



# The Evolution of NIJ DNA Programs





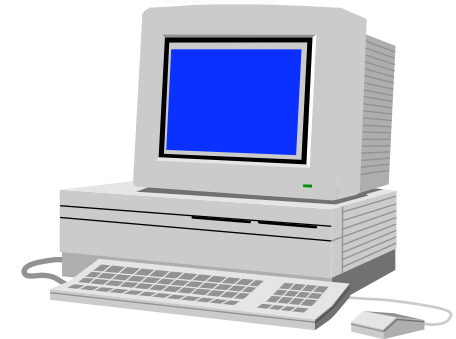
## **DNA Funding – The Final Frontier**

**Our 10 year mission is to determine what is needed, how to deliver the funds, and to proudly go where no man has gone before**





# FORENSIC DNA LABORATORY IMPROVEMENT PROGRAM



## Authorization of Appropriations

*(DNA Identification Act of 1994)*

FY96	\$1,000,000
FY 97	\$3,000,000
FY 98	\$5,000,000
FY 99	\$13,500,000
FY 00	\$17,500,000
<b>Total Funding</b>	<b>\$40,000,000</b>



## **No Suspect Casework DNA Backlog Reduction Program**

- FY 2000 - No Suspect cases were analyzed as a State's match for the convicted Offenders DNA Backlog Reduction Program.
- FY 2001 - No Suspect Casework developed into its own program
- Funding was delayed until FY 2002 because of September 11<sup>th</sup>



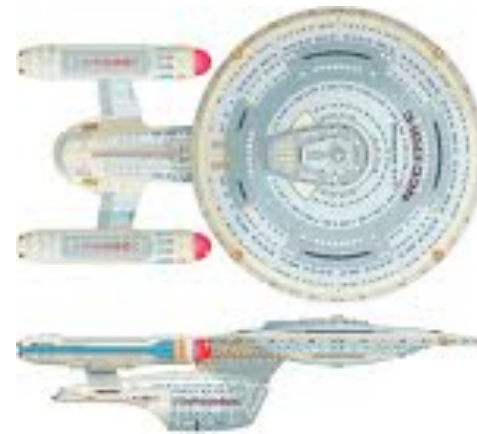
## No Suspect Casework DNA Backlog Reduction Program

	2001 / 2002	2003
States awarded	25	39
Total cases	24,888	29,706
Funds Awarded	\$28.5M	\$39.6M





# **The Next Generation – the DNA Initiative – designing a better ship**





## The President's DNA Initiative: Realizing the Full Potential of DNA Technology

- Announced by Attorney General Ashcroft on March 11, 2003
  - **Goals:** Use DNA technology to solve crime and protect the innocent
  - **Funding:** Proposed \$1 billion over 5 years to fulfill goals of the initiative
- \* Supported by the National Institute of Justice





## FY 2004 – 2006

### DNA Capacity Enhancement Program

**Purpose:** Improve the infrastructure and analysis capacity of existing State and local crime laboratories that conduct DNA analysis.

### Forensic Casework DNA Backlog Reduction Program

**Purpose:** Provide funding to existing State and local crime laboratories that conduct DNA analysis to identify and test backlogged forensic DNA casework samples.





## DNA Backlog Reduction Program

**2007** - NIJ combined the Capacity & Casework Programs

100% CAPACITY objectives

OR

100% CASEWORK objectives

OR

Combination of CAPACITY &  
CASEWORK objectives





## How much was funded 2004-2010?

### Funding for DNA Backlog Reduction Program

Year	Funding Provided	# Cases Funded
2004	\$66,567,851	29,414
2005	\$48,440,841	19,369
2006	\$55,412,877	16,057
2007	\$44,239,199	9,278
2008	\$53,245,922	30,350
2009	\$62,271,832	31,285
2010	\$64,811,981	32,400
<b>TOTAL</b>	<b>\$394,990,503</b>	<b>168,153</b>



## Convicted Offender Program



It is logical to assume that if one wants to solve crimes - we must provide funding to build the offender index in CODIS, as well as fund capacity and casework increases.



