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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 under the FY 2012 Paul Coverdell Forensic Science Improvement Grants Program. This program furthers the Department's mission by providing States and units of local government with tools needed to meet the challenges of crime and justice. Specifically, this program seeks to improve the quality and timeliness of forensic science and medical examiner services, including services provided by laboratories operated by States and units of local government.

## **Paul Coverdell Forensic Science Improvement Grants Program**

### **Eligibility**

Eligible applicants are limited to States (including territories) and units of local government. State Administering Agencies (SAAs) apply on behalf of States, including any State government entity. (See "Eligibility" on page 3.)

### **Deadline**

Applicants must register in [OJP's Grants Management System](#) (GMS) prior to submitting an application for this funding opportunity. Select the "Apply Online" button associated with the solicitation title. (See "How to Apply," page 14.) All registrations and applications are due by 11:59 p.m. eastern time on May 4, 2012. (See "Deadlines: Registration and Application," page 3.)

### **Contact Information**

For technical assistance with submitting an application, contact the Grants Management System Support Hotline at 888–549–9901, option 3, or via e-mail at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov).

**Note:** The [GMS](#) Support Hotline hours of operation are Monday–Friday from 6:00 a.m. to midnight eastern time, except Federal holidays.

For assistance with any other requirements of this solicitation, contact Alan C. Spanbauer, Program Manager, by telephone at 202–305–2436 or by e-mail at [Alan.Spanbauer@usdoj.gov](mailto:Alan.Spanbauer@usdoj.gov).

Release Date: March 20, 2012

**SL000997**

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# **Paul Coverdell Forensic Science Improvement Grants Program**

## **CFDA No. 16.742**

### **Overview**

With this solicitation, NIJ seeks proposals for the Paul Coverdell Forensic Science Improvement Grants Program (the Coverdell program), which awards grants to States and units of local government to help improve the quality and timeliness of forensic science and medical examiner services. Among other things, funds may be used to eliminate a backlog in the analysis of forensic evidence and to train and employ forensic laboratory personnel, as needed, to eliminate such a backlog. State Administering Agencies (SAAs) may apply for both "base" (formula) and competitive funds. Units of local government may apply for competitive funds.

**Authorizing Legislation:** The Coverdell program is authorized by Title I of the Omnibus Safe Streets and Crime Control Act of 1968, Part BB, codified at 42 U.S.C. §§ 3797j-3797o (the Coverdell law).

### **Deadlines: Registration and Application**

Applicants must register in GMS prior to submitting an application for this funding opportunity. The deadline to register in GMS is 11:59 p.m. eastern time on 45 days after posting, and the deadline to apply for funding under this announcement is 11:59 p.m. eastern time on May 4, 2012. See the "How to Apply" section on page 14 for details.

### **Eligibility**

States<sup>1</sup> and units of local government may apply for FY 2012 Coverdell funds. States may be eligible for both "base" (formula) and competitive funds. Units of local government within States may be eligible for competitive funds and may apply directly to NIJ. Any State application for funding **MUST** be submitted by the Coverdell SAA (see list of SAAs on the OJP website at [www.ojp.usdoj.gov/saa/index.htm](http://www.ojp.usdoj.gov/saa/index.htm)). (Other interested State agencies or departments must coordinate with their respective SAAs.)

The Coverdell law (at 42 U.S.C. § 3797k) requires that, to request a grant, an applicant for Coverdell funds must submit:

- 1. A certification and description regarding a plan for forensic science laboratories.** Each applicant must submit a certification that the State or unit of local government has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services in the State, including such services provided by the laboratories operated by the State and those

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<sup>1</sup> For purposes of the Coverdell program, the term "State" means each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. For certain purposes, American Samoa and the Northern Mariana Islands are treated as one State.

operated by units of local government within the State. Applicants must also specifically describe the manner in which the grant will be used to carry out that plan.

2. **A certification regarding use of generally accepted laboratory practices.** Each applicant must submit a certification that any forensic laboratory system, medical examiner's office, or coroner's office in the State, including any laboratory operated by a unit of local government within the State, that will receive any portion of the grant amount (whether directly or through a subgrant) uses generally accepted laboratory practices and procedures established by accrediting organizations or appropriate certifying bodies.
3. **A certification and description regarding costs of new facilities.** Each applicant must submit a certification that the amount of the grant used for the costs of any new facility constructed as part of a program to improve the quality and timeliness of forensic science or medical examiner services will not exceed certain limitations set forth in the Coverdell law at 42 U.S.C. § 3797m(c). (See information on "permissible expenses" in the next section of this announcement.) Applicants must also specifically describe any new facility to be constructed as well as the estimated costs of the facility.
4. **A certification regarding external investigations into allegations of serious negligence or misconduct.** Each applicant must submit a certification that "a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount."

Applicants are expected to review the requirements of each certification carefully before determining whether the certification properly may be made. Any certification that is submitted must be executed by an official who is both familiar with the requirements of the certification and authorized to make the certification on behalf of the applicant agency (that is, the agency applying directly to NIJ). **Certifications must be submitted using the templates that appear in Appendix 2.**

Certifications made on behalf of subrecipients of award funds—rather than certifications made on behalf of the agency applying directly to NIJ—are not acceptable to satisfy the certification requirements.

In connection with the certification regarding external investigations (described above), applicants **must** provide, prior to receiving award funds, the name(s) of the existing "government entity" (or government entities). This information is to be provided as an attachment to the program narrative section of the application. See "What an Application Should Include," below, and Appendix 3, which includes a template for the attachment.

