



National Institute of Justice

S o l i c i t a t i o n

Jeremy Travis, Director

September 1996

Solicitation for the Forensic DNA Laboratory Improvement Program

Solicitation for the Forensic DNA Laboratory Improvement Program

Solicitation Purpose

The purpose of this solicitation is to request applications for grants from State and local (i.e., county and municipal) governments to develop or improve the capability to analyze deoxyribonucleic acid (DNA) in State and local forensic laboratories.

Forensic DNA Laboratory Improvement Program Background

The Forensic DNA Laboratory Improvement Program is authorized by “The DNA Identification Act of 1994” (“Act”)[Public Law 103–322]. The purpose of the program is to increase the capabilities and capacity of State and local forensic laboratories in the United States to conduct DNA testing. DNA testing supports criminal investigations involving the identification or exclusion of putative suspects by analyzing biological evidence recovered from crime scenes.

This solicitation is for the second year of the 5-year grant program authorized by the Act. The first year’s solicitation and resulting grant awards emphasized the acquisition of equipment, supplies, and training necessary to develop or improve forensic DNA testing capabilities, and to upgrade laboratories’ ability to participate in the Federal Bureau of Investigation’s (FBI’s) Combined DNA Index System (CODIS). The National Institute of Justice (NIJ) received 46 applications and awarded 37 grants to forensic laboratories from 31 States for a total amount of \$8,750,000, \$8 million of which was provided by the FBI. The FBI and NIJ will continue working together to improve State and local DNA laboratories.

Each State or local laboratory funded under the first solicitation must submit an application under this solicitation if they want continued funding.

The following objectives are critical to the success of the program:

- Develop forensic DNA testing in State and local laboratories that do not currently conduct DNA testing.

- Improve or expand forensic DNA testing in State and local laboratories that already conduct DNA testing, especially for serial sexual assaults having unknown assailants.
- Ensure that DNA testing by grant recipients is conducted according to national standards.
- Facilitate implementation of State laws requiring the establishment of data bases of DNA records of convicted offenders.
- Foster compatibility and cooperation among forensic laboratories within and between States that are seeking to match and exchange DNA identification records for law enforcement purposes through FBI’s CODIS.
- Provide the greatest overall improvement in the Nation’s forensic DNA testing capabilities—recognizing current and projected DNA testing requirements and identifying current and foreseeable technological trends.

Solicitation of Proposals

This solicitation requests proposals from State and local governments, or a combination thereof, to develop or improve the capability to analyze DNA in forensic laboratories. The proposals may **only** address the following activities:

- Develop or establish forensic DNA testing capabilities.
- Improve or expand forensic DNA testing capabilities.
- Accelerate the implementation of State DNA data base laws.
- Promote the sharing and exchange of DNA identification records by law enforcement agencies through CODIS.
- Expedite validation of new DNA testing methods.

Eligibility Requirements

In accordance with the DNA Identification Act of 1994 (Public Law 103–322), eligible applicants must be State or local (i.e., county and municipal) governments or combinations thereof.

Statewide Planning—Consortium Proposals

Some States have only one forensic laboratory serving all law enforcement agencies within the State. Other States have regional laboratory systems that are administered by a single State agency. Most States, however, have a combination of State, county, and municipal laboratories that provide forensic services to the police organizations of which they are a part.

Depending on the circumstances in a given State, it may not be possible to justify DNA testing capabilities at all forensic laboratories because of low caseload numbers, lack of qualified personnel or laboratory space, or the sheer number of laboratories desiring DNA testing capabilities. In addition, even though a laboratory conducts DNA testing, it may not be possible to justify conducting all methods of DNA testing in that laboratory.

States with more than one current or prospective DNA laboratory are encouraged to work together to develop statewide DNA testing programs. Such States may submit consortium proposals covering all affected laboratories. Individual crime laboratories (i.e., State or local) may submit grant applications in conjunction with their State, city, or county or on their own.

Applicants are requested to clearly demonstrate in the proposal that statewide planning has occurred and to justify the need for DNA testing capabilities in the applicant's forensic laboratory. Other factors being equal, a proposal clearly demonstrating that statewide planning has taken place and providing the requested justifications for the DNA testing methods for their forensic laboratories will have a competitive edge over those proposals that do not.

Restrictions and Limitations on Use of Funds

The Federal share of grants made under this program shall not exceed **75** percent of the total cost of the project described in the application. Furthermore, grant funds shall not be used to pay for State or local personnel costs. Applicants, however, may include the cost of laboratory personnel directly associated with the project as a credit against the 25 percent State or local match requirement.

In addition, grant recipients may not use more than **10** percent of the Federal share to pay for administrative expenses.

Except as provided for administrative expenses, project proposals shall demonstrate that the Federal share will be spent on expenses directly associated with the start-up or expansion of a laboratory's facility to develop or improve forensic DNA testing capabilities.

Expenditures from the Federal share may include the following:

- **Laboratory equipment**, computer equipment, outside **training** expenses for college- or graduate-level course work or training courses in specific methodologies, additional laboratory **supplies** needed to conduct population or validation studies and to perform casework, and other expenses directly attributable to conducting forensic DNA analysis.
- **Modifications** to existing laboratory space (e.g., special power, ventilation, air conditioning, dark room construction, and plumbing) may be allowable but only when such expenses are **necessary** to accommodate required laboratory equipment, materials storage, work flow, safety, or separation of DNA-related activities.
- **Contractor-provided services** to conduct forensic DNA testing of biological samples as part of a State's overall approach for quickly establishing a State DNA data base of convicted offenders. Contracting out the typing of convicted offender samples should be a short-term (i.e., 1–3 years) measure to expedite backlogs of collected but unanalyzed samples, or to compensate for a lack of DNA typing capacity until such time as the effects of the grant may be seen in increased typing capacity within a State.
- Laboratory equipment, supplies, and consumable materials necessary to validate new or improved DNA typing methods as part of national efforts to establish protocols for forensic DNA analysis.
- CODIS equipment, including upgrade of existing hardware and software to accommodate a Windows NT operating environment and commercially available "imaging" system. For further assistance, contact Stephen Nizgoda, FBI CODIS Program Manager, at (202) 324-1337.

The Federal share shall **not** be used for new construction of laboratory buildings or facilities or to make modifications to existing laboratory space that are not necessary to house or operate required equipment. Federal funds shall **not** be used to pay for salaries and personnel-related expenses for

existing staff, or to replace funds already available for supplies to support DNA casework operations or the typing of convicted offender samples. Additionally, the Federal share shall **not** be used for travel-related expenses for attendance at professional meetings and conferences.

