

## **Notices regarding the solicitation “Paul Coverdell Forensic Science Improvement Grants Program – Formula”**

February 6, 2017: State Single Point of Contact information link has changed. An applicant may now find the names and addresses of State Single Points of Contact (SPOCs) at the following website: <https://ojp.gov/funding/Apply/Resources/eo12372spoc.pdf>

January 25, 2017: A recorded webinar has been posted. To assist applicants in completing their proposals, NIJ held a webinar related to this solicitation. The recording of the webinar has been posted at <https://nij.gov/multimedia/Pages/video-fy17-funding-opportunities-for-publicly-funded-crime-labs-webinar.aspx>.

The original solicitation document begins on the next page.



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for formula (“base”) funding under the FY 2017 Paul Coverdell Forensic Science Improvement Grants Program. This program furthers the Department’s mission by providing states with tools needed to meet the challenges of crime and justice. Specifically, this program seeks to improve the quality and timeliness of forensic science and medical examiner/coroner’s office services, including services provided by laboratories operated by states and/or units of local government.

## Paul Coverdell Forensic Science Improvement Grants Program – Formula

**Applications Due: March 10, 2017**

### Eligibility

Eligible applicants are limited to states (including territories). State Administering Agencies (SAAs) apply on behalf of states, including any state government entity. For additional eligibility information, see [Section C. Eligibility Information](#).

### Deadline

Applicants must register in the [OJP Grants Management System \(GMS\)](#) prior to submitting an application under this solicitation. All applicants must register, even those that previously registered in GMS. Previously registered applicants should ensure, prior to applying, that the user profile is up to date in GMS (including, but not limited to, address, legal name of agency and authorized representative) as this information is populated in any new application from the user profile. Select the “Apply Online” button associated with the solicitation title. All registrations and applications are due by 11:59 p.m. eastern time on March 10, 2017.

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

### Contact Information

For technical assistance with submitting an application, contact the Grants Management System Support Hotline at 888-549-9901, option 3, or via e-mail at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov). The [GMS](#) Support Hotline operates 24 hours every day, including on federal holidays.

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must email the NIJ contact identified below **within 24 hours after the application deadline** to request approval to submit its application after the deadline. For information on reporting technical issues, see “Experiencing Unforeseen GMS Technical Issues” under [How to Apply](#) in [Section D. Application and Submission Information](#).

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at

301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center operates from 10:00 a.m. until 6:00 p.m. eastern time, Monday through Friday, and from 10:00 a.m. until 8:00 p.m. eastern time on the solicitation close date. General information on applying for NIJ awards can be found at [www.nij.gov/funding/Pages/welcome.aspx](http://www.nij.gov/funding/Pages/welcome.aspx). Answers to frequently asked questions that may assist applicants are posted at [www.nij.gov/funding/Pages/faqs.aspx](http://www.nij.gov/funding/Pages/faqs.aspx).

Release date: January 10, 2017

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# Paul Coverdell Forensic Science Improvement Grants Program – Formula

CFDA No. 16.742

## A. Program Description

### Overview

With this solicitation, NIJ seeks proposals for formula (“base”) funding under the Paul Coverdell Forensic Science Improvement Grants Program (the Coverdell program), which awards grants to States and units of local government to help improve the quality and timeliness of forensic science and medical examiner/coroner’s office services. Among other things, funds may be used to eliminate a backlog in the analysis of forensic evidence and to train and employ forensic laboratory personnel and medicolegal death investigators, as needed, to eliminate such a backlog. Under the Coverdell program, State Administering Agencies (SAAs) may apply for both “base” (formula) and competitive funds. This solicitation is **ONLY** for SAAs applying for the formula (“base”) funds.<sup>1</sup>

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

### IMPORTANT NOTE

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

As of the writing of this solicitation, no full-year appropriation for the Department of Justice or for the Coverdell program for FY 2017 has been enacted. No final decision as to the amount of funds, if any, to be provided under this FY 2017 program should be expected until after a full-year appropriation is enacted.

Applicants are strongly encouraged to check for updates to this solicitation prior to submitting applications.

*Please refer to “Available Funding” under “Program-Specific Information,” below.*

### Program-Specific Information

This solicitation seeks applications for funding from States to improve the quality and timeliness of forensic science and medical examiner/coroner’s office services, including services provided by laboratories operated by States and/or units of local government. Among other things, funds

<sup>1</sup> An applicant that seeks to apply for Coverdell competitive funds (consistent with 42 U.S.C. 3797l(a)(1)) available for grants to eligible states and units of local government would need to apply under NIJ’s FY 2017 Paul Coverdell Forensic Science Improvement Grants Program (Competitive) solicitation.

may be used to eliminate backlogs in the analysis of general forensic evidence or to train and employ forensic laboratory personnel and medicolegal death investigators to eliminate such backlogs.

