



## **REQUEST FOR APPLICATIONS (RFA)** **2018-2019 Aid to Crime Laboratories**

### **KEY DATES AND NOTICES:**

Release Date of RFA	Tuesday, April 24, 2018
Submission Deadline:	Tuesday, May 22, 2018 by 12 Noon
Estimated Total Program Funding:	\$6.2 million
Anticipated Number of Awards:	18
Deadline for Final Submission of Questions Regarding this RFA:	Wednesday, May 2, 2018
Response to Questions Regarding this RFA Posted:	Wednesday, May 9, 2018 (on or about)
Notification of Award(s):	Wednesday, June 13, 2018 (on or about)
Anticipated Contract Start Date:	July 1, 2018

1. Applications must be received by the submission deadline on-line via the DCJS Grants Management System (GMS). **Applicants who are not registered to access GMS will need to obtain user access to respond to this Solicitation.** See Appendix: *DCJS Grants Management System (GMS) Instructions and Helpful Hints*.
2. Questions regarding this RFA must be emailed to [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov). Responses to the questions will be posted on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/index.htm> on or about date indicated above. If the applicant has any general questions such as, "Did DCJS receive my e-mail?" please call (518) 457-9787. Please note that DCJS cannot answer substantive questions concerning this RFA in any manner other than the e-mail method.
3. Applicants will be advised of award decisions by a letter of notification, which will be emailed to the address provided by applicant in GMS. Where applicable, applicants not receiving an award will receive notification via email and by U.S. Postal Service mail. A debriefing is available to any entity that submitted a proposal or application in response to this RFA who is not successful in receiving an award. (See Section: Notification of Awards.)
4. Unless otherwise modified by DCJS, the contract period for this grant opportunity will be for a 1-year term beginning on July 1, 2018 and ending on June 30, 2019.
5. Funding is available to accredited public forensic laboratories as outlined in the RFA.

# 2018-2019 Aid to Crime Laboratories

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## **I. INTRODUCTION**

The New York State Division of Criminal Justice Services (DCJS) seeks applications to enhance the efficiency, effectiveness, reliability, and accuracy of laboratory services provided by forensic laboratories in New York State (NYS). Subject to available appropriation, approximately \$6.2 million will be made available to fund eligible accredited public forensic laboratories across NYS.

DCJS is committed to providing programs that improve the effectiveness of New York's justice system. Applications will be rated in accordance with RFA requirements and selected for funding consistent with the best interest of the state. Applicants are encouraged to demonstrate in their response to this solicitation how their proposal supports New York's commitment to public safety.

DCJS enhances public safety by providing resources and services that inform decision making and improve the quality of the criminal justice system. DCJS is a multi-function criminal justice support agency with a variety of responsibilities, including collection and analysis of statewide crime data; operation of the DNA databank and criminal fingerprint files; administration of federal and state criminal justice funds; and identifying and funding programs that reduce crime, recidivism, and victimization.

## **II. FUNDING, APPLICANT ELIGIBILITY AND CONTRACT TERM**

### **A. Funding**

Subject to available appropriation, approximately \$6.2 million will be made available to support accreditation and recurring laboratory costs. All funding must support program efforts that will be accomplished during the contract period. Funding under this program must supplement, not supplant, non-grant funds that would otherwise be available for expenditure on the programs proposed.

New to this year's application for funding is the use of penalties tied to certain reporting requirements. Penalties of up to 15% of the grant award shall be applied if program specific reports are not submitted to DCJS according to the timelines provided in section VII of this RFA. Such penalties will be applied against the total contract value and any contract award amount would be reduced upon DCJS' determination that reporting requirements have not been met, unless extenuating circumstances of any delay in reporting has been approved in writing by DCJS.

### **1. Availability and Approved Use of State Funds**

Contingent upon successful application, eligible accredited laboratories will receive a predetermined award amount. See Appendix: *2018-2019 Aid to Crime Laboratories Award Allocations* for individual award amounts available to crime laboratories for the 2018-2019 contract cycle. Please note, the enacted New York

State budget for State Fiscal Year (SFY) 2018-19 provides the same appropriation amount for this program as in SFY 2017-2018.

Any laboratory that requests more than their predetermined allocation as provided in Appendix: *2018-2019 Aid to Crime Laboratories Award Allocations* will be required to submit a revised budget for the correct amount.

Awards are to be used to support recurring laboratory costs which maintain the timeliness and quality of forensic services performed within the laboratory. Eligible costs supported under this initiative include:

- Personnel salaries;
- Fringe benefits (for personnel salaries only; not to exceed current state guidelines);
- Overtime and related expenses;
- Consultant services;
- Equipment;
- Supplies; and
- Costs directly related to accreditation (including training).

Funding requests should prioritize continued support of existing positions providing direct forensic services.

Applicants that request funding to train laboratory personnel must provide DCJS' Office of Forensic Services specific details about the training for laboratory personnel ninety (90) calendar days prior to the training being offered.

Ineligible costs include:

- Capital construction and renovation;
- Indirect costs; and
- The purchase of firearms or other deadly weapons.

Applicants whose funding requests do not meet program objectives will be required to revise their requests.