Please note that funds will not be made available to applicant agencies that fail to provide the necessary information.

## **Important Note on Referrals in Connection With Allegations of Serious Negligence or Serious Misconduct**

The highest standards of integrity in the practice of forensic science are critical to the enhancement of the administration of justice. We assume that recipients (and subrecipients) of Coverdell funds will make use of the process referenced in their certification as to external investigations and will refer allegations of serious negligence or misconduct substantially affecting the integrity of forensic results to government entities with an appropriate process in place to conduct independent external investigations, such as the government entities identified in the grant application.

For each fiscal year of an award made under this solicitation, recipients will be required to report to NIJ on an annual basis:

1. The number and nature of any such allegations.
2. Information on the referrals of such allegations (e.g., the government entity or entities to which referred, the date of referral).
3. The outcome of such referrals (if known as of the date of the report).
4. If any such allegations were not referred, the reason(s) for the nonreferral.

Payments to recipients (including payments under future awards) may be withheld if the required information is not submitted on a timely basis.

## **Special Guidance on Certification Regarding External Investigations Into Allegations of Serious Negligence or Misconduct**

The certification regarding external investigations has a number of requirements, each of which must be satisfied before the certification may be made. The official authorized to make the certification on behalf of the applicant agency must review each of the statutory elements and this guidance carefully before determining whether a certification properly may be made. After reviewing the information and guidance provided here, the official, on behalf of the applicant agency, must determine whether:

- A government entity exists.
- With an appropriate process in place.
- To conduct independent, external investigations.
- Into allegations of serious negligence or misconduct.
- Substantially affecting the integrity of the forensic results.
- Committed by employees or contractors.
- Of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

**Note:** In making this certification, the certifying official is certifying that these requirements are satisfied not only with respect to the applicant itself but also with respect to each entity that will

receive a portion of the grant amount. Certifying officials are advised that: (1) a false statement in the certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a, and (2) Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

The following guidance, provided by way of examples for applicants' review, is designed to illustrate elements of the external investigation certification that the official authorized to make the certification on behalf of the applicant agency must take into account in determining whether the certification properly may be made.

Because it is not possible for NIJ to provide examples relating to every type of government entity with an appropriate process in place to conduct independent, external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors, this guidance should not be viewed as all inclusive. In addition, this guidance is not intended to constitute legal advice from NIJ on the question of whether the required certification properly may be made on behalf of the applicant. Such a determination must be made by an appropriate official based on the statutory requirements of the certification after review of this guidance.

### **Illustrative Examples:**

1. The only government entity that will receive Coverdell award funds is a forensic laboratory that is a unit of a local law enforcement agency (e.g., a police department). The law enforcement agency has an Internal Affairs Division (IAD) that reports directly to the head of the law enforcement agency (the Police Chief) and the head of the unit of local government (the Mayor/City Commissioner). The IAD has the authority to conduct investigations into allegations of serious negligence or misconduct by laboratory employees **and** contractors.

*Guidance:* Execution of the certification might be appropriate under these facts. Nevertheless, the official authorized to make the certification on behalf of the applicant agency must be satisfied that the IAD at issue has the requisite authority to conduct independent investigations (for example, whether the IAD is completely free from influence or supervision by laboratory management officials) into allegations relating to employees or contractors of the laboratory.

2. A State intends to distribute Coverdell award funds to State and local forensic laboratories and medical examiners' offices. There is an Office of the Inspector General (OIG) in the State with authority to conduct investigations into allegations of serious negligence or misconduct by employees and contractors of forensic laboratories and medical examiners' offices, both at the State and local levels.

*Guidance:* Execution of the certification might be appropriate under these facts. Nevertheless, the certifying official must be satisfied that the State (IG)'s authority in this regard is not circumscribed in such a way that the IG's ability to conduct independent investigations is limited (for example, through a reporting hierarchy that does not provide

for the IG to report directly to the chief executive officer or another equally independent State official or office).

3. A city has applied for a Coverdell award and all funds will go to the city's forensic laboratory. There is a process in place whereby the city's District Attorney (DA) may appoint an independent investigator to conduct an investigation into allegations concerning the city's forensic laboratory. If the DA appoints an independent investigator, the investigator will have authority to investigate allegations of serious negligence or misconduct by both laboratory employees and contractors.

*Guidance:* Execution of the certification might be appropriate under these facts. In this regard however, the certifying official must be satisfied that the process at issue (appointment of an independent investigator by the city DA) includes procedures under which allegations involving the laboratory are submitted to or are made known to the DA, and that the DA's authority and responsibility to appoint an independent investigator to conduct investigations of such allegations is sufficiently delineated in city policies and/or regulations so that the "appropriate process" in place is clearly defined.

4. An applicant agency determines that the forensics laboratory director (or some other individual in the chain of command at the laboratory) has sole responsibility to conduct investigations into allegations of serious negligence or misconduct committed by laboratory employees.

*Guidance:* Under these circumstances, execution of the certification would not be appropriate because there is no process in place to conduct independent, external investigations into allegations of serious negligence or misconduct committed by laboratory employees and contractors.

5. A State applicant intends to distribute Coverdell award funds to forensic laboratories at both the State and local level. An independent commission established by the Governor has authority to investigate allegations of serious negligence or misconduct by employees, including employees of units of local government within the State.