## **Goals, Objectives, and Deliverables**

### **Available Funding**

As of the writing of this solicitation, no full-year appropriation has been enacted for the Department of Justice for FY 2017 and thus the amount (if any) that will be made available for the Coverdell program is not known. The figures and calculations reflected in this solicitation (for example, the estimated minimum award to states and the estimated amount of “base” funds, by State) are based on an estimated total amount available of \$11,500,000, although the amount ultimately made available could be higher or lower (or even zero). Applicants are strongly advised to check for updates to the solicitation prior to submitting applications.

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

#### **1. “Base” Funds for States**

Approximately 85 percent of the funds available for Coverdell grants will be allocated among eligible States based on population (State “base” funds). The approximate amount each eligible State would receive if \$11,500,000 were made available for FY 2017 is listed in Appendix 1: “[Estimated Amount of FY 2017 Base Funds, by State](#).”<sup>2</sup> These are the ONLY funds that will be distributed among eligible applicants under this solicitation.<sup>3</sup>

#### **2. Minimum Awards to States**

The Coverdell law sets a floor for the total amount an eligible applicant State will receive as its Coverdell grant. If \$11,500,000 were to become available for FY 2017, the minimum Coverdell grant to an eligible State would be not less than \$115,000.<sup>4</sup> In that case, if the amount a State would otherwise receive as its total Coverdell grant (including both base funds and any competitive funds) is less than \$115,000, NIJ will increase that State’s total grant to \$115,000.

### **Grant Purposes**

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

1. To carry out all or a substantial part of a program intended to improve the quality and timeliness of forensic science or medical examiner/coroner’s office services in the State,

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

<sup>3</sup> An applicant that seeks to apply for Coverdell competitive funds (consistent with 42 U.S.C. 37971(a)(2)) available for grants to eligible states and units of local government would need to apply under NIJ’s FY 2017 Paul Coverdell Forensic Science Improvement Grants Program (Competitive) solicitation.

<sup>4</sup> Minimum awards for America Samoa and the Commonwealth of the Northern Mariana Islands would be lower.

including those services provided by laboratories operated by the State and those operated by units of local government within the State.

2. To eliminate a backlog in the analysis of forensic science evidence,<sup>5</sup> including, among other things, a backlog with respect to firearms examination, latent prints, impression evidence, toxicology, digital evidence, fire evidence, controlled substances, forensic pathology, questioned documents, and trace evidence.
3. To train, assist, and employ forensic laboratory personnel and medicolegal death investigators, as needed to eliminate such a backlog.
4. To address emerging forensic science issues (such as statistics, contextual bias, and uncertainty of measurement) and emerging forensic science technology (such as high throughput automation, statistical software, and new types of instrumentation).
5. To educate and train forensic pathologists.
6. To fund medicolegal death investigation systems to facilitate accreditation of medical examiner and coroner offices and certification of medicolegal death investigators.

### **Expected Results and Outcomes**

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

The Goals, Objectives, and Deliverables are directly related to the performance measures set out in the table in [Section D. Application and Submission Information](#), under "Program Narrative."

## **B. Federal Award Information**

NIJ expects to make up to 55 awards, with award amounts allocated among eligible States based on population. The approximate amount each eligible State would receive if \$11,500,000 were made available for FY 2017 is listed in [Appendix 1: "Estimated Amount of FY 2017 Base Funds, by State."](#) NIJ will make awards for a 12-month period of performance, to begin on January 1, 2018. Applicants should be aware that the total period of an award, including one that receives a project period extension, ordinarily will not exceed three (3) years.

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

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<sup>5</sup> A backlog in the analysis of forensic science evidence exists if forensic evidence has been stored in a laboratory, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility; and has not been subjected to all appropriate forensic testing because of lack of resources or personnel.

## Type of Award

NIJ expects that any award under this solicitation will be in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

## Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>6</sup>) must, as described in the Part 200 Uniform Requirements<sup>7</sup> as set out at 2 C.F.R. 200.303:

- a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

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<sup>6</sup> For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to carry out part of the funded award or program.

<sup>7</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R. Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.



## Budget Information

### Permissible Expenses

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

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

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

**Note:** To help ensure compliance with the National Environmental Policy Act (NEPA) and Department of Justice regulations, Coverdell awardees that intend to use funds for activities involving the use or purchase of chemicals will be required to submit additional information. See Section [F. Federal Award Administration Information](#), later in this solicitation, for a link to OJP webpages containing information about NEPA and other legal requirements.

Recipients may encounter delays in the release of award funds pending satisfactory completion of the NEPA review process for applications involving the use or purchase of chemicals.