## **B. Applicant Eligibility Requirements**

To receive funding under this grant program, applicants must meet the following criteria:

1. Applicants must meet the definition of a public forensic laboratory as set forth in Executive Law §995 (1) and (2);
2. Applicants must represent a county or municipal government; and

3. Applicants must be accredited by either the ANSI-ASQ National Accreditation Board (ANAB) or the American Board of Forensic Toxicology (ABFT); and NYS.

Accordingly, the following laboratories are eligible to apply for funding:

- Erie County Department of Central Police Services Forensic Laboratory
- Erie County Medical Examiner's Office, Forensic Toxicology Laboratory
- Monroe County Crime Laboratory
- Monroe County Office of the Medical Examiner Forensic Toxicology Laboratory
- Nassau County Office of the Medical Examiner Toxicology Laboratory
- Nassau County Office of the Medical Examiner Division of Forensic Services
- New York City Police Department Police Laboratory
- New York City Office of the Chief Medical Examiner, Department of Forensic Biology
- New York City Office of the Chief Medical Examiner, Forensic Toxicology Laboratory
- Niagara County Sheriff's Department Forensic Laboratory
- Onondaga County Center for Forensic Sciences
- Onondaga County Health Department Forensic Toxicology Laboratory
- Suffolk County Crime Laboratory
- Suffolk County Office of the Chief Medical Examiner, Toxicology Laboratory
- Westchester County Department of Laboratories & Research, Division of Forensic Science
- Westchester County Department of Laboratories & Research, Division of Forensic Toxicology
- Westchester County Department of Public Safety Crime Laboratory
- Yonkers City Police Department Forensic Science Laboratory

### **C. Contract Term**

Grant award agreements, unless otherwise modified by DCJS, will be for a term of one year, effective July 1, 2018 to June 30, 2019. Applicants should ensure that all costs can be encumbered by the contract end date of June 30, 2019. Any unused funds will be redistributed pursuant to a plan approved by the Executive Deputy Commissioner of DCJS or his designee.

## **III. PROGRAM DESCRIPTION**

The goal of this program is to improve the efficiency, effectiveness, reliability, and accuracy of laboratory services within New York State's forensic laboratories. The main objective is to enhance the capacity of local crime laboratories to process evidence submissions in a timely

manner. Funding should be used to obtain or retain personnel, consultants, and non-personal service resources to expand or enhance laboratory casework capacity. Funding for overtime may be used to provide additional analytical bench hours, increasing throughput and reducing backlog. Through the purchase of necessary laboratory equipment, laboratories will improve both the quality and efficiency of services and maintain compliance with New York State accreditation standards. Use of funds to support costs directly related to accreditation, including training, will enhance the reliability and accuracy of laboratory services.

#### **IV. EVALUATION AND SELECTION**

##### **Tier I Evaluation – Threshold Pass/Fail**

The Tier I Evaluation assesses whether the application has satisfied minimum “pass/fail” criteria for funding. All applications will be initially screened by DCJS reviewers to determine their completeness using the following criteria:

- Application was received by the published deadline; and
- Applicant is eligible as defined by this solicitation.

The submitted application shall include:

- Budget detail and justification provided in GMS itemizing operating expenses in support of the program;
- Completed Program Work Plan, per instructions provided; and
- All attachments and required documents (see Checklist at the end of this document).

Tier I Evaluation criteria will receive pass/fail ratings. Any applicant that does not meet each of these conditions may be subject to disqualification from further review. DCJS may, at their discretion, request additional information from an applicant as deemed necessary.

##### **Tier II Evaluation – Evaluation and Scoring – Threshold Pass/Fail**

DCJS staff reviewers will evaluate applications that successfully pass the Tier I Evaluation. A standard rating tool will be used to evaluate the budget requests to ensure requested items are allowable as outlined in this RFA. DCJS reserves the right to allow applicants to correct minor omissions or technical errors.

DCJS’ Executive Deputy Commissioner or his designee will make final decisions regarding approval and individual award amounts based on the quality of each submission, the recommendations of the reviewers, and specific criteria set forth in this RFA.

Final award decisions will be made by DCJS in accordance with the best interests of the State. Nothing herein requires DCJS to approve funding for any applicant.

## V. APPLICATION SPECIFIC REQUIREMENTS AND SUBMISSION

Applications must be submitted to DCJS using the Grants Management System (GMS). First time GMS users should download the GMS User Manual located at <http://www.criminaljustice.ny.gov/ofpa/gms.htm>. If you need assistance with accessing and using GMS, please contact the DCJS Office of Program Development and Funding (OPDF) GMS Help Desk at (518) 457-9787. **The DCJS GMS Help Desk is available Monday through Friday between the hours of 9:00 am and 5:00 pm. However, applicants should note specific RFA submission deadlines.**

One application should be submitted for each eligible laboratory, as listed in Appendix: *2018-2019 Aid to Crime Laboratories Award Allocations*.

The following information is specific to this RFA. For general guidance and GMS Helpful Hints see Appendix: *Grants Management System (GMS) Instructions and Helpful Hints*.

### 1. Starting an Application in GMS

To submit an application in GMS, log on to the system and click on “Project.” Click the “New” button at the top of the project grid. This will take you to a screen that says, “Select a Program Office.” Using the drop-down box, find and select the name of program Aid to Crime Labs. Click “Create Project.” Your application will now be ready to complete.

