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# National Institute of Justice

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## Solicitation

*Jeremy Travis, Director*

*September 1998*

### Solicitation for the Forensic DNA Laboratory Improvement Program, Phase 4

**APPLICATION DEADLINE:**

December 14, 1998

**U.S. Department of Justice**  
**Office of Justice Programs**  
810 Seventh Street N.W.  
Washington, DC 20531

**Janet Reno**  
*Attorney General*

**Raymond C. Fisher**  
*Associate Attorney General*

**Laurie Robinson**  
*Assistant Attorney General*

**Noël Brennan**  
*Deputy Assistant Attorney General*

**Jeremy Travis**  
*Director, National Institute of Justice*

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For grant and funding information contact:  
**Department of Justice Response Center:**  
**800B421B6770**

**Office of Justice Programs**  
**World Wide Web Site:**  
*<http://www.ojp.usdoj.gov>*

**National Institute of Justice**  
**World Wide Web Site:**  
*<http://www.ojp.usdoj.gov/nij>*

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## Forensic DNA Laboratory Improvement Program, Phase 4

### I. 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.

### II. Background

The Forensic DNA Laboratory Improvement Program is authorized by the "DNA Identification Act of 1994" (AAAct) [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 state-of-the-art DNA testing. DNA testing supports criminal investigations involving the identification or exclusion of putative suspects through the analysis of biological evidence recovered from crime scenes.

This solicitation is for the fourth year (Phase 4) of the five-year grant program authorized by the Act. The Phase 1-3 solicitations 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 FBI and NIJ will continue working together to improve State and local DNA laboratories.

In the first year, Phase 1, 46 applications were received and 37 grants awarded to forensic laboratories from 30 states and 7 localities, for a total amount of \$8.75 million (\$750,000 from NIJ's appropriation under the Act and \$8 million from the FBI). In the second year, Phase 2, 62 applications were received and 15 grants awarded

to 15 State forensic laboratories, for a total of \$2.65 million from NIJ's appropriation under the Act. In the third year, Phase 3, 28 applications recommended in Phase 2 but unfunded were awarded in grants to 16 states and 12 localities, for a total amount of \$7.73 million. Additionally, 36 new applications were received and 10 grants awarded to 7 states and 3 localities for a total of \$2.06 million. All Phase 3 awards totaled \$9.79 million from NIJ's appropriation under the Act.

Each State or local laboratory funded under Phases 1-3 must submit a new application under this solicitation to be eligible for continued funding. Any State or local laboratory whose Phase 3 application was recommended by NIJ's external review panel but not funded **need not resubmit** in Phase 4.

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

- \$ Develop forensic DNA testing capabilities in States that do not currently conduct DNA testing.
- \$ 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.
- \$ Ensure that DNA testing by grant recipients is conducted according to national standards.

- \$ Improve or expand forensic DNA testing in State and local laboratories that already conduct DNA testing, especially for serial sexual assaults having unknown assailants.

### III. Solicitation of Proposals

This solicitation requests proposals from State governments or local governments participating in a statewide consortium to develop or improve the capability to analyze DNA in forensic laboratories. Proposals may address **only** the following activities:

- \$ Develop or establish forensic DNA testing capabilities in order to accelerate the implementation of State DNA data base laws.
- \$ Improve or expand forensic DNA testing capabilities.
- \$ Promote the sharing and exchange of DNA identification records by law enforcement agencies through CODIS.

### IV. Eligibility Requirements

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

### V. 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 must work together to develop statewide DNA testing programs and must demonstrate this coordination in the proposal. Such States should consider submitting a consortium proposal covering all affected laboratories.

Local or regional crime laboratories may submit grant applications in conjunction with their State or they may submit on their own **if coordination and participation with the State effort is clearly demonstrated and the need for DNA testing capabilities in the applicant's forensic laboratory is justified.**

### VI. 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 toward the 25 percent minimum State or local match requirement. *Please note that the minimum match requirement is 25 percent of total project costs, not 25 percent of the Federal share.*

Project proposals shall demonstrate that the Federal share will be spent on expenses **directly**

# Solicitation

associated with the start-up or expansion of a forensic DNA laboratory facility. **Effective in Phase 4, indirect and administrative costs are unallowable under this program.**

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 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 or registration expenses for professional meetings and conferences.

## **Expenditures from the Federal share may include the following:**

\$ Laboratory and computer **equipment** for DNA analysis and data manipulation, laboratory **supplies** needed to perform casework and to conduct population or validation studies, and other expenses directly attributable to conducting forensic DNA analysis.

\$ Outside **training** and related **travel** expenses for applicable graduate-level course work or training courses in specific methodologies as recommended by the Director of the Federal Bureau of Investigation (FBI). Note that grantee personnel receiving such educational benefits are required to remain in the paid employ of the grantee agency for a period of no less than two (2) years following completion of the training, unless determined otherwise by the grantee agency.

\$ **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 PCR-related activities.

\$ **Contractor-provided services** to conduct forensic DNA testing of biological samples as part of a State= overall approach for quickly establishing a State DNA data base of convicted offenders.

\$ CODIS equipment, including upgrade of existing hardware and software to accommodate a Windows NT operating environment and commercially available Aimaging@ systems. Also, computer hardware and software necessary for integration of STR technology with CODIS. For further assistance, contact Stephen Niezgoda, FBI CODIS Program Manager, at (202) 324-1337.

## **VII. 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.

### **Applications should be assembled in the order shown below:**

1. Standard Form (SF) 424 (Application for Federal Assistance).
2. Budget Narrative.
3. OJP Form 7150/1 (Budget Detail Worksheet).
4. OJP Form 4000/3 (Assurances).
5. OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility

# Solicitation

6. Matters; and Drug-free Workplace
7. AStatutory Assurance@required by the DNA Identification Act of 1994.
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.
12. Resumes of key personnel.