5. **Accreditation.** Funds may be used to prepare for laboratory accreditation by the ASCLD/LAB, FQS, NAME, the American Association for Laboratory Accreditation (A2LA), International Association of Coroners & Medical Examiners (IAC&ME) or other, appropriate, accrediting bodies. Funds also may be used for application and maintenance fees charged by appropriate accrediting bodies. An applicant that proposes to use any portion of the grant amount to fund a forensic science laboratory system that is not accredited (as set out in the Coverdell law) will be required to use (or, as applicable, must require any unaccredited subrecipient forensic science laboratory system to use) a portion of the grant amount for accreditation purposes. Coverdell awardees must use grant funds to prepare and apply for accreditation of any FY 2017 Coverdell grant-funded unaccredited forensic laboratory system not more than two (2) years after the FY 2017 Coverdell award date.
6. **Education, training, and certification.** Funds may be used for appropriate internal and external training of staff that are involved directly and substantially in providing forensic

science or medical examiner/coroner's office services. In appropriate cases, funds also may be used for fees charged by appropriate certifying bodies for certification of staff in specific forensic discipline areas. All education, training, and certification activities must be designed to improve the quality and/or timeliness of forensic science or medical examiner/coroner's office services. The grant application should demonstrate that the proposed training or certification is directly related to the job position and duties of the individual(s) receiving the training or seeking certification.

OJP recognizes the benefit of attending discipline-related conferences to receive training and/or education; however, it is recommended that the applicant consider the cost-effectiveness of this option compared to other viable modes of training. For example, hosting on-site training or attending a local program may be more suitable for the applicant's personnel and organization.

- 7. Facilities.** Funds may be used for program expenses relating to facilities, provided the expenses are directly attributable to improving the quality and/or timeliness of forensic science or medical examiner/coroner's office services. Funds also may be used for renovation and/or construction undertaken as part of the applicant's program to improve the quality and/or timeliness of forensic science or medical examiner/coroner's office services.

**Limitations on use of funds for costs of new facility.** The Coverdell law limits the amount of funds that may be used for the costs of a new facility or facilities (see 42 U.S.C. § 3797m(c)). Maximum amounts are determined by the total amount of the Coverdell grants received (including both base and competitive funds) and the total amount of funds available for Coverdell grants nationwide. The maximum amounts that may be used for costs of new facilities are as follows. (Estimates and calculations are based on the assumption that the total available funds for Coverdell awards in FY 2017 will be \$11,500,000. Please refer to the discussion under "[Available Funding.](#)")

Grants that exceed 0.6 percent of the total available funds. If an applicant State receives total grants that exceed 0.6 percent of the total available funds (estimated here at \$69,000), the amount of the grant that can be used for the costs of any new facility cannot exceed the sum of 80 percent of 0.6 percent of the total available funds (such 80 percent estimated here at \$55,200) plus 40 percent of the amount of the grant in excess of 0.6 percent of the total available funds.

For example, if \$11,500,000 were to become available for Coverdell awards in FY 2017 and a state were to receive a total Coverdell grant of \$200,000, no more than \$113,120 may be used for the costs of any new facility.

A sample calculation for a \$200,000 grant would be as follows:

Eighty percent of 0.6 percent of the total available funds:  $\$69,000 \times .80 = \$55,200$ .

Amount in excess of \$55,200:  $\$200,000 - \$55,200 = \$144,800$

Forty percent of amount in excess of \$55,200:  $\$144,800 \times .40 = \$57,920$ .

Sum of  $\$55,200 + \$57,920 = \$113,120$ .

**Note:** To help ensure compliance with NEPA and Department of Justice regulations, Coverdell awardees that intend to use funds for activities involving the renovation or construction of facilities will be required to submit additional information. See Section [E. Federal Award Administration Information](#), later in this solicitation, for a link to OJP webpages containing information about NEPA and other legal requirements.

Recipients may encounter delays in the release of award funds pending satisfactory completion of the NEPA review process for applications involving construction or renovation.

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

#### **Expenses That Are Not Permitted**

1. Expenses other than those listed above (including expenses for general law enforcement functions or non-forensic investigatory functions).
2. Costs for any new facility that exceed the limits described above.
3. Recipient administrative expenses (direct or indirect) that exceed 10 percent of the total grant amount.
4. The use of funds for the purchase and/or lease of vehicles, such as crime scene vans.

#### **Cost Sharing or Match Requirement**

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

#### **Pre-Agreement Costs (also known as Pre-award Costs)**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#), for more information.

## Costs Associated with Language Assistance (if applicable)

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements" in the [OJP Funding Resource Center](#).

## C. Eligibility Information

States<sup>8</sup> may apply for FY 2017 formula Coverdell funds. States may be eligible for both "base" (formula) and competitive funds. This solicitation is **ONLY** for the formula ("base") funds. Any state application for funding **MUST** be submitted by the Coverdell SAA (see list of SAAs on the OJP Web site at [www.ojp.usdoj.gov/saa/index.htm](http://www.ojp.usdoj.gov/saa/index.htm)). (Other interested state agencies or departments must coordinate with their respective SAAs.)

