

BUREAU OF JUSTICE ASSISTANCE
SEXUAL ASSAULT KIT INITIATIVE PURPOSE AREA 4
PERFORMANCE MEASURES

GENERAL AWARD ADMINISTRATION

1. Is this the **last reporting period** for which the award will have data to report? *For example, were all funds expended and is the award in the process of closing out in the Justice Grants System?*
 - A. Yes *(If Yes, answer the semiannual narrative questions)*
 - B. No

2. Was there **grant activity** during the reporting period? *There is grant activity when the grantee has obligated, expended, or drawn down grant funds to implement objectives proposed in the Bureau of Justice Assistance (BJA)-approved grant application. If you select Yes, the program becomes Operational and should remain so until the grant closes out.*
 - A. Yes
 - B. No
 If No, select from the following responses:

In procurement	<input type="checkbox"/>
Project or budget not approved by agency, county, city, or state governing agency	<input type="checkbox"/>
Seeking subcontractors (Request for Proposal stage only)	<input type="checkbox"/>
Waiting to hire project manager, additional staff, or coordinating staff	<input type="checkbox"/>
Paying for the program using prior federal funds	<input type="checkbox"/>
Administrative hold (e.g., court case pending)	<input type="checkbox"/>
Seeking budget approval from BJA	<input type="checkbox"/>
Waiting for partners or collaborators to complete agreements	<input type="checkbox"/>
Other	<input type="checkbox"/>
If Other, please explain.	

INVENTORY BASELINE

The baseline questions gather information about activities that occurred prior to the grant becoming operational.

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3. Please select the best designation that describes your agency size. If part of a consortia, select the designation that best describes the average size of each agency within your consortia. *[Carry Forward]*
- A. Small (less than 250 sworn officers and/or employees)
 - B. Medium (250 to 500 sworn officers and/or employees)
 - C. Large (500 or more sworn officers and/or employees)
4. Which one of the following type of areas best describes the population you serve? Select only one. If you are part of a statewide agency, please select "Other" and describe the areas your program is serving. *[Carry Forward]*
- A. Urban (a large city with 50,000 or more people)
 - B. Suburban (territory outside of a large city with a population of 2,500 to 50,000 or more people)
 - C. Rural (territory that encompasses all people or housing not included within an urban, suburban, or tribal area)
 - D. Tribal (territory that contains a concentration of people who identify with a federally recognized tribe)
 - E. Other (combination of urban, suburban, rural, and/or tribal)
If Other, please explain. _____
5. Are SAKI grant funds being utilized to conduct or complete an inventory of unsubmitted sexual assault kits (unsubmitted sexual assault kits include partially tested kits per the SAKI solicitation)?
- A. Yes *(If Yes, populate the baseline set of questions below.)*
 - B. No *(If No, skip to Question 9)*
6. Was an inventory of unsubmitted sexual assault kits (SAK) started **prior to the grant being awarded**? *Only select Yes if you started your SAK inventory prior to receiving SAKI grant funds through some other funding sources such as general fund and/or District Attorney of New York (DANY) funding.* *[Carry Forward]*
- A. Yes
 - B. No *(If No, skip to Question 9)*
7. Enter the date the inventory was started (Month/Year).
8. Was your inventory finalized in the previous reporting period?
- A. Yes *(If Yes, skip to Question 11 under Inventory/Tracking):*
 - B. No
Please enter the date it was finalized: _____
**See Comment about "SAKs may fit into multiple categories and should be counted in all applicable categories*

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Please answer the following questions as they relate to the number of SAKs recorded in your inventory **prior to the beginning of the grant program**. SAKs may fit into multiple categories and should be counted in all applicable categories. *[Carry Forward]*

