



The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is pleased to announce that it is seeking applications for funding for the FY 2011 DNA Backlog Reduction Program. This single solicitation combines the DNA Backlog Reduction Program and the Convicted Offender and/or Arrestee DNA Backlog Reduction Programs offered in the past into a single 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 process, record, screen, and analyze forensic DNA and/or DNA database samples, and to increase the capacity of public 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.

Solicitation: FY 2011 DNA Backlog Reduction Program

Eligibility

Eligible applicants are State and units of local government that meet the eligibility requirements detailed on page 3.

Deadline

Registration for this funding opportunity is required prior to application submission, by selecting the "Apply Online" button associated with the solicitation title in OJP's Grants Management System (GMS). (See "How to Apply", page 14.) All registrations and applications are due by 11:59 p.m. eastern time on May 19, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting the application, contact the Grants Management System Support Hotline at 888-549-9901, option 3 or via e-mail to GMS.HelpDesk@usdoj.gov. The GMS Support Hotline hours of operation are Monday-Friday from 6:00 am to midnight eastern time, except for Federal holidays.

For assistance with any other requirement of this solicitation, contact Mark Nelson, Senior Program Manager, at 202-616-1960 or by e-mail to Mark.S.Nelson@usdoj.gov, or Minh Nguyen, Program Manager, at 202-305-2664 or by e-mail to Minh.Nguyen@usdoj.gov.

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FY 2011 DNA Backlog Reduction Program

CFDA No. 16.741

Overview

The goal of NIJ's FY 2011 DNA Backlog Reduction Program is to assist eligible States and units of local government to process, record, screen, and analyze forensic DNA and/or DNA database samples, and to increase the capacity of public 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.

Under this FY 2011 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. Supplemental funding anticipated to be made available under this program to applicants that operate State-designated DNA database laboratories is expected to be used to meet unfunded needs of the DNA database laboratory, but these supplemental funds may be used for other allowable purposes (e.g., forensic DNA sample analysis or laboratory capacity enhancement), should the needs of the DNA database laboratory be satisfied by other means.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law. As of the posting date of this solicitation, no full-year appropriation for the Department of Justice for FY 2011 has been enacted. No final decision as to the amount of funds, if any, to be provided under this FY 2011 program should be expected until after a full-year appropriation is enacted. Applicants are strongly encouraged to check for updates to this solicitation prior to submitting applications.

Deadlines: Registration and Application

Registration for this funding opportunity is required prior to submission. The deadline to register in GMS is 11:59 p.m. eastern time on May 19, 2011 and the deadline to apply for funding under this announcement is 11:59 p.m. eastern time on May 19, 2011. Please see the "How to Apply" section on page 15 for more details.

Eligibility

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

- Participate in external audits, not less than once every two years, to demonstrate compliance with the requirements of the Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.
- 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.

Program-Specific Information—FY 2011 DNA Backlog Reduction Program

Depending on what may be provided in terms of the FY 2011 appropriation for the Department of Justice, NIJ expects to award up to \$90 million under the FY 2011 DNA Database Reduction Program to States and units of local government that operate forensic DNA laboratories and/or State-designated DNA database laboratories.

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

A. Estimated Amounts for Awards to State and Local Applicants That Operate DNA Laboratories

Up to \$80 million of these FY 2011 program funds are expected to be awarded to States and units of local government that operate DNA laboratories. In general, the aggregate amount of FY 2011 funds expected to be awarded to eligible applicants from each State (including the State and its units of local government) will be based on:

1. The number of Uniform Crime Report (UCR), Part 1 Violent Crimes² reported to the FBI for 2009 (the most current year for which such data are available).³
2. A minimum aggregate amount available to eligible applicants from each State. For FY 2011, if the aggregate amount, based on the number of UCR, Part 1 Violent Crimes reported to the FBI, is less than \$150,000, NIJ expects to increase that aggregate amount to \$150,000.

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 NIJ at 202-616-1960 for additional information, including information on allocation of funds.