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

- 1. A certification and description regarding a plan for forensic science laboratories.** Each applicant must submit a certification that the State has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services in the State, including such services provided by the laboratories operated by the State and those operated by units of local government within the State. Applicants must also specifically describe the manner in which the grant will be used to carry out that plan.
- 2. A certification regarding use of generally accepted laboratory practices.** Each applicant must submit a certification that any forensic science laboratory system, medical examiner's office, or coroner's office in the State, including any laboratory operated by a unit of local government within the state, that will receive any portion of the grant amount (whether directly or through a subgrant) uses generally accepted laboratory practices and procedures established by accrediting organizations or appropriate certifying bodies.
- 3. A certification regarding forensic science laboratory accreditation.** Each applicant must submit a certification that any forensic science laboratory system in the State, including any laboratory operated by a unit of local government within the State, that will receive any portion of the grant amount (whether directly or through a subgrant) either is accredited, **or**, is not so accredited, but will (or will be required in a legally binding and enforceable writing to) use a portion of the grant amount to prepare and apply for such

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<sup>8</sup> For purposes of the Coverdell program, the term "state" means each of the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. For certain purposes, American Samoa and the Northern Mariana Islands are treated as one state.

accreditation not more than two (2) years after the date on which a grant is awarded under the FY 2017 Paul Coverdell Forensic Science Improvement Grants Program.

4. **A certification and description regarding costs of new facilities.** Each applicant must submit a certification that the amount of the grant used for the costs of any new facility constructed as part of a program to improve the quality and timeliness of forensic science or medical examiner services will not exceed certain limitations set forth in the Coverdell law at 42 U.S.C. § 3797m(c). (See information on “permissible expenses” in the next section of this solicitation.) Applicants must also specifically describe any new facility to be constructed as well as the estimated costs of the facility.
5. **A certification regarding external investigations into allegations of serious negligence or misconduct.** Each applicant must submit a certification that “a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner office, coroner’s office, law enforcement storage facility, or medical facility in the state that will receive a portion of the grant amount.”

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

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

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

In connection with the certification regarding forensic science laboratory accreditation (described above), applicants **must** demonstrate, prior to receiving award funds, that any forensic science laboratory system that will receive any portion of the grant amount either is accredited or will (or will be required to) prepare and apply for accreditation consistent with the Coverdell law. See “What an Application Should Include,” which describes the documentation and information an applicant is to provide regarding its accreditation or its plans to prepare and apply for accreditation.

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

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

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

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

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

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

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

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

- A government entity exists.
- With an appropriate process in place.
- To conduct independent, external investigations.
- Into allegations of serious negligence or misconduct.
- Substantially affecting the integrity of the forensic results.
- Committed by employees or contractors.

- Of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the state that will receive a portion of the grant amount.

**Note:** In making this certification, the certifying official is certifying that these requirements are satisfied not only with respect to the applicant itself, but also with respect to **each** entity that will receive a portion of the grant amount. Certifying officials are advised that:

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

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

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

**Illustrative Examples:**

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

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

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

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

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

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

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

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

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

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

6. An applicant agency is accredited by an independent accrediting or certifying organization such as the Commission on Accreditation for Law Enforcement Agencies (CALEA), the American Society of Crime Laboratory Directors / Laboratory Accreditation Board (ASCLD/LAB), the National Association of Medical Examiners (NAME), Forensic Quality Services (FQS), etc.

*Guidance:* In this situation, execution of the certification would not be appropriate. The fact of accreditation or certification by an outside entity on its own does not demonstrate that the agency has a process in place to investigate allegations of serious negligence or



misconduct committed by employees or contractors. There is insufficient information to properly make the required certification in this situation.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

## D. Application and Submission Information

### What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. If an applicant submits only one budget document, however, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés in a single file.

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. GMS takes information from the applicant’s profile to populate the fields on this form.

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP recipients, when completing the field for “Legal Name” should use the same legal name that appears on the prior year award document; this legal name is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active OJP award(s) must ensure that its GMS profile is current. If an applicant’s profile is not current, it should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant must enter its official legal name and address in box 5 and its EIN in box 6 of the SF-424.

Applicants should ensure that the legal name is correct and matches on the SF-424, the five required certifications, and the external investigations attachment.

**Intergovernmental Review:** This solicitation (“funding opportunity”) is subject to [Executive Order 12372](#). An applicant may find the names and addresses of State Single Points of

Contact (SPOCs) at the following website: [www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/). If the state appears on the SPOC list, the applicant must contact the state SPOC to find out about, and comply with, the state's process under E.O. 12372. In completing the SF-424, an applicant whose state appears on the SPOC list is to make the appropriate selection in response to question 19 once the applicant has complied with its state E.O. 12372 process. (An applicant whose state does not appear on the SPOC list should answer question 19 by selecting the response that the "Program is subject to E.O. 12372 but has not been selected by the state for review.")