Application Instructions and Requirements

Each application must include the following forms and narratives, completed and signed by the appropriate official of the applicant's agency. Copies of all required forms are included at the end of this application kit.

Applications should be assembled in the order shown below

1. Form Standard Form (SF) 424 (Application for Federal Assistance).
2. Form SF 424A (Budget Information).
3. Budget Narrative.
4. Detailed Budget.
5. OJP Form 4000/3 (Assurances Form).
6. OJP Form 4061/6 ("Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-free Workplace Requirements").
7. "Statutory Assurance" required by the DNA Identification Act.
8. Certification that Federal funds will not be used to supplant State or local funds.
9. Proposal abstract.
10. Program Narrative.
11. Tables 1–4 regarding capacity requirements and estimates.

Additional instructions on the specific forms and narratives follow.

Form SF 424 Application for Federal Assistance (signature required)

The Application for Federal Assistance is a standard form used by most Federal agencies for application for Federal assistance. It contains 18 different items, all of which are

to be completed in order for the application to be reviewed. NIJ cannot accept the application without a completed and signed SF 424.

Item 1—Type of Submission: The DNA grant funds cannot be used for construction or building purposes. Check the "Non-Construction" box in the application section.

Item 2—Date Submitted: Indicate the date you sent the application to the Federal agency (e.g., NIJ). The "Application Identifier" is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.

Item 3—Date Received by State: Enter the date you sent a copy of your application to the State office that administers the Byrne Formula Grant Program.

Item 4—Date Received by Federal Agency: This item will be completed by the Federal agency.

Item 5—Applicant Information: The "Legal Name" is the unit of government or the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus, the city or township should be entered into the Organizational Unit box. One person should be designated as the contact for the proposed project, and that person's telephone and fax numbers should also be included. It is not unusual for the name of the contact person to differ from the authorized representative of your agency in item 18 below.

Item 6—Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or controller.

Item 7—Type of Applicant: Enter the appropriate letter in the space.

Item 8—Type of Application: Check either "New" or "Continuation." Check "New" if this will be your first award for the purpose described in the application, even if you have received prior awards for other purposes. Check "Continuation" if the project will continue activities, including minor modifications, or implement the next phase of a project that was begun under a prior award.

Item 9—Name of Federal Agency: Type in “National Institute of Justice.”

Item 10—Catalog of Federal Domestic Assistance Number: For this DNA grant program, the number is 16.560, and the title is Forensic DNA Laboratory Improvement Program.

Item 11—Descriptive Title of Applicant’s Project: Type in the title of the applicant’s project. Title should be 15 words or less.

In addition, at the bottom of the block for item 11, please provide required audit information: your organization’s fiscal year and the name of your cognizant Federal agency. The cognizant Federal agency is generally the Federal agency from which the applicant agency receives the most Federal dollars.

Item 12—Areas Affected by Project: Identify the geographic area(s) encompassed by the project. Indicate “statewide,” if applicable.

Item 13—Proposed Project Dates: Fill in the dates during which you anticipate the project will operate. These dates may be adjusted by the grantor agency when the award is made.

Item 14—Congressional Districts: Fill in the number of the congressional district in which the project will be located as well as the congressional district(s) the project will serve. Indicate “statewide,” if applicable.

Item 15—Estimated Funding: On line (a), type in the amount of Federal funds requested, not to exceed the dollar amount allocated in the program announcement. On lines (b), (c), or (d), type in the amount of the 25-percent match required by this program. On line (g), type in the total of the Federal funding requested and the 25-percent match.

Item 16—State Executive Order 12372: Some States (although not all) require you to submit your application to a State Single Point of Contact to coordinate applications for Federal funds within the State. If your State requires a copy of your application, indicate the date that it was submitted. If a copy is not required, indicate the reason. (See administrative requirements for information on this issue.)

Item 17—Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt

include delinquent audit disallowances, loans, and taxes.

Item 18—Authorized Representative: Type the name of the person legally authorized to enter into contracts on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped “original” to help distinguish the original from the photocopies.

OJP Form 7150/1 Budget Detail Worksheet and Budget Narrative

What are the specific costs involved? The budget application should be presented clearly. Major budget categories such as Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contracts, and Other, as well as Indirect Costs should be identified separately. The budget is prepared on OJP Form 7150/1. When completing this form, applicants should ensure they separately list Federal funds from any State or local funds for each cost category.

How much detail should be included in the budget narrative? Applicants must provide a complete budget narrative for the project, including discussion of purpose for the item or service, clear cost details, such as the basis for the computation of the amount of Federal funds requested by object category and the amount constituting the 25-percent State match. The budget should describe how the applicant arrived at the numbers presented on OJP Form 7150/1. This is where all cost assumptions and other cost items that may need explanation can be detailed. For example:

- a. Personnel: Name (if known), title (i.e., Criminalist I), will perform DNA testing half time during the year at an annual salary of \$30,000 x 50% = \$15,000, total cost.
- b. Fringe benefits: Costs (social security, retirement, health benefits, etc.) are based on 20 percent of personnel costs x \$15,000 = \$3,000 total costs.
- c. Travel: To obtain Polymerase Chain Reaction (PCR) training following Technical Working Group for DNA Analysis Methods (TWGDAM) guidelines, three specialists from Arlington, Virginia, will attend a 2-day PCR training course in Madison, Wisconsin. Round-trip coach fare of \$500 plus per diem (i.e., lodging and meals, to be based on State or local travel policy) of \$100 per day x 2 days = \$200 plus miscellaneous cost (e.g., ground transportation) of \$50 = \$750 (cost for one person) x three specialists = \$2,250 total cost.

d. Equipment: Purchase of equipment should follow the State or local procurement procedures. Justification for the purchase of each equipment must be provided and a cost estimate (based on a survey of vendors) for each item listed must be provided. Such as: to separate samples in DNA testing, two Microcentrifuges at \$1,650 each, totaling \$3,300 in cost, will be purchased.

e. Supplies: A cost estimate for each DNA testing kit must be listed (based on current laboratory costs or from a survey of vendors). Such as: to perform Short Tandem Repeats (STR) PCR DNA testing, 5 STR kits at \$1,180 each, for a total of \$5,900, will be purchased; and to provide general laboratory and consumable supplies (gloves, glass, chemicals, etc.), materials will be purchased at a monthly cost of, for instance, \$1,200 x 12 months = \$14,400 total cost.

f. Contract: Selection of all contractors should follow the State or local procurement procedures. Justification must be provided for sole source contracts in excess of \$100,000.

g. Other: List cost for each item, such as software to support CODIS data base communication and tuition for training courses.

h. Indirect costs: These are allowed, but only up to 10 percent of direct cost. They require applicants to provide their federally approved indirect cost rate.