9. **Prior to the start of the grant program**, how many SAKs did your inventory identify that were unsubmitted, previously tested, and determined not to require testing?
- Number of unsubmitted SAKs identified. An unsubmitted SAK has not been submitted to a forensic laboratory for testing and analysis using Combined DNA Index System (CODIS)-eligible DNA methodologies (this can include partially tested SAKs that have only been subjected to serological screening or tested with other non-CODIS-eligible DNA methodologies). _____
 - Number of previously tested (with CODIS-eligible methodology) SAKs identified, if applicable. _____
 - Number of SAKs determined not to require testing _____
 - Prior to the start of the grant program, how many SAKs were determined to require DNA testing as recorded in your inventory? _____
 - Of the SAKs that required DNA testing, how many were sent to lab for testing? _____
 - Prior to the start of the grant program, how many CODIS hits did your inventory record? _____
 - Prior to the start of the grant program, were there other types of SAKs recorded in your inventory that did not fit in one of the previous categories?
 - Yes
If Yes, how many? _____
If Yes, please explain. _____
 - No

INVENTORY AND TRACKING

10. Do you have an electronic tracking system used for monitoring and accounting of SAKs through the course of their movement from collection to final disposition?¹ *[Carry Forward]*
- Yes
If Yes, when was it implemented (Month/Year) _____
 - No
If No, please explain. _____

Please answer the following questions if you have NOT completed/finalized your inventory prior to receiving your SAKI funds.

¹ <https://www.sakitta.org/resources/docs/11752R1SAKIImplementingETS.pdf>

11. During the reporting period, please enter the number of SAKs that fit in each of the following categories:
- Number of SAKs counted/inventoried _____
 - Of the inventoried SAKs (Question 11A), number identified as unsubmitted _____
 - Of the inventoried SAKs (Question 11A), number identified as previously tested _____
 - Of the unsubmitted SAKs (Question 11B), number determined not to require DNA testing _____
 - Of the unsubmitted SAKs (Question 11B), number that require DNA testing _____
 - Of the SAKs that require DNA testing (Question 11E), number sent to lab for DNA testing _____
 - Of those sent for DNA testing in (Question 11F), number of profiles uploaded to CODIS _____
 - Of those profiles uploaded to CODIS, number of hits returned/received _____
 - Number of kits tested to completion (i.e., a final laboratory report submitted) _____
12. During the reporting period, of the number of unsubmitted SAKs² that were determined not to require testing (identified in Question 11D), please indicate for each of the following reasons. *Please include the totals for each category. Count each SAK once under the category that best fits.*
- Not able to retrieve evidence _____
 - Determined to be previously tested with CODIS-eligible methodologies _____
 - Statute of limitations has expired. _____
 - Anonymous/non-reported SAK _____
 - Other
If other, please explain. _____
13. Of the DNA profiles uploaded into CODIS since the inception of your grant, during this reporting period, please enter the number of confirmed CODIS hits³ recorded/received for the following categories. *Enter "0" if there were no confirmed hits. If a sample hits to multiple cases, enter the number of cases that received a hit, do not count those not already previously reported).*
- CODIS hits** _____
 - Forensic hits:** the new profile matches DNA from an unknown forensic sample collected at a crime scene (e.g., the match is to a sample in the forensic index) _____
 - Offender/arrestee hits:** the new profile matches the DNA of an offender profile already in CODIS (e.g., matches to a sample in the offender index) _____

² <https://www.sakitta.org/resources/docs/Utilizing-CODIS-for-Unsubmitted-Sexual-Assault-Kits.pdf>