# The Next Generation – A Convicted Offender Backlog Reduction Program



**2000-2004** – Initially set up as awards to states to work cases in-house or to outsource, then the program switched to allow direct awards to vendors to work samples for states, then to NIJ setting up the outsource contract program

**2005** - Formation of a grant-based in-house testing program to work backlogged samples from convicted offenders



## How much was funded with all CO Programs (2005–2010)?

Fiscal Year	Funding Provided (in-house)	Funding Provided (outsourcing)	Total
2005	\$4,746,710	\$2,562,105	\$7,308,815
2006	\$6,669,608	\$9,741,077	\$16,410,685
2007	\$5,486,756	\$7,947,984	\$13,434,740
2008	\$6,022,421	\$790,208	\$6,812,629
2009	\$9,178,072	\$665,104	\$9,843,176
2010	\$4,349,119	\$299,256	\$4,648,375
<b>TOTAL</b>	<b>\$36,452,686</b>	<b>\$22,005,734</b>	<b>\$58,458,420</b>

\*Resulted in testing >1.8 million samples and >18,000 CODIS hits



# What's New For FY 11?





# Proposed FY 11 DNA Solicitation

- When we started putting together the FY 11 program we decided to look back at what we had done in the past and from that retrospective look – think about what we can do better
- We also considered comments and suggestions from our grantees



## Current Allowable Uses of DNA Backlog Funds

### Capacity Building:

- Hire new personnel, or temporary staff
- Training and travel of staff to training
- Purchase of laboratory equipment, robotic workstations, and computer equipment
- Supplies for validation of new DNA technologies
- Renovation of DNA laboratory space
- Purchase of DNA analysis software and Laboratory Information Management Systems( LIMS)
- Maintenance and service contracts on DNA laboratory instruments
- Process mapping or needs assessments

### •Casework Reduction:

- Outsourcing of backlogged cases to a private laboratory for testing
- Supplies to work cases
- Overtime for analysts to work more cases

- High degree of flexibility for grantees





## Current Allowable Uses of CO Backlog Funds

### Option 1 - In house analysis:

- Hire new personnel, or overtime for existing staff
- Supplies to process offender samples

### Option 2 - Outsourcing offender samples

- Overtime to review profiles returned from the outsource lab
- Contracts to outsource backlogged samples to private labs

### Option 3 - Data Review

- Overtime to review profiles returned from the outsource lab

• **All requests must be based on actual costs!**

• **VERY RESTRICTIVE USE OF FUNDS**

• **Asked ourselves – can we open this program up to allow the flexibility offered by the Backlog Program**

- No more than 3% of award funds can be used for administrative or indirect costs



## Convicted Offender Outsourcing CONTRACT Program

- Upon request, NIJ will work with AMD to establish federal government contracts for states with backlogs with private DNA labs.
- Easy for states as OJP does all the work of establishing contracts and payment of invoices, but it is labor intensive for OJP.
- In FY 10 only 2 small contracts were established.
- It is difficult to budget funds, as we don't know the costs until the bids have been received.
- We already offer outsourcing assistance to states through our grant program.
- **We asked ourselves if the contract program wasn't duplicative of our grant program.**



# Past Funding Allocations

- **DNA Backlog Reduction Program –**
- Allocations made based on a formula distribution tied to the UCR Part 1 violent crime rate in each state. A minimum funding level is established each year to ensure that smaller states are supplied with funding sufficient to purchase expensive equipment and supplies.
- **CO Program -**
- We funded 100% of eligible backlog and anticipated receipts requested
- This makes these discretionary awards really non-competitive awards
- Funding for this program comes off the top of the DNA Initiative funds, which reduces the funds we can distribute by formula
- Requests for assistance have been dropping from a high in FY 07, making it difficult to ensure that all program funds allocated are awarded
- Funding for the Convicted Offender Outsourcing Contract Program is also non-competitive and based on need.
- **We asked ourselves – is there a better way to disperse the funds?**