OJP Form 4000/3 (Assurances Form)

Please review and have signed and dated by the head of the agency (or in the case of a consortium proposal, the head of the principal applicant).

OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements)

Please review and have signed and dated by the head of the agency (or in the case of a consortium proposal, the head of the principal applicant).

Statutory Assurance

Please review and have signed and dated by the head of the agency (or in the case of a consortium proposal, by each of the co-applicants).

Federal Funding Certification

Please include a statement that Federal funding made available under this grant will not be used to supplant State or local funds and have signed and dated by the head of the agency (or in the case of a consortium proposal, the head of the principal applicant).

Abstract

The abstract of the proposal should highlight the project's purpose, approach, and activities. The abstract should not exceed one page.

Program Narrative

Each application must contain a completed Program Narrative that generally addresses the selection criteria, the project objectives, expected results, and implementation approach.

Only one Project Narrative is required for a consortium proposal and it should be prepared by the principal agency. It is important that the Project Narrative specifically address each co-applicant in the implementation approach.

1. Applicant Information. Please provide the name, address, point of contact, and telephone and fax numbers for the applicant agency.

If the applicant is a *consortium*, please state this information and identify the principal applicant and other participants in the consortium (co-applicants).

In cases in which a consortium proposal is planned, it is necessary for one agency, with the agreement of all participating agencies, to be designated the principal agency for purposes of planning and organizing the preparation and submission of the project proposal and to act as payee to receive and disburse project funds and be responsible for the supervision and coordination of the activities of the other participants or co-applicants.

2. Project Scope. Please describe the general purpose and objectives of the project, addressing the goals and objectives of the Forensic DNA Laboratory Program that are covered by the proposal. In the case of a consortium proposal, describe the role of each of the co-applicants in achieving each project objective.

3. Management Approach. Please describe the approach and plan for accomplishing the objectives contained in the project scope. This section must include an approach for evaluating the effectiveness of the project at its conclusion.

Applicants must prepare a plan that outlines the major activities involved in implementing the project and describe how available resources will be allocated. The plan must include an annotated organizational chart depicting the roles and responsibilities of key organizational and functional components and a list of key personnel responsible for managing and implementing the major elements of the program. In the case of a consortium proposal, the principal applicant must include an annotated organizational chart depicting the roles and responsibilities of the co-applicants and a list of key personnel in the co-applicant agencies responsible for managing and implementing the major elements of the program. Applicants must fully describe the capabilities and work experience of key personnel (e.g., resumes).

Applicants must include a task plan that clearly identifies the major milestones and products, organizational responsibility, and schedule for completion of activities and products. Please note that, at a minimum, the final product of the project should be a summary of activities and accomplishments.

4. Data Confidentiality and Human Subjects Protection. Please include a statement at the end of the Program Narrative attesting to your safeguarding of information.

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about crime control and criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants.

When information is safeguarded, it is protected by statute from being used in legal proceedings:

“[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings.”
42 United States Code 3789g(a).

Program Narrative Format. All applications must be submitted on 8½" by 11" paper. Applications should not exceed 30 single-spaced pages, excluding tables and appendixes, and should be printed on one side of the paper only. Applications including more than one forensic laboratory may include up to 10 additional single-spaced pages of narrative for each laboratory, excluding tables and appendixes.

If applications are bound, which is preferable, binding should be of the spiral type so that pages lie flat when the application is open. **Do not use loose-leaf 3-ring binders.**

Video presentations are not acceptable. Applications submitted via facsimile will not be accepted.

Tables 1–4 Regarding Capacity Requirements and Estimates

Please note that when recording the number of cases worked per year in the following charts, record the number of cases worked in 1995, the projected number of cases that will be worked by the end of 1996, and the estimated number of cases that will be worked in 1997 and 2000.

1. Table 1, question 3. Please specify what offenses are covered by your State DNA data base, if any, in column 1. Please record how many persons were convicted of each crime in 1995 in column 2.

2. Table 2. In column 1, please list all laboratories covered by this application. In column 2, please record the total number of cases in which biological evidence was submitted to the applicable laboratory in 1995.

3. Table 3A. This table is to be filled out by each applicant, and in the case of a consortium proposal, by each co-applicant.

Row 1. Please record the total number of unknown suspect cases worked on by the applicant during the specified year.

Row 2. Please record the total number of cases with known suspects worked on by the applicant during the specified year.

Row 3. Please record the total number of convicted offender samples collected by the applicant during the

specified year. In the event that the applicant is not responsible for convicted offender samples, please leave this row blank.

Row 4. Please record the current and prospective backlog of convicted offender samples (the total number of samples collected minus the total number analyzed) for the specified year. In the event that the applicant is not responsible for convicted offender samples, please leave this row blank.

Row 5. Please record the total number of samples analyzed by the applicant for the population index during the specified year.

4. Table 3B. This table is to be filled out with the statewide totals, if available. If the applicant is a local agency and is unable to obtain this information, please note that such information is not available. In the case of a statewide consortium proposal, please provide the requested data.

Row 1. Please record the total number of unknown suspect cases analyzed in your State during the specified year.

Row 2. Please record the total number of cases with known suspects analyzed in your State during the specified year.

Row 3. Please record the total number of convicted offender samples analyzed in your State during the specified year. In the event that your State does not have a DNA data base law, please leave this row blank.

Row 4. Please record the current and prospective backlog of convicted offender samples (the total number of samples collected minus the total number analyzed) for the State during the specified year.

Row 5. Please record the total number of samples analyzed in the State for the population index during the specified year.

5. Table 4A. This table is to be filled out by each applicant, and in the case of a consortium proposal, by each co-applicant.

Part 1. For each DNA typing method, please record the total number of convicted offender samples analyzed by the applicant during the specified year.

Part 2. For each DNA typing method, please record the total number of cases analyzed by the applicant during the specified year.

6. Table 4B. These tables are to be filled out with the statewide totals, if available. If the applicant is a local agency and is unable to obtain this information, please note that such information is not available. In the case of a statewide consortium proposal, please provide the requested data.

Part 1. For each DNA typing method, please record the total number of convicted offender samples analyzed in the State during the specified year.

Part 2. For each DNA typing method, please record the total number of cases analyzed in the State during the specified year.