³ <https://www.sakitta.org/resources/docs/12562R1SAKIGdncePerCODISHitsv1.pdf>

14. During the reporting period, of the number of unsubmitted SAKs that were determined not to require testing (identified in Question 11D), please indicate for each of the following reasons. *Please include the totals for each category. Count each SAK once under the category that best fits.*
- A. Not able to retrieve evidence. _____
 - B. Not able to retrieve evidence. _____
 - C. Determined to be previously tested with CODIS-eligible methodologies. _____
 - D. Statute of limitations has expired. _____
 - E. Anonymous/non-reported SAK. _____
 - F. Other
If other, please explain. _____
15. Of the DNA profiles uploaded into CODIS since the inception of your grant, during this reporting period, please enter the number of confirmed CODIS hits recorded/received for the following categories. *Enter "0" if there were no confirmed hits. If a sample hits to multiple cases, enter the number of cases that received a hit, do not count those not already previously reported).*
- A. **CODIS hits:** _____
 - B. **Forensic hits:** the new profile matches DNA from an unknown forensic sample collected at a crime scene (e.g., the match is to a sample in the forensic index) _____
 - C. **Offender/arrestee hits:** the new profile matches the DNA of an offender profile already in CODIS (e.g., matches to a sample in the offender index) _____
16. Of the total number of CODIS hits obtained/received during the reporting period (identified in Question 13) were any hits in other state(s) than your jurisdiction? *The new profile matches the DNA of an unknown or known perpetrator in another state. Include federal hits.*
- A. Yes/No (*If No, skip next question*)
 - B. If Yes, how many hits in other states were returned? _____
17. During the reporting period, how many **different states** have returned CODIS hits from your jurisdiction? *Count each state only once.* _____
- A. Please list each state outside of your jurisdiction that has returned a hit.

18. Of the number of **offender/arrestee hits**⁴ obtained during the reporting period (indicated in Question 13C) please enter the number of CODIS hits for each of the following categories:
- A. Cold hits: the DNA hits to an offender who was not previously listed as a suspect/person of interest in the case _____
 - B. Warm hits: the DNA hits to a listed suspect/person of interest in the case _____
 - C. Serial sex offender hits: the DNA hits to a serial sex offender (the same individual who commits the sexual assault of two or more victims in separate events) _____

⁴ <https://www.sakitta.org/resources/docs/12562R1SAKIGdncePerCODISHitsv1.pdf>

- D. Non-sex offender hits: the DNA hits to offenders charged/convicted of crimes unrelated to sexual assault (e.g., robbery, homicide) _____
19. During this reporting period, enter the number of cases where the CODIS hit(s) identified a different offender than the person originally named or prosecuted in the case. *Suspect(s) may be in the case file via name with no DNA profile obtained. Previously untested kits may yield new hit on someone not named in the original case file. Enter "0" if no cases emerged.*
- A. Number of cases that identified a different offender than the person (suspect/person of interest) who was originally named or prosecuted. _____
- B. Of the cases in Question 19A, provide the number of exonerations (charges dismissed, convictions overturned) resulting from CODIS hits naming a new suspect(s) _____

INVESTIGATIONS AND PROSECUTIONS

20. During the reporting period, were any arrests made/warrants issued as a result of CODIS hits to sexual assault kit initiative (SAKI) cases?
- A. Yes
If Yes, how many arrests/warrants? _____
- B. No
21. During this reporting period, how many SAKI investigations opened/reopened because of SAK testing? *Enter "0" if there were no cases opened for investigation.* _____
22. Of the investigations opened/reopened in Question 19, how many were presented to an attorney for charging decisions in this reporting period? _____
23. How many investigations have been closed and/or worked to completion during this reporting period? _____
24. Of the number of investigations worked to completion (identified in Question 21), how many cases were presented to a prosecuting attorney for a charging decision in this reporting period? _____
25. During the reporting period, how many cases were declined for prosecution/elected to not move forward by the prosecuting agency? *If all cases were accepted, enter "0" and proceed to next question.* _____
26. Please indicate the reasons given for not moving forward/declination of prosecution. *(Select all that apply).*
- A. Does not meet the Probable Cause Requirements (e.g., no belief that additional investigation will result in probative evidence)
- B. Lacks a substantial government interest (e.g., offender already serving a long sentence)
- C. Victim declined to participate/requested no criminal charges be filed
- D. Referred for prosecution in another jurisdiction
- E. Pretrial diversion or non-criminal disposition recommended

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- F. Prosecution declined without action (e.g., resource constraints)
- G. Defendant was deceased
- H. Statute of limitations expired
- I. Case closed by exceptional means, please explain. _____
- J. Other, please explain. _____

27. Which of the following factors did your program consider when prioritizing cases for **prosecution**? (*Select all that apply*). [Carry Forward]