*Guidance:* Under these circumstances, the existence of this commission is not itself a sufficient basis for execution of the certification. In this regard, the commission does not have authority to investigate allegations of serious negligence or misconduct by contractors of State and local government forensic laboratories that receive Coverdell funds. (If, however, some other government entity, distinct from the commission, has a process in place to conduct independent external investigations of allegations of serious negligence or misconduct by such contractors, execution of the certification might be appropriate depending on all the facts.)

6. A local forensic laboratory, which is intended to receive a portion of the funds from a Coverdell award to a State, notifies the State applicant that a quality assurance official is responsible for investigating allegations of serious negligence or misconduct by employees and contractors of the local forensic laboratory. The quality assurance official reports to the director of the forensic laboratory.

*Guidance:* Under these circumstances, execution of the certification would not be appropriate because the quality assurance official reports to the director of the forensic laboratory and, therefore, there is no process in place to conduct independent, external investigations of allegations against the forensics laboratory as required to make the certification.

7. An applicant agency (a forensics laboratory) intends to employ a contractor or a nongovernmental organization to conduct investigations into allegations of serious negligence or misconduct committed by laboratory employees.

*Guidance:* Under these circumstances, execution of the certification would not be appropriate, as there is neither a government entity nor an appropriate process in place to conduct independent, external investigations of allegations against the laboratory, whether alleged to be committed by laboratory employees and/or contractors, because the contractor or nongovernmental entity is employed by and responsible to the forensics laboratory.

8. An applicant agency is accredited by an independent accrediting or certifying organization such as CALEA, ASCLD-LAB, NAME, FQS, etc.

*Guidance:* In this situation, execution of the certification would not be appropriate. The fact of accreditation or certification by an outside entity on its own does not demonstrate that the agency has a process in place to investigate allegations of serious negligence or misconduct committed by employees or contractors. There is insufficient information to properly make the required certification in this situation.

## **Paul Coverdell Forensic Science Improvement Grants Program**

### **Program-Specific Information**

This solicitation seeks applications for funding to improve the quality and timeliness of forensic science and medical examiner services, including services provided by laboratories operated by States and/or units of local government. Among other things, funds may be used to eliminate backlogs in the analysis of general forensic evidence or to train and employ forensic laboratory personnel to eliminate such backlogs.

#### **A. Available Funding**

After certain deductions, not less than \$10,586,098 is anticipated to be available for Coverdell awards in FY 2012.

##### **1. “Base” Funds for States**

Approximately 75 percent of the funds available for Coverdell grants will be allocated among eligible States based on population (State “base” funds). The approximate amount for each eligible State is listed in Appendix 1: “Estimated Amount of FY 2012 Base Funds, by State.”<sup>2</sup>

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<sup>2</sup> Under the provisions of the Coverdell law, several factors (including the number of eligible State applicants) affect “base” amounts.

## **2. Competitive Funds for States and Units of Local Government**

Twenty-five percent of the available funds will be allocated among States and units of local government through a competitive process. The average annual number of Part 1 violent crimes reported by each State to the Federal Bureau of Investigation for calendar years 2008, 2009, and 2010; existing resources; and current needs of the potential grant recipient will be considerations in award decisions. For FY 2012, the maximum amount a State or unit of local government may receive in competitive funds is **\$175,000**.

Units of local government that provide forensic science or medical examiner services (whether through a forensic science laboratory, medical examiner's office, or coroner's office) may apply directly to NIJ for competitive funds. A State may apply through its SAA for competitive funds for forensic sciences improvements **above and beyond** those it can accomplish with its estimated amount of base funds.

## **3. Minimum Awards to States**

The Coverdell law sets a floor for the total amount an eligible applicant State will receive as its Coverdell grant. For FY 2012, the minimum Coverdell grant to an eligible State is anticipated to be not less than \$63,517.<sup>3</sup> If the amount a State would otherwise receive as its total Coverdell grant (including both base funds and any competitive funds) is less than \$63,517, NIJ will increase that State's total grant to \$63,517.

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

## **B. Grant Purposes**

A State or unit of local government that receives a Coverdell grant must use the grant for one or more of these three purposes:

1. To carry out all or a substantial part of a program intended to improve the quality and timeliness of forensic science or medical examiner services in the State, including those services provided by laboratories operated by the State and those operated by units of local government within the State.
2. To eliminate a backlog in the analysis of forensic science evidence,<sup>4</sup> including, among other things, a backlog with respect to firearms examination, latent prints, toxicology, controlled substances, forensic pathology, questioned documents, and trace evidence.
3. To train, assist, and employ forensic laboratory personnel as needed to eliminate such a backlog.

## **C. Expected Results and Outcomes**

The result of Coverdell grants to applicant States should be a demonstrated improvement over current operations in the quality and/or timeliness of forensic science or medical

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<sup>3</sup> Minimum awards for America Samoa and the Commonwealth of the Northern Mariana Islands are lower.

<sup>4</sup> A backlog in the analysis of forensic science evidence exists if forensic evidence has been stored in a laboratory, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility and has not been subjected to all appropriate forensic testing because of lack of resources or personnel.

examiner services provided in the State, including services provided by laboratories operated by the State and services provided by laboratories operated by units of local government within the State. Reduction of forensic analysis backlogs is considered an improvement in timeliness of services. The result of Coverdell grants directly to units of local government should be a demonstrated improvement over current operations in the quality and/or timeliness of forensic science or medical examiner services provided by the local jurisdiction.

