicants should concisely describe project goals and objectives, plans, and methods for achieving the goals. Once an award has been granted, the abstract is computerized and serves as a summary available to all interested parties for the duration of the grant.
Table of Contents Program Narrative	You provide (Required)	<p>The program narrative must address the project objectives, expected results, and implementation approach. The narrative should also demonstrate, specifically and comprehensively, how the requested funds will improve DNA laboratory efficiency and productivity over current operations. Include in your narrative the current length of time it takes to analyze a forensic DNA case from submission to delivery of forensic DNA test results.</p> <p>The program narrative section of your proposal must not exceed 10 double-spaced pages, no matter the amount of funding. (Tables, charts, figures, appendixes, and government forms do not count toward the page limit.)</p>
List of key personnel, including names, organizational affiliations, and complete contact information for all key persons directly related to this project	You provide (Required)	Include the roles and responsibilities, contact information, and point-of-contact personnel for the grant, progress reports, financial reports, and so forth.
Résumés of key personnel	You provide (Required)	

<p>Letters of cooperation/support or administrative agreements from organizations collaborating in the project</p>	<p>You provide (If applicable)</p>	<p>Include letters of cooperation if more than one agency from your State decides to collaborate on the project.</p>
<p>Budget Detail Worksheet</p>	<p>You provide (Required)</p>	<p>The budget detail worksheet should be presented clearly. Major budget categories such as Personnel, Fringe Benefits, Travel, Supplies, Contracts/ Consultants, and Other (administrative costs) should be identified separately. See the following forms and examples for assistance:</p> <ul style="list-style-type: none"> • An Adobe PDF form* is available at http://www.ojp.usdoj.gov/Forms/budget_fillable.pdf. • A sample in Adobe PDF is available at http://www.ncjrs.org/pdffiles/budgetws.pdf. • An Excel version with sample data is available at http://www.ojp.usdoj.gov/nij/sample_bdws.xls.
<p>Budget Narrative</p>	<p>You provide (Required)</p>	<p>You must provide a complete budget narrative for the project, including the purpose of each item or service.</p>
<p>Certifications from appropriate official (or officials) of the applicant agency</p>	<p>You provide (Required)</p>	<p>Submit a signed memorandum from an appropriate official of the applicant agency (such as the director of the applicant's laboratory or laboratories) that:</p> <ul style="list-style-type: none"> • Certifies that each DNA analysis performed with funding under this program will be conducted pursuant to all applicable Federal privacy requirements, including those described in 42 U.S.C. § 14132(b)(3). • Certifies that any funds remaining under any previous award from NIJ for DNA capacity enhancement will be used for authorized purposes before any funds are drawn down from any award made under this Fiscal Year 2005 announcement.

		<ul style="list-style-type: none"> • Certifies that each government-owned laboratory that will receive funding under this award: <ul style="list-style-type: none"> Is accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community; or Undergoes external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the FBI; or Will undergo an external audit to seek to demonstrate compliance with the DNA Quality Assurance Standards established by the Director of the FBI by the end of the award period, September 30, 2006, with the intent of seeking accreditation within 2 years of the date of the award. • Certifies the proportion of the State’s total number of offenses of forcible rape, murder, and non-negligent manslaughter they reported to the FBI for 2003 (for units of local government only).
<p>*You must use Adobe Reader 7.0 to locally save portable document format (pdf) forms you filled in electronically.</p>		

VII. Additional Requirements and Information

Records Maintenance and Access. Each State or unit of local government within the State that receives funding under this program must maintain adequate records relating to the receipt and use of the grant amount. The Attorney General and the Comptroller General of the United States (or designees thereof) will have access to these records for audit and examination purposes.

Reporting Requirement. Each State and unit of local government that receives funding under this program must submit quarterly performance metrics reports, quarterly financial status reports, and semiannual progress reports. Each award recipient also must submit a final report within 120 days of the end of the award period. The report must include a summary and

assessment of the program carried out with the Fiscal Year 2005 grant, citing the improvement in DNA analysis capacity and infrastructure as a result of the Fiscal Year 2005 grant. This should include information on the reduction in the average number of days between submission of DNA samples to the laboratory and delivery of the test results to the requesting agency and on the increase in the DNA analysis throughput of the laboratory.

These requirements supplement the general OJP grant administration and reporting requirements. For details, see the OJP Office of the Comptroller’s “Post Award Instructions” at <http://www.ojp.usdoj.gov/oc/docs/PostAwardInstructions.pdf> and the *OJP Financial Guide* at <http://www.ojp.usdoj.gov/FinGuide>.

Performance Measures. To ensure compliance with the Government Performance and Results Act (Public Law 103-62), this announcement notifies applicants that program performance is measured by the number of forensic laboratories with improved analytical and technological capabilities with respect to DNA. Award recipients will be required to collect and report data relevant to this measure on a quarterly basis to OJP.

Program Objective	Performance Measures	Data To Be Provided by Grantee
To improve DNA analysis capacity and infrastructure of existing State and local crime laboratories.	Reduction in the average number of days between submission of a DNA sample to a lab and the delivery of the test results to the requesting agency.	Number of days between a submission of a DNA sample to a lab and the delivery of the test results to the requesting agency at the beginning of the grant period.
		Number of days between submission of a DNA sample to a lab and the delivery of the test results to the requesting agency at the end of the reporting period.
	Increase in DNA analysis throughput for the lab.	Number of DNA samples analyzed per analyst at the beginning of the grant period.
		Number of DNA samples analyzed per analyst at the end of the reporting period.