# FY 11 DNA Solicitation

- Combine the DNA Backlog and both Convicted Offender DNA programs into a single formula-based program
- Drop the DNA Unit Efficiency Program
- Drop the Convicted Offender Contract Outsourcing Program



## Why Roll All DNA Programs Into One Solicitation?

- Eliminate duplication of programs
- Decrease number of awards/applications received and that have to be managed
- All funds would be distributed by formula, which does away with the discretionary (non-competitive) awards and contracts
- Allow grantees greater flexibility in the use of funds as best meets their needs



# Priorities

- Violent crimes against the person would take priority over property crimes, but once the violent crimes have been addressed – funds requested for casework operations may be used to support any DNA case in backlog
- Funds for the Databank operation would be used for the Databank. If all Databank operational needs have been met, funds may be used for casework.
- Capacity building funds would be used for either the Databank or Casework operational sections of the DNA lab.



## Advantages to Grantees

- CODIS labs would submit a single application for casework and offender needs
- Provide state labs with more flexibility to move funds between casework and offender testing needs.
- All State labs that have offender operations would be able to receive funds to support their database laboratory operations – under the old system they could only obtain funds based on needs for limited purposes.



# Impact on Grantees

- The merging of the programs would have no impact on laboratories associated with units of local government.
- The merger would only impact state labs which have the responsibility to test and upload offender profiles to CODIS
- The solicitation would have 2 separate funding allocations (1 for casework and 1 for offender testing)
- State labs would submit a single application based on their allocation of casework funds + the allocation for offender testing





# How would funds be allocated?

## **Backlog Funding:**

The estimated aggregate amount that NIJ expects to award to eligible applicants within each State (including eligible units of local government) are based on that state's UCR, Part 1 Violent Crimes.

For FY 2011, a minimum would be set for the aggregate amount available to eligible applicants from a State. If the aggregate amount that would otherwise have been made available for FY 2011 to applicants from a State (including units of local government in the State) would have been less than \$150,000, that aggregate amount would be increased to \$150,000.

## **Offender Funding:**

The estimated aggregate amount that NIJ expects to award to eligible applicants in each State would be based on that state's number of offender profiles uploaded to CODIS as published on the FBI CODIS website.

For FY 2011, a minimum would be set for the aggregate amount available to eligible applicants from a State. If the aggregate amount that would otherwise have been made available for FY 2011 to applicants from a State would have been less than \$50,000, that aggregate amount would be increased to \$50,000.



## Other Benefits

- With new proposed legislation - Congress is making it clear that they want to increase the database of offenders (convicted offenders, arrestees, and federal detainees) in CODIS
- Distribution of CO funds by a formula based on offender submissions to CODIS actually provides an incentive to states to increase collection of offender samples and importing the profiles into CODIS.
- Incentives (in the form of additional funding) is a much more palatable means of meeting this end than imposition of penalties on grant funds for failure to increase collections of offender samples.



## How would the funding table look in FY 11?

State	DNA	Databank
ALASKA	\$206,453	\$50,000
ARIZONA	\$1,397,977	\$150,476
ARKANSAS	\$685,603	\$137,640
CALIFORNIA	\$8,727,007	\$1,071,620
COLORADO	\$772,359	\$210,543



# Award Period

- We currently require grantees with open awards approaching 3 years old to file a spend plan and have it approved prior to applying for new year funds. The spend plans give the grantee the option to extend their award past the three year mark.
- We will do away with the requirement to submit a spend plan, and instead have the authority to deny any requests to extend an award for more than 3 years.



**Have we got a surprise for you!**





# A form fillable application!

Application Form | FY2011

## Application Form for....

Agency Name: \_\_\_\_\_

Application Number: \_\_\_\_\_

Grant Point of Contact: \_\_\_\_\_ Email: \_\_\_\_\_

Federal Assistance Funding Requested: \_\_\_\_\_

### INSTRUCTIONS:

Please complete all of the following fields. If there is an area that does not pertain to your agency choose "N/A", if available, or make a note in the "Additional Comments" section at the end of this application form. Any additional paperwork, forms, certifications, etc. can be uploaded to GMS along with this completed application form.