Selection Criteria

All applications will be reviewed by a peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this solicitation. The panel's consensus reviews will be given to the Director of NIJ, who will make the final award decision. The consensus reviews will be based upon the following four criteria:

1. The comprehensiveness, coherence, and specificity of the proposed project for developing or improving DNA testing capabilities in accordance with the objectives of the Forensic DNA Laboratory Program.
2. Commitment of State and local agencies to providing technical and financial resources in support of the goals and objectives of the proposed project.
3. Qualifications of key staff to manage and direct the activities and tasks set forth in the project plan.
4. The reasonableness and cost effectiveness of the program budget in relation to the proposed program.

Each applicant will be provided a copy of the panel's consensus review when notified by NIJ whether their proposal is accepted or rejected. For acceptable proposals, the FBI will provide recommendations to NIJ regarding specific funding levels and purposes. NIJ will negotiate specific terms of the awards with the selected applicants.

Administrative Requirements

Single point of contact review. Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if an SPOC exists and if the program has been selected for review by the State. Applicants must contact their SPOC to determine if the program has been selected for review by the State. A list of SPOCs is provided in appendix A. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in item 16 on the Application for Federal Assistance, SF 424.

Coordination with State Formula Grant

Program. A copy of the application also must be submitted to the State office that administers the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program. A list of State offices is provided in appendix B.

Audit Requirements

State and local governments are governed by the Single Audit Act of 1984 and the Office of Management and Budget (OMB) Circular A-128, "Audits of State and Local Governments." The type of audit required under this circular is dependent upon the amount of Federal funds received. Applicants are required to identify when the agency's fiscal year begins and ends and provide the name of the agency's cognizant Federal agency. This information may be provided in the Budget Narrative section of the application.

Certification required by "The DNA Identification Act of 1994." Each applicant must provide the signed certification required by "The DNA Identification Act of 1994." In the case of a consortium proposal, each co-applicant must provide a signed certification. A form certification is included in the application kit.

Certifications regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements. Applicants should refer to the regulations cited in OJP Form 4061/6 (3-91) to determine the certification(s) to which they are required to attest. A copy of the form is provided in appendix C of this application kit. Applicants should also

review the instructions for certification included in the regulations before completing this form. Signing this form commits the applicant to compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certification will be treated as a material representation of fact upon which reliance will be placed by the Department of Justice in awarding grants.

Civil rights requirements—prohibition of discrimination for recipients of Federal funds. No person in any State shall on the grounds of race, color, religion, national origin, gender, or disability be excluded from participation in, be denied the benefits of, be subjected to discrimination under, or be denied employment in connection with any program or be activity receiving Federal financial assistance, pursuant to the following statutes and regulations: Section 809(c), Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3789d, and Department of Justice Nondiscrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990) and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39; Title IX of the Education Amendments of 1972; and the Age Discrimination Act of 1975.

In the event a Federal or State court or a Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, gender, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights (OCR) of the Office of Justice Programs (OJP).

Monitoring

Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7 Monitoring).

Suspension or Termination of Funding

NIJ may suspend, in whole or in part, or terminate funding for a grantee for the following reasons:

- Failure to conform to the requirements or statutory objectives of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended.
- Failure to comply substantially with the Act, regulations promulgated thereunder, or with the terms and conditions of its grant award.

Prior to suspension of a grant, NIJ will provide reasonable notice to the grantee of its intent to suspend the grant and will attempt informally to resolve the problem resulting in the intended suspension. Hearing and appeal procedures for termination actions are set forth in Department of Justice regulations in 28 CFR Part 18.

Award Period

NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount

Up to \$750,000 per site will be available to develop or improve forensic DNA testing capabilities at State and local forensic laboratories. NIJ anticipates, however, that the average award for each laboratory will be less than \$750,000.

Decisions on the amount of funds for each grant and the number of grants to be awarded under this solicitation depend upon the appropriation for this program by Congress for fiscal year 1997. Tentatively, \$3 million may be available under this solicitation. Actual grant funding allocations are based on the quality of proposals received and funding available from NIJ and FBI.

To receive second-year continuation funding, funded grantees must submit a new application.

Due Date

Ten (10) copies of fully executed proposals must be received by NIJ by the close of business on **December 20, 1996**. Extension of this deadline shall not be permitted.

Applications submitted via facsimile will not be accepted.

Proposals must be sent to the following address:

Forensic DNA Laboratory Improvement Program
National Institute of Justice
Office of Science and Technology
633 Indiana Avenue N.W., Room 911
Washington, DC 20531

Contact

Applicants are strongly encouraged to contact NIJ to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address or contact him at (202) 307-0648.

Applicants may also contact the U.S. Department of Justice Response Center at (800) 421-6770 or (202) 307-1480 for general information.

Table 1

Capacity Requirements To Implement DNA Data Base Law

1. Does your State have a DNA data base statute? (i.e., Does your State collect a DNA sample typing from persons convicted of certain crimes and then store the results in a State data base for law enforcement purposes?)

YES or NO

2. If your State has a DNA data base law, are DNA samples being collected?

YES or NO

If yes, what is the backlog of DNA samples that have been collected but have not been analyzed due to lack of funding or DNA testing capacity?_____

3. If your State has a DNA data base law, what offenses are covered and how many persons were convicted of such crimes in 1995? (Please complete the table below. The table may be printed or typed.)

Categories of Offenses Requiring DNA Sample	Number of Convictions in 1995

Table 3A

Estimates of DNA Typing Capacity, by Laboratory

Laboratory Name: _____

Contact: _____

Address: _____

Phone: _____

Fax: _____

Note: Please complete the table below. (Table may be printed or typed.)

DNA Testing Workload (by cases and samples)	1995 Actual	1996 Projected	1997 Estimate	2000 Estimate	Source of Data
Forensic Casework Unknown Subject (no. of cases)					
Known Subject (no. of cases)					
Convicted Offenders Current Year (no. of samples)					
Backlog (no. of samples)					
Population Data (no. of samples)					

Table 3B

Estimates of DNA Typing Capacity, Statewide

Laboratory Name: _____

Contact: _____

Address: _____

Phone: _____

Fax: _____

Note: Please complete the table below. The information provided should be the total for your State.