² UCR Part 1 Violent Crimes statistics are published on the FBI Web site at www2.fbi.gov/ucr/cius2009/data/table_05.html.

³ Although violent crime cases are expected to be the priority for forensic casework conducted under this solicitation, States and units of local government may use FY 2011 program funds to process, record, screen, and analyze any criminal forensic DNA sample awaiting analysis.

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

See “Appendix A: Estimated Aggregate Amounts for Awards to State and Local Applicants that Operate DNA Laboratories, by State – FY 2011” for a chart, by State, of estimated aggregate amounts for awards to public DNA laboratories in each State.

If there is more than one public DNA laboratory within a State, funds generally are expected to be allocated among the eligible applicants on the basis of UCR, Part 1 Violent Crimes in a fashion that ensures that the total funding requested by all applicant agencies from each State does not exceed the aggregate level listed in “Appendix A: Estimated Aggregate Amounts for Awards to State and Local Applicants that Operate DNA Laboratories, by State – FY 2011”. NIJ encourages 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 \$100,000, regardless of whether its proportion of available funding based on UCR Part 1 Violent Crimes rises to that level. NIJ will provide each State with more than one eligible applicant with a spreadsheet that will assist in properly allocating the estimated funding among the eligible applicants. The State should complete the spreadsheet and submit it to the appropriate NIJ Program Manager for review. Upon NIJ approval, eligible applicants within the State may then apply for their portion of the estimated funds.

B. Estimated Supplemental Amounts for Awards to Applicants that Operate a State-Designated DNA Database Laboratory

NIJ expects to award a total of up to \$10 million of supplemental funding under the FY 2011 DNA Backlog Reduction Program for the primary purpose of supporting State-designated database laboratories. Only States and units of local government that operate State-designated DNA database laboratories may apply for these supplemental funds. In general, the estimated funding allocated to each eligible State is based on the number of convicted offender/arrestee profiles uploaded to NDIS by each State as posted on the FBI CODIS Web site⁴ on March 8, 2011 (data as of January 2011), with a minimum of \$50,000. See “Appendix B: Estimated Supplemental Amounts for Awards to Applicants that Operate a State-Designated DNA Database Laboratory, by State – FY 2011” for a chart of the estimated funds available.

C. Restrictions on Access to Award Funds in Certain Circumstances

Awards to eligible applicants with unexpended funds from prior DNA Backlog Reduction Program awards for the analysis of backlogged forensic DNA casework samples⁵ will be subject to a special condition that will prevent (until the condition is lifted by NIJ) obligation, expenditure, or drawdown of any funds awarded under this FY 2011 program for either:

- Expenses of supplies for in-house forensic DNA casework analyses, or
- Expenses of obtaining, through an accredited DNA laboratory, DNA analyses of forensic casework samples.

⁴ The number of offender profiles uploaded to NDIS is published by the FBI at www.fbi.gov/about-us/lab/codis/ndis-statistics.

⁵ FY 2008 – FY 2010 DNA Backlog Reduction Program award funds directly associated with DNA casework analysis.

D. Specific Program Requirements

The following requirements apply to DNA analyses conducted under this FY 2011 program:

- Applicants must enter all eligible DNA profiles obtained with funding from this program into CODIS and, where applicable, upload these profiles into NDIS.
- Applicants must follow NDIS DNA Data Acceptance Standards for all profiles uploaded to NDIS.
- Applicants must maintain DNA analyses and resulting profiles conducted under this program pursuant to all applicable Federal privacy requirements, including those described in 42 U.S.C. § 14132(b)(3).

E. Length of awards:

The project period for awards under this FY 2011 program is expected to be October 1, 2011 to March 31, 2013. Applicants should be aware that the total period for an award, including one that receives a project period extension, ordinarily will not exceed 3 years.

Budget Information

A. Specific Requirements for Applicants That Propose to Use Funds for In-House Analysis of Forensic DNA Cases

In general, budget requests for in-house processing, recording, screening, and testing of forensic DNA cases will be reviewed on the basis of the estimated number of forensic DNA cases that will be analyzed during the 18-month project period of this program (October 1, 2011, to March 31, 2013) using the Federal funding requested under this FY 2011 program.

