



**Division of Criminal
Justice Services**

REQUEST FOR APPLICATIONS (RFA)

SFY 2015-16 Laboratory Enhancement Program

Issued: December 1, 2015

KEY DATES AND NOTICES:

Submission Deadline:	January 8, 2016 at Noon
Deadline for Final Submission of Questions:	December 9, 2015
Response to Questions Posted:	On or about December 21, 2015
Notification of Award(s):	On or about January 29, 2016

1. Applications must be submitted by due date on-line via the DCJS Grants Management System (GMS). **Applicants who are not registered to access GMS, will need to obtain user access in order to respond to this Request.** See Appendix: *DCJS Grants Management System (GMS) Instructions and Helpful Hints.*
2. Questions regarding this Request for Applications must be emailed to funding@dcjs.ny.gov. Responses to 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 email?" please call (518) 457-9787. Please note that DCJS cannot answer substantive questions concerning this RFA in any manner other than the email method.
3. Applicants will be advised of award decisions via 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.
4. Unless otherwise modified by DCJS, the contract period for this grant opportunity will be for one (1) year.
5. Funding is available to accredited public forensic laboratories as outlined in this RFA.

SFY 2015-16 Laboratory Enhancement Program

Request for Applications

Table of Contents

I.	Introduction	2
II.	Eligibility, Available Funds and Contract Term	2
III.	Program Description	5
IV.	Evaluation and Selection of Applications.....	6
V.	Application Specific Requirements and Questions.....	7
VI.	Notification of Awards.....	12
VII.	Reporting Requirements.....	13
VIII.	Administration of Contracts.....	13
IX.	Application Submission and Requirements.....	16
X.	Application Checklist.....	17

APPENDICES:

- Grants Gateway Prequalification Requirement – Applicable to *Not for Profits* only
- DCJS Grants Management System (GMS) Instructions and Helpful Hints

ATTACHMENT:

- Attachment 1: Budget Detail and Narrative Form – To be completed for each proposed initiative

I. INTRODUCTION

The New York State (NYS) Division of Criminal Justice Services (DCJS) seeks proposals to enhance the efficiency, effectiveness, reliability, and accuracy of laboratory services provided by forensic laboratories in NYS. Approximately four-hundred thousand dollars (\$400,000) is expected to be available to fund eligible accredited public forensic laboratories across NYS. The main goal of the Laboratory Enhancement Program (LEP) funding will be to target certain initiatives as specified in the RFA where a one-time funding award may significantly improve the quality of laboratory services.

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; identifying and funding programs that reduce crime, recidivism, and victimization. Additionally, DCJS administers the state's Sex Offender Registry. DCJS conducts research on critical criminal justice issues and provides training, legal guidance and regulation to the State's law enforcement, community corrections and prosecution communities. DCJS is committed to providing programs that continue to improve the effectiveness of New York's justice system. Applications will be rated 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 purposes support New York's commitment to public safety.

II. ELIGIBILITY, AVAILABLE FUNDS AND CONTRACT TERM

A. Eligibility Requirements

To receive funding under this grant program, applicants must meet the following three 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;
3. Applicants must be accredited by either the American Society of Crime Laboratory Directors / Laboratory Accreditation Board (ASCLD/LAB) or the American Board of Forensic Toxicology (ABFT), and New York State.

Accordingly, the following laboratories are eligible to apply:

- 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 Police Department Forensic Science Laboratory

B. Approved Use of State Funds

Approximately \$400,000 is expected to be available to support one-time costs for the following identified laboratory enhancement initiatives:

1. Upgrades, modifications, and/or enhancements to Laboratory Information Management Systems (LIMS) to address changes in the DCJS Annual Workload Survey reporting; and/or,
2. Purchase of instrumentation and/or supplies necessary to facilitate the validation of methods for the identification of synthetic cannabinoids; and/or,
3. Purchase or partial purchase of, validation of, and/or training of personnel on probabilistic genotyping software for the advancement of DNA mixture interpretations; and/or,
4. Reassessment of internal validations for current laboratory methods.

Applicants may apply for up to four of the Initiatives, but are not required to apply for all Initiatives. Funding for given Initiatives will be limited to "funding cap" amounts, with a specified cap amount for each Initiative. Applicants may only request funding for chosen Initiatives in amounts that are less than or equal to the Initiative cap. Any laboratory that requests more than the cap will be required to submit a revised budget for amounts that are less than or equal to the given cap amounts. Funding caps are as follows:

1. LIMS - \$3,000
2. Synthetic Cannabinoids - \$7,000
3. Probabilistic Genotyping - \$40,000
4. Reassessment of Internal Validations - \$7,000

All requested 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 Initiatives proposed. Applicants must demonstrate that without the requested funding, items outlined in the proposed budget could not otherwise be supported or obtained.