## 2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

## 3. Program Narrative

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

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

If grant funds are requested for accreditation, the program narrative must describe accreditation activities and plans and, as applicable, the projected schedule for preparation for and application for accreditation. Under the Coverdell program, any forensic science laboratory system that is not accredited (as set out in the Coverdell law) and that will receive a portion of the grant amount must use a portion of the grant amount to prepare and apply for accreditation not more than two (2) years after the date of the Coverdell grant award.

**The program narrative should be attached as a separate file with an appropriately descriptive file name.**

The following sections should be included as part of the program narrative:<sup>9</sup>

- a. Description of the Issue.

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<sup>9</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

- b. Project Design and Implementation.
- c. Capabilities and Competencies.
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures.

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under "[Goals, Objective, and Deliverables](#)" in [Section A. Program Description](#).

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under "Data Recipient Provides," should it receive funding.

Objective	Performance Measure(s)	Data Recipient Provides
To improve the quality and timeliness of forensic services and to reduce the number of backlogged cases in forensic laboratories	<p><b>Outcome Measure</b></p> <ol style="list-style-type: none"> <li>1.Reduction in the average number of days from the submission of a sample to a forensic science laboratory to the delivery of test results to a requesting office or agency.</li> <li>2.Percent reduction in the number of backlogged forensic cases.</li> </ol> <p><b>Output Measure</b></p> <ol style="list-style-type: none"> <li>1.The number of forensic science or medical examiner/coroner's office personnel who completed appropriate training or educational opportunities with FY 2017 Coverdell funds (if applicable to the grant).</li> </ol>	<ol style="list-style-type: none"> <li>1.Average number of days to process a sample at the beginning of the grant period.</li> <li>2.Average number of days to process a sample at the end of the grant period.</li> <li>3.Number of backlogged cases at the beginning of the grant period.</li> <li>4.Number of backlogged cases at the end of the grant period.</li> <li>5.Number of forensic science personnel attending training.</li> <li>6.Number of medical examiner/coroner's office personnel attending training programs.</li> </ol>
To implement recommendations as adopted by the National Commission on Forensic Sciences (NCFS) to strengthen the forensic science communities		
	<p><b>Percent of agencies/organizations that are accredited with FY 2017 Coverdell funding</b></p>	<p>Number of agencies/organizations seeking initial accreditation with FY 2017 Coverdell funding</p> <p>Number of agencies/organizations obtaining initial accreditation with FY 2017 Coverdell funding</p> <p>Number of agencies/organizations using FY 2017 Coverdell funding for fees to maintain accreditation</p> <p>Number of agencies/organizations receiving funding</p>
	<p><b>Percent of certified individuals</b></p>	<p>Number of analysts</p> <p>Number of analysts certified</p> <p>Number of analysts seeking certification with FY2017 Coverdell funding</p>

### Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations

designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for the purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the Protection of Human Subjects” section of the “Requirements related to Research” web page of the “Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements” available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

#### **4. Budget and Associated Documentation**

**Budget document(s) should be attached as a separate file with an appropriately descriptive file name.**

##### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

##### **b. Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narratives how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The budget narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

### **Accreditation**

The budget detail worksheet and budget narrative should clearly identify the cost for any proposed accreditation activities, within the appropriate cost category (e.g., personnel, fringe benefits, travel, equipment, supplies, and (procurement) contracts) of the budget documents.

### **c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether -- for purposes of federal grants administrative requirements -- a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement -- for purposes of federal grants administrative requirements -- is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

## 1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, and those subawards are not specifically authorized (or required) by statute or regulation, the applicant should-- (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

## 2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that -- for purposes of federal grants administrative requirements -- is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement "contracts" under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold -- currently, \$150,000 -- a recipient of an OJP award may not proceed without competition, unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends -- without competition -- to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

#### **d. Pre-Agreement Costs**

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

#### **5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (that is, unexpired), federally-approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (that is, unexpired) federally-approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally-approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both-- (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

#### **6. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

**Every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high-risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high-risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high-risk by another federal awarding agency, the applicant must provide the following information:



- The federal awarding agency that currently designates the applicant high-risk.
- The date the applicant was designated high-risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high-risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## 7. Disclosure of Lobbying Activities

An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#).

## 8. Additional Attachments

### a. Coverdell Statutory Certifications

As described above in the “Eligibility” section, the Coverdell law provides that, to request a grant, each applicant **must** submit **five** (5) certifications specific to the Coverdell Program. A certification may only be completed by an official familiar with its requirements and authorized to certify on behalf of the applicant agency (i.e., the agency applying directly to NIJ). Templates for the statutory certifications appear in [Appendix 2](#). **All five** (5) certifications **must** be completed using these templates. Certifications made on behalf of subrecipients of award funds—rather than certifications made on behalf of the agency applying directly to NIJ—are **not** acceptable to satisfy the certification requirements.