States or units of local government that are awarded funds for in-house laboratory processing, recording, screening, and DNA analysis of forensic DNA cases will be expected to document the number of forensic DNA cases analyzed during the reporting period (see "Performance Measures" section below). **The expected total number of forensic DNA cases analyzed in-house during the entire project period should be based on a per-case estimate of no more than \$1,000 in costs for overtime and supplies.**

Example: An FY 2011 award with \$N allocated specifically to overtime and supplies for in-house processing of forensic DNA casework in the proposed budget would be expected to process $N/1,000$ cases over the course of the project period. Therefore, if $N = \$20,000$, a minimum of 20 cases would be expected to be analyzed in-house during the project period.

B. Specific Requirements for Applicants That Propose to Use Funds for In-House DNA Database Sample Analysis

In general, budget requests for in-house processing, recording and testing of DNA database samples will be reviewed on the basis of the estimated number of samples that will be analyzed during the 18-month project period of this program (October 1, 2011, to March 31, 2013) using the Federal funding requested under this FY 2011 program.

DNA database laboratories that are awarded funds for in-house laboratory processing, recording, and analysis of DNA database samples will be expected to document the number of DNA database samples analyzed during the reporting period (see “Performance Measures” section below). **The expected total number of DNA database samples analyzed in-house during the entire project period should be based on actual cost estimates to analyze the sample and upload the profile to NDIS. Requests may not exceed \$40 per sample when averaged over all DNA database samples to be processed.**

C. Permissible Uses of Funds—For Forensic DNA laboratories and DNA Database Laboratories

Under this FY 2011 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. Supplemental funding anticipated to be made available under this program to applicants that operate State-designated DNA database laboratories is expected to be used to meet unfunded needs of the DNA database laboratory, but these supplemental funds may be used for other allowable purposes (e.g., forensic DNA sample analysis or laboratory capacity enhancement), should the needs of the DNA database laboratory be satisfied by other means.

Applicant agencies that operate both a forensic DNA laboratory (or laboratories) and a State-designated DNA database laboratory should submit a single application that reflects both their estimated portion of the funds from “Appendix A: Estimated Aggregate Amounts for Awards to State and Local Applicants that Operate DNA Laboratories, by State – FY 2011” and their estimated portion of the supplemental funds from “Appendix B: Estimated Supplemental Amounts for Awards to Applicants that Operate a State-Designated DNA Database Laboratory, by State – FY 2011”.

Permissible uses of funds provided under this program may include:

1. **Salary and benefits of additional 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 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 supplanting⁶ and may be used to retain full-time or part-time laboratory employees for the above purposes if there are no other funding sources allocated for the retention of

⁶ See OJP Financial Guide, Part II, Chapter 3, Standards for Financial Management Systems.

such personnel (e.g., personnel acquired through previous Federal assistance). Matching funds are not required.

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

2. **Overtime for existing laboratory staff:** Funds may be used to pay overtime for existing laboratory employees 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 OJP Financial Guide, available at www.ojp.usdoj.gov/financialguide/.

3. **Training:** Funds may be used for appropriate training of forensic DNA and DNA database laboratory personnel.

- **Existing members of the DNA Unit:** “Appropriate training” includes internal or external training, continuing education/training opportunities, and/or applicable graduate-level coursework **that is directly related to the applicant's forensic DNA or DNA database laboratory operation and is for members of the DNA laboratory.** (Reasonable travel expenses directly associated with training may be paid in accordance with the provisions of the OJP Financial Guide.)

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 5 percent of the total award. Funds used towards travel expenses, registration fees, and tuition 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 5-percent cap. In general, funds used for training are intended to aid existing members of the DNA laboratory to meet continuing education requirements mandated in the DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

- **New members of the DNA Unit:** States and units of local government that wish to use funds to train new employees to process, record, screen, and/or analyze forensic DNA and/or DNA Database samples should submit a detailed plan in their proposal. There is no fixed-percentage cap on use of funds for this purpose.