**Obtaining application forms.** The AStatutory Assurance@ form and Tables 1-4 are included at the end of this solicitation. To obtain the other forms and guidelines for submitting proposals (including requirements for proposal writers and grant recipients), applicants can:

- \$ Access the Justice Information Center on the web at <http://www.ncjrs.org/fedgrant.htm#NIJ>. At this site, the NIJ application forms and guidelines are available as electronic files that may be downloaded to a personal computer.
- \$ Request hard copies of the forms and guidelines by mail from the National Criminal Justice Reference Center at 800-851-3420 or from the Department of Justice Response Center at 800-421-6770 (in the Washington, D.C. area, call 202-307-1480).
- \$ Request copies by fax. Call 800-851-3420 and select option 1, then option 1 again for NIJ. The code is 1023.

Additional instructions on the specific forms and narratives follow.

**Standard Form 424 Application for Federal Assistance (signature required)**

Requirements).

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. Please type or electronically generate the SF 424 as handwritten applications may be difficult to read.

**Item 1 C Type of Submission:** The DNA grant funds cannot be used for construction or building purposes. Check the ANon-Construction@ box in the application section.

**Item 2 C Date Submitted:** Indicate the date you sent the application to the Federal agency (e.g., NIJ). The AApplicant 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 C 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 C Date Received by Federal Agency:** This item will be completed by the Federal agency.

**Item 5 C Applicant Information:** The ALegal Name@ is the unit of government or the parent organization. For example, the primary or parent organization of a police department is the city or township. The AOrganizational Unit@ is the police department. One person should be designated as the contact for the proposed project (i.e., the Project Director) and that person's telephone, fax, and e-mail address should 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.

## Solicitation

**Item 6C Employer Identification Number:**

Each employer receives an employer identification number (EIN) from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller. If your agency has prior grants from the Office of Justice Programs, please use the Grantee Vendor Number found on your Award document.

**Item 7C Type of Applicant:** Enter the appropriate letter in the space provided.

**Item 8C Type of Application:** Check either ANew@ or AContinuation.@ Check ANew@ if this will be your agency's first award for the purpose described in the application, even if you have received prior awards for other purposes. Check AContinuation@ 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 9C Name of Federal Agency:** Type in ANational Institute of Justice.@

**Item 10C 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 11C Descriptive Title of Applicant's Project:** Type in the title of the your agency's project. The title should be 15 words or less.

**Item 12C Areas Affected by Project:** Identify the geographic area(s) encompassed by the project. Indicate Astatewide@ if applicable.

**Item 13C 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 14C 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 Astatewide@ if applicable.

**Item 15C Estimated Funding:** On line (a), enter the amount of Federal funds requested, not to exceed the dollar amount allocated in the program announcement. On lines (b), (c), or (d), enter the amount of the applicant matching funds which will be provided for this program. On line (g), enter the total project cost [the sum of lines (a) through (f)].

**Item 16C State Executive Order 12372:** Some states (although not all) require you to submit your application to a State Single Point of Contact (SPOC) 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 17C Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.

**Item 18C 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 Aoriginal@ 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 should be identified

## Solicitation

separately. The budget is prepared on OJP Form 7150/1. When completing this form, applicants should ensure they separately list Federal funds **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 each 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. This cost will be absorbed by the State.

B. Fringe Benefits: Costs (Social Security, retirement, health benefits, etc.) are based on 20 percent of personnel costs x \$15,000 = \$3,000 total cost. This cost will be absorbed by the State.

C. Travel: To obtain Polymerase Chain Reaction (PCR) training following Quality Assurance Standards for Forensic DNA Testing Laboratories, three analysts 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 analysts = \$2,250 total cost.

D. Equipment: Purchase of equipment should follow State or local procurement procedures.

from any State or local funds for each cost category.

Justification for the purchase of each item must be provided and a cost estimate (based on a survey of vendors) provided, such as: To separate samples in DNA testing, two Microcentrifuges will be purchased at \$1,650 each, totaling \$3,300.

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 Repeat (STR) PCR DNA testing, 5 STR kits will be purchased at \$1,180 each, for a total of \$5,900; and to provide general laboratory and consumable supplies (gloves, glass, chemicals, etc.), materials will be purchased at a monthly cost of \$1,200 x 12 months = \$14,400 total cost.

F. Consultants/Contracts: Selection of all contractors should follow State or local procurement procedures. Justification must be provided for sole source contracts in excess of \$100,000. Consultant rates may not exceed \$450 per day.

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

### **OJP Form 4000/3 (Assurances)**

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 agency).

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

# Solicitation

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 agency).

## **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-applicant agencies).

## **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 this signed and dated by the head of the agency (or in the case of a consortium proposal, the head of the principal applicant agency).

## **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.

**Applicant Information.** Please provide the name, address, point of contact, telephone, fax, and e-mail address for the applicant agency and the implementing agency, if different. For example, Applicant: Department of Public Safety;

Implementing Agency: State Police Forensic Laboratory (at a different address).

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, to act as payee to receive and disburse project funds, and to be responsible for the supervision and coordination of the activities of the other participants or co-applicants.

Please provide some background regarding DNA testing in your state or jurisdiction and the current role of your agency. Describe your facility and staff, including accreditation and certification status.

**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.

**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

# Solicitation

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 (i.e., 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.

**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:

Such 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.<sup>42</sup> United States Code 3789g(a).

**Program Narrative Format.** All applications must be submitted on 8 1/2" by 11" paper. Applications should not exceed 30 single-spaced pages, excluding tables and appendices, 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 appendices.