DNA Testing Workload (by cases and samples)	1995 Actual	1996 Projected	1997 Estimate	2000 Estimate	Source of Data
Forensic Casework Unknown Subject (no. of cases)					
Known Subject (no. of cases)					
Convicted Offenders Current Year (no. of samples)					
Backlog (no. of samples)					
Population Data (no. of samples)					

Table 4A

Capacity Planning for DNA Typing Methods, by Laboratory

Laboratory Name: _____

Contact: _____

Address: _____

Phone: _____

Fax: _____

Number of Samples

DNA Typing Methods	1995 Actual	1996 Projected	1997 Estimate	2000 Estimate
Convicted Offender Casework:				
RFLP				
PCR: DQ alpha				
D1S80				
PolyMarker				
STR: CSF				
TPOX				
THO1				
Other				

Number of Cases Worked

Forensic Casework:				
RFLP				
PCR: DQ alpha				
D1S80				
PolyMarker				
STR: CSF				
TPOX				
THO1				
Other				

Table 4B

Capacity Planning for DNA Typing Methods, Statewide

Laboratory Name: _____

Contact: _____

Address: _____

Phone: _____

Fax: _____

Number of Samples

DNA Typing Methods	1995 Actual	1996 Projected	1997 Estimate	2000 Estimate
Convicted Offender Casework:				
RFLP				
PCR: DQ alpha				
D1S80				
PolyMarker				
STR: CSF				
TPOX				
THO1				
Other				

Number of Cases Worked

Forensic Casework:				
RFLP				
PCR: DQ alpha				
D1S80				
PolyMarker				
STR: CSF				
TPOX				
THO1				
Other				

Appendix A

Single Point of Contact

Arizona

Arizona State Clearinghouse
3800 North Central Avenue
14th Floor
Phoenix, AZ 85012
Phone: (602) 280-1315

Arkansas

Office of Intergovernmental Services
Department of Finance and
Administration
P.O. Box 3278
Little Rock, AR 72203
Phone: (501) 682-1074

California

Office of Planning and Research
1400 10th Street
Sacramento, CA 95814
Phone: (916) 323-7480

Colorado

State Clearinghouse
Division of Local Government
1313 Sherman Street, Room 520
Denver, CO 80203
Phone: (303) 866-2156

Commonwealth, Northern Mariana Islands

State Single Point of Contact
Planning and Budget Office
Office of the Governor
Saipan, CM
Northern Mariana Islands 96950

Connecticut

State Single Point of Contact
Office of Policy and Management
Intergovernmental Policy Division
80 Washington Street
Hartford, CT 06106-4459
Phone: (203) 566-3410

Delaware

State Single Point of Contact
Executive Department
Thomas Collins Building
Dover, DE 19903
Phone: (302) 736-3326

District of Columbia

State Single Point of Contact
Executive Office of the Mayor
Office of Intergovernmental Relations
District Building, Room 416
1350 Pennsylvania Avenue N.W.
Washington, DC 20004
Phone: (202) 727-9111

Florida

Florida State Clearinghouse
Executive Office of the Governor
Office of Planning and Budgeting
The Capitol
Tallahassee, FL 32399-0001
Phone: (904) 488-8114

Georgia

Georgia State Clearinghouse
270 Washington Street S.W.
Atlanta, GA 30334
Phone: (404) 656-3855

Hawaii

Office of State Planning
Office of the Governor
P.O. Box 3540
Honolulu, HI 96811
Phone: (808) 587-2802

Illinois

State Single Point of Contact
Office of the Governor
State of Illinois
Springfield, IL 62706
Phone: (217) 782-8639

Indiana

State Budget Agency
212 State House
Indianapolis, IN 46204
Phone: (317) 232-5610

Iowa

Iowa Department of Economic
Development
200 East Grand Avenue
Des Moines, IA 50309
Phone: (515) 281-3725

Kentucky

Department of Local Government
1024 Capitol Center Drive
Frankfort, KY 40601
Phone: (502) 564-2382

Maine

State Planning Office
State House Station 38
Augusta, ME 04333
Phone: (207) 289-3261

Maryland

Department of State Planning
301 West Preston Street
Baltimore, MD 21201
Phone: (410) 225-4490

Massachusetts

Department of Housing and
Community Development
100 Cambridge Street, Room 1803
Boston, MA 02202
Phone: (617) 727-7001

Michigan

Manager Federal Project Review
Michigan Department of Commerce
Michigan Neighborhood Builders
Alliance
P.O. Box 30242
Lansing, MI 48909
Phone: (517) 373-6223

Mississippi

Office of Policy Development
Department of Finance
and Administration
455 North Lamar Street, Suite 120
Jackson, MS 39202
Phone: (601) 359-6765

Missouri

Office of Administration
P.O. Box 809
Truman Building, Room 430
Jefferson City, MO 65102
Phone: (573) 751-4834

Nevada

Clearinghouse Coordinator
Department of Administration
Capitol Complex
Carson City, NV 89710
Phone: (702) 687-4065

New Hampshire

Intergovernmental Review
2½ Beacon Street
Concord, NH 03301
Phone: (603) 271-2155

New Jersey

State Review Process
Division of Community Resources
CN 814, Room 609
Trenton, NJ 08625-0814
Phone: (609) 292-9025

New Mexico

State Budget Division
Bataan Memorial Building, Room 190
Santa Fe, NM 87503
Phone: (505) 827-3640

New York

New York State Clearinghouse
Division of the Budget
State Capitol
Albany, NY 12224
Phone: (518) 474-1605

North Carolina

Intergovernmental Relations
North Carolina Department of
Administration
116 West Jones Street
Raleigh, NC 27611
Phone: (919) 733-0499

North Dakota

North Dakota Single Point of Contact
Office of Intergovernmental
Assistance
Office of Management and Budget
600 East Boulevard Avenue
Bismarck, ND 58505-0170
Phone: (701) 224-2094

Rhode Island

Review Coordinator
Office of Strategic Planning
Statewide Planning Program
Department of Administration
Division of Planning
25 Melrose Street
Providence, RI 02907
Phone: (401) 277-2656

South Carolina

Omeagia Burgess
State Single Point of Contact
Grant Services
Office of the Governor
1205 Pendleton Street, Room 329
Columbia, SC 29201
Phone: (803) 734-0494

South Dakota

State Clearinghouse Coordinator
Office of the Governor
500 East Capitol
Pierre, SD 57501
Phone: (605) 773-3213

Tennessee

State Single Point of Contact
State Planning Office
500 Charlotte Avenue
309 John Sevier Building
Nashville, TN 37219
Phone: (615) 741-1676

Texas

Governor's Office of Budget and
Planning
P.O. Box 12428
Austin, TX 78711
Phone: (512) 463-1778

Utah

Utah State Clearinghouse
Office of Planning and Budget
State Capitol, Room 116
Salt Lake City, UT 84114
Phone: (801) 538-1535

Vermont

Office of Policy Research and
Coordination
Pavilion Office Building
109 State Street
Montpelier, VT 05602
Phone: (802) 828-3326