### 2. Completing the Application

Applicants are encouraged to complete the GMS registration as well as the registration and/or pre-qualification on the NYS Grants Gateway System, where applicable, early to avoid any concerns with these automated systems. Grants Gateway prequalification and GMS signatory registration **must** be complete prior to the submission of an application.

Each application will consist of the following components that must be completed using GMS:

- Participant name(s);
- Contact information for all participating agencies per application;
- Project budget (see below);
- Project work plan (see below); and
- Any required attachments, as described in the RFA

### 3. Completing the Aid to Lab Application Budget

- Using the Budget Detail Worksheet and Budget Narrative sheet as a guide, enter the operating budget directly into the Budget module “tab” of the GMS application. Prepare a line item budget, including justification, by appropriate category of

expense (e.g., Personnel, Fringe Benefits, Consultants, etc.). All funded positions should clearly indicate the general duties, full annual salary of the position, hours worked per week, and proposed hours or percentage FTE supported by the grant. Submitted budgets should reflect total projected costs for a 12-month contract period and be limited to eligible costs. Operating budgets must not exceed the applicant's eligible award amount.

- The detailed budget for the grant period must be complete and provide sufficient detail. It must also be reasonable and appropriate, as determined by DCJS, and directly tied to the work plan. For subcontracted agencies approved to provide services, where applicable, upload signed and executed agreements and the subcontractor's approved operating budget using the Attachment Module on GMS.
- **Consultant Services:** All consultant services must be obtained in a manner that provides for fair and open competition. The rate for a consultant should not exceed \$650 for an eight-hour day (not including travel and subsistence costs). A rate exceeding \$650 per eight-hour day requires prior written approval from DCJS and may be approved on a case-by-case basis where adequate justification is provided and expenses are reasonable and allowable. A grant award recipient obtaining consultant services that cost in excess of \$10,000 must use a competitive bidding process. A grant award recipient who proposes to obtain consultant services from a particular vendor without competitive bidding, will be required to obtain the prior written approval of DCJS. The request for approval must be in writing and set forth, at a minimum, a detailed justification for selection and basis upon which the price was determined to be reasonable. Further, such consultant services must be in accordance with the guidelines, bulletins and regulations of the NYS Office of the State Comptroller, State Procurement Council and, if applicable, the U.S. Department of Justice.

Note:

- **Not-for-Profits:** Funding for indirect costs, including administrative, is capped at a rate of 15%.
- **Governmental Organizations:** Indirect costs are not an allowable expense for governmental organizations.

#### 4. Completing the Aid to Lab Application Workplan

Within the **Work Plan** module of your GMS application, enter the following standard Work Plan:

**Project Goal:** The goal of this program is to improve the efficiency, effectiveness, reliability, and accuracy of laboratory services within New York State's forensic laboratories.



**Objective 1:** To enhance the capacity of local crime laboratories to process evidence submissions in a timely manner.

**Task 1:** To obtain and retain necessary personnel, consultants and non-personal service resources to expand and enhance the laboratory's casework capacity.

**Performance Measures for Task 1:**

- a. Number and discipline(s) of personnel hired/retained/supported utilizing grant funds.
- b. Number and discipline(s) of consultants hired/retained/supported utilizing grant funds.
- c. Non-personal service resources obtained/supported during grant quarter.

**Task 2:** To maintain the laboratory's New York State accreditation, pursuant to New York State Executive Law Article 49-B.

**Performance Measure for Task 2:**

1. Contemporaneous submission to DCJS' Office of Forensic Services of all written communications between the laboratory and its accrediting body pertaining to the laboratory's accreditation.
2. Timely submission of Quarterly Workload Survey to DCJS' Office of Forensic Services.
3. Timely submission of Annual Laboratory Summary to DCJS' Office of Forensic Services.
4. Timely submission of Annual Performance Declaration to DCJS' Office of Forensic Services.

**Task 3:** Obtain necessary laboratory equipment to maintain accreditation, eliminate bottlenecks, reduce backlog, increase throughput, and improve quality of analysis.

**Performance Measures for Task 3:**

1. The date equipment was purchased or leased with grant funds; and
2. The date equipment validation was completed and/or brought into service.

**Task 4:** Utilize overtime to increase the number of analytical bench hours thereby increasing throughput and reducing backlog.

**Performance Measures for Task 4:**

1. The amount of overtime hours utilized during the reporting period; and
2. The number of area case assignments, broken out by section, completed utilizing

grant-funded overtime.

**Task 5:** Support costs directly related to accreditation, including training.

**Performance Measures for Task 5:**

1. Describe accreditation fees for the reporting period.
2. Number of proficiency tests purchased during the reporting period.
3. Number of proficiency tests completed during the reporting period.
4. Number of personnel trained using funds during the reporting period (include course title).
5. Describe other accreditation-related expenses during the reporting period.

**5. Completing the Application**

When all the above requirements and GMS Application components are completed, click the “**Submit**” button. Once all fields are complete and you submit successfully, GMS will display a screen that says “*Your application has been submitted.*”

**VI. NOTIFICATION OF AWARDS**

Applicants approved for funding will be notified in writing by DCJS via email to the email address provided in GMS. The terms of the final contract agreement are subject to negotiation between DCJS and the grantee.

For those not approved to receive funding awards, notifications will be both emailed to the contact person and sent by U.S. Postal Service mail.