If applications are bound, which is preferable, binding must be of the spiral type so that the application documents can be disassembled for processing. **Do not use loose-leaf three-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 actual number of cases worked in 1997, the projected number of cases that will be worked by the end of 1998, and the estimated number of cases that will be worked in 1999 and 2002.

**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 1997 in column 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 1997.

# Solicitation

**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.

**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.

**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.

**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.

## VIII. 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:

- \$ 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 Improvement Program.
- \$ Commitment of State and local agencies to providing technical and financial resources in support of the goals and objectives of the proposed project.
- \$ Qualifications of key staff to manage and direct the activities and tasks set forth in the project plan.
- \$ 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.

## IX. 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 must also 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.

## X. 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, AAudits 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 ADNA Identification Act of 1994.**@ Each applicant must provide the signed certification required by the Act. In the case of a consortium proposal, each co-applicant must provide a signed certification. A certification form (AStatutory

Assurance<sup>®</sup>) is included at the end of this solicitation.

## **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. 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, ANew Restrictions on Lobbying,<sup>®</sup> and 28 CFR Part 67, AGovernment-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants).<sup>®</sup> 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 requirementsCprohibition 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 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).

## **XI. Monitoring**

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

## **XII. 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 DNA Identification Act of 1994 (Public Law 103-322), 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.

## **XIII. Award Period**

# Solicitation

Awards under this program are issued for a period of one year.

## XIV. Award Amount

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 1999.

Tentatively, \$15 million **may** be available under this solicitation.

The average award under this program is \$250,000. Actual grant funding allocations are based on the quality and quantity of proposals received and available funds.

## XV. Due Date

An original plus ten (10) copies of fully executed proposals must be received by NIJ by the close of business on **December 14, 1998**. Extension of this deadline shall not be permitted.

Applications submitted via facsimile will not be accepted.

Previously funded grantees must submit a new, complete application to be eligible for continuation funding. Any State or local laboratory whose Phase 3 application was not funded, but was recommended by NIJ's external review panel, **need not resubmit** in Phase 4.

Proposals must be sent to the following address:

Forensic DNA Laboratory Improvement  
Program, Phase 4  
National Institute of Justice  
Office of Science & Technology  
810 Seventh Street, N.W., 7<sup>th</sup> Floor  
Washington, D.C. 20531\*

\* If shipping other than U.S. Mail, please use Zip Code 20001.

## XVI. Contact

Applicants are strongly encouraged to contact NIJ to discuss proposal feasibility and content before submitting proposals. To obtain further information, potential applicants may contact Dr. Richard M. Rau, Program Manager, at the above address, by phone at (202) 307-0648, or by e-mail at [rau@ojp.usdoj.gov](mailto:rau@ojp.usdoj.gov).

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





**Table 3A**  
**Estimates of DNA Typing Capacity, by Laboratory**

Laboratory Name \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Contact: \_\_\_\_\_  
 Phone: \_\_\_\_\_  
 Fax: \_\_\_\_\_

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

DNA Testing Workload (by cases and samples)	1997 Actual	1998 Projected	1999 Estimate	2002 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 \_\_\_\_\_  
 \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Contact: \_\_\_\_\_  
 \_\_\_\_\_  
 Phone: \_\_\_\_\_  
 \_\_\_\_\_  
 Fax: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Note: Please complete the table below. The information provided should reflect the totals for your State.

DNA Testing Workload (by cases and samples)	1997 Actual	1998 Projected	1999 Estimate	2002 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)					

# Solicitation

**Table 4A**  
Capacity Planning for DNA Typing Methods, by Laboratory

Laboratory Name: \_\_\_\_\_ Contact: \_\_\_\_\_

Address: \_\_\_\_\_ Phone: \_\_\_\_\_

\_\_\_\_\_ Fax: \_\_\_\_\_

\_\_\_\_\_

**Number of Samples**

DNA Typing Methods	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Convicted Offender Casework:</b> RFLP				
D1S80, PM, DQA				
STR [see Table 4A (1)]				
RFLP and D1S80, PM, DQA				
RFLP and STR				
D1S80, PM, DQA and STR				
RFLP, D1S80, PM, DQA, and STR				

**Number of Cases Worked**

DNA Typing Methods	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Forensic Casework:</b> RFLP				
D1S80, PM, DQA				
STR [see Table 4A (1)]				
RFLP and D1S80, PM, DQA				
RFLP and STR				
D1S80, PM, DQA and STR				
RFLP, D1S80, PM, DQA, and STR				

# Solicitation

**Table 4A (1)**  
**Capacity Planning for DNA STR Typing Methods, by Laboratory**

**Laboratory Name:** \_\_\_\_\_

**Contact:** \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

**Number of Samples**

STR Kits	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Convicted Offender Casework:</b>				
AmpF/STR Profiler Plus™				
pF/STR Green I				
pF/STR Profiler™				
pF/STR Profiler Plus™				
pF/STR COfiler™				
hePrint™ Powerplex 1.1 System				
hePrint™ Powerplex 1.2 System				
hePrint™ CTTV Multiplex System				
hePrint™ FFFL Multiplex System				
GenePrint™ Gamma STR Multiplex System				
hePrint™ Powerplex 2.1 System				
hePrint™ Powerplex 2.2 System				
hePrint™ Powerplex 16 System				
er _____				

**Number of Cases Worked**

STR Kits	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Forensic Casework:</b>				
AmpF/STR Profiler Plus™				
pF/STR Green I				
pF/STR Profiler™				
pF/STR Profiler Plus™				
pF/STR COfiler™				
hePrint™ Powerplex 1.1 System				
hePrint™ Powerplex 1.2 System				
hePrint™ CTTV Multiplex System				
hePrint™ FFFL Multiplex System				
GenePrint™ Gamma STR Multiplex System				
hePrint™ Powerplex 2.1 System				
hePrint™ Powerplex 2.2 System				
hePrint™ Powerplex 16 System				
er _____				