See "Performance Measures," page 13, for additional information.

#### **D. Grant Period**

Coverdell grants generally are limited to a 12-month period. Applicants are asked to establish a project period of October 1, 2012, to September 30, 2013. Applicants should be aware that the total period of an award, including one that received a project period extension, ordinarily will not exceed 3 years.

#### **Budget Information**

##### **A. Permissible Expenses**

The types of expenses listed below generally may be paid with Coverdell funds.

**Note:** The following list details the types of expenses allowed under the Coverdell program. These expenses should **NOT** be used as budget categories—instead they are to be incorporated into the appropriate standard OJP budget categories. For more information on OJP's standard budget format, see the section titled "What an Application Should Include."

1. **Personnel.** Funds may be used for forensic science or medical examiner personnel, overtime, fellowships, visiting scientists, interns, consultants, or contracted staff.
2. **Computerization.** Funds may be used to upgrade, replace, lease, or purchase computer hardware and software for forensic analyses and data management.
3. **Laboratory equipment.** Funds may be used to upgrade, lease, or purchase forensic laboratory or medical examiner equipment and instrumentation.
4. **Supplies.** Funds may be used to acquire forensic laboratory or medical examiner supplies.

**Note:** To help ensure compliance with the National Environmental Policy Act (NEPA) and Department of Justice regulations, Coverdell awardees that intend to use funds for activities involving the use or purchase of chemicals will be required to submit additional information. See the "Additional Requirements" section of this announcement.

Applicants should note that award recipients whose proposals involve the use or purchase of chemicals may encounter delays in the release of their award funds pending satisfactory completion of the NEPA review process.

- 5. Accreditation.** Funds may be used to prepare for laboratory accreditation by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD-LAB), Forensic Quality Services (FQS), the National Association of Medical Examiners (NAME), the American Association for Laboratory Accreditation (A2LA), or other appropriate accrediting bodies. Funds also may be used for application and maintenance fees charged by appropriate accrediting bodies.
- 6. Education, training, and certification.** Funds may be used for appropriate internal and external training of staff that are directly and substantially involved in providing forensic science or medical examiner services. In appropriate cases, funds also may be used for fees charged by appropriate certifying bodies for certification of staff in specific forensic discipline areas. All education, training, and certification activities must be designed to improve the quality and/or timeliness of forensic science or medical examiner services. The grant application should demonstrate that the proposed training or certification is directly related to the job position and duties of the individual(s) receiving the training or seeking certification.
- 7. Facilities.** Funds may be used for program expenses relating to facilities, provided the expenses are directly attributable to improving the quality and/or timeliness of forensic science or medical examiner services. Funds also may be used for renovation and/or construction undertaken as part of the applicant's program to improve the quality and/or timeliness of forensic science or medical examiner services.

**Limitations on use of funds for costs of new facility.** The Coverdell law limits the amount of funds that may be used for the costs of a new facility or facilities. See 42 U.S.C. § 3797m(c). Maximum amounts are determined by the total amount of the Coverdell grant (including both base and competitive funds) and the total amount of funds available for Coverdell grants nationwide. The maximum amounts that may be used for costs of new facilities are as follows. (Estimates and calculations are based on the assumption that the total available funds for Coverdell awards in FY 2012 are \$10,586,098. See "Available Funding" on page 8.)

- a. Grants that do not exceed 0.6 percent of the total available funds (estimated at \$63,517) for FY 2012. If the total Coverdell grant to an applicant State or unit of local government is less than or equal to 0.6 percent of the total available funds (estimated here at \$63,517), no more than 80 percent of the total grant may be used for the costs of any new facility.
- b. Grants that exceed 0.6 percent of the total available funds. If an applicant State receives a total grant that exceeds 0.6 percent of the total available funds (estimated here at \$63,517), the amount of the grant that can be used for the costs of any new facility cannot exceed the sum of 80 percent of 0.6 percent of the total available funds (such 80 percent estimated here at \$50,814) plus 40 percent of the amount of the grant in excess of 0.6 percent of the total available funds.

For example, assuming that the total available funds for Coverdell awards for FY 2012 are \$10,586,098, if a State receives a total Coverdell grant of \$100,000, no more than \$65,407 may be used for the costs of any new facility.

A sample calculation for a \$100,000 grant would be as follows:

Eighty percent of 0.6 percent of the total available funds:  $\$63,517 \times .80 = \$50,814$

Amount in excess of \$63,517:  $\$100,000 - \$63,517 = \$36,483$

40 percent of amount in excess of \$63,517:  $\$36,483 \times .40 = \$14,593$

Sum of \$50,814 + \$14,593 = \$65,407

**Note:** To help ensure compliance with NEPA and Department of Justice regulations, Coverdell awardees that intend to use funds for activities involving the renovation or construction of facilities will be required to submit additional information (see "Additional Requirements").

Applicants should note that award recipients whose proposals involve construction or renovation may encounter delays in the release of their award funds pending satisfactory completion of the NEPA review process.

8. **Administrative expenses.** Not more than 10 percent of the total amount of a Coverdell grant may be used for a recipient's administrative expenses.

#### **B. Expenses That Are Not Permitted**

1. Expenses other than those listed above (including expenses for general law enforcement functions or nonforensic investigatory functions).
2. Costs for any new facility that exceed the limits described above.
3. Recipient administrative expenses (direct or indirect) that exceed 10 percent of the total grant amount.