The five required Coverdell statutory certifications are as follows—

1. Certification as to Plan for Forensic Science Laboratories—Application from a State.
2. Certification as to Generally Accepted Laboratory Practices and Procedures.
3. Certification as to Forensic Science Laboratory System Accreditation.
4. Certification as to Use of Funds for New Facilities.
5. Certification as to External Investigations.

**Please note:** Specific information and guidance with respect to the “Certification as to External Investigations” are provided above, under [“Eligibility.”](#) Certifying officials

must read and review this information and guidance prior to executing the certification.

**b. External Investigations Attachment**

All applicants are to provide the name(s) of the existing “government entity” (or entities) that is the subject of the certification (see [Appendix 2](#)) that—

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

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

**The five certifications and the external investigations attachment should be attached as a separate file with an appropriately descriptive file name.**

**c. Forensic Laboratory Accreditation Documentation (if applicable)**

Applicants should provide documentation of current accreditation with the application for any accredited laboratory (including a subrecipient laboratory) that is to receive funds under the 2017 Coverdell award. Acceptable types of documentation of current accreditation include: an electronic (scanned) copy of the current accreditation certificate(s), a digital photograph of the current accreditation certificate(s), or a letter from the accrediting body that includes the certificate number. Additionally, if a certificate references another document that contains key information on the type or scope of the accreditation, provide a copy of that supplemental documentation. Independent accrediting or certifying organizations may include the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD-LAB), Forensic Quality Services (FQS), the American Association for Laboratory Accreditation (A2LA), or other appropriate accrediting bodies. Note that funds **will not be made available** to applicant agencies that fail to provide the necessary information.

**Accreditation document(s) should be attached as a separate file with an appropriately descriptive file name.**

**d. Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover all identical cost items outlined in the submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency.
- The solicitation name/project name.
- The point of contact information at the applicable federal or state funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Federal or State Funding Agency
DOJ/ Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: [Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover all identical cost items outlined in the budget submitted as part of this application.”

### How to Apply

An applicant must submit its application through the [Grants Management System \(GMS\)](#), which provides support for the application, award, and management of awards at OJP. Each applicant entity **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges each applicant entity to **register promptly**,

especially if this is the first time the applicant is using the system. Find complete instructions on how to register and submit an application in GMS at [www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/). An applicant that experiences technical difficulties during this process should email [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3), 24 hours every day, including during federal holidays. OJP recommends that each applicant **register promptly** to prevent delays in submitting an application package by the deadline.

**Note on File Types: GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

All applicants should complete the following steps:

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](http://www.ojp.gov/gmscbt/) home page. For more information on how to register in GMS, go to [www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/). Previously registered applicants should ensure, prior to applying, that the user profile is up to date in GMS (including, but not limited to, address, legal name of agency and authorized representative) as this information is populated in any new application.

4. **Verify the SAM (formerly CCR) registration in GMS.** OJP requires each applicant to verify its SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select National Institute of Justice and the Paul Coverdell Forensic Science Improvement Grants Program.
6. **Register by selecting the “Apply Online” button associated with the funding opportunity title.** The search results from step 5 will display the “funding opportunity” (solicitation) title along with the registration and application deadlines for this solicitation. Select the “Apply Online” button in the “Action” column to register for this funding opportunity and create an application in the system.
7. **Follow the directions in GMS to submit an application consistent with this solicitation.** Once the application is submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before submitting an application. OJP urges applicants to submit the application **at least 72 hours prior** to the application due date.

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

#### **Experiencing Unforeseen GMS Technical Issues**

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline may contact the [GMS Help Desk](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant’s email must describe the technical difficulties, and must include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any GMS Help Desk or SAM tracking number(s).

**Note: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant’s request, and contacts the GMS Help Desk to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant’s failure to follow all required procedures, OJP will deny the applicant’s request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or GMS in sufficient time (SAM registration and renewal can take as long as 10 business days to complete).

- Failure to follow GMS instructions on how to register and apply as posted on the GMS website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls.

## E. Application Review Information

### Base funds and minimum awards

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

### **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. NIJ reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation. NIJ will also review applications to ensure statutory requirements have been met.

Pursuant to the Part 200 Uniform Requirements, before awards are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things, to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIIS").