**Table 4B  
Capacity Planning for DNA Typing Methods, Statewide**

Laboratory Name: \_\_\_\_\_ Contact: \_\_\_\_\_

Address: \_\_\_\_\_ Phone: \_\_\_\_\_

\_\_\_\_\_ Fax: \_\_\_\_\_

\_\_\_\_\_

**Number of Samples**

DNA Typing Methods	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Convicted Offender Casework:</b>				
<b>RFLP</b>				
D1S80, PM, DQA				
<b>STR [see Table 4B (1)]</b>				
<b>RFLP and D1S80, PM, DQA</b>				
<b>RFLP and STR</b>				
<b>D1S80, PM, DQA and STR</b>				
<b>RFLP, D1S80, PM, DQA, and STR</b>				

**Number of Cases Worked**

DNA Typing Methods	1997 Actual	1998 Projecte d	1999 Estimate	2002 Estimate
<b>Forensic Casework:</b>				
<b>RFLP</b>				
D1S80, PM, DQA				
<b>STR [see Table 4B (1)]</b>				
<b>RFLP and D1S80, PM, DQA</b>				
<b>RFLP and STR</b>				
D1S80, PM, DQA and STR				
<b>RFLP, D1S80, PM, DQA, and STR</b>				

# Solicitation

Table 4B (1)  
Capacity Planning for DNA STR Typing Methods, Statewide

**Laboratory Name:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Contact:**  
**Phone:**  
**Fax:**

**Number of Samples**

STR Kits	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Convicted Offender Casework:</b>				
AmpFISTR Profiler Plus™				
AmpFISTR Green I				
<b>AmpFISTR Profiler™</b>				
AmpFISTR Profiler Plus™				
AmpFISTR COfiler™				
GenePrint™ Powerplex 1.1 System				
GenePrint™ Powerplex 1.2 System				
GenePrint™ CTTV Multiplex System				
GenePrint™ FFFL Multiplex System				
GenePrint™ Gamma STR Multiplex System				
GenePrint™ Powerplex 2.1 System				
GenePrint™ Powerplex 2.2 System				
GenePrint™ Powerplex 16 System				
Other _____				

# Solicitation

## Number of Cases Worked

STR Kits	1997 Actual	1998 Projected	1999 Estimate	2002 Estimate
<b>Forensic Casework:</b>				
AmpFISTR Profiler Plus™				
AmpFISTR Green I				
<b>AmpFISTR Profiler™</b>				
AmpFISTR Profiler Plus™				
AmpFISTR COfiler™				
GenePrint™ Powerplex 1.1 System				
GenePrint™ Powerplex 1.2 System				
GenePrint™ CTTV Multiplex System				
GenePrint™ FFFL Multiplex System				
GenePrint™ Gamma STR Multiplex System				
GenePrint™ Powerplex 2.1 System				
GenePrint™ Powerplex 2.2 System				
GenePrint™ Powerplex 16 System				
Other _____				

## **Appendix A**

### **Single Point of Contact**

#### **Arizona**

Joni Saad  
Arizona State Clearinghouse  
3800 North Central Avenue,  
14th Floor  
Phoenix, AZ 85012  
Phone: (602) 280B1315  
Fax: (602) 280B8144

#### **Arkansas**

Mr. Tracy L. Copeland  
Manager  
State Clearinghouse  
Office of Intergovernmental  
Services  
Department of Finance and  
Administration  
1515 West 7th Street, Room  
412  
Little Rock, AR 72201  
Phone: (501) 682B1074  
Fax: (501) 682B5206

#### **California**

Grants Coordinator  
Office of Planning & Research  
1400 10th Street, Room 121  
Sacramento, CA 95814  
Phone: (916) 323B7480  
Fax: (916) 323B3018

#### **Delaware**

Francine Booth  
State Single Point of Contact  
Executive Department  
Thomas Collins Building  
P.O. Box 1401  
Dover, DE 19903  
Phone: (302) 739B3326  
Fax: (302) 739B5661

#### **District of Columbia**

Charles Nichols  
State Single Point of Contact  
Office of Grants Management &  
Development

717 14th Street, N.W., Suite  
500  
Washington, D.C. 20005  
Phone: (202) 727B6554  
Fax: (202) 727B1617

#### **Florida**

Florida State Clearinghouse  
Department of Community  
Affairs  
2740 Centerview Drive  
Tallahassee, FL 32399B2100  
Phone: (904) 922B5438  
Fax: (904) 487B2899

#### **Georgia**

Tom L. Reid, III  
Administrator  
Georgia State Clearinghouse  
254 Washington Street S.W.  
Room 401J  
Atlanta, GA 30334  
Phone: (404) 656B3855/3829  
Fax: (404) 656B7937

#### **Illinois**

Virginia Bova  
State Single Point of Contact  
Illinois Department of  
Commerce and Community  
Affairs  
James R. Thompson Center  
100 West Randolph Street  
Suite 3B400  
Chicago, IL 60601  
Phone: (312) 814B6028  
Fax: (312) 814B1800

#### **Indiana**

Amy Brewer  
State Budget Agency  
212 State House  
Indianapolis, IN 46204  
Phone: (317) 232B5619  
Fax: (317) 232B3323

#### **Iowa**

Steven R. McCann  
Division for Community  
Assistance

Iowa Department of Economic  
Development  
200 East Grand Avenue  
Des Moines, IA 50309  
Phone: (515) 242B4719  
Fax: (515) 242B4859

#### **Kentucky**

Ronald W. Cook  
Office of the Governor  
Department of Local  
Government  
1024 Capitol Center Drive  
Frankfort, KY 40601B8204  
Phone: (502) 573B2382  
Fax: (502) 573B2512