Please indicate that the following materials (if applicable) have been submitted along with this completed form:

- SF424 .....Yes  N/A
- Budget Narrative .....Yes  N/A
- Budget Detail Worksheet (OJP version) .....Yes  N/A
- Resumes of Key Personnel .....Yes  N/A
- Accreditation Certificate w/ Scope of Accreditation .....Yes  N/A
- Standard Assurances Form .....Yes  N/A
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements .....Yes  N/A
- NEPA waiver letter (if applicable) .....Yes  N/A
- Indirect Cost Rate Agreement (if applicable) .....Yes  N/A
- Accounting System & Financial Capability Questionnaire (if applicable) .....Yes  N/A
- Disclosure of Lobbying Activities (if applicable) .....Yes  N/A

### ABSTRACT

What are the Program Goals & Objectives?



# A form fillable application!

Application Form **FY2011**

## Application Form for....

Agency Name: National Institute of Justice

Application Number: 12345

Grant Point of Contact: Joe Smith Email: email@usdoj.gov

Federal Assistance Funding Requested: \$100,000

Type in your relevant information. All other fields are locked.

### INSTRUCTIONS:

Please complete all of the following fields. If there is an area that does not pertain to your agency choose "N/A", if available, or make a note in the "Additional Comments" section at the end of this application form. Any additional paperwork, forms, certifications, etc. can be uploaded to GMS along with this completed application form.

Please indicate that the following materials (if applicable) have been submitted along with this completed form:

- SF424 ..... Yes  N/A
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- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements ..... Yes  N/A
- NEPA waiver letter (if applicable) ..... Yes  N/A
- Indirect Cost Rate Agreement (if applicable) ..... Yes  N/A
- Accounting System & Financial Capability Questionnaire (if applicable) ..... Yes  N/A
- Disclosure of Lobbying Activities (if applicable) ..... Yes  N/A

Check boxes. Simply click the box and an "x" will appear.

### ABSTRACT

What are the Program Goals & Objectives?

achieving the goals. Once an award has been granted, the abstract is computerized and serves as a summary available to all interested parties for the duration of the grant.

3. Program Narrative: The program narrative must address the objectives, expected results, and the implementation approach. Applicants must provide information showing that they meet the eligibility requirements indicated on page 3. Applicants must provide a detailed plan showing how they intend to use FY 2010 Forensic DNA Backlog Reduction Program funds to meet the goals of the program: reducing forensic DNA sample turnaround time, increasing the throughput of the public DNA laboratory, and reducing the DNA forensic casework backlog. Applicants should discuss how they intend to identify and address bottlenecks in the DNA analysis process.

When text is entered beyond the size of the text box, a scroll bar will automatically be created so there is no limit to the amount of text entered.



# A form fillable application!

Application Form **FY2011**

What is your Project Plan?

What are your Methods for Achieving those Goals?

Additional Comments:

Project Narrative:

ELIGIBILITY:

1. Are you a State or unit of local government?..... Yes  No

Statement:

2. Do you have an existing crime laboratory?..... Yes  No

Statement:





# A form fillable application!

Application Form | FY2011

What is your Project Plan?

significantly impact the DNA laboratory's backlog and/or capacity and that may negatively impact a project's expected results.  
 Where possible, baseline backlog data, as requested in the table above, in the section entitled "Performance Measures."  
 Units of local government must specify in the program narrative the proportion of the State's total number of UCR, Part 1 Violent Crimes they reported to the FBI for 2008. If 2008 data is not available, the most recent data may be submitted in its stead.  
 Page limit: The program narrative section of your proposal is expected not to exceed 10 double-spaced pages in 12-point font with 1-inch margins. Abstracts, tables of contents, charts, figures, appendices, and government



What are your Methods for Achieving those Goals?