West Virginia

Community Development Division
Governor's Office of Community
Industrial Development
Building #6, Room 553
Charleston, WV 25305
Phone: (304) 348-4010

Wisconsin

Federal/State Relations Office
Wisconsin Department of
Administration
101 East Wilson Street
P.O. Box 7868
Madison, WI 53707-7868
Phone: (608) 266-8234

Wyoming

State Single Point of Contact
Wyoming State Clearinghouse
State Planning Coordinator's Office
Capitol Building
Cheyenne, WY 82002
Phone: (307) 777-7574

Territories

Guam

Bureau of Budget and Management
Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910
Telephone: (671) 472-2285

Puerto Rico

Puerto Rico Planning Board
Minillas Government Center
P.O. Box 4119
San Juan, Puerto Rico 00940-9985
Telephone: (787) 727-4444

Appendix B

State Offices Administering The Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program

Alabama

Douglas Miller
Section Chief
Law Enforcement/Highway Traffic
Safety Division
Department of Economic and
Community Affairs
401 Adams Avenue, P.O. Box 5690
Montgomery, AL 36103-5690
Contact: Douglas Miller
Phone: (205) 242-5891
Fax: (205) 242-0712

Alaska

Major Glenn Godfrey
Acting Director
Alaska State Troopers
5700 East Tudor Road
Anchorage, AK 99507
Contact: Catherine Katsel
Phone: (907) 269-5082
Fax: (907) 337-2059

Arizona

Rex M. Holgerson
Executive Director
Arizona Criminal Justice Commission
1501 West Washington Street
Suite 207
Phoenix, AZ 85007
Contact: Joseph R. Farmer
Phone: (602) 542-1928
Fax: (602) 542-4852

Arkansas

Jerry Duran
Administrator
Office of Intergovernmental Services
Department of Finance and
Administration
1515 Building, Suite 417
P.O. Box 3278
Little Rock, AR 72203
Contact: Gordon Burton
Phone: (501) 682-1074
Fax: (501) 682-5206

California

Ray Johnson
Executive Director
Office of Criminal Justice Planning
1130 K Street, Suite 300
Sacramento, CA 95814
Contact: Judy O'Neal
Phone: (916) 323-5350
Fax: (916) 324-9167
(916) 327-8711 (O'Neal)

Colorado

Bill Woodward
Director
Division of Criminal Justice
700 Kipling Street, 3rd Floor
Denver, CO 80215
Contact: John Inmann
Phone: (303) 239-4442
Fax: (303) 239-4491

Connecticut

Thomas A. Siconolfi
Acting Under Secretary
Office of Policy and Management
Policy Planning Division
80 Washington Street
Hartford, CT 06106
Contact: Thomas A. Siconolfi
Phone: (203) 566-3500
Fax: (203) 566-1589

Delaware

Thomas J. Quinn
Executive Director
Criminal Justice Council
Carvel State Office Building
820 North French Street, 4th Floor
Wilmington, DE 19801
Contact: Tricia Peraino
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Fax: (302) 577-3440

District of Columbia

David Temple
Executive Director
Office of Grants Management and
Development
717 14th Street N.W., Suite 500
Washington, DC 20005
Contact: Nancy G. Becker
Phone: (202) 727-6554
Fax: (202) 727-1617

Florida

John A. Lenaerts
Chief
Bureau of Community Assistance
The Rhyne Building
2740 Centerview Drive
Tallahassee, FL 32399
Contact: Clayton Wilder
Phone: (904) 488-8016
Fax: (904) 487-4414

Georgia

Terry Norris
Director
Criminal Justice Coordinating Council
503 Oak Place, Suite 540
Atlanta, GA 30349
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Fax: (404) 559-4960

Hawaii

The Honorable Robert A. Marks
Attorney General
State of Hawaii
425 Queen Street, Room 221
Honolulu, HI 96813
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Resource Coordination Division
Phone: (808) 586-1151
Fax: (808) 586-1373

Idaho

Richard L. Cade
Director
Idaho Department of Law Enforcement
P.O. Box 700
Meridian, ID 83680-0700
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Phone: (208) 884-7040
Fax: (208) 884-7094

Illinois

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Executive Director
Illinois Criminal Justice Information
Authority
120 South Riverside Plaza
Suite 1016
Chicago, IL 60606
Contact: Candice M. Kane
Phone: (312) 793-8550
Fax: (312) 793-8422

Indiana

Catherine O'Connor
Executive Director
Indiana Criminal Justice Institute
302 West Washington Street
Room E-209
Indianapolis, IN 46204
Contact: Brian Liggitt
Phone: (317) 232-2561
Fax: (317) 232-4979

Iowa

Charles W. Larson
Coordinator
Governor's Alliance on Substance
Abuse
Lucas State Office Building
Des Moines, IA 50309
Contact: Jane Rose
Phone: (515) 281-7233
Fax: (515) 242-6390

Kansas

Lisa Moots
Executive Director
Kansas Criminal Justice
Coordinating Council
700 Southwest Jackson, Room 501
Topeka, KS 66603
Contact: Brent Bengtson
Phone: (913) 296-0923 (Moots)
(913) 296-8930 (Bengtson)
Fax: (913) 296-0927

Kentucky

Paul F. Isaacs
Secretary
Justice Cabinet
Bush Building
403 Wapping Street, 2nd Floor
Frankfort, KY 40601
Contact: Debra McGovern
Phone: (502) 564-7554
Fax: (502) 564-4840

Louisiana

Michael Ranatza
Executive Director
Louisiana Commission on Law
Enforcement
1885 Wooddale Boulevard, Suite 708
Baton Rouge, LA 70806
Contact: Debbie Maggio
Phone: (504) 925-3513
Fax: (504) 925-1998

Maine

Alfred Skolfield, Jr.
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Department of Public Safety
State House Station 42
Augusta, Maine 04333
Contact: David Giampetruzzi
Maine Justice Assistance Council
93 Silver Street
Waterville, ME 04901
Phone: (207) 877-8016
Fax: (207) 877-8027

Maryland

Floyd O. Pond
Executive Director
Governor's Drug and Alcohol Abuse
Commission
300 East Joppa Road, Suite 1105
Towson, MD 21286
Contact: Greg Leyko
Phone: (410) 321-3521
Fax: (410) 321-3116

Massachusetts

Dennis A. Humphrey
Executive Director
Massachusetts Committee on Criminal
Justice
100 Cambridge Street, Room 2100
Boston, MA 02202
Contact: Susan Foster
Phone: (617) 727-6300
Fax: (617) 727-5356