Awards may be used to support the following expenditures specific to each Initiative:

1. Upgrades, modifications, and/or enhancements to Laboratory Information Management Systems (LIMS) to address changes in the DCJS Annual Workload Survey reporting.
 - A. Retain consultants and/or providers to install, review, program, upgrade, or otherwise modify LIMS.
 - B. Authorize overtime and related expenses for personnel to install, review, program, upgrade, or otherwise modify LIMS.
2. Purchase of instrumentation and/or supplies necessary to facilitate the validation of methods for the identification of synthetic cannabinoids.
 - A. Purchase and validation of instrumentation for the identification of synthetic cannabinoids.
 - B. Purchase of additional supplies and materials necessary to validate methods to identify synthetic cannabinoids.
 - C. Authorize overtime and related expenses for personnel to perform validations.
3. Purchase or partial purchase of, validation of, and/or training of personnel on probabilistic genotyping software for advancement of DNA mixture interpretations.
 - A. Purchase or partial purchase and/or validation of probabilistic genotyping software.
 - B. Purchase of additional supplies and materials necessary to perform validation of probabilistic genotyping software.
 - C. Authorize overtime and related expenses for personnel to perform validation.
 - D. Successfully train personnel in the use of new software.
4. Reassessment of internal validations for current laboratory methods.
 - A. Purchase of additional supplies and materials necessary to perform reassessments of internal validations.
 - B. Authorize overtime and related expenses for personnel to perform reassessments and/or revisions of internal validations.

C. Contract Term

Grant award agreements will be for a period of one (1) year effective April 1, 2016 to March 31, 2017. Applicants should ensure that all costs can be encumbered by the contract end date of March 31, 2017. Any unused funds may be redistributed pursuant to a plan approved by the Executive Deputy Commissioner of DCJS or his/her designee.

III. PROGRAM DESCRIPTION

The goal of the LEP is to improve the quality of laboratory services operated by forensic laboratories in NYS by addressing factors that affect efficiency, effectiveness, reliability, and accuracy. The program will address the following key initiatives: LIMS enhancements, synthetic cannabinoid identification, DNA mixture interpretations through probabilistic genotyping software, and reassessment of internal validations.

LIMS Initiative

The DCJS Office of Forensic Services (OFS) coordinates the completion of the Annual Workload Survey of Forensic Laboratories. Recent modifications to the survey have resulted in the identification of a need to modify LIMS, to varying degrees, within laboratories across the state. The main objective of this initiative is the enhancement of LIMS software utilized for reporting data for the Annual Workload Survey. Funding should be used to obtain or retain consultants, provide overtime and related expenses for current personnel to oversee or implement enhancements, and/or purchase technological resources to enhance LIMS. Through this initiative, laboratories will improve the ability to utilize their LIMS for timely and accurately reporting of workload survey data.

Synthetic Cannabinoid Identification

The sale, use, or possession of synthetic cannabinoids is on the rise and laboratories are faced with the growing demand for the identification of these substances. Laboratories in NYS require support to obtain the instrumentation, materials, and supplies necessary to identify these substances. Without proper instrumentation and standards of these substances or time to perform validations of methods to identify synthetic cannabinoids, laboratories could be faced with an influx of cases and not be in a position to process them. Funding should be used to obtain necessary instrumentation, synthetic cannabinoid standards, supplies to perform the necessary method validations for these substances, and to provide overtime and related expenses for current personnel to perform validations. Through this initiative, laboratories will improve their ability to identify the different types of synthetic cannabinoids encountered in forensic casework.

Probabilistic Genotyping Software

Recent surveys, articles, and presentations have cited the advantage of using probabilistic genotyping software to aid in the interpretation of complex mixtures. The New York State DNA Subcommittee has acknowledged the need to embrace these new technologies and concluded that laboratories not using deconvolution software tools are at a disadvantage. Use of this software will greatly assist laboratories in the analysis, interpretation, and reporting of complex mixtures. Funding should be used by laboratories to obtain probabilistic

genotyping software and/or supplies needed to perform validation of the software, to successfully train personnel in the use of the software, and to provide overtime and related expenses for current personnel to conduct appropriate validation studies. Through this initiative, laboratories will improve the accuracy and confidence of reported DNA mixture interpretations.