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 applicant agency 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 “3,” above. Travel expenses must be reasonable and must comply with the applicable provisions of the OJP Financial Guide.

5. **Equipment:** Funds may be used to upgrade, replace, or purchase laboratory equipment, instrumentation, and computer hardware for the forensic DNA and/or the DNA database laboratory.
6. **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.
7. **Supplies for DNA database sample collection:** Convicted offender and/or arrestee-related sample collection kits may be purchased.
8. **Laboratory supplies for in-house processing, recording, screening, and analysis of forensic DNA casework and/or DNA database samples.**⁷
9. **Renovation:** Funds may be used to renovate existing space within the crime laboratory, **if it can be demonstrated that the renovation will directly and specifically improve the efficiency of the analysis of forensic DNA samples and/or DNA database samples.** Expenses that may be allowable include the purchase or upgrade of benches, cabinets, interior dividing walls, plumbing, HVAC systems, electrical wiring, evidence examination and preparation rooms, evidence storage rooms, drying rooms, walk-in freezers, and extraction or amplification rooms.
10. **Contracts for analysis of forensic DNA casework samples or DNA database samples by public or private accredited DNA laboratories:**⁸ 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.

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 2 years, in order to demonstrate 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.

Note: All contracts and procurements made under this program 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. Prior approval from OJP is required for all sole-source procurements in excess of \$100,000. Approval may be obtained in the form of a sole-source request with adequate justification submitted directly to GMS with the application for funding.

⁷ Awards to applicants with unexpended funds from prior NIJ awards for analysis of backlogged forensic DNA casework samples may contain special conditions that restrict access to FY 2011 funds for certain types of expenses (see section C of "Program-Specific Information," above).

⁸ See footnote 7.

11. **Additional contracts and contractor services:** Contracts may be developed to purchase and install Laboratory Information Management Systems (LIMS), to procure process mapping or process improving assistance, in-house training, or for validation testing. Funds may be used to hire contract staff to process, record, screen, and analyze forensic DNA casework; to process, record, and analyze DNA database samples; or to validate new DNA analysis technologies.
12. **Direct administrative expenses or indirect costs:** Up to 3 percent of the Federal portion of an award under this program may be used for either: (1) direct administrative expenses specifically related to grant administration and management, or (2) indirect costs. **Applicants may not request both direct administrative expenses and indirect costs.**

D. 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 for existing staff, other than as discussed in section E (Permissible Uses of Funds), paragraphs 1 and 2.
2. Travel, other than authorized travel expenses associated with appropriate DNA training and visits to outsourcing laboratories as discussed in section E (Permissible Uses of Funds), paragraphs 3 and 4.
3. Construction.
4. Direct administrative expenses and/or indirect costs that exceed 3 percent of the Federal portion of the award.
5. Accreditation costs.
6. Office supplies.
7. Work that is funded under another Federal award.

E. Limitation on Use of Award Funds for Employee Compensation; Waiver

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

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

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

F. Match Requirement

This solicitation does not require a match.

Performance Measures

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

Forensic DNA laboratories will provide the following data for performance measures:

Objective	Performance Measure(s)	Data Grantee Provides
To improve the DNA analysis capacity of existing State and local government crime laboratories that conduct forensic DNA analysis.	Increase in DNA analysis throughput for the laboratory	<ol style="list-style-type: none"> 1. Average number of forensic DNA samples analyzed per analyst per month at the beginning of the award period. 2. Average number of forensic DNA samples analyzed per analyst per month at the end of the reporting period.
To reduce backlogged forensic DNA casework in State and local government crime laboratories.	Reduction in response time for requests	<ol style="list-style-type: none"> 1. Average number of days between the submission of a request for forensic DNA analysis to the laboratory and the delivery of the test results at the beginning of the award period. 2. Average number of days between the submission of a request for forensic DNA analysis to the laboratory and the delivery of the test results at the end of the reporting period.
	Percent decrease in DNA backlog ⁹	<ol style="list-style-type: none"> 1. Number of backlogged forensic DNA cases at the beginning of the award period. 2. Number of backlogged forensic DNA cases at the end of the reporting period. 3. Number of backlogged forensic DNA cases analyzed using funds provided under this announcement.
	Number of DNA profiles resulting in a CODIS match	<ol style="list-style-type: none"> 1. Number of DNA profiles from forensic analyses entered into CODIS as a result of the funds provided under this announcement. 2. Number of CODIS hits attributable to the forensic analyses funded under this announcement.