#### **Maine**

Joyce Benson  
State Planning Office  
State House Station #38  
Augusta, ME 04333  
Phone: (207) 287B3261  
Fax: (207) 287B6489

#### **Maryland**

William G. Carroll  
Manager, State Clearinghouse  
for Intergovernmental  
Assistance  
Maryland Office of Planning  
301 West Preston Street  
Room 1104  
Baltimore, MD 21201B2365  
Phone: (410) 767B4490  
Fax: (410) 767B4480

#### **Michigan**

Richard Pfaff  
Southeast Michigan Council of  
Governments  
1900 Edison Plaza  
660 Plaza Drive  
Detroit, MI 48226  
Phone: (313) 961B4266  
Fax: (313) 961B4869

# Solicitation

## Mississippi

Cathy Mallette  
Clearinghouse Officer  
Department of Finance and  
Administration  
455 North Lamar Street  
Jackson, MS 39202B3087  
Phone: (601) 359B6762  
Fax: (601) 359B6764

## Missouri

Lois Pohl  
Federal Assistance  
Clearinghouse  
Office of Administration  
P.O. Box 809  
Truman State Office Building  
Room 760  
Jefferson City, MO 65102  
Phone: (573) 751B4834  
Fax: (573) 751B7819

## Nevada

Department of Administration  
State Clearinghouse  
Capitol Complex  
Carson City, NV 89710  
Phone: (702) 687B4065  
Fax: (702) 687B3983

## New Hampshire

Jeffrey H. Taylor  
Director  
New Hampshire Office of State  
Planning  
Attn: Intergovernmental Review  
Process  
Mike Blake  
2 2 Beacon Street  
Concord, NH 03301  
Phone: (603) 271B2155  
Fax: (603) 271B1728

## New Mexico

Robert Peters  
State Budget Division  
Bataan Memorial Building

Room 190  
Santa Fe, NM 87503  
Phone: (505) 827B3640

## New York

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, NY 12224  
Phone: (518) 474B1605

## North Carolina

Chrys Baggett  
Director  
North Carolina State  
Clearinghouse  
Office of the Secretary of  
Administration  
116 West Jones Street  
Raleigh, NC 27603B8003  
Phone: (919) 733B7232  
Fax: (919) 733B9571

## North Dakota

North Dakota Single Point of  
Contact  
Office of Intergovernmental  
Assistance  
600 East Boulevard Avenue  
Bismarck, ND 58505B0170  
Phone: (701) 224B2094  
Fax: (701) 224B2308

## Ohio

Larry Weaver  
State Single Point of Contact  
State Clearinghouse  
Office of Budget and  
Management  
30 East Broad Street, 34th Floor  
Columbus, OH 43266B0411

Please direct correspondence  
and questions about  
intergovernmental review to:  
Linda Wise  
Phone: (614) 466B0698  
Fax: (614) 466B5400

## Rhode Island

Daniel W. Varin  
Associate Director  
Department of Administration  
Division of Planning  
One Capitol Hill, 4th Floor  
Providence, RI 02908B5870  
Phone: (401) 277B2656  
Fax: (401) 277B2083

Please direct correspondence  
and questions to:  
Review Coordinator  
Office of Strategic Planning

## South Carolina

Omeagia Burgess  
State Single Point of Contact  
Grant Services  
Office of the Governor  
1205 Pendleton Street, Room  
477  
Columbia, SC 29201  
Phone: (803) 734B0494  
Fax: (803) 734B0385

## Texas

Tom Adams  
Governor's Office  
Director of Intergovernmental  
Coordination  
P.O. Box 12428  
Austin, TX 78711  
Phone: (512) 463B1771  
Fax: (512) 463B1888

## Utah

Carolyn Wright  
Utah State Clearinghouse  
Office of Planning and Budget  
State Capitol Building, Room  
116  
Salt Lake City, UT 84114  
Phone: (801) 538B1535  
Fax: (801) 538B1547

## West Virginia

# Solicitation

Fred Cutlip  
Director  
Community Development  
Division  
Fax: (304) 558B3248

## Wisconsin

Martha Kerner  
Section Chief  
State/Federal Relations  
Wisconsin Department of  
Administration  
101 East Wilson Street, 6th  
Floor  
P.O. Box 7868  
Madison, WI 53707  
Phone: (608) 266B2125  
Fax: (608) 267B6931

## Wyoming

Sheryl Jeffries  
State Single Point of Contact  
Office of the Governor  
State Capitol, Room 124  
Cheyenne, WY 82002  
Phone: (307) 777B5930  
Fax: (307) 632B3909

## Territories

### Commonwealth of the Northern Mariana Islands

Mr. Alvaro A. Santos  
Executive Officer  
Office of Management and  
Budget  
Office of the Governor  
Saipan, MP 96950  
Phone: (011) (670) 664B2256  
Fax: (011) (670) 664B2272

Contact: Ms. Jacoba T. Seman  
Federal Programs Coordinator  
Phone: (011) (670) 664B2289  
Fax: (011) (670) 664B2272

## Guam

Mr. Giovanni T. Sgambelluri  
Director

West Virginia Development  
Office  
Building #6, Room 553  
Charleston, WV 25305  
Bureau of Budget and  
Management Research  
Office of the Governor  
P.O. Box 2950  
Agana, GU 96910  
Phone: (011) (671) 472B2285  
Fax: (011) (671) 472B2825

## Puerto Rico

Norma Burgos/Jose E. Caro  
Chairwoman/Director  
Puerto Rico Planning Board  
Federal Proposals Review  
Office  
Minillas Government Center  
P.O. Box 4119  
San Juan, PR 00940B1119  
Phone: (787) 727B4444 or  
(787) 723B6190  
Fax: (787) 724B3270/3103