Reassessment of Internal Validations Initiative

While accreditation guidelines require extensive internal validations of all new procedures, there are a number of existing procedures that crime laboratories may be using that were “grandfathered in” as accreditation guidelines developed, and have not undergone a thorough internal validation by today’s standards. While examiners have been successfully completing training programs, competency tests, and proficiency tests on these procedures, there may not be a specific repository where all documentation is assembled in a way similar to internal validations on new procedures. Funding should be used to obtain necessary supplies and materials, and to provide overtime and related expenses for current personnel to perform reassessments and/or revisions of internal validations. Through this initiative, laboratories will be able to ensure that procedures performed in their laboratory have the proper internal validation documentation.

IV. EVALUATION AND SELECTION

Tier I Evaluation – Threshold Pass/Fail

Applications will first be evaluated based upon a pass/fail review of applicants’ fulfillment of the following criteria for funding. All applications will be initially screened by DCJS reviewers to determine their completeness using the following criteria:

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

The submitted application shall include:

- Answers to all questions as presented;
- A completed *Budget Detail and Narrative Form* itemizing operating expenses in support of each Initiative requested;
- The total budget amount of all Initiatives provided in the *Budget* module tab of GMS
- Completed Work Plan;
- All attachments and required documents (see Checklist at the end of this document).

Tier I Evaluation criteria will receive pass/fail ratings. Any application that does not meet each of these conditions will be subject to disqualification from further review.

Tier II Evaluation – Evaluation and Scoring

DCJS staff reviewers will evaluate applications that successfully pass the Tier I Evaluation. A standard rating tool will be used to score responses to questions provided in the application. Initiative narrative(s) will be worth a maximum of 80 points, not including the budget which will be worth a maximum of 20 points. Each initiative will be scored, then the initiative scores will be added, and the combined total will be divided by the number of

initiatives for which the laboratory is applying for funding. This resulting average initiative narrative score and the budget score will then be totaled for the overall score. The final score for a proposal will be determined by averaging Team Reviewers' overall scores for each proposal. DCJS may, at their discretion, request additional information from an applicant as deemed necessary.

The maximum overall score will be 100 points. Applicants must attain a minimum total proposal score of 70 in order to be eligible for funding. See Questions in Section V for additional information.

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.

In the event of a tie score among applicants, and where both applicants cannot be selected, an additional reviewer will rate the affected application and the average of all scores will determine the final average score. Also, in the event of a substantial scoring disparity (at least 15 points), an additional reviewer will rate the affected proposals and the average of all scores will determine the final average score of the proposal. The Executive Deputy Commissioner, or his or her designee, will make final decisions regarding approval and individual award amounts based on the quality of each submission, the recommendations of the reviewers, the criteria set forth in this solicitation, and the best interests of the State.

V. APPLICATION SPECIFIC REQUIREMENTS AND QUESTIONS

Prior to completing the following requirements, please follow the GMS instructions for creating a project record. GMS instructions are located as an Appendix to this solicitation.

A. Project Budget – APPLICABLE TO ALL APPLICANTS

Operating Budget Detail and Justification (20 points)

Step 1: Complete a separate *Budget Detail and Narrative Form* (Attachment 1) for each Initiative. Please make copies of the Form as needed. The *Budget Detail and Narrative Form* must be complete, reasonable, cost effective and related to the Work Plan. Attach each Form to GMS using the *Attachment* module.

- ✓ Operating budgets on each *Budget Detail and Narrative Form*, one for each Initiative, shall include any or all appropriate cost categories enumerated in Attachment 1: *Budget Detail and Narrative Form*. Budgets should reflect total projected costs for a 12-month contract period and be limited to eligible costs.
- ✓ For subcontracted agencies approved to provide services, where applicable, upload signed and executed consultant agreements and the approved operating budget using the *Attachment* module in GMS.