Michigan

Michigan Department of Community
Health
Office of Drug Control Policy
1200 Michigan National Tower
124 West Allegan Street
Lansing, MI 48913
Contact: Ardith DaFoe
Phone: (517) 373-2952
Fax: (517) 373-2963

Minnesota

Mary Ellison
Assistant Commissioner
Office of Drug Policy and Violence
Prevention
Department of Public Safety
444 Cedar Street, Suite 100-D
Town Square
St. Paul, MN 55101-2156
Contact: Jeri Boisvert
Phone: (612) 296-0922
Fax: (612) 297-7313 (ODP)

Mississippi

Donald O'Cain
Executive Director
Division of Public Safety Planning
Department of Public Safety
401 North West Street, 8th Floor
P.O. Box 23039
Jackson, MS 39225-3039
Contact: Herbert Terry
Phone: (601) 359-7880
Fax: (601) 359-7832

Missouri

Terry L. Knowles
Director
Missouri Department of Public Safety
Truman State Office Building
Room 870, P.O. Box 749
Jefferson City, MO 65102-0749
Contact: Kenneth Higgins
Phone: (573) 751-4905
Fax: (573) 751-5399

Montana

Gene Kiser
Executive Director
Montana Board of Crime Control
303 North Roberts
Scott Hart Building
Helena, MT 59620
Contact: Cathy Kendall
Phone: (406) 444-3604
Fax: (406) 444-4722

Nebraska

Allen L. Curtis
Executive Director
Nebraska Commission on Law
Enforcement & Criminal Justice
301 Centennial Mall South
P.O. Box 94946
Lincoln, NB 68509
Contact: Nancy Steeves
Phone: (402) 471-3416
Fax: (402) 471-2837

Nevada

James P. Weller
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Department of Motor Vehicles and
Public Safety
555 Wright Way
Carson City, NV 89711-0900
Contact: Mary Lynne Evans
Office of Narcotics Control
Assistance
Phone: (702) 687-5282
Fax: (702) 687-5328

New Hampshire

Mark C. Thompson
Director of Administration
Office of the Attorney General
33 Capitol Street
Concord, NH 03301
Contact: Paul Doran
Phone: (603) 271-1297
Fax: (603) 271-2110

New Jersey

Terrence P. Farley
Director
Division of Criminal Justice
Department of Law and Public Safety
25 Market Street
CN 085
Trenton, NJ 08625-0085
Contact: Dennis O'Hara
Phone: (609) 292-5939
Fax: (609) 292-1451

New Mexico

Richard C. deBaca
Secretary
Department of Public Safety
P.O. Box 1628
Santa Fe, NM 87504
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Phone: (505) 827-9099
Fax: (505) 827-3434

New York

Richard H. Girgenti
Director
New York State Division of Criminal
Justice Services
Executive Park Tower
Stuyvesant Plaza
Albany, NY 12203-3764
Contact: Gary Schreivogl
Phone: (518) 457-8462
Fax: (518) 457-1186

North Carolina

Bill Pittman
Executive Director
Governor's Crime Commission
3824 Barrett Drive, Suite 100
Raleigh, NC 27609
Contact: Mark Jones
Phone: (919) 571-4736
Fax: (919) 571-4745

North Dakota

William Broer, Jr.
Director
Bureau of Criminal Investigation
Attorney General's Office
P.O. Box 1054
Bismarck, ND 58502
Contact: Joe Herslip
Phone: (701) 328-5500
Fax: (701) 328-5510

Ohio

Michael Lee
Interim Director
Governor's Office of Criminal Justice
Services
400 East Town Street, Suite 120
Columbus, OH 43215
Contact: Mark Davis
Phone: (614) 466-7782
Fax: (614) 466-0308

Oklahoma

Bruce Walker
Executive Coordinator
District Attorneys Training &
Coordination Council
2200 Classen Boulevard, Suite 1800
Oklahoma City, OK 73106-5811
Contact: Gayle Caldwell
Phone: (405) 557-6707
Fax: (405) 524-0581

Oregon

Jane Edwards
Acting Administrator
Criminal Justice Services Division
Department of Administration
155 Cottage Street, N.E.
Salem, OR 97310
Contact: Jane Edwards
Phone: (503) 378-4123
Fax: (503) 378-8666

Pennsylvania

James Thomas
Executive Director
Pennsylvania Commission on Crime
and Delinquency
P.O. Box 1167, Federal Square Station
Harrisburg, PA 17108-1167
Contact: Richard Reeser
Phone: (717) 787-2040
Fax: (717) 783-7713

Rhode Island

Suzette Gebhard
Executive Director
Governor's Justice Commission
275 Westminster Street, 3rd Floor
Providence, RI 02903
Contact: David LeDoux
Phone: (401) 277-2620
Fax: (401) 277-1294

South Carolina

Burke O. Fitzpatrick
Assistant Deputy Director
Office of Safety and Grant Programs
Department of Public Safety
1205 Pendleton Street
Columbia, SC 29201
Contact: Lisa A. Nine
Phone: (803) 734-0268
Fax: (803) 734-0537

South Dakota

James D. Hagen
Governor's Aide
Governor's Office of Operations
State Capitol Building
500 East Capitol Avenue
Pierre, SD 57501-5070
Contact: Wanda L. Fergen
Phone: (605) 773-6313
Fax: (605) 773-6471

Tennessee

Marsha Willis
Director
Office of Program Assessment &
Support
Criminal Justice Administration
1400 Andrew Jackson Building
500 Deaderick Street
Nashville, TN 37243-1700
Contact: Marsha Willis
Phone: (615) 741-3784
Fax: (615) 532-2989

Texas

Jimmy Willborn
Criminal Justice Division
P.O. Box 12428, Capitol Station
Austin, TX 78711
Contact: Jimmy Willborn
Phone: (512) 463-4959
Fax: (512) 463-1705

Utah

S. Camille Anthony
Executive Director
Commission on Criminal and Juvenile
Justice
State Capitol Building
Room 101
Salt Lake City, UT 84114
Contact: Laura Lewis
Phone: (801) 538-1031
Fax: (801) 538-1024

Vermont

James Walton, Jr.
Commissioner
Vermont Department of Public Safety
Waterbury State Complex
103 South Main Street
Waterbury, VT 05676-0850
Contact: Capt. Donald Ravenna
Phone: (802) 244-8781
Fax: (802) 244-1106

Virginia

Bruce C. Morris
Director
Department of Criminal Justice
Services
805 East Broad Street, 10th Floor
Richmond, VA 23219
Contact: Joe Marshall
Phone: (804) 786-1577
Fax: (804) 371-8981