## Virgin Islands

Jose George  
Director  
Office of Management and  
Budget  
#41 Norregade Emancipation  
Garden Station, 2nd Floor  
St. Thomas, VI 00802

Please direct all questions and  
correspondence about  
intergovernmental review to:  
Linda Clarke  
Phone: (809) 774B0750  
Fax: (809) 776B0069

## Appendix B

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

## Alabama

Phone: (304) 558B4010

Luke Marshall  
Section Chief  
Law Enforcement/Traffic Safety  
Division  
Department of Economic and  
Community Affairs  
401 Adams Avenue  
P.O. Box 5690  
Montgomery, AL 36103B5690

Contact: Jim Quinn  
Phone: (334) 242B5811  
Fax: (334) 242B0712

## Alaska

Colonel Glenn Godfrey  
Director  
Alaska State Troopers  
5700 East Tudor Road  
Anchorage, AK 99507

Contact: Catherine Katsel  
Phone: (907) 269B5082  
Fax: (907) 337B2059  
pckatsel@psafety.state.ak.us

## 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) 542B1928  
Fax: (602) 542B4852  
acjc@goodnet.com (notify  
before sending)

## Arkansas

Jerry Duran  
Administrator  
Office of Intergovernmental  
Services

# Solicitation

Department of Finance and  
Administration  
1515 West 7th Street, Suite 417  
Little Rock, AR 72201

Contact: Gordon Burton

Contact: JoAnne McLevis  
Phone: (916) 324B9163  
Fax: (916) 327B8714  
Pager: (916) 590B0916

## Colorado

Bill Woodward  
Director  
Division of Criminal Justice  
700 Kipling Street, 3rd Floor  
Denver, CO 80215

Contact: John Inmann  
Phone: (303) 239B4442  
Fax: (303) 239B4491  
jinmann@aol.com

## Connecticut

Leonard F. D'Amico  
Under Secretary  
Office of Policy and  
Management  
450 Capitol Avenue, MS  
#52CPD  
P.O. Box 341441  
Hartford, CT 06134B1441

Contact: Jack Bates  
Phone: (860) 418B6210  
Fax: (860) 418B6496

## Delaware

James Kane  
Executive Director  
Criminal Justice Council  
Carvel State Office Building  
820 North French Street, 4th  
Floor  
Wilmington, DE 19801

Contact: Tricia Peraino  
Phone: (302) 577B3433  
Fax: (302) 577B3440

Phone: (501) 682B1074  
Fax: (501) 682B5206

## California

Ray Johnson  
Executive Director

## District of Columbia

Sandra M. Manning  
Director  
Office of Grants Management  
and Development  
717 14th Street, N.W., Suite  
500  
Washington, D.C. 20005

Contact: Tanya Hatton  
Phone: (202) 727B6537  
Fax: (202) 727B1617

## Florida

Rosa M. Morgan  
Chief  
Department of Community  
Affairs  
2555 Shumard Oak Boulevard  
Tallahassee, FL 32399

Contact: Clayton Wilder  
Phone: (850) 488B8016  
Fax: (850) 487B4414

## Georgia

Martha Gilland  
Director  
Criminal Justice Coordinating  
Council  
503 Oak Place, Suite 540  
Atlanta, GA 30349

Contact: John T. Clower  
Phone: (404) 559B4949  
Fax: (404) 559B4960

## Hawaii

The Honorable Margery S.  
Bronster  
Attorney General  
State of Hawaii

Office of Criminal Justice  
Planning  
1130 K Street, Suite 300  
Sacramento, CA 95814

425 Queen Street, Room 221  
Honolulu, HI 96813

Contact: Lari Koga  
Phone: (808) 586B1151  
Fax: (808) 586B1373

## Idaho

Robert L. Sobba  
Director  
Idaho Department of Law  
Enforcement  
P.O. Box 700  
Meridian, ID 83680B0700

Contact: Roberta Silva  
Phone: (208) 884B7040  
Fax: (208) 884B7094  
rsilva@dle.state.id.us

## Illinois

Candice M. Kane  
Acting Executive Director  
Illinois Criminal Justice  
Information Authority  
120 South Riverside Plaza,  
Suite 1016  
Chicago, IL 60606

Contact: Candice M. Kane  
Phone: (312) 793B8550  
Fax: (312) 793B8422

## Indiana

Catherine O'Connor  
Executive Director  
Indiana Criminal Justice  
Institute  
302 West Washington Street  
Room EB209  
Indianapolis, IN 46204

Contact: Doug Fowler

# Solicitation

Phone: (317) 232B1230  
Fax: (317) 232B4979

## Iowa

Charles W. Larson  
Coordinator  
Governor's Alliance on  
Substance Abuse

Contact: Ronald McVeigh  
Phone: (913) 296B0926  
Fax: (913) 296B0927  
rmcveigh@wwi.net

## Kentucky

E. Daniel Cherry  
Acting Secretary  
Justice Cabinet  
Bush Building  
403 Wapping Street, 2nd Floor  
Frankfort, KY 40601

Contact: Debra McGovern  
Phone: (502) 564B7554  
Fax: (502) 564B4840

## Louisiana

Michael Ranatza  
Executive Director  
Louisiana Commission on Law  
Enforcement  
1885 Wooddale Boulevard  
Suite 708  
Baton Rouge, LA 70806

Contact: Debbie Maggio  
Phone: (504) 925B3513  
Fax: (504) 925B1998

## Maine

Alfred Skolfield, Jr.  
Commissioner  
Department of Public Safety  
State House Station #42  
Augusta, ME 04333