⁹ A backlog is defined as a forensic 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.

Objective	Performance Measure(s)	Data Grantee Provides
To improve the capacity of laboratories that conduct DNA analysis on convicted offender and/or arrestee DNA samples (DNA database samples).	<p>Increase in DNA analysis throughput for the laboratory</p> <p>Reduction in response time for requests</p>	<p>1. Average number of DNA database samples analyzed per analyst per month at the beginning of the award period.</p> <p>2. Average number of DNA database samples analyzed per analyst per month at the end of the reporting period.</p> <p>1. Average number of days between the submission of a database sample to the laboratory and the upload of the profile to CODIS at the beginning of the award period.</p> <p>2. Average number of days between the submission of a database sample to the laboratory and the upload of the profile to CODIS at the end of the award period.</p>
To reduce the backlog of convicted offender and/or arrestee DNA samples (DNA database samples).	<p>Percent decrease in DNA backlog¹⁰</p> <p>Number of DNA profiles resulting in a CODIS match</p>	<p>1. Number of backlogged DNA database samples at the beginning of the award period.</p> <p>2. Number of backlogged DNA database samples at the end of the award period.</p> <p>3. Number of DNA database samples analyzed using funds provided under this announcement.</p> <p>1. Number of DNA profiles from DNA database samples entered into CODIS as a result of the funds provided under this announcement.</p> <p>2. Number of CODIS hits resulting from DNA database profiles developed using funds provided under this announcement.</p>

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

To assist NIJ in determining baseline national backlogs, all applicants are asked to supply the baseline backlog data requested in the following table as part of their program narrative. If the applicant has State DNA database laboratory responsibilities, the request encompasses backlog data for the database laboratory, regardless of whether assistance is being sought for the database operation.

¹⁰ A backlog is defined as a DNA database sample that has not been completed within 30 days of receipt in the laboratory.

Baseline Backlog Data

Casework Laboratories	
Number of backlogged requests for DNA as of January 1, 2010.	
Please estimate percentage of these requests that were from property crimes.	
Number of new requests for DNA received in 2010.	
Please estimate percentage of these requests that were from property crimes.	
Total number of requests completed in 2010.	
Please estimate percentage of these cases that were property crimes.	
Number of backlogged requests for DNA on December 31, 2010.	
The average number of days needed to complete (including peer review and report) current load of non-priority forensic cases. Please indicate violent crime time with a "V" and the nonviolent crime time with "NV." If you cannot separate violent and nonviolent cases, please mark your response with "X."	
Database Laboratories	
The number of backlogged requests for DNA of convicted offender samples as of January 1, 2010.	
The number of new convicted offender samples received in 2010.	
The total number of offender samples completed in 2010.	
Average number of days to complete current load of convicted offender samples (including upload to CODIS).	
The number of backlogged requests for DNA of arrestee samples as of January 1, 2010.	
The number of new arrestee samples received in 2010.	
The total number of arrestee samples completed in 2010.	
Average number of days to complete current load of arrestee samples (including upload to CODIS).	

Definitions for Requested Baseline Backlog Data

Backlogged request—A request that has been submitted to a specialized area of the crime laboratory (e.g., DNA laboratory) and is not completed within 30 days.

Case—All physical evidence from a single criminal investigation submitted for crime laboratory analysis.

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 identification of DNA in biological samples collected from convicted offenders and/or arrestees, and subsequent upload to CODIS databases.