Step 2: In the *Budget* module “tab” of the GMS application, select “*Create New Budget Version.*” Next: Where it says “Choose a Different Category to Work On” scroll down and select the category labeled “*All Other Expenses.*” Next: Where GMS asks for a description, enter the words “The Operating Budget.” Next: Enter the total cost of your request in the box labeled “Unit Cost.” This total should reflect the entire request and represent total costs for all Initiatives for which funding is requested. Under the Justification tab enter the words “See attached *Individual Budget Detail and Narrative Form* worksheet(s).” **Do not complete anything further in this tab.**

- ✓ Click “Save”

B. Program Work Plan – APPLICABLE TO ALL APPLICANTS

Within the *Work Plan* module of your GMS application, enter the *Project Goal* provided below and enter the *Objective*, *Task* and *Performance Measure* that is applicable to the Initiative or Initiatives your Lab is requesting. The total number of objectives entered should equal the total number of Initiatives that your Lab is applying for. Select and use from the following:

Project Goal: Enhance the efficiency, effectiveness, reliability, and accuracy of laboratory services operated by forensic laboratories in NYS by targeting one or more of the following initiatives: LIMS enhancements, synthetic cannabinoid identification, DNA mixture interpretations through probabilistic genotyping software, and reassessment of internal validations.

Objective 1: Upgrade, modify, and/or otherwise enhance Laboratory Information Management Systems (LIMS).

Task 1: Purchase new software, new equipment, and/or licenses, or upgrade/reprogram current software.

Performance Measures for Task 1:

1. The date(s) software, upgrades, licenses, and/or equipment were purchased; or
2. Start date(s) of modifications to existing LIMS where no purchases were made; and
3. The date(s) enhancements were brought into service; and
4. Describe the work performed during the reporting period.

Task 2: Retain consultants and/or providers to install, review, program, upgrade, or otherwise modify LIMS.

Performance Measures for Task 2:

1. Identify consultants and/or providers retained.

Task 3: Authorize overtime for personnel to install, review, program, upgrade, or otherwise modify LIMS.

Performance Measures for Task 3:

1. Number of personnel authorized for overtime; and
2. The amount of overtime hours utilized during the reporting period.

Objective 2: Enhance laboratory's ability to identify synthetic cannabinoids.

Task 1: Purchase and validate instrumentation to identify synthetic cannabinoids.

Performance Measures for Task 1:

1. Identify new instrumentation purchased; and
2. The date(s) instrumentation was purchased; and
3. The date(s) instrumentation was validated.

Task 2: Purchase additional supplies and materials necessary to identify synthetic cannabinoids.

Performance Measures for Task 2:

1. Describe additional supplies and materials purchased during the reporting period, including number and cost.

Task 3: Authorize overtime to perform validations.

Performance Measures for Task 3:

1. Number of personnel authorized for overtime; and
2. Amount of overtime hours utilized during the reporting period.

Objective 3: Improve accuracy of DNA mixture interpretations.

Task 1: Purchase and validate new probabilistic genotyping software, new equipment, and/or licenses.

Performance Measures for Task 1:

1. The date(s) software, upgrades, licenses, supplies, and/or equipment were purchased; and
2. The date(s) software was brought into service.

Task 2: Authorize overtime to perform validations.

Performance Measures for Task 2:

1. Number of personnel authorized for overtime; and
2. The amount of overtime hours utilized during the reporting period.

Task 3: Successfully train personnel in the use of new software.

Performance Measures for Task 3:

1. Describe training efforts made during the reporting period; and

2. Number of personnel successfully trained during the reporting period.

Objective 4: Reassess internal validations for current laboratory methods.

Task 1: Purchase additional supplies and materials necessary to perform reassessments of internal validations.

Performance Measures for Task 1:

1. Describe additional supplies and materials purchased during the reporting period, including number and cost.

Task 2: Authorize overtime for personnel to perform reassessments and/or revisions of internal validations.

Performance Measures for Task 2:

1. Number of internal validations assessed during the reporting period; and
2. Number of internal validations with revisions completed during the reporting period; and
3. Number of personnel authorized for overtime; and
4. The amount of overtime hours utilized during the reporting period.

C. Program Narrative Questions – APPLICABLE TO ALL APPLICANTS

Applicants must respond to the applicable questions below within the DCJS Grants Management System (GMS), as instructed.

Please prepare responses to all questions in a Microsoft Word Document using Ariel, 11 point font and use 1.5 spacing. Responses should then be copied and pasted in GMS under the *Questions* module “tab” of the application.

Applicants are also required to attach the Microsoft Word document with responses to these questions using the *Attachments* module in GMS.

Responses to the following questions will be scored and are the basis for Tier II Evaluation funding recommendations. Note: the aggregate scoring value assigned to all narrative questions for one Initiative equals a total possible score of 80. Each Initiative narrative will be scored, then all the Initiative narrative scores will be added, and the combined total will be divided by the number of Initiatives for which the laboratory is applying for funding, to create an average Initiative narrative score. All questions, including sub-sections and those which have no point value, must be answered.