Contact: David Giampetruzzi  
Maine Department of Public  
Safety

Lucas State Office Building,  
2nd Floor  
Des Moines, IA 50319

Contact: Dale R. Woolery  
Phone: (515) 281B3788  
Fax: (515) 242B6390

## Kansas

Justice Assistance Council  
State House Station #164  
Augusta, ME 04333B0164  
Phone: (207) 877B8016  
(207) 624B8758 (contact)  
Fax: (207) 624B8768

## Maryland

Michael A. Sarbanes  
Executive Director  
Governor's Office of Crime  
Control and Prevention  
300 East Joppa Road, Suite  
1105  
Baltimore, MD 21286B3016

Contact: Greg Leyko  
Phone: (410) 321B3521  
Fax: (410) 321B3116  
www.bsos.umd.edu/cesar/goccp.  
html

## Massachusetts

Richard St. Louis  
Acting Executive Director  
Massachusetts Committee on  
Criminal Justice  
100 Cambridge Street  
Room 2100  
Boston, MA 02202

Contact: Susan Foster  
Phone: (617) 727B6300  
Fax: (617) 727B5356  
Fax: (617) 727B4764 (R. St.  
Louis)  
Sfoster\_EIOS@State.Mass.US

## Michigan

Darnell Jackson

Barbara Tombs  
Executive Director  
Kansas Criminal Justice  
Coordinating Council  
700 S.W. Jackson Street  
Room 501  
Topeka, KS 66603

Director  
Office of Drug Control Policy  
Michigan National Tower  
124 West Allegan Street, Suite  
1200  
Lansing, MI 48913

Contact: Ardith DaFoe  
Phone: (517) 373B2952  
Fax: (517) 373B2963

## Minnesota

Mary Ellison  
State Administrator  
Minnesota Department of  
Children, Families and Learning  
Office of Drug Policy and  
Violence Prevention  
550 Cedar Street, Suite 409  
St. Paul, MN 55101

Contact: Jeri Boisvert  
Phone: (612) 296B0922  
Fax: (612) 297B7313 (ODP)

## Mississippi

Ron Sennett  
Interim Director  
Division of Public Safety  
Planning  
Department of Public Safety  
401 North West Street, 8th  
Floor  
P.O. Box 23039  
Jackson, MS 39225B3039

Contact: Joyce Word  
Phone: (601) 359B7880  
Fax: (601) 359B7832

## Missouri

# Solicitation

Gary B. Kempker  
Director  
Missouri Department of Public  
Safety  
Truman State Office Building  
Room 870  
P.O. Box 749  
Jefferson City, MO  
65102B0749

Contact: Kenneth Hogans  
Phone: (573) 751B4905  
Fax: (573) 751B5399

## Montana

Gene Kiser  
Executive Director  
Montana Board of Crime  
Control  
303 North Roberts  
Scott Hart Building  
Helena, MT 59620

Contact: Cathy Kendall  
Phone: (406) 444B3604  
Fax: (406) 444B4722

## Nebraska

Allen L. Curtis  
Executive Director  
Nebraska Commission on Law  
Enforcement & Criminal Justice  
301 Centennial Mall South  
P.O. Box 94946  
Lincoln, NE 68509

Contact: Nancy Steeves  
Phone: (402) 471B3416  
Fax: (402) 471B2837

## Nevada

Ray Sparks  
Acting Director  
Department of Motor Vehicles  
and Public Safety  
555 Wright Way  
Carson City, NV 89711B0900

Contact: Mary Lynne Evans  
Office of Criminal Justice  
Assistance  
Phone: (702) 687B5282  
Fax: (702) 687B5328

## New Hampshire

Mark C. Thompson  
Director of Administration  
Office of the Attorney General  
33 Capitol Street  
Concord, NH 03301

Contact: Paul Doran  
Phone: (603) 271B1297  
Fax: (603) 271B2110

## New Jersey

Terrence P. Farley  
Director  
Division of Criminal Justice  
Department of Law and Public  
Safety  
25 Market Street  
CN 085  
Trenton, NJ Jersey 08625B0085

Contact: Dennis O'Hara  
Phone: (609) 292B5939  
Fax: (609) 292B1451

## New Mexico

Darren P. White  
Cabinet Secretary  
Department of Public Safety  
P.O. Box 1628  
Santa Fe, NM 87504

Contact: Donna Farrell  
Phone: (505) 827B3420  
Fax: (505) 827B3398  
dfarrell@dps.state.nm.us

## New York

Paul Shechtman  
Commissioner  
New York State Division of  
Criminal Justice Services  
Executive Park Tower

Stuyvesant Plaza  
Albany, NY 12203B3764

Contact: Gary Schreivogl  
Phone: (518) 457B8462  
Fax: (518) 457B1186

## North Carolina

Mr. Robin L. Lubitz  
Director  
Governor's Crime Commission  
3824 Barrett Drive, Suite 100  
Raleigh, NC 27609

Contact: Beth Workman  
Phone: (919) 571B4736  
Fax: (919) 571B4745

## North Dakota

William Broer, Jr.  
Director  
Bureau of Criminal  
Investigation  
Attorney General's Office  
P.O. Box 1054  
Bismarck, ND 58502

Contact: Tammy Becker  
Phone: (701) 328B5500  
Fax: (701) 328B5510  
FedEx address:  
4205 North State Street  
Bismarck, ND 58501  
msmail.TBecker@ranch.state.n  
d.us

## Ohio

Michael Lee  
Director  
Governor's Office of Criminal  
Justice Services  
400 East Town Street, Suite 120  
Columbus, OH 43215

Contact: Adrian Sargent  
Phone: (614) 466B7782  
Fax: (614) 466B0308  
sargent@ocjs.state.oh.us

## Oklahoma

# Solicitation

Suzanne McClain Atwood  
Executive Coordinator  
District Attorneys Training &  
Coordination Council  
2200 Classen Boulevard  
Suite 1800  
Oklahoma City, OK  
73106B5811