A debriefing is available to any entity that submitted a proposal or application in response to this solicitation and was not successful in receiving an award. Applicants will be accorded fair and equal treatment with respect to an opportunity for a debriefing. A debriefing shall be requested in writing by the unsuccessful Applicant within 15 calendar days of being notified in writing by DCJS that the Application was not selected for an award.

An unsuccessful Applicant’s written request for a debriefing must include specific questions that the Applicant wishes to be addressed, and must be submitted to DCJS via the funding mailbox at [dcjsfunding@dcjs.ny.gov](mailto:dcjsfunding@dcjs.ny.gov) with the following in the subject line: **Request for Debriefing 2018-2019 Aid to Crime Laboratories**. The debriefing shall be scheduled to occur within 30 business days of receipt of written request by DCJS or as soon after that time as feasible.

The preferred method for the debriefing will be in-person, however, upon mutual agreement by all parties, another means such as via telephone, webinar, or any combination thereof may occur.

## VII. REQUIRED REPORTING

### ***GMS Quarterly Progress Reporting***

All grantees will be required to submit quarterly progress reports via GMS that describe quarterly performance and activities in support of the project Work Plan entered in GMS.

### ***Quarterly Fiscal Reports***

All grantees will be required to submit quarterly fiscal reports and claims for payment.

### **Reporting Due Dates:**

GMS Progress Reports and Fiscal Claims for Payment (formerly known as State-Aid Vouchers) named above are due to DCJS by the following dates:

<b><u>Calendar Quarter</u></b>	<b><u>Due Date</u></b>
July 1 - September 30	October 31
October 1 - December 31	January 31
January 1 - March 31	April 30
April 1 - June 30	July 31

## **IMPORTANT INFORMATION: Additional Aid to Labs Program Specific Reporting**

### **Penalties Pertaining to Lack of Reporting**

Unless extenuating circumstances of any delay in reporting has been approved in writing by DCJS, failure to submit the required program specific reports listed below by the required due dates as indicated, shall result in a penalty of up to 15% of the total grant contract amount. Should the following reports not be submitted as required, DCJS will execute a budget amendment to reduce the contract amount by the total penalty being applied to the current grant or reduce future award amounts.

### ***Workload Survey (WLS) Reports – Due Dates***

<b>Quarter</b>	<b>Date Range</b>	<b>Report Due</b>
Q1	July 1 – September 30	October 31
Q2	October 1 – December 31	January 31
Q3	January 1 – March 31	April 30
Q4	April 1 – June 30	July 31

**Note:** Failure to submit quarterly WLS Reports to DCJS' Office of Forensic Services by the due date shall result in a penalty of up to 4% (1% for each report), unless extenuating circumstances in delay of reporting has been approved in writing by DCJS.

### ***Annual Laboratory Summary (ALS) Report***

During January of 2019, the DCJS Office of Forensic Services accreditation staff will provide written notification to all awardees of the submission deadline.

**Note:** Failure to submit the ALS Report to DCJS' Office of Forensic Services by the due date shall result in a 3% penalty, unless extenuating circumstances in delay of reporting has been approved in writing by DCJS.

***Annual Performance Declaration (APD) Report***

On or about February 1, 2019, DCJS' Office of Forensic Services accreditation staff will request the APD Report for the previous calendar year and provide approximately 6 weeks written notification of the report deadline.

**Note:** Failure to submit the APD Report to DCJS' Office of Forensic Services by the due date shall result in a penalty of 8%, unless extenuating circumstances in delay of reporting has been approved in writing by DCJS.

## **VIII. ADMINISTRATION OF CONTRACTS**

DCJS will negotiate and develop a contract with each successful applicant. If DCJS and the successful applicant cannot agree to contract terms within ninety days of notification of selection for award DCJS reserves the right to rescind the award and redistribute the funds.

### **Contract Approval**

A grant contract of \$50,000 or greater is subject to approval by the NYS Office of the Attorney General (OAG) and the Office of the State Comptroller (OSC) before funding may be disbursed. For contracts subject to the approval of the Attorney General and the Comptroller of the State of New York, the Contract shall be of no force and effect until said approval has been received and indicated thereon.

### **Contract Term**

DCJS will enter into a contract period as noted in this solicitation. DCJS reserves the right to modify the contract term in the best interests of the State.

### **Contract Activities**

All activities must have prior approval from DCJS and meet the guidelines established by the State of New York.

### **Contract Changes**

Contracts resulting from this solicitation may be executed, increased, terminated, renewed, decreased, extended or amended or renegotiated for any reason at the discretion of the Executive Deputy Commissioner of DCJS as a result of contractual performance, changes in project conditions, or as otherwise may be in the best interests of New York State.

### **Records**

The grantee will keep books, ledgers, receipts, personnel time and effort records, consultant agreements and inventory records pertinent to the project and consistent with DCJS contractual

provisions and mandated guidelines. In accordance with the standard contract Appendix A-1 (see “Standard Contract Provisions” below), grantee staff whose salaries are paid in whole or in part from grant funds shall maintain a time recording system that shows the time and effort devoted to the grant project.

### **Liability**

Nothing in the contract between DCJS and the grantee shall impose liability on the State of New York for injury or damages incurred during the performance of approved grant activities or caused by the use of equipment purchased with grant funds.