Award Period. All awards will start on the same date of October 1, 2005. In general, NIJ will limit its grants under this program to a maximum period of 12 months after start of the award (from October 1, 2005, to September 30, 2006).

Note: NIJ may, at its discretion, elect to extend an award for an additional 6 months (from October 1, 2006, to March 30, 2007) if the award recipient provides, prior to September 30, 2006, documentation that each of its DNA analysis laboratories is accredited by a nonprofit professional association actively involved in forensic science and nationally recognized within the forensic science community (e.g., ASCLD/LAB, FQS).

Financial Audits. Applicant agencies that expend \$500,000 or more in Federal funds (from all sources, including passthrough awards) during a fiscal year will be required to submit organizationwide audit reports. Audits must be performed in accordance with Office of Management and Budget Circular A-133. For more information, see chapter 19 of the *OJP Financial Guide* at <http://www.ojp.usdoj.gov/FinGuide>.

National Environmental Policy Act. All awards are subject to the National Environmental Policy Act (NEPA) (Public Law 91-190, codified at 42 U.S.C. § 4321 *et seq.*). To ensure NEPA compliance, NIJ may require award recipients to submit additional information. An environmental assessment may be required.

Confidentiality of Information and Human Subjects Protection. Award funds may not be used for research or statistical projects or activities as defined by 28 C.F.R. Part 22, or for research as defined by 28 C.F.R. Part 46.

Funds May Not Be Used To Lobby. Award recipients may not use any Federal funds, either directly or indirectly, in support of the enactment, repeal, modification, or adoption of any law, regulation, or policy, at any level of government, without the express prior written approval of OJP. For more information, see *NIJ Guidelines: How to Submit Applications* at <http://www.ncjrs.org/pdffiles1/nij/202948.pdf> and the *OJP Financial Guide* at <http://www.ojp.usdoj.gov/FinGuide>.

Rights in Intellectual Property. The U.S. Department of Justice reserves certain rights with respect to data, patentable inventions, works subject to copyright, and other intellectual property associated with an award of Federal funds. See 28 C.F.R. § 70.36 and 37 C.F.R. Part 401.

Equal Opportunity for All Applicants. It is OJP's policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for awards. Faith-based and community organizations will be considered for an award on the same basis as any other eligible applicants and, if they receive an award, will be treated on an equal basis with non-faith-based and community organization grantees in the administration of such awards. No eligible applicant or grantee will be discriminated against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.

Services to Limited English Proficient (LEP) Persons. Recipients of OJP financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964 (“Title VI”) and the Omnibus Crime Control and Safe Streets Act of 1968 (“Safe Streets Act”), as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services.

National origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI and the Safe Streets Act, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Grantees are encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs or activities. For example, researchers are encouraged to consider the need for language services for LEP persons who are the subjects of, or otherwise involved in, NIJ-funded research efforts. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs.

Guidance and Information. Applicants who want additional guidance and information may contact NIJ at 202–307–2942. NIJ staff can provide assistance or refer applicants to an appropriate NIJ professional. Applicants who have questions about GMS or need technical assistance with applying online can contact the GMS Helpline at 888–549–9901, Monday–Friday, 7 a.m. to 8 p.m. eastern standard time (except Federal holidays).

VIII. Estimated Formula Funding Allocation by State

In general, DNA Capacity Enhancement Program funds will be awarded based on the number of offenses of forcible rape, murder, and non-negligent manslaughter reported to the FBI for 2003 (the most current year for which such data is available.) The number of qualifying State and local applicants will also affect grant amounts.

Units of local government with existing DNA laboratories may apply directly to NIJ for a portion of the funds allocated for awards to their State. **Units of local government must certify the proportion of the State’s total number of offenses of forcible rape, murder, and non-negligent manslaughter they reported to the FBI for 2003.** These figures will be used to allocate funds among the eligible crime laboratories within a particular State. Any awards to American Samoa, Guam, the Northern Mariana Islands, and the U.S Virgin Islands will be determined by a different method. Please contact NIJ for more instructions.

The estimated aggregate amounts that NIJ expects to allocate to eligible applicants within each State are shown in the following chart.

State	Estimated Aggregate Amount for State and Local Applicants
Alabama	\$555,601
Alaska	181,600
Arizona	652,795
Arkansas	306,078
California	3,524,299
Colorado	588,283
Connecticut	214,851
Delaware	107,141
District of Columbia	148,634
Florida	2,174,374
Georgia	821,039
Hawaii	110,552
Idaho	151,476
Illinois	1,438,878
Indiana	585,725
Iowa	229,914
Kansas	331,087
Kentucky	352,970
Louisiana	692,014
Maine	105,152
Maryland	535,139
Massachusetts	551,338
Michigan	1,724,494
Minnesota	628,355
Mississippi	382,242
Missouri	478,016
Montana	78,438
Nebraska	156,591
Nevada	304,373
New Hampshire	126,467
New Jersey	492,225
New Mexico	298,120
New York	1,337,705
North Carolina	752,548
North Dakota	46,324
Ohio	1,451,951

Oklahoma	485,120
Oregon	365,474
Pennsylvania	1,195,607
Puerto Rico	279,363
Rhode Island	150,623
South Carolina	609,029
South Dakota	103,447
Tennessee	704,803
Texas	2,679,956
Utah	269,985
Vermont	38,366
Virginia	621,250
Washington	866,226
West Virginia	102,026
Wisconsin	391,905
Wyoming	42,629