1. ALL APPLICANTS MUST ANSWER THIS QUESTION: - Which initiative(s) is your laboratory requesting to be funded? **(0 points)**

PROVIDE COMPLETE ANSWERS TO THE QUESTIONS THAT ARE APPLICABLE TO

NYS Division of Criminal Justice Services | www.criminaljustice.ny.gov

THE INITIATIVE OR INITIATIVES THAT YOU ARE REQUESTED BE FUNDED. EACH QUESTION MUST BE ANSWERED WITH EXPLANATION INCLUDING THOSE WHERE THE ANSWER IS “NO” OR “NONE.” WHERE THE QUESTION DOES NOT PERTAIN TO YOUR REQUEST, AS YOU ARE NOT APPLYING FOR THAT PARTICULAR INITIATIVE, PLEASE RESPOND IN GMS WITH THE FOLLOWING STATEMENT FOR EACH:

“The laboratory is not requesting funding for this initiative.”

2. LIMS Initiative: (Total possible score – 80 points)
 - a. How much funding will your laboratory be requesting? **(5 points)**
 - b. Why is your laboratory requesting funding for this initiative?
 - i. Describe challenges with your current LIMS and how it affects laboratory efficiency. **(20 points)**
 - ii. Describe the software, equipment, and/or licenses that will be purchased with the requested funding. **(10 points)**
 - iii. Describe how funds will be utilized for consultants/personnel, including who will be performing the work if this information is available. **(10 points)**
 - iv. What is the estimated length of time necessary to make these enhancements? **(10 points)**
 - v. Describe how these enhancements will resolve the challenges described previously. **(25 points)**

3. Synthetic Cannabinoids Initiative: (Total possible score – 80 points)
 - a. How much funding will your laboratory be requesting? **(5 points)**
 - b. Why is your laboratory requesting funding for this initiative?
 - i. Describe current challenges regarding synthetic cannabinoids in your laboratory. **(20 points)**

For example: Has your laboratory processed any synthetic cannabinoids but been unable to report/identify due to a lack of a validated method of identification? If so, does your laboratory have a record of how many of such cases have been processed?
 - ii. Does your laboratory expect an influx of submissions due to validating methods for these substances? **(10 points)**
 - iii. Describe instrumentation, standards, supplies, and materials your laboratory would purchase with the requested funding. **(10 points)**
 - iv. Describe what methods your laboratory plans to validate for these standards, including the estimated length of time to complete validations. **(10 points)**
 - v. Describe how the requested funding will allow for validation without detriment to normal caseload. **(25 points)**

4. Probabilistic Genotyping Software: (Total possible score – 80 points)
 - a. How much funding will your laboratory be requesting? **(5 points)**
 - b. Why is your laboratory requesting funding for this initiative?
 - i. Describe challenges with your current methods and procedures for

calculating likelihood ratios and/or CPIs for DNA mixtures. **(20 points)**

- ii. Does your laboratory require the purchase of probabilistic genotyping software? **(10 points)**
 - iii. What is the estimated length of time to validate and implement the software? **(10 points)**
 - iv. What, if any, supplies, materials, and or training will need to be purchased to validate this software and successfully train personnel? **(10 points)**
 - v. Describe how this software will resolve the challenges described previously. **(25 points)**
5. Reassessment of Internal Validations: (Total possible score – 80 points)
- a. How much funding will your laboratory be requesting? **(5 points)**
 - b. Why is your laboratory requesting funding for this initiative?
 - i. Describe the methods your laboratory plans to reassess. Include reasons why these methods were chosen (i.e. method is 10+ years old, etc.) **(15 points)**
 - ii. Describe the reassessment process your laboratory plans to utilize for each method being reassessed. (Example: retrospective, concurrent, or prospective). **(20 points)**
 - iii. Describe specific data sets for each method being reassessed that your laboratory will evaluate to ensure they are present for each internal validation, such as documentation of accuracy, limits, precision, sensitivity, specificity, range, reproducibility, or robustness. **(20 points)**
 - iv. What is the estimated length of time to reassess and revise the selected methods? **(10 points)**
 - v. What, if any, supplies and materials will need to be purchased to perform reassessments? **(10 points)**

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 emailed to the contact person and sent by U.S. Postal Service mail.

In the event that DCJS and the successful applicant cannot agree to contract terms within 90 days of notification of selection for award, DCJS reserves the right to rescind the award and redistribute the funds.