### **Payments**

Payments to reimburse project expenses will be made pursuant to a schedule specified in the contract between the State of New York and the grant award recipient. Where applicable, performance-based expenses will be reimbursed in compliance with the contract milestone performance and costs budget and the project work plan.

### **Reports**

The grantee shall submit all reports to DCJS in a format and time frame as specified in the contract. Quarterly progress reports shall include a description of the grantee’s efforts undertaken during the reporting period and the current status of the project. The quarterly progress reports of the grantee’s activities under this contract must be submitted electronically as directed by DCJS. Independent of any reporting schedule, all grantees will be required to inform DCJS of any program issues that are significantly impacting program performance. Any project funded under this solicitation must comply with the requirements established by DCJS. The grantee agrees to submit any other reports considered relevant by DCJS.

### **Performance Review**

The grantee's performance in all areas mentioned above, in addition to the services contracted for, will be monitored periodically by DCJS and will take the form of site visits, program file review, written and telephone communication, and any other methods deemed necessary by DCJS to ascertain the quality and quantity of grantee activities.

### **Disposition of Allocations**

DCJS reserves the right to reject applications, deny awards, or defer applications for future consideration based on insufficient information in the application, lack of accompanying documentation, the inappropriateness of the project proposed, an organizational history of unsuccessful projects of a similar nature, or a history of contract non-compliance.

### **Revocation of Funds**

Funds awarded to an applicant who does not implement an approved project within 90 calendar days of the contract start date may be revoked and redistributed at the discretion of the Executive Deputy Commissioner of the DCJS or his or her designee.

### **Encouraging Use of New York State Businesses in Contract Performance**

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the State and the nation. In recognition of their economic activity and leadership in doing business in New York State, applicants for this solicitation are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract(s) resulting from this solicitation. Such partnering with New York State businesses may be as subcontractors, suppliers, protégés or other supporting roles. To assist in demonstrating commitment to the use of New York State businesses in the performance of the contract(s), all applicants must complete the form provided on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/forms.htm> entitled: *Encouraging Use of New York State Businesses in Contract Performance* and submit the completed form as an attachment to the their application in GMS. There are no points attributable to this component of the application.

### **Use of Service-Disabled Veteran-owned Business Enterprises in Contract Performance**

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at [https://ogs.ny.gov/Veterans/Docs/CertifiedNYS\\_SDVOB](https://ogs.ny.gov/Veterans/Docs/CertifiedNYS_SDVOB).

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law. Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal performance under the contract, thereby fully benefiting the public-sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders/proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

Bidders/proposers can demonstrate their commitment to the use of SDVOBs by responding to the questions on the form located at [http://www.criminaljustice.ny.gov/ofpa/pdfdocs/Veteran\\_Owned\\_Business\\_Form.pdf](http://www.criminaljustice.ny.gov/ofpa/pdfdocs/Veteran_Owned_Business_Form.pdf) and attach the completed form, along with your Application, to the NYS Division of Criminal Justice Services' Grants Management System (GMS). There are no points attributable to this component of the

application.

### **Standard Contract Provisions**

Any contracts negotiated as a result of this solicitation will be subject to the provisions of Appendix A, Appendix A-1, Appendix C and Appendix M, which contain the standard clauses for all New York State grant contracts with DCJS. Appendices are available on the DCJS website at <http://www.criminaljustice.ny.gov/ofpa/forms.htm>.

### **Minority and Women-Owned Business Enterprises (M/WBE) and Equal Employment Opportunity (EEO) Requirements**

DCJS recognizes its obligation under New York State Executive Law Article 15-A to promote opportunities for the participation of certified minority-and women-owned business enterprises (M/WBEs), as well as the employment of minority group members and women in the performance of DCJS contracts.

Contracts in excess of \$25,000 require grant recipients to document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of grant contracts, as well as the employment of minority group members and women.

Accordingly, applicants requesting in excess of \$25,000 must be prepared to submit a Local Assistance M/WBE Subcontractor/Supplier Utilization Proposal Form (DCJS-3301), and a Local Assistance M/WBE NPS Discretionary Budget Determination Worksheet (DCJS-3309). For contracts in excess of \$250,000 applicants must also submit an M/WBE Equal Employment Opportunity Staffing Plan (DCJS-3300). All forms are located at <http://www.criminaljustice.ny.gov/ofpa/mwbe/index.htm>.

DCJS will review the submitted Local Assistance M/WBE Equal Employment Opportunity Staffing Plan, the Local Assistance M/WBE Subcontractor/Supplier Utilization Proposal Form, Local Assistance M/WBE NPS Discretionary Budget Determination Worksheet, and Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement and advise the applicant of DCJS' acceptance once an award determination is made. For additional information regarding M/WBE requirements see also <http://www.criminaljustice.ny.gov/ofpa/forms.htm>. There are no points attributable to this component of the application.

### **Vendor Responsibility**

Not-for-Profit entities that are receiving an award of \$100,000 or greater are required to complete an updated Vendor Responsibility Questionnaire. The questionnaire and additional information are available on the NYS Office of State Comptroller website: <http://www.osc.state.ny.us/vendrep/>. Any not-for-profit sub-grantees must also complete a Vendor Responsibility Questionnaire.