Washington

Mike Fitzgerald
Director
Washington State Department of
Community, Trade & Economic
Development
906 Columbia Street S.W.
P.O. Box 48300
Olympia, WA 98504
Contact: Kay Boyd
Phone: (206) 586-0665
Fax: (206) 586-6868

West Virginia

James M. Albert
Director
Office of Criminal Justice
& Highway Safety
Department of Military Affairs
& Public Safety
1204 Kanawha Boulevard East
Charleston, WV 25301
Contact: Melissa Whittington
Phone: (304) 558-8814
Fax: (304) 558-0391

Wisconsin

Steven D. Sell
Executive Director
Wisconsin Office of Justice Assistance
222 State Street, Second Floor
Madison, WI 53702
Contact: Raymond J. Luick
Phone: (608) 266-7282
Fax: (608) 266-6676

Wyoming

Thomas J. Pagel
Director
Division of Criminal Investigation
316 West 22nd Street
Cheyenne, WY 82002
Contact: Sandra Mays
Phone: (307) 777-7181
Fax: (307) 777-7252

Territories

American Samoa

Malaetasi M. Togafau
Attorney General
Office of Legal Affairs
American Samoa Government
P.O. Box 7
Pago Pago, American Samoa 96799
Contact: Craig Keener
Phone: (9) (011) 684-633-4163
Fax: (9) (011) 684-633-1838

Commonwealth, Northern Mariana Islands

Jack Ogumoro
Executive Director
Criminal Justice Planning Agency
Commonwealth of the Northern
Mariana Islands
Office of the Governor
Saipan, MP 96950
Contact: Jack Ogumoro
Phone: (9) (011) 670-322-9350
Fax: (9) (011) 670-322-6311

Guam

Michael J. Cruz
Acting Director
Bureau of Planning
Governor's Office
P.O. Box 2950
Agana, Guam 96910
Contact: Miki Leon Guerrero
Phone: (9) (011) 671-472-8931
(ext 405)
Fax: (9) (011) 671-477-1812

Puerto Rico

The Honorable Pedro R. Pierluisi
Attorney General
Department of Justice
Commonwealth of Puerto Rico
P.O. Box 192
San Juan, Puerto Rico 00902
Contact: Astrid Conde-Ramirez
Phone: (809) 725-0335
Fax: (809) 725-6144

Virgin Islands

Gaylord Sprauve
Drug Policy Advisor
Virgin Islands Law Enforcement
Planning Commission
116 & 164 Submarine Base
Estate Nisky #6 Southside Quarters
St. Thomas, Virgin Islands 00802
Contact: Helene Smollett
Phone: (809) 774-6400
Fax: (809) 774-4057

Statutory Assurance

Pursuant to the provisions of 42 U.S.C. §3796kk-2, the applicant certifies that:

(1) DNA analyses performed at the laboratory will satisfy or exceed the current standards for a quality assurance program for DNA analysis issued by the Director of the Federal Bureau of Investigation under section 14131 of title 42 United States Code.

(2) DNA samples obtained by and DNA analyses performed at the laboratory shall be made available only—

(A) to criminal justice agencies for law enforcement identification purposes;

(B) in judicial proceedings, if otherwise admissible pursuant to applicable statutes or rules;

(C) for criminal defense purposes, to a defendant, who shall have access to samples and analyses performed in connection with the case in which the defendant is charged; or

(D) if personally identifiable information is removed, for a population statistics database, for identification research and protocol development purposes, or for quality control purposes; and

(3) the laboratory and each analyst performing DNA analyses at the laboratory shall undergo, at regular intervals not exceeding 180 days, external proficiency testing by a DNA proficiency testing program that meets the standards issued under 42 U.S.C. §14131, Quality Assurance and Proficiency Testing Standards.

Certifying Official

Title

Signature

Date

Application Forms

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier																								
		3. DATE RECEIVED BY STATE	State Application Identifier																								
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																								
5. APPLICANT INFORMATION																											
Legal Name:		Organizational Unit:																									
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)																									
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <table style="width:100%; border: none;"> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: none; text-align: center;">-</td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table>				-								7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <table style="width:100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">H. Independent School Dist.</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify): _____</td> </tr> </table>		A. State	H. Independent School Dist.	B. County	I. State Controlled Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (Specify): _____
		-																									
A. State	H. Independent School Dist.																										
B. County	I. State Controlled Institution of Higher Learning																										
C. Municipal	J. Private University																										
D. Township	K. Indian Tribe																										
E. Interstate	L. Individual																										
F. Intermunicipal	M. Profit Organization																										
G. Special District	N. Other (Specify): _____																										
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY:																									
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 1 6 . 5 6 0 TITLE: <i>Forensic DNA Laboratory Improvement Program</i>		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:																									
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):																											
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:																									
Start Date	Ending Date	a. Applicant	b. Project																								
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?																									
a. Federal	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW																									
b. Applicant	\$.00																										
c. State	\$.00																										
d. Local	\$.00																										
e. Other	\$.00																										
f. Program Income	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?																									
g. TOTAL	\$.00	<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																									
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED																											
a. Typed Name of Authorized Representative		b. Title	c. Telephone number																								
d. Signature of Authorized Representative		e. Date Signed																									

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: —“New” means a new assistance award. —“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date. —“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

Budget Detail Worksheet

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
		TOTAL _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known.

Purpose of Travel	Location	Item	Computation	Cost
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TOTAL _____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the “supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
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TOTAL _____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		TOTAL _____

G. Consultants/Contracts

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$250 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Subtotal _____

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
-------------	-------------

Subtotal _____

TOTAL _____

(H) Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		TOTAL _____

(I) Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must 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.

Description	Computation	Cost
		TOTAL _____

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	
TOTAL PROJECT COSTS	_____
Federal Request	_____
Non-Federal Amount	_____

INSTRUCTIONS

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

Public reporting burden for this collection of information is estimated to average 26 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 633 Indiana Avenue, N.W., Washington, DC 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

For more information on the National Institute of Justice, please contact:

National Criminal Justice Reference Service

P.O. Box 6000
Rockville, MD 20849-6000
800-851-3420
e-mail: askncjrs@ncjrs.org

You can view or obtain an electronic version of this document from
the NCJRS Bulletin Board System (BBS)
or the NCJRS Justice Information Center World Wide Web site.

To access the BBS, direct dial through your computer modem:
301-738-8895 (modems should be set at 9600 baud and 8-N-1),
or Telnet to ncjrsbbs.aspensys.com or
Gopher to ncjrs.org:71

To access the World Wide Web site, go to
<http://www.ncjrs.org>

If you have any questions, call or e-mail NCJRS.

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