**Important note on FAPIIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by applicants. The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants. OJP takes into account information pertinent to matters such as --

1. Applicant financial stability and fiscal integrity.
2. Quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies

4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, the Assistant Attorney General will make all final award decisions.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2017. OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official. The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed at the time of award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)", available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions



may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

### **General Information About Post-Federal Award Reporting Requirements**

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

In addition, Coverdell grantees are required to submit a final report that must, among other things: (1) include a summary and assessment of the program carried out with FY 2017 grant funds, (2) identify the number and type of cases accepted during the FY 2017 award period by the forensic laboratory or laboratories that received FY 2017 grant funds, (3) cite the specific improvements in the quality and/or timeliness of forensic science and medical examiner/coroner's office services (including any reduction in forensic analysis backlog) that occurred as a direct result of the FY 2017 grant award, and (4) detail the progress of any unaccredited forensic science service provider that received FY 2017 grant funds toward obtaining accreditation.

Further, as noted earlier under ["Eligibility,"](#) for each fiscal year of an award, recipients will be required to report to NIJ on an annual basis —

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

Future awards and fund drawdowns may be withheld if reports are delinquent.

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP web site at <http://ojp.gov/funding/FAPIIS.htm>

Data on performance measures. In addition to required reports, each recipient of an award under this solicitation also must provide data that measure the results of the work done under



the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352,

OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

## **G. Federal Awarding Agency Contact(s)**

For questions directed to the Federal Awarding Agency, see the title page.

For contact information for GMS, see the title page.

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify -- quite precisely -- any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply to messages it receives in this mailbox. A prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this solicitation document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

# Application Checklist

## Paul Coverdell Forensic Science Improvement Grants Program – Formula

This application checklist has been created as an aid in developing an application.

### What an Applicant Should Do:

#### *Prior to Registering in GMS:*

\_\_\_\_\_ Acquire a DUNS Number (see page 27)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 27)

#### *To Register with GMS:*

\_\_\_\_\_ For new users, acquire a GMS username and password\* (see page 27)

\_\_\_\_\_ For existing users, check GMS username and password\* to ensure account access (see page 27)

\_\_\_\_\_ Verify SAM registration in GMS (see page 28)

\_\_\_\_\_ Search for correct funding opportunity in GMS (see page 28)

\_\_\_\_\_ Register by selecting the “Apply Online” button associated with the funding opportunity title (see page 28)

\_\_\_\_\_ If experiencing technical difficulties in GMS, contact NIJ (see page 28)

\*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contacts designated within GMS at the time the account was established. Neither OJP nor the GMS Help Desk will initiate a password reset unless requested by the authorized official or a designated point of contact associated with an award or application.

### Overview of Post-Award Legal Requirements:

\_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)" in the OJP Funding Resource Center.

**Eligibility Requirement:** See Section [C. Eligibility Information](#)

### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)

\_\_\_\_\_ Intergovernmental Review (see page 17)

\_\_\_\_\_ Project Abstract (see page 17)

\_\_\_\_\_ Program Narrative (see page 17)

\_\_\_\_\_ Budget Detail Worksheet (see page 20)

\_\_\_\_\_ Budget Narrative (see page 20)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 23)

\_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 23)

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (if applicable) (see page 24)

\_\_\_\_\_ Additional Attachments

\_\_\_\_\_ Coverdell Statutory Certifications (see page 24)

\_\_\_\_\_ Certification as to Plan for Forensic Science Laboratories—Application from a State

- \_\_\_\_\_ Certification as to Generally Accepted Laboratory Practices and Procedures
- \_\_\_\_\_ Certification as to Forensic Science Laboratory System Accreditation
- \_\_\_\_\_ Certification as to Use of Funds for New Facilities
- \_\_\_\_\_ Certification as to External Investigations
- \_\_\_\_\_ External Investigations Attachment (see page 25)
- \_\_\_\_\_ Forensic Laboratory Accreditation Documentation (if applicable) (see page 25)
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 25)

## Appendix 1. Estimated Amount of FY 2017 Base Funds, by State.<sup>10</sup>

<p><b>*Note: If the amount a State would otherwise receive as its total Coverdell grant award, including both base funds and any competitive funds, is less than the minimum grant amount set by the Coverdell law, the total Coverdell grant award will be increased to the minimum grant amount, which is estimated to be not less than \$115,000. See “Available Funding” under “Program-Specific Information” for additional details.</b></p>			
Alabama	\$146,024	Nevada*	\$86,877
Alaska*	\$22,192	New Hampshire*	\$39,988
Arizona	\$160,563	New Jersey	\$210,649
Arkansas	\$89,502	New Mexico*	\$62,663
California	\$920,496	New York	\$465,501
Colorado	\$128,312	North Carolina	\$236,158
Connecticut	\$107,915	North Dakota*	\$22,747
Delaware*	\$28,428	Ohio	\$273,091
District of Columbia*	\$20,202	Oklahoma	\$117,545
Florida	\$476,682	Oregon	\$121,080
Georgia	\$240,204	Pennsylvania	\$301,053
Hawaii*	\$43,023	Rhode Island*	\$31,744
Idaho*	\$49,735	South Carolina	\$115,134
Illinois	\$302,405	South Dakota*	\$25,799
Indiana	\$155,663	Tennessee	\$155,207
Iowa	\$93,881	Texas	\$645,940
Kansas	\$87,502	Utah	\$90,035
Kentucky	\$132,985	Vermont*	\$18,814
Louisiana	\$140,367	Virginia	\$197,127
Maine*	\$39,950	Washington	\$168,612
Maryland	\$141,241	West Virginia*	\$55,420
Massachusetts	\$159,772	Wisconsin	\$135,714
Michigan	\$233,331	Wyoming*	\$17,614
Minnesota	\$129,089	American Samoa/ Northern Mariana Islands <sup>11*</sup>	\$3,206
Mississippi	\$89,927	Guam*	\$4,862
Missouri	\$143,058	Puerto Rico	\$104,408
Montana*	\$31,043	Virgin Islands*	\$3,113
Nebraska*	\$56,985		