### **Charities Registration**

Not-for-Profit entities must also insure that their filing requirements are up-to-date with the Charities Bureau of the NYS Attorney General's Office. Further information on the registration



requirements may be obtained at the Attorney General's website:

<http://www.charitiesnys.com/home.jsp>.

### **Data Universal Numbering System (DUNS) Registration Requirements**

All DCJS funding applicants are required to provide a DUNS number. If you are unsure whether or not your organization has a DUNS number, check with your Fiscal Officer. New applicants will enter the DUNS number in GMS while completing the Participant section; existing DCJS grantees whose DUNS number is not already on file should email the number to [funding@dcjs.ny.gov](mailto:funding@dcjs.ny.gov) to have it entered by DCJS staff prior to submission of the application. Any organization needing a DUNS number can register through the following link: <http://fedgov.dnb.com/webform>. Please note the process of requesting and receiving a DUNS number and/or having it entered into GMS by DCJS staff will require additional time. It is strongly recommended that applicants begin this process early.

## **IX. APPLICATION CHECKLIST**

- All Applicants: Complete all DCJS Grants Management System (GMS) Registration Requirements – See Appendix – *DCJS Grants Management System (GMS) Instructions and Helpful Hints*.
- Complete all necessary contractual requirements as described in Section: *Administration of Contracts*.
- Complete BUDGET TAB on GMS by entering the line-item Operating Budget
- Complete the WORK PLAN TAB on GMS by entering the Standard Work Plan.



## **APPENDIX: *DCJS Grants Management System (GMS) Instructions and Helpful Hints***

### **GMS Helpful Hints: See RFA for specific GMS directions.**

First time GMS users should download the GMS User Manual located at <http://www.criminaljustice.ny.gov/ofpa/gms.htm>. Persons familiar with GMS can use the following simplified guidelines:

#### **Getting Started:** Sign on to GMS.

Click "Project" to go to project grid. Click the "New" button at the top of the project grid. This will take you to a screen that says "Select a Program Office" in a drop-down box format. Find and highlight 'ALTERNATIVE TO INCARCERATION PROGRAMS AND SERVICES' then click "Create Project."

This begins your application. You may work on the application, save and return to it later, except as noted below. Note: GMS will time out after 30 minutes of inactivity. This means that you should save your work frequently. Each save re-sets the timer.

In the newly-created project complete the following modules which are listed across the top of the screen:

**General** - Complete the text screens and press save.

**Participants/Contacts** - Complete the text screens and press save.

Click on "Add Participant" and in the search prompt that appears type in your agency name. This should take you to a list, find your agency, and click in the blue section of your agency name. This will prompt a drop-down list that defaults to "Grantee." Click "Add." If there will be a separate Implementing Agency, repeat the process, choosing "Implementing Agency" as the Participant Type. In the event your agency is not listed, click the "New" button to add your agency to our database. Please complete all required information on the screen, including the Employer Identification Number (EIN) before you SAVE the entry. GMS will only allow one attempt then locks the entry to edits. Should you still need additional information added to the Participant record, please call GMS Help at (518) 457-9787.

Scroll to the bottom of the screen to add contact information. Click on "Add Contact" and in the search prompt that appears type in the last name of the person to be added. This should take you to a list. Find the person to be added and click in the blue section of the name. This will prompt a drop-down list that defaults to "Primary." Ensure you do this until you have added a minimum of three contacts: Primary, Signatory and Fiscal. If the contact you are attempting to add does not appear in a search, click the "New Contact" button to add the contact to our database.

Note: If the signatory you try to add is not eSignature registered, you will get an error message and will not be allowed to add that person at that time. You will NOT be able to submit the application without a signatory attached.

**Budget - See Application for additional specific instructions.**

**Work plan** - In the GMS work plan module, enter the Project Goal, Objectives, Tasks and Performance Measures. (See *Appendix: Performance Milestones (Workplan Template)*).

- Fill in the “Project Goal” text box and click “Save.”
- Click “Create New Objective” and fill in the text box and click “Save.”
- Click “Add Task to this Objective” and fill in the text box and click “Save.”
- Click “Add Performance Measure to this Task” and fill in the text box and click “Save.”

**Questions (where applicable and when the solicitation includes questions) -**

Answer all required program narrative and budget information questions.

**Hint: Answers should be developed in Word. GMS will time out after 30 minutes and unsaved material will be lost. Cutting and pasting from a Word document will prevent the loss of any work.**

**Attaching Items to GMS -**

Click on “Attachment,” on the left side navigation bar of the screen. Once in the “Attachment” module, click the ‘new’ button. You are now going to browse for your file, click the ‘browse’ button next to the ‘address bar’ and find the document you want to attach to the project. (Please be aware that there is a character limit on the name of the document you can attach, you may need to rename and re-upload.) Once you have selected your document and the file path is in the ‘address bar’, click the ‘upload’ button. Once attached, you will see a message that “\_\_\_\_\_.pdf was successfully uploaded”. You can browse for any additional documents that you need to attach or you can click the ‘Go back to list’ to see all the documents you have attached thus far. If you receive a red message that says it ‘failed’, this means that your document name was too long or you attempted to upload a file type that the system does not accept. If the name was too long, you need to resave the document with a shorter name, browse for the new file and re-upload. If it was the wrong file type, convert it to an acceptable file type, browse for the file and re-upload. Please remember to upload all required attachments for this solicitation. Note: Follow the instructions in the GMS User’s Manual for Attachments; also, see screen instructions for accepted file types and advice on file names.