Plan for Collecting the Data Required for Performance Measures: The data collection plan is a description of the applicant's plan for collecting the data required for performance measures. Applicants must discuss this plan in their applications. The plan must describe how the performance measure data will be derived, state who will be responsible for  
 OMB No. 1121-0329  
 Approval Expires 02/28/2013  
 18  
 collecting the data, and state that the data will be available for review 3 years post award, as required. The data collection plan should be rigorous to ensure that the performance measure data provided are accurate



When you click on the text box the scroll bar will appear. If you are not in the text box, there will be a black box in the bottom right corner indicating there is further text beyond what is visible to the eye.

Additional Comments:

N/A

Project Narrative:

ELIGIBILITY:

1. Are you a State or unit of local government?..... Yes  No

Statement: Eligible applicants for funding under this solicitation are States and units of local government with existing crime laboratories that conduct DNA analysis

2. Do you have an existing crime laboratory?..... Yes  No

Statement:



# Form Fillable Application

- We will also provide you with a completed example to use as a model when completing your application, and which provides guidance on what you need to cover in the application.



# Review Checklist...

FY 2010 Forensic DNA Backlog Reduction Program Application Review Checklist	
Agency	
Application Number:	
Grant Point of Contact	
Email:	
<b>Instructions:</b>	
The NIJ Program Office will use this review checklist to assess if the applicant has submitted all required documents and information.	
If the application is not complete, or needs to be updated, the Program Office will send this review checklist to the grantee via e-mail so they can use it as a guide to complete or update their application. The Program Office will also establish a deadline for the resubmission of change requested applications to GMS. This will be a short deadline, as all applicants were expected to submit applications that were complete and accurate by the solicitation end date. The Program Office will change request the application back to the grantee via GMS for this update.	
The applicant should carefully review this document and make sure each comment is fully addressed, and all required documents have been submitted before they resubmit their application for further consideration.	
<b>Application for Federal Assistance—Standard Form 424:</b>	
Is the application page complete and accurate?	Yes <input type="checkbox"/> No <input type="checkbox"/> Maybe <input type="checkbox"/>
Comments:	
<b>SF-424 Standard Items:</b>	
• Item 8:	
Is the Type of Application "New"?	Yes <input type="checkbox"/> No <input type="checkbox"/>
• Item 9:	
Is the Name of Federal Agency—"National Institute of Justice"?	Yes <input type="checkbox"/> No <input type="checkbox"/>
• Item 10:	
Is the CFDA Number "16.741"?	Yes <input type="checkbox"/> No <input type="checkbox"/>
• Item 11:	
Does the Descriptive Title follow the format "FY2010 Forensic DNA Backlog Reduction Program – [Applicant]"?	Yes <input type="checkbox"/> No <input type="checkbox"/>
• Item 13:	
Are the Proposed Project Dates "October 1, 2010 to March 31, 2012"?	Yes <input type="checkbox"/> No <input type="checkbox"/>
• Item 16:	
Is Application Subject To Review By State Executive Order 12372 Process?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Did the applicant use the agency name, address, and vendor number assigned to that agency and do they match the material sent to the applicant?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
<b>From FMIS2:</b>		
Vendor #	Legal Name	Address
<b>From SF-424:</b>		
FEIN #	Legal Name	Address
<b>From GMS Application</b>		
Vendor #	Legal Name	Address
Does the federal assistance requested match the dollar amount approved in the Solicitation table (Appendix 1, p19) or in the State funding split if multiple laboratories are applying in this State?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Approved Amount:		
Comments:		
<b>Does the federal assistance requested match the budget figures in the detail budget worksheet?</b>		
Budget Total Amount	Award Amount:	
Comments:		
<b>Abstract:</b>		
Was an abstract submitted that provides a clear and concise statement of the proposal goals and objectives?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Comments:		
<b>Abstract Required Components:</b>		
• Program goals & objectives	Yes <input type="checkbox"/> No <input type="checkbox"/>	
• Project plan(s)	Yes <input type="checkbox"/> No <input type="checkbox"/>	

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