#### **C. Minimization of Conference Costs**

No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under the organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

#### **D. 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 by individuals with limited English proficiency may be allowable costs. 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 ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

#### E. Match Requirement

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, the match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit.

### Performance Measures

To assist the Department in 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. 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:

Objective	Performance Measures	Data Grantee Provides
To improve the quality and timeliness of forensic services and to reduce the number of backlogged cases in forensic laboratories	<p><b>Outcome Measure</b></p> <ol style="list-style-type: none"><li>1. Reduction in the average number of days from the submission of a sample to a forensic science laboratory to the delivery of test results to a requesting office or agency.</li><li>2. Percent reduction in the number of backlogged forensic cases.</li></ol> <p><b>Output Measure</b></p> <ol style="list-style-type: none"><li>1. The number of forensic science or medical examiner personnel who completed appropriate training or educational opportunities with FY 2012 Coverdell funds (if applicable to the grant).</li></ol>	<ol style="list-style-type: none"><li>1. Average number of days to process a sample at the beginning of the grant period.</li><li>2. Average number of days to process a sample at the end of the grant period.</li><li>3. Number of backlogged cases at the beginning of the grant period.</li><li>4. Number of backlogged cases at the end of the grant period.</li><li>5. Number of forensic science personnel attending training.</li><li>6. Number of medical examiner personnel attending training programs.</li></ol>

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for

performance measures. Refer to the section “What an Application Should Include” on page 17 for additional information.

#### **Note on Project Evaluations (if applicable)**

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

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

#### **Notice of Post-Award FFATA Reporting Requirement**

Applicants should anticipate that OJP will require 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), 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](http://www.fsrs.gov).

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/](http://www.ojp.usdoj.gov/gmscbt/). If the applicant experiences technical difficulties at any point during this process, e-mail [GMS.HelpDesk@usdoj.gov](mailto: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 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 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](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the 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. 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](http://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](http://www.ojp.usdoj.gov/gmscbt/) home page. For more information on how to register in GMS, go to [www.ojp.usdoj.gov/gmscbt/](http://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, 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. Select “National Institute of Justice” and the “Paul Coverdell Forensic Science Improvement Grants 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. Select the “Apply Online” button in the “Action” column to register for this solicitation and create an application in the system.

7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information and submit the form in GMS. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields. Access the form at [www.ojp.gov/funding/forms/disclosure.pdf](http://www.ojp.gov/funding/forms/disclosure.pdf).
8. **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.”

**Note: Duplicate Applications**

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

**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 email the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the 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) the applicant has received. **Note: Requests are not automatically approved by NIJ.** 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.

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, including firewalls.

Notifications regarding known technical problems with GMS, 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).

## **What an Application Should Include**

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

Moreover, applicants that request competitive funds should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by NIJ to be critical will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated, for requests for competitive funds, the following application elements as critical: program narrative, budget detail worksheet and budget narrative, and **all four** certifications required by the Coverdell law. The Budget Narrative and the Budget Detail Worksheet may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information. (Requests for competitive funds from States must clearly differentiate between the information on program narrative and budget provided for the request for competitive funds and the information provided for the request for "base" funds.)

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

- 1. Information to complete the Application for Federal Assistance (SF-424)**  
The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form.
- 2. Program Narrative**

### Program Narrative Guidelines:

- a. **Title Page**  
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., name, address, telephone number, and e-mail address).
- b. **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.
- c. **Table of Contents and Figures**

d. **Main Body**

The main body of the program narrative should address the project objectives, the expected results, and the implementation approach.

a. **Formula (base) applications**

- **State (base) applicants:** The program narrative must specifically describe the manner in which Coverdell grant funds will be used to carry out the State plan to improve the quality and/or timeliness of forensic science or medical examiner services over current operations. (Reduction of forensic analysis backlogs is considered an improvement in timeliness of services.) States are expected to consider the needs of laboratories operated by units of local government as well as those operated by the State.

If grant funds are requested for costs of a new facility, the program narrative must specifically describe the new facility to be constructed and the estimated costs of that facility.

b. **Requests for competitive funds**

The main body of the program narrative for a request for competitive funds should describe the project in depth. The following sections should be included as part of the main body of a program narrative:

- Statement of the Problem
- Project/Program Design and Implementation.
- Capabilities/Competencies.
- Impact/Outcomes and Evaluation.
- Other/Part 1 Violent Crimes data (see page 23).
- **State (base/competitive) applicants:** A State that seeks competitive funds in addition to base funds should include a **separate** program narrative (as well as a separate proposed budget detail worksheet and budget narrative), which should describe how competitive funds will be used to support improvements in forensic science or medical examiner services **above and beyond** the improvements it will accomplish with its estimated amount of base funds. As noted earlier, existing resources and current needs will be considered in awarding competitive funds and should be addressed in any request for competitive funds. Requests for competitive funds should specify the dollar amount requested, which should not exceed \$175,000.

If grant funds are requested for costs of a new facility, the program narrative must specifically describe the new facility to be constructed and the estimated costs of that facility.

Any State application for funding **MUST** be submitted by the Coverdell SAA (see list of SAAs on the OJP Web site at [www.ojp.usdoj.gov/saa/index.htm](http://www.ojp.usdoj.gov/saa/index.htm)). When applying for competitive funds, an SAA should consult with all interested State agencies to prepare a request for competitive funds. No more than one request for competitive funds per State (SAA) will be funded.