Remember: Failure to submit required documents will be considered the same as failure to meet the deadline for application submission. This may result in a non-award due to the application being untimely. When all the above requirements and GMS Application components are completed, click the “**Submit**” button. Once all fields are complete and you submit successfully, GMS will display a screen that says “*Your application has been submitted.*”

## Appendix: BUDGET DETAIL WORKSHEET AND NARRATIVE GUIDE

<b>PERSONAL SERVICES</b> – List positions by title. For each position title, show the annual rate of pay, the percentage of time to be devoted to the project (percent of FTE) and the cost to grant funding.			
Position	Salary	Computation (Annual Salary, % of FTE Time)	Cost
<b>Personal Justification:</b> Describe the responsibilities and duties of each position in implementing and operating the grant program.			
<b>FRINGE BENEFITS</b> - Fringe benefits to be aggregated for the personnel listed above, and only for the percentage of time (%FTE) of each position charged to the project. Fringe should be based on actual known costs or approved negotiated rate of the agency.			
Approved Fringe Rate	Computation (Aggregate Grant Salaries x Rate)		Cost
<b>Fringe Benefits Justification:</b> Use approved fringe rate for grant related salaries above. Need not break out dollar value of each benefit.			
<b>CONSULTANT SERVICES</b> – For consultant name, service to be provided, hourly or daily fee, and estimated time on the project. Upload the signed consultant agreement as an Attachment in GMS.			
Name of Consultant	Service Provided	Computation	Cost
<b>Consultant Services Justification:</b> Explain how the consultant(s) is necessary to the success of the project and discuss the procurement method to be used. Provide explanation of cost to be paid from the grant to the consultant, i.e., fees (limited to \$650 per 8-hour day unless justification is provided and approved by DCJS), travel, meals, and lodging per OSC guidelines unless otherwise approved by DCJS. Any consultant anticipated out-of-state travel must be pre-requested and approved in writing by DCJS.			
<b>EQUIPMENT</b> – List aggregate cost of non-expendable program equipment to be purchased and aggregate cost of office equipment to support the grant. (List expendable equipment under the "Supplies" category.) Rented or leased equipment should be included in this category.			
Item	Approx. Quantity	Approx. Cost per Item	Total Cost
<b>Equipment Justification:</b> List included equipment and explain how the equipment is necessary for the success of the project. Describe the procurement method to be used.			
<b>SUPPLIES</b> – List aggregate cost of program supplies and aggregate cost of office supplies. (Do not break out costs of individual office or program supplies, i.e., postage, training materials, copying paper, and expendable equipment, such as books or hand-held tape recorders.)			
Supplies	N/A	N/A	Total Cost
<b>Supplies Justification:</b> Identify supplies and discuss why the supplies are needed for the success of the project and indicate who will be using expendable materials.			
<b>TRAVEL AND SUSTENANCE</b> – Indicate aggregate project related expenses required of staff (for example, for training, field work, meetings). Prior to any out-of-state travel, a written request for approval to use grant funds must be submitted to DCJS for written approval. Also indicate aggregate cost of participant travel if reimbursed, for example, metro cards.			
Travel	N/A		Total Cost
<b>Travel and Sustenance Justification:</b> Describe location and purpose of travel, mode of transportation and cost. Also, indicate who is traveling and how this travel is necessary for the success of the project. Meals and lodging must not exceed			

published state per diem rates. Participant cost must be specified, e.g., metro cards.

**RENTAL OF FACILITIES** – Not-for-Profit applicants: Provide cost of rent specifically for the project. Property taxes are **not** an allowable separate line item expense. Units of local government may **not** charge rent to the grant for agency office space.

Total Rent for budget period	N/A	Cost
<span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>	<span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>	<span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>

**Rent Justification:** Provide total rent cost for budget period, and describe the cost allocation method for determining how much rent is being charged to the grant.

**ALL OTHER COSTS** –List indirect cost rate which may be capped under the RFA or RFP, and are not an allowable expense for governmental agencies. List aggregate cost of miscellaneous other costs.

Description		Cost
<span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>	<span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>	<span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>

**Justification:** Indicate indirect cost rate and amount. Indirect costs may be limited by the RFA or RFP and are not allowed for units of local government. Additionally, list items included, but not limited to, in the aggregate cost of other miscellaneous expenses, approximate costs, and how these items are necessary for the success of the project.

BUDGET CATEGORY	AMOUNT
Personal Services	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
Fringe Benefit	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
Consultant Services	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
Equipment	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
Supplies	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
Travel and Sustenance	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
Rental of Facilities	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
All Other Expenses	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>
<b>TOTAL OPERATING BUDGET</b>	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>

<b>Grant Amount Requested:</b>	<b>Match Amount (if applicable):</b>	<b>Total Project Amount:</b>
\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>	\$ <span style="background-color: #cccccc; display: inline-block; width: 40px; height: 1em; vertical-align: middle;"></span>