Request—Submission of physical evidence from a case to a single specialized area of a crime laboratory. Multiple submissions of new evidence from the same case would count as separate requests.

Average number of days needed to complete (including peer review and report) current load of non-priority forensic cases – Laboratory turnaround time for DNA cases.

Notice of New Post-Award Reporting Requirements

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

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

How to Apply

Applications are submitted through OJP's Grants Management System (GMS). GMS is a Web-based, data-driven computer application that provides cradle to grave support for the application, award, and management of awards at OJP. Applicants must register in GMS for each specific funding opportunity and should begin the process immediately to meet the GMS registration deadline, especially if this is the first time using the system. Complete instructions on how to register and submit an application in GMS can be found at www.ojp.usdoj.gov/gmscbt/. If the applicant experiences technical difficulties at any point during this process, please e-mail GMS.HelpDesk@usdoj.gov or call 888-549-9901 (option 3), Monday – Friday from 6:00 a.m. to midnight eastern time, except federal holidays. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants should complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required to submit an application in GMS. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS (Data Universal Numbering System) number in their application for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. The CCR database is the repository for standard information about federal

financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire a GMS username and password.** A new user must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](#) home page. For more information on how to register in GMS, go to www.ojp.usdoj.gov/gmscbt/.
4. **Verify the CCR registration in GMS.** OJP requests that all applicants verify their CCR registration in GMS. Once logged into GMS, please click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the 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. Please select “National Institute of Justice” and then “FY 2011 DNA Backlog Reduction Program.”
6. **Register by selecting the “Apply Online” button associated with the solicitation title.** The search results from step 5 will display the solicitation title along with the registration and application deadlines for this funding opportunity. Please select the “Apply Online” button in the “Action” column to register for this solicitation and create an application in the system.
7. **Submit an application consistent with this solicitation by following the directions in GMS.** Once 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. Applicants are urged to submit the application **at least 72 hours prior** to the due date of the application.

Note: OJP’s Grants Management System (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.”

Experiencing Unforeseen GMS Technical Issues

If an applicant experiences unforeseen GMS technical issues beyond the applicant’s control that prevent submission of its application by the deadline, the applicant must contact NIJ staff **within 24 hours after the deadline** and request approval to submit its application. At that time, NIJ staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant should e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and GMS Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the GMS Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

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

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

What an Application Should Include

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

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

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

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

- **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 16.741.
- **Item 11:** Descriptive Title of Applicant's Project—"FY 2011 DNA Backlog Reduction Program"—[YOUR AGENCY NAME]."
- **Item 13:** Proposed Project Dates—For this program, the proposed project dates should be "October 1, 2011, to March 31, 2013."
- **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 www.whitehouse.gov/omb/grants/spoc.html.

2. Program Narrative

Applicants are strongly encouraged to use the form for the program narrative posted with this solicitation on the NIJ Web site (www.nij.gov/funding/welcome.htm).

If the program narrative form provided is not used, the program narrative section of the application should not exceed 20 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, appendices, and government forms do not count toward the 20 page limit for the narrative section.

- a. **Project Abstract:** The proposal abstract should serve as a succinct and accurate description of the proposed work. Applicants should concisely describe project goals and objectives, project 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.
- b. **Narrative Body:** (20 page limit) - The program narrative should address the objectives, expected results, and the implementation approach.
- c. **Plan for Collecting the Data Required for Performance Measures:** The data collection plan is a description of the applicant's plan for collecting the data required for performance measures. Applicants should discuss this plan in their applications. The plan 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 three (3) years post award, as required. 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.

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 as well as the method for reporting such data on a semi-annual basis. For projects that include forensic DNA casework and/or DNA database sample testing activities and objectives, the data collection plan should also include an explanation of how the tracking and reporting methods will avoid the possibility of "double counting" forensic DNA cases and/or DNA database samples affected by Federal funds.