Contact Gayle Caldwell  
Phone: (405) 557B6707  
Fax: (405) 524B0581

## Oregon

Beverlee Venell  
Acting Director  
Oregon Department of State  
Police  
Criminal Justice Services  
Division  
400 Public Service Building  
Salem, OR 97310

Contact: Beverlee Venell  
Phone: (503) 378B3720  
Fax: (503) 378B6993

## Pennsylvania

James Thomas  
Executive Director  
Pennsylvania Commission on  
Crime and Delinquency  
P.O. Box 1167  
Federal Square Station  
Harrisburg, PA 17108B1167

Contact: Bob Donovan  
Phone: (717) 787B8559 ext.  
3064  
Fax: (717) 783B7713  
Donovan@pccd.state.pa.us

## Rhode Island

Joseph E. Smith  
Executive Director  
Governor's Justice Commission  
One Capitol Hill, 4th Floor  
Providence, RI 02908B5803

Contact: David LeDoux  
Phone: (401) 277B2620  
Fax: (401) 277B1294

## South Carolina

Sandy Gibson  
Interim Administrator  
Office of Safety and Grants  
Department of Public Safety  
5400 Broad River Road  
Columbia, SC 29210B4088

Contact: Ginger Dukes  
Phone: (803) 896B8707  
Fax: (803) 896B8714  
lan@mail06.scdps.state.sc.us  
(contact)  
cgi@mail06.scdps.state.sc.us  
(S. Gibson)

## South Dakota

James D. Hagen  
Chief of Staff  
Attorney General's Task Force  
on Drugs  
State Capitol Building  
500 East Capitol Avenue  
Pierre, SD 57501B5070  
Contact: Wanda L. Fergen  
Phone: (605) 773B6313  
Fax: (605) 773B6471

## Tennessee

Patricia B. Dishman  
Director  
Office of Criminal Justice  
Programs  
Department of Finance and  
Administration  
1400 Andrew Jackson Building  
500 Deaderick Street  
Nashville, TN 37243B1700

Contact: Jeanne Norris  
Phone: (615) 532B2986  
Fax: (615) 532B2989

## Texas

Nancy S. Hugon  
Acting Executive Director  
Criminal Justice Division  
Office of the Governor  
P.O. Box 12428  
Capitol Station  
Austin, TX 78711

Contact: Robert J. Bodisch, Sr.  
Phone: (512) 463B1806  
Fax: (512) 475B2440

## 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) 538B1031  
Fax: (801) 538B1024

## Vermont

James Walton, Jr.  
Commissioner  
Vermont Department of Public  
Safety  
Waterbury State Complex  
103 South Main Street  
Waterbury, VT 05676B0850

Contact: Capt. Donald Ravenna  
Phone: (802) 244B8781  
Fax: (802) 244B1106

## Virginia

Bruce C. Morris  
Director  
Department of Criminal Justice  
Services  
805 East Broad Street, 10th  
Floor  
Richmond, VA 23219

Contact: Joe Marshall  
Phone: (804) 786B1577  
Fax: (804) 371B8981

# Solicitation

## Washington

Katherine Krieter  
Assistant Director  
Washington State Department  
of Community, Trade &  
Economic Development  
906 Columbia Street S.W.  
P.O. Box 48300  
Olympia, WA 98504

Contact: Paul Perz  
Phone: (360) 586B8411  
Fax: (360) 586B0489  
paulp@cted.wa.gov

## 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 Crawford  
Phone: (304) 558B8814  
Fax: (304) 558B0391

## Wisconsin

Fred Falk  
Executive Director  
Wisconsin Office of Justice  
Assistance  
222 State Street, 2nd Floor  
Madison, WI 53702

Contact: Raymond J. Luick  
Phone: (608) 266B7282  
Fax: (608) 266B6676

## Wyoming

Thomas J. Pagel  
Director  
Division of Criminal  
Investigation  
316 West 22nd Street

Cheyenne, WY 82002

Contact: Sandra Mays  
Phone: (307) 777B7181  
Fax: (307) 777B7252

## Territories

### American Samoa

Laauli A. Filoiali  
Director  
Criminal Justice Planning  
Agency  
American Samoa Government  
Executive Office Building, 3rd  
Floor  
Pago Pago, AS 96799

Contact: Craig Keener  
Phone: (011) (684) 633B5221  
Fax: (011) (684) 633B7894

### Commonwealth of the 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: (011) (670) 664B4550  
Fax: (011) (670) 664B4560  
jack.ogumoro@saipan.com

### Guam

Vincent P. Arriola  
Director  
Bureau of Planning  
Governor's Office  
P.O. Box 2950  
Agana, GU 96910

Contact: Miki Leon Guerrero  
Phone: (011) (671)  
472B4201/4202  
Fax: (011) (671) 477B1812

## Puerto Rico

The Honorable José A. Fuentes  
Agostini  
Attorney General  
Department of Justice  
Commonwealth of Puerto Rico  
P.O. Box 9020192  
San Juan, PR 00902B0192

Contact: Luis M.  
Gonzalez-Javier  
Phone: (787) 725B0335  
Fax: (787) 725B6144

## Virgin Islands

Ramon S. Davila  
Police Commissioner/Drug  
Policy Advisor  
Virgin Islands Law Enforcement  
Planning Commission  
8172 Sub Base, Suite 3  
St. Thomas, VI 00802

Contact: Helene Smollett  
Phone: (809) 774-6400  
Fax: (809) 721-7280

## 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

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

**National Criminal Justice Reference Service**

Box 6000

Rockville, MD 20849B6000

800B851B3420

e-mail: [askncjrs@ncjrs.org](mailto:askncjrs@ncjrs.org)

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