## Appendix: 2018 – 2019 AID TO CRIME LABORATORIES AWARD ALLOCATIONS

Laboratories	Award Amount
Erie County Department of Central Police Services Forensic Laboratory	\$505,433
Monroe County Public Safety Laboratory	\$631,791
Nassau County Office of the Medical Examiner Division of Forensic Services	\$530,704
NYPD Police Laboratory	\$661,807
New York City Office of Chief Medical Examiner Department of Forensic Biology	\$945,440
Niagara County Sheriff's Department Forensic Laboratory	\$176,901
Onondaga County Center for Forensic Sciences	\$631,791
Suffolk County Crime Laboratory	\$431,008
Westchester County Department of Laboratories & Research Forensic Science Laboratory	\$758,149
Westchester County Department of Public Safety Crime Laboratory	\$277,988
Yonkers City Police Department Forensic Science Laboratory	\$126,358
<b>Toxicology Laboratories</b>	
Erie County Medical Examiner's Office Forensic Toxicology Laboratory	\$85,090
Monroe County Office of the Medical Examiner Forensic Toxicology Laboratory	\$85,090
Nassau County Office of the Medical Examiner Toxicology Laboratory	\$85,090
New York City Office of the Chief Medical Examiner Department of Forensic Toxicology	\$85,090
Onondaga County Health Department Forensic Toxicology Laboratory	\$85,090
Suffolk County Office of the Chief Medical Examiner Toxicology Laboratory	\$85,090
Westchester County Department of Laboratories & Research Division of Forensic Toxicology	\$85,090
<b>Total Award Allocations</b>	<b>\$6,273,000</b>

## Appendix: Workplan and Progress Report Guidance Document

### Workplan

Within the **Work Plan** module of your GMS application, enter the entire Work Plan found in the grant RFA, even if you do not intend to utilize grant funds for that area. In the future, you may wish to reallocate funds and it is simpler to avoid revising the work plan.

### Progress Report Guidance Document

The following information is a **Sample Progress Report** providing guidance for grantees when submitting the required GMS Progress Reports:

General (utilize as appropriate):

**N/A – grant funds not utilized for this purpose.**

**N/A – no activity for this measure during this quarter.**

Performance Measures for Task 1:

1. Number and discipline(s) of personnel hired/retained/supported utilizing grant funds.

**0 hired, 3 retained/supported (1 Latent Prints, 2 part-time Serology).**

2. Number and discipline(s) of consultants hired/retained/supported utilizing grant funds.

**1 retained (Firearms), 1 supported (Drug Chemistry) – NMS Labs.**

3. Non-personal service resources obtained/supported during grant quarter.

**Testing supplies purchased (300 serology kits @ \$50 each).**

**Equipment maintenance performed on (INSERT DATE).**

Performance Measure for Task 2:

1. Contemporaneous submission to DCJS' Office of Forensic Services of all written communications between the laboratory and its accrediting body pertaining to the laboratory's accreditation.

**All written communications between the Laboratory and its accrediting body pertaining to the laboratory's accreditation are submitted contemporaneously to DCJS.**

1. Timely submission of Quarterly Workload Survey to DCJS' Office of Forensic Services.

**Submitted to forensiclabs@dcjs.ny.gov – (INSERT DATE).**

2. Timely submission of Annual Laboratory Summary to DCJS' Office of Forensic Services.

**Submitted to forensiclabs@dcjs.ny.gov – (INSERT DATE).**

3. Timely submission of Annual Performance Declaration to DCJS' Office of Forensic Services.

**Submitted to forensiclabs@dcjs.ny.gov – (INSERT DATE).**

Performance Measures for Task 3:

1. The date equipment was purchased or leased with grant funds; and

**Purchased/leased on (INSERT DATE).**

2. The date equipment validation was completed and/or brought into service.

**Validation completed on (INSERT DATE).**  
**Equipment brought into service on (INSERT DATE).**

Performance Measures for Task 4:

1. The amount of overtime hours utilized during the reporting period; and

**200 overtime hours utilized.**

2. The number of area case assignments, broken out by section, completed utilizing grant-funded overtime.

**225 ACAs completed utilizing overtime**  
**180 Serology**  
**45 Latent Prints**

Performance Measures for Task 5:

1. Describe accreditation fees for the reporting period.

**Reaccreditation Assessment/Inspection Fee (Provider)**  
**Surveillance Visit (Provider)**  
**Expanded Surveillance Visit (Provider)**  
**Off-site Review (Provider)**  
**Interim Assessment Fee (Provider)**  
**Mid-Cycle Review Fee (Provider)**  
**FBI DNA QAS Audit (Provider)**

2. Number of proficiency tests purchased during the reporting period.

**13 Proficiency Tests**  
**- 6 CTS 579 Body Fluid Identification**  
**- 2 CTS 527 Firearms Examination**  
**- 3 Ron Smith & Associates Latent Print Comparison**  
**- 2 ISFCE Digital Evidence**

3. Number of proficiency tests completed during the reporting period.

**3 Proficiency Tests**  
**- 3 CTS 501 Drug Analysis**

4. Number of personnel trained using funds during the reporting period (include course title).

**- Latent Cause Analysis (3/13/17) – 2 personnel**  
**- Effective Courtroom Conduct and Behavior (12/5/2016, DCJS notified 9/5/16) – 20 personnel**

5. Describe other accreditation-related expenses during the reporting period.

**- Travel expenses for personnel attending Latent Cause Analysis (3/13/17)**  
**- Instructor fees for Effective Courtroom Conduct and Behavior (12/5/2016, DCJS notified 9/5/16)**

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*End of Application*