In the body of the narrative, applicants are to provide information showing that they meet the eligibility requirements indicated on page 3. **Applicants should provide a detailed plan showing how they intend to use FY 2011 DNA Backlog Reduction Program funds to meet the goals of the program: reducing DNA sample turnaround time, increasing the throughput of the public DNA laboratory, and reducing the number of forensic DNA and/or DNA database samples awaiting analysis.** Applicants should discuss how they intend to identify and address bottlenecks in the DNA analysis process.

The body of the program narrative should also include the following:

For all applications:

- A statement of the current average length of time it takes to process, record, screen and analyze a forensic DNA case from submission of a request to the laboratory to delivery of the forensic DNA test results and, if applicable, the current average length

of time it takes from receipt in the laboratory of a DNA database sample to analyze and upload a DNA database sample to CODIS

- A statement of the average number of forensic DNA samples and/or DNA database samples currently analyzed per analyst per month
- 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 and that may negatively impact a project's expected results

For applications seeking funds for processing, recording, screening, and analysis of forensic DNA and/or DNA database samples:

- 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 18-month award project period using the Federal funding requested under this FY 2011 program. This number should represent the number of forensic DNA cases and/or DNA database samples to be analyzed above and beyond the number that can be analyzed within 18 months using other sources of funding. The 18-month award project period begins October 1, 2011.

3. Appendix to Program Narrative

- Curriculum vitae, resumes or biographical sketches of key personnel

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf.

If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

A Microsoft Office Excel spreadsheet-format Budget Detail Worksheet template is available for use in lieu of the Adobe PDF-format template available at the above link. **Use of the Excel version is encouraged so that cost information may be better detailed and automatically calculated, thereby reducing the potential for manual arithmetic errors.** Please contact either of the Program Managers listed on page 1 to obtain a copy of the Excel template.

NOTE: Budget detail worksheets/budget narrative should identify clearly the amounts requested for supplies and contracts for forensic DNA analyses (if any), as access to these funds may be restricted in certain circumstances. See section C of "Program-Specific Information," above.

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

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were

estimated and/or calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

5. Indirect Cost Rate Agreement (if applicable)

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

6. Additional Attachments—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, please provide a copy of that supplemental documentation.

7. Other Standard Forms

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

- a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds).
- b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).
- c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded).
- d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds).

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.

An application must satisfy the specific requirements outlined in this announcement including eligibility, allocation of funds, permissible expenses, timeliness, and responsiveness to the scope of the solicitation, the general requirements for NIJ and OJP grants, and all other applicable legal requirements. (Submission of the baseline backlog data requested in the table under "Performance Measures" will not be considered in review.)

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General (AAG).

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

Additional Requirements

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

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

- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

Reporting Requirements: Each award recipient must submit, among other things, semi-annual performance measure data, semi-annual progress reports, and quarterly financial status reports. Progress report narratives should include a summary of project goals, the activities performed during the reporting period, and the effects of these activities toward achieving each goal. Narratives should also include descriptions of any observed increases in evidence submissions as well as issues which may negatively impact goals. Each award recipient also must submit a final report. The report must include a summary and assessment of the program carried out with the FY 2011 award, including cumulative performance measure data over the entire project period.

Application Checklist

FY 2011 DNA Backlog Reduction Program

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

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 16)
- Program Narrative (see page 17)
- Appendix to the Program Narrative: (see page 18)
 - Curriculum vitae, resumes or biographical sketches of key personnel
- Budget Detail Worksheet (see page 18)
- Budget Narrative (see page 18)
- Indirect Cost Rate Agreement (if applicable) (see page 19)
- Program Narrative/Abstract Format: (see page 17)
 - Double-spaced
 - 12-point standard font
 - 1" standard margins
 - Narrative is 20 pages or less
- Accreditation Certificate(s) (see page 19)
- Other Standard Forms as applicable (see page 19), including:
 - Disclosure of Lobbying Activities (if applicable)
 - Accounting System and Financial Capability Questionnaire (if applicable)

Applicants are strongly encouraged to use the form for the program narrative posted with this solicitation on the NIJ Web site at www.nij.gov/funding/welcome.htm.