<sup>10</sup> Under the provisions of the Coverdell law, several factors (including the number of eligible state applicants) affect “base” amounts. Additionally, as noted earlier in the text, as of the writing of this solicitation, the amount (if any) that will be made available for the Coverdell program for FY 2017 is not yet known. **All awards are subject to the availability of appropriated funds.**

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

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

U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
NATIONAL INSTITUTE OF JUSTICE  
**FY 2017 Coverdell Forensic Science Improvement  
Grants Program**

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

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

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

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

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

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Printed Name of Certifying Official

\_\_\_\_\_  
Title of Certifying Official

\_\_\_\_\_  
Name of Applicant Agency (Including Name of State)

\_\_\_\_\_  
Date

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

**FY 2017 Coverdell Forensic Science Improvement  
Grants Program**

Certification as to Generally Accepted Laboratory  
Practices and Procedures

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

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

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

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

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Printed Name of Certifying Official

\_\_\_\_\_  
Title of Certifying Official

\_\_\_\_\_  
Name of Applicant Agency  
(Including Name of State)

\_\_\_\_\_  
Date



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

**FY 2017 Coverdell Forensic Science Improvement  
Grants Program**

Certification as to Forensic Science Laboratory System Accreditation

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

Before receiving any funds under this grant, any forensic science laboratory system in the state, including any laboratory operated by a unit of local government within the state, that will receive any portion of the grant amount either—

a) is accredited by an accrediting body that is a signatory to an internationally recognized arrangement and that offers accreditation to forensic science conformity assessment bodies using an accreditation standard that is recognized by that internationally recognized arrangement, **or**,

b) is not so accredited, but will (or will be required in a legally binding and enforceable writing to) use a portion of the grant amount to prepare and apply for such accreditation not more than 2 years after the date on which a grant is awarded under the FY 2017 Paul Coverdell Forensic Science Improvement Grants Program.

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

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

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Printed Name of Certifying Official

\_\_\_\_\_  
Title of Certifying Official

\_\_\_\_\_  
Name of Applicant Agency  
(Including Name of State)

\_\_\_\_\_  
Date

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

**FY 2017 Coverdell Forensic Science Improvement  
Grants Program**

Certification as to Use of Funds for New Facilities

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

The amount of the grant (if any) used for the costs of any new facility or facilities to be constructed as part of a program to improve the quality and timeliness of forensic science and medical examiner services will not exceed the limitations set forth at 42 U.S.C. § 3797m(c) and summarized in the FY 2017 Coverdell Forensic Science Improvement Grants Program solicitation.

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

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

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Printed Name of Certifying Official

\_\_\_\_\_  
Title of Certifying Official

\_\_\_\_\_  
Name of Applicant Agency  
(Including Name of State)

\_\_\_\_\_  
Date

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

**FY 2017 Coverdell Forensic Science Improvement  
Grants Program**

Certification as to External Investigations

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

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

I personally read and reviewed the section entitled "Eligibility" in the Fiscal Year 2017 program solicitation for the Coverdell Forensic Science Improvement Grants Program. I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

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

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Printed Name of Certifying Official

\_\_\_\_\_  
Title of Certifying Official

\_\_\_\_\_  
Name of Applicant Agency  
(Including Name of State)

\_\_\_\_\_  
Date

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

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

# FY 2017 Coverdell Forensic Science Improvement Grants Program

## Attachment: External Investigations

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

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

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

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

Additional guidance regarding the “Certification as to External Investigations” appears in the [“Eligibility”](#) section of the program solicitation for the FY 2017 Coverdell program.

---

**Name of Applicant Agency (including Name of State):**

\_\_\_\_\_

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

## FY 2017 External Investigations Attachment (continued)

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

3.	_____	_____
		_____
4.	_____	_____
		_____
5.	_____	_____
		_____
6.	_____	_____
		_____
7.	_____	_____
		_____