- **Unit of local government:** The program narrative must specifically describe the manner in which Coverdell grant funds will be used to carry out the unit of local government plan to improve the quality and/or timeliness of forensic science or medical examiner services over current operations. (Reduction of forensic analysis backlogs is considered an improvement in timeliness of services.) Existing resources and current needs will be considered in awarding competitive funds and should be addressed in any request for competitive funds. Requests for competitive funds should specify the dollar amount requested, which should not exceed \$175,000.

If grant funds are requested for costs of a new facility, the program narrative must specifically describe the new facility to be constructed and the estimated costs of that facility.

All interested components of a unit of local government should be consulted before preparing an application for competitive funds. No more than one application for competitive funds per unit of local government will be funded.

The program narrative section for a request for competitive funds 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.

If the program narrative for a request for competitive funds fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions

### 3. External Investigations Attachment to the Program Narrative

- All applicants are to provide—as an attachment to the program narrative—the name(s) of the existing “government entity” (or entities) that is the subject of the certification (see Appendix 2) that—

A government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner's office, coroner's office, law

enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

- Appendix 3 includes a template for this attachment. Note that funds **will not be made available** to applicant agencies that fail to provide the necessary information.

#### **4. Plan for Collecting the Data Required for This Solicitation's Performance Measures**

Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to NIJ as part of their reporting requirements. For the application ("base" and/or competitive), the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

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

For questions pertaining to budget and examples of allowable and unallowable costs, 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. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

#### **6. 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/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## 7. Additional Attachments

### Coverdell Statutory Certifications

As described above in the “Eligibility” section, the Coverdell law provides that, to request a grant, each applicant must submit four certifications specific to the Coverdell Program. A certification may only be completed by an official familiar with its requirements and authorized to certify on behalf of the applicant agency (i.e., the agency applying directly to NIJ). Templates for the statutory certifications appear in Appendix 2. (Note that there are two versions of the first template—one for State applicants, the other for applicant units of local government.) All four certifications must be completed using these templates. Certifications made on behalf of subrecipients of award funds—rather than certifications made on behalf of the agency applying directly to NIJ—are not acceptable to satisfy the certification requirements.

The four required Coverdell statutory certifications are as follows—

1. Certification as to Plan for Forensic Science Laboratories—Application from a State **or** Certification as to Plan for Forensic Science Laboratories—Application from a Unit of Local Government.
2. Certification as to Generally Accepted Laboratory Practices and Procedures.
3. Certification as to Use of Funds for New Facilities.
4. Certification as to External Investigations.

**Please note:** Specific information and guidance with respect to the “Certification as to External Investigations” is provided above, under “Eligibility.” Certifying officials must read and review this information and guidance prior to executing the certification.

## 8. 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](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms.

- a. Standard Assurances  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements  
Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.

- 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 submitted)

## **Selection Criteria**

### **Base funds and minimum awards**

Subject to the availability of appropriated funds, States that satisfy the specific requirements (including eligibility requirements) outlined in this announcement, the general requirements for NIJ and OJP grants, and all other applicable legal requirements, may expect to be awarded "base" funds or minimum awards determined in accordance with the Coverdell law.

### **Requests for competitive funds**

Each criterion is weighted according to the percentage listed below.

**Statement of the Problem** (Understanding of the problem and its importance)—15%

**Project/Program Design and Implementation** (Quality and technical merit)—15%

1. Soundness of the approach to reduce and/or eliminate a backlog.
2. Soundness of the approach to improve the quality of forensic services.
3. Soundness of the approach to train and employ forensic personnel to eliminate a backlog and increase capacity.
4. Innovation and creativity in the approach to reducing and/or eliminating a backlog and increasing capacity.
5. Feasibility of the proposed project and awareness of pitfalls.

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of applicants)—10%

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

**Budget**—25%

1. Total cost of the project relative to the perceived benefit.
2. Use of existing resources to conserve costs.
3. Cost effectiveness of proposed activities applicable to backlog reduction and/or timeliness of forensic science or medical examiner services.
4. Cost effectiveness of proposed activities applicable to improvement in the quality of forensic science or medical examiner services.
5. Cost effectiveness of education and training as related to quality and/or timeliness of forensic science or medical examiner services.

**Impact/Outcomes and Evaluation/Plan for Collecting Data for Performance Measures** (Relevance to policy and practice)—30%

1. Improvement in Quality and Timeliness
  - a. Anticipated reduction in backlog.
  - b. Anticipated improvement in quality and timeliness of forensic results.
  - c. Anticipated benefit of education and training to reduce backlog and improve timeliness of results.
  - d. Planned steps to achieve accreditation to positively impact quality and/or timeliness of forensic results.
2. Anticipated Impact of Eligible Project Activities
  - a. *Personnel:* If applicable, anticipated impact of requested personnel resources (e.g., overtime) on improvement in quality and/or timeliness of forensic science or medical examiner services.
  - b. *Equipment/Supplies:* If applicable, anticipated impact of requested equipment and supplies on improvement in quality and/or timeliness of forensic science or medical examiner services.
  - c. *Computerization:* If applicable, anticipated impact of requested computerization on improvement in quality and/or timeliness of forensic science or medical examiner services.
  - d. *Renovation/Construction of Facilities:* If applicable, anticipated impact of proposed action on improvement in quality and/or timeliness of forensic science or medical examiner services.
3. Demonstrated plan for collection of the performance measure data as described in the solicitation.