Appendix A

Estimated Aggregate Amounts for Awards to State and Local Applicants that Operate DNA Laboratories, by State—FY 2011 ¹¹					
Alabama	\$	1,268,787	Nebraska	\$	303,073
Alaska	\$	264,852	Nevada	\$	1,111,828
Arizona	\$	1,613,256	New Hampshire	\$	150,000
Arkansas	\$	896,160	New Jersey	\$	1,624,759
California	\$	10,451,450	New Mexico	\$	745,253
Colorado	\$	1,016,994	New York	\$	4,503,627
Connecticut	\$	629,511	North Carolina	\$	2,272,242
Delaware	\$	337,580	North Dakota	\$	150,000
District of Columbia	\$	483,516	Ohio	\$	2,296,385
Florida	\$	6,801,989	Oklahoma	\$	1,106,736
Georgia	\$	2,508,938	Oregon	\$	583,741
Hawaii	\$	213,212	Pennsylvania	\$	2,873,476
Idaho	\$	211,474	Puerto Rico	\$	628,552
Illinois	\$	3,845,181	Rhode Island	\$	159,355
Indiana	\$	1,282,266	South Carolina	\$	1,832,938
Iowa	\$	503,046	South Dakota	\$	150,000
Kansas	\$	675,640	Tennessee	\$	2,518,583
Kentucky	\$	668,511	Texas	\$	7,288,859
Louisiana	\$	1,668,372	Utah	\$	354,894
Maine	\$	150,000	Vermont	\$	150,000
Maryland	\$	2,014,279	Virginia	\$	1,071,091
Massachusetts	\$	1,805,381	Washington	\$	1,321,326
Michigan	\$	2,968,251	West Virginia	\$	323,262
Minnesota	\$	769,336	Wisconsin	\$	870,640
Mississippi	\$	497,474	Wyoming	\$	150,000
Missouri	\$	1,763,925			
Montana	\$	150,000	TOTAL		\$ 80,000,000

– ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF APPROPRIATED FUNDS –
(See text of solicitation for additional information)

¹¹ 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.

Appendix B

Estimated Supplemental Amounts for Awards to Applicants that Operate a State-designated DNA Database Laboratory, by State — FY 2011					
Alabama	\$	221,179	Nebraska	\$	50,000
Alaska	\$	50,000	Nevada	\$	69,670
Arizona	\$	215,531	New Hampshire	\$	50,000
Arkansas	\$	133,952	New Jersey	\$	259,743
California	\$	1,550,715	New Mexico	\$	63,422
Colorado	\$	156,579	New York	\$	422,524
Connecticut	\$	91,765	North Carolina	\$	223,480
Delaware	\$	50,000	North Dakota	\$	50,000
Florida	\$	862,124	Ohio	\$	441,409
Georgia	\$	247,093	Oklahoma	\$	111,834
Hawaii	\$	50,000	Oregon	\$	154,107
Idaho	\$	50,000	Pennsylvania	\$	277,893
Illinois	\$	454,216	Puerto Rico	\$	50,000
Indiana	\$	189,954	Rhode Island	\$	50,000
Iowa	\$	75,492	South Carolina	\$	177,295
Kansas	\$	84,912	South Dakota	\$	50,000
Kentucky	\$	50,000	Tennessee	\$	149,850
Louisiana	\$	124,900	Texas	\$	634,352
Maine	\$	50,000	Utah	\$	62,979
Maryland	\$	108,832	Vermont	\$	50,000
Massachusetts	\$	99,944	Virginia	\$	376,267
Michigan	\$	340,539	Washington	\$	227,006
Minnesota	\$	119,714	West Virginia	\$	50,000
Mississippi	\$	61,990	Wisconsin	\$	165,455
Missouri	\$	243,286	Wyoming	\$	50,000
Montana	\$	50,000			
			TOTAL		\$ 10,000,000

– ALL AWARDS ARE SUBJECT TO THE AVAILABILITY OF APPROPRIATED FUNDS –
(See text of solicitation for additional information)