- A. N/A – Have not broached
- B. Age of victim
- C. Victim cooperation/victim's family cooperation
- D. Public safety concerns
- E. Statute of limitations
- F. DNA of a known offender
- G. Other/new evidence and/or witnesses emerged (not SAK-related)
- H. Other, please explain. _____

28. During this reporting period, please enter the number of cases (worked with these grant funds) that fit in each of the following categories:

- A. Number of cases **charged** _____
- B. Number of cases with **charges dismissed** _____
- C. Number of cases **pending trial** _____
- D. Number of cases resulting in a **plea bargain** _____
- E. Number of cases ending with a **conviction** following trial _____
- F. Number of cases ending with an **acquittal** _____
- G. Number of cases ending in a **mistrial** _____

29. During this reporting period, please enter the number of victims associated with previously unsubmitted SAKS (from your SAKI inventory) who fit in each of the following categories:

- A. Number of victims located _____
- B. Of those located, number of victims contacted _____
- C. Of those contacted, number agreeing to participate in a new investigation _____
- D. Number of victims who are deceased _____

STATEWIDE AGENCIES

Only answer Questions 30-34 if you are a statewide agency without original jurisdiction to prosecute the cases in your inventory. (*Enter N/A if you are not a statewide agency for each question and move on to Question 35*)

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30. If you are a statewide agency, how many investigations did your agency directly or indirectly support during this reporting period? _____
31. If you are a statewide agency, how many prosecutions did your agency directly or indirectly support during this reporting period? _____
32. If you are a statewide agency, how many victim notifications did your agency directly or indirectly support during this reporting period? _____
33. If you are a statewide agency, how many exhumations did your agency support during this reporting period? _____
34. If you are a statewide agency, how many case closures did your agency assist with and/or support during this reporting period? _____

VICAP AND ADVANCED TESTING

35. Please answer the following questions regarding this grant's funded cases entered into the Violent Criminal Apprehension Program (ViCAP) database during the reporting period:
- A. Number of criteria cases entered in ViCAP _____
 - B. Number of investigative leads generated from ViCAP (any SAKI) entries _____
 - C. Number of suspects identified through ViCAP entry and analysis in Question 35B _____
36. During the reporting period, please enter the **number of cases tested** with the following DNA testing methods:
- A. Y-STR testing _____
 - B. Testing of secondary evidence _____
 - C. DNA phenotyping/ancestral analysis _____
 - D. SNP/WGS testing _____
 - E. Other
If Other, please explain. _____
37. During the reporting period, please enter the number of cases that led to **identification of a suspect** resulting from each of the following methods:
- A. Y-STR testing _____
 - B. Testing of secondary evidence _____
 - C. Familial DNA searches _____
 - D. Forensic genealogy searches _____
 - E. DNA phenotyping / ancestral analysis _____
 - F. Other
If Other, please explain. _____

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FORENSIC GENEALOGY TESTING

Grantees utilizing SAKI funds for forensic genealogy testing must adhere to the U.S. Department of Justice (DOJ) Interim Policy Forensic Genealogical DNA Analysis and Searching (<https://www.justice.gov/olp/page/file/1204386/download>). In accordance with Section IX, SAKI grantees must collect and report the following metrics.

38. Please indicate if you used, or plan to use, SAKI funds to conduct forensic genetic genealogical DNA analysis (FGG) and/or forensic genetic genealogical DNA analysis and searching (FGGS).⁵ **[Carry Forward]**
- Yes
 - No (*If No, skip to next section*)
39. During the reporting period, please enter the amount of federal funding used to conduct FGG/FGGS. _____
40. Please identify the type of crime and enter the number of investigations initiated during the reporting period for which FGG/FGGS was utilized:
- Homicide _____
 - Sexual assault _____
 - Unidentified human remains _____
 - Other _____
If Other, please explain. _____
41. During the reporting period, how many forensic samples and reference samples were subjected to FGG/FGGS?
- Forensic samples _____
 - Reference samples _____
42. During the reporting period, please provide the following: the type of forensic sample subjected to FGG and a description of the total amount, condition, and concentration of that sample (e.g., single source, mixed profile, degradation status, etc.).
- Type of