**Other—5%**

Average annual number of Part I Violent Crimes reported to the Federal Bureau of Investigation for calendar years 2008, 2009, and 2010.

## 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. Applications for formula awards will be reviewed to ensure statutory requirements have been met.

Peer reviewers will review the requests for competitive funds submitted under this solicitation that meet basic minimum requirements. NIJ may use either internal peer reviewers, external peer reviewers, or a combination, to review these requests under this solicitation. 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. Eligible requests for competitive funds that meet basic

minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

When appropriate, the Office of the Chief Financial Officer (OCFO), in consultation with NIJ, conducts a financial review of requests for competitive funds to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

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

## **Additional Requirements**

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

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

Each grantee under the Coverdell program must submit semiannual progress reports, quarterly financial status reports, and, if applicable, an annual audit report in accordance with Office of Management and Budget Circular A-133. In addition, Coverdell grantees must submit a final report that must, among other things (1) include a summary and assessment of the program carried out with FY 2012 grant funds, (2) identify the number and type of cases accepted during the FY 2012 award period by the forensic laboratory or laboratories that received FY 2012 grant funds, and (3) cite the specific improvements in the quality and/or timeliness of forensic science and medical examiner services (including any reduction in forensic analysis backlog) that occurred as a direct result of the FY 2012 grant award. Future awards and fund drawdowns may be withheld if reports are delinquent.

In addition, as noted earlier under “Eligibility,” for each fiscal year of an award, recipients will be required to report to NIJ on an annual basis:

1. The number and nature of any allegations of serious negligence or misconduct substantially affecting the integrity of forensic results.
2. Information on the referrals of such allegations (e.g., the government entity or entities to which referred, the date of referral).
3. The outcome of such referrals (if known as of the date of the report); and
4. If any such allegations were not referred, the reason(s) for the nonreferral.

Payments to recipients (including payments under future awards) may be withheld if the required information is not submitted on a timely basis.

The highest standards of integrity in the practice of forensic science are critical to the enhancement of the administration of justice. We assume that recipients (and subrecipients) of Coverdell funds will make use of the process referenced in their certification as to external investigations and will refer allegations of serious negligence or misconduct substantially affecting the integrity of forensic results to government entities with an appropriate process in place to conduct independent external investigations, such as the government entities identified in the grant application.

## **Provide Feedback to OJP on This Solicitation**

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. Feedback can be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

## **Application Checklist**

### **Paul Coverdell Forensic Science Improvement Grants Program**

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

#### **Eligibility Requirement:**

- Coverdell Statutory Certifications (see pages 3–8 and 21)
- Certification as to Plan for Forensic Science Laboratories—Application from a State  
or
- Certification as to Plan for Forensic Science Laboratories—Application from a Unit of Local Government
- Certification as to Generally Accepted Laboratory Practices and Procedures
- Certification as to Use of Funds for New Facilities
- Certification as to External Investigations

#### **What an Application Should Include:**

- Application for Federal Assistance (SF–424) (see page 17)
- Program Narrative(s) (see page 17)
- External Investigations Attachment to the Program Narrative (see page 19)
- Plan for Collecting the Data Required for This Solicitation’s Performance Measures (see page 20)
- Budget Detail Worksheet(s) (see page 20)
- Budget Narrative(s) (see page 20)
- Disclosure of Lobbying Activities (SF–LLL) (see page 16)
- Indirect Cost Rate Agreement (if applicable) (see page 20)
- Other Standard Forms as applicable (see page 21)

## Appendix 1. Estimated Amount of FY 2012 Base Funds, by State<sup>5</sup>

**\*Note: If the amount a State would otherwise receive as its total Coverdell grant award, including both base funds and any competitive funds, is less than the minimum grant amount set by the Coverdell law, the total Coverdell grant award will be increased to the minimum grant amount, which is estimated to be not less than \$63,517. See “Available Funding” under “Program-Specific Information” for additional details.**

Alabama	\$110,952	Nevada	\$68,488
Alaska*	\$18,175	New Hampshire*	\$33,151
Arizona	\$149,757	New Jersey	\$203,784
Arkansas	\$67,872	New Mexico*	\$52,365
California	\$870,749	New York	\$449,680
Colorado	\$118,207	North Carolina	\$223,080
Connecticut	\$82,721	North Dakota*	\$17,200
Delaware*	\$22,813	Ohio	\$266,708
District of Columbia*	\$15,542	Oklahoma	\$87,590
Florida	\$440,262	Oregon	\$89,447
Georgia	\$226,748	Pennsylvania	\$294,383
Hawaii*	\$34,575	Rhode Island*	\$26,439
Idaho*	\$39,860	South Carolina	\$108,098
Illinois	\$297,302	South Dakota*	\$20,725
Indiana	\$150,552	Tennessee	\$147,929
Iowa	\$70,745	Texas	\$593,130
Kansas	\$66,331	Utah	\$65,083
Kentucky	\$100,940	Vermont*	\$15,754
Louisiana	\$105,687	Virginia	\$187,046
Maine*	\$33,402	Washington	\$157,786
Maryland	\$134,644	West Virginia*	\$46,660
Massachusetts	\$152,184	Wisconsin	\$131,952
Michigan	\$228,157	Wyoming*	\$14,288
Minnesota	\$123,476	American Samoa/ Northern Mariana Islands <sup>6</sup>	\$2,842
Mississippi	\$68,809	Guam*	\$4,602
Missouri	\$138,857	Puerto Rico	\$85,631
Montana*	\$25,103	Virgin Islands*	\$2,766
Nebraska*	\$46,340		

<sup>5</sup> Under the provisions of the Coverdell law, several factors (including the number of eligible State applicants) affect “base” amounts.