VII. REQUIRED REPORTING

NYS Division of Criminal Justice Services | www.criminaljustice.ny.gov

Reporting requirements:

GMS Quarterly Progress Reporting

Programs are 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 DCJS funded grantees are required to submit quarterly fiscal reports and claims for payment.

Reporting Due Dates:

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

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

VIII. ADMINISTRATION OF CONTRACTS

DCJS will negotiate and develop a contract with each successful applicant. The grant contract may be subject to approval by the NYS Office of the Attorney General (OAG) and the Office of the State Comptroller (OSC) before funding may actually be disbursed.

Contract Approval

Contracts subject to the approval of the Attorney General and the Comptroller of the State of New York, shall be of no force and effect until such 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 by the Executive Deputy Commissioner of DCJS or his or her designee, in light of a grantee's performance, changes in project conditions, or otherwise.

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 incurred during the performance of approved 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 noncompliance.

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 Division of Criminal Justice Services 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 RFP/RFA. 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.*

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 organizations 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/vendor_index.htm.

Charities Registration

Not-for-Profit organizations 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>.

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 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>. 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 SUBMISSION

A. Application Specific Instructions

One application should be submitted per eligible laboratory. Applications must be submitted using the DCJS Grants Management System (GMS).

B. Grants Management System (GMS)

First time GMS users should download the GMS User Manual located at <http://www.criminaljustice.ny.gov/ofpa/gms.htm>. Applications must be complete in order for the GMS submission to be successful. If you need assistance with accessing and using GMS, please contact the DCJS Office of Program Development and Funding GMS Help Desk at (518) 457-9787.

Completing the Application

Applicants are encouraged to complete the GMS Application as well as the registration and/or pre-qualification on the Grants Gateway early, where applicable, to avoid any unforeseen issues with these automated systems. Each application will consist of the following components that must be completed using GMS:

1. Participant name(s);
2. Contact information for all participating agencies per application;
3. Answers to program specific questions;
4. Project budget;
5. Program work plan.

When all of the above requirements and GMS application components are completed, click the "Submit" button. GMS will review the application for completeness. If any fields are missing, a report will display what remains to be completed. Once all fields are complete and you submit successfully, GMS will display a screen that says "*Your application has been submitted.*"

X. APPLICATION CHECKLIST

- Not-for-Profit Applicants ONLY: Complete Grants Gateway Prequalification Requirements – See Appendix: *Grants Gateway Prequalification Requirement*
- 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 the Section: *Administration of Contracts*.
- Answer Program Narrative Questions in *QUESTIONS* TAB in GMS and also attach the answers on a Word Document to GMS.
- Complete *BUDGET* TAB on GMS by entering the total amount requested AND attaching a *Budget Detail and Narrative Form* to GMS for each Initiative requested.
- Attached the form **Encouraging Use of New York State Businesses in Contract Performance**
- Attach required MWBE forms as specified above

Upon Completion of your Application – click “SUBMIT.”

Appendix

Grants Gateway Prequalification Requirement – Not for Profit Applicants Only

Grants Gateway Pre-Qualification

Not-for-profit applicants **must** be pre-qualified through the New York State Grants Gateway prior to the application submission deadline in order to be eligible for awards under this funding. **Applicants are strongly encouraged to begin this process as soon as possible.**

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process, which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](http://www.grantsreform.ny.gov/) at <http://www.grantsreform.ny.gov/>.

Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity

Appendix

DCJS GRANTS MANAGEMENT SYSTEM (GMS) INSTRUCTIONS AND HELPFUL HINTS

Dated March 2015

GMS Helpful Hints: Also read Application for additional 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. Complete the text screens and press save.

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 "*Enhanced Aid to Labs*," then click "Create Project."

This begins your application. You may work on the application, save and return to it at a later time, except as noted below. Note that GMS will time out after 30 minutes of inactivity. That 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. In the event that 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 provided in the Standard Work Plan within this RFA.

- 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 RFA/RFP includes questions) -

Answer all required program narrative and budget information questions.

Hint: Answers should be developed in Word. DCJS-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.

Attachments -

Click on "Attachment," and upload the required attachments for this RFA. 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 an application being disqualified for the application being untimely.

When all requirements are completed, **click the "Submit" button.** GMS will review the application for completeness. If any fields are missing, a report will display what remains to be completed. Once all fields are complete and the application is successfully submitted, GMS will display a screen that says "Your application has been submitted." In addition, GMS will send an email notification to the Signatory official listed on the application to make him or her aware that an application has been submitted on your jurisdiction's or organization's behalf.

End of Application