<sup>6</sup> The Coverdell law includes specific provisions with respect to allocations to American Samoa and the Commonwealth of the Northern Mariana Islands. Please contact NIJ for additional information on this allocation.

## **Appendix 2. Templates for Coverdell Statutory Certifications**

**(Instructions:** Scan signed certifications and submit image files electronically through GMS.)

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

**FY 2012 Coverdell Forensic Science Improvement Grants Program**

**Certification as to Plan for Forensic Science Laboratories—  
Application From a **State****

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

The State has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services in the State, including such services provided by the laboratories operated by the State and those operated by units of local government within the State.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

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Signature of Certifying Official

---

Printed Name of Certifying Official

---

Title of Certifying Official

---

Name of Applicant Agency (Including Name of State)

---

Date

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

**FY 2012 Coverdell Forensic Science Improvement Grants Program**

**Certification as to Plan for Forensic Science Laboratories—  
Application From a Unit of Local Government**

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

This unit of local government has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services provided by the laboratories operated by the applicant unit of local government and any other government-operated laboratories within the State that will receive a portion of the grant amount.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

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Signature of Certifying Official

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Printed Name of Certifying Official

---

Title of Certifying Official

---

Name of Applicant Agency  
(Including Name of Unit of Local Government)

---

Date

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

**FY 2012 Coverdell Forensic Science Improvement Grants Program**

Certification as to Generally Accepted  
Laboratory Practices and Procedures

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

Any forensic science laboratory system, medical examiner's office, or coroner's office in the State, including any laboratory operated by a unit of local government within the State, that will receive any portion of the grant amount uses generally accepted laboratory practices and procedures, established by accrediting organizations or appropriate certifying bodies.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

---

Signature of Certifying Official

---

Printed Name of Certifying Official

---

Title of Certifying Official

---

Name of Applicant Agency  
(Including Name of State or Unit of Local Government)

---

Date

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

**FY 2012 Coverdell Forensic Science Improvement Grants Program**

**Certification as to Use of Funds for New Facilities**

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

The amount of the grant (if any) used for the costs of any new facility or facilities to be constructed as part of a program to improve the quality and timeliness of forensic science and medical examiner services will not exceed the limitations set forth at 42 U.S.C. § 3797m(c) and summarized in the FY 2012 Coverdell Forensic Science Improvement Grants Program Announcement.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

---

Signature of Certifying Official

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Printed Name of Certifying Official

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Title of Certifying Official

---

Name of Applicant Agency  
(Including Name of State or Unit of Local Government)

---

Date

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

**FY 2012 Coverdell Forensic Science Improvement Grants Program**

**Certification as to External Investigations**

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

A government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

I personally read and reviewed the section entitled "Eligibility" in the Fiscal Year 2012 program announcement for the Coverdell Forensic Science Improvement Grants Program. I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

---

Signature of Certifying Official

---

Printed Name of Certifying Official

---

Title of Certifying Official

---

Name of Applicant Agency  
(Including Name of State or Unit of Local Government)

---

Date

### **Appendix 3. Template for “External Investigations” Attachment**

**(Instructions:** Scan the completed document and submit image file electronically through GMS.)

## FY 2012 Coverdell Forensic Science Improvement Grants Program

### Attachment: External Investigations

The “Certification as to External Investigations” that is submitted on behalf of the applicant agency as part of this application certifies that—

A government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner’s office, coroner’s office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

Prior to receiving funds, the applicant agency (that is, the agency applying directing to the National Institute of Justice) must provide—for each forensic laboratory system, medical examiner’s office, coroner’s office, law enforcement storage facility, or medical facility that will receive a portion of the grant amount—the name of the “government entity” (or entities) that forms the basis for the certification. Please use the template below to provide this information. (Applicants may adapt this template if necessary, but should ensure that the adapted document provides all required information.)

**IMPORTANT NOTE:** If necessary for accuracy, list more than one entity with respect to each intended recipient of a portion of the grant amount. For example, if no single entity has an appropriate process in place with respect to allegations of serious negligence as well as serious misconduct, it will be necessary to list more than one entity. Similarly, if no single entity has an appropriate process in place with respect to allegations concerning contractors as well as employees, it will be necessary to list more than one entity.

Additional guidance regarding the “Certification as to External Investigations” appears in the “Eligibility” section of the program announcement for the FY 2012 Coverdell program.

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#### Name of Applicant Agency (including Name of State or Unit of Local Government):

Date: \_\_\_\_\_

Name of any forensic laboratory system, medical examiner’s office, coroner’s office, law enforcement storage facility, or medical facility that will receive a portion of the grant amount

Existing government entity (entities) with an appropriate process in place to conduct independent external investigations

1. \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## **FY 2012 External Investigations Attachment (continued)**

**Name of Applicant Agency:** \_\_\_\_\_

3. \_\_\_\_\_

\_\_\_\_\_

4. \_\_\_\_\_

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5. \_\_\_\_\_

\_\_\_\_\_

6. \_\_\_\_\_

\_\_\_\_\_

7. \_\_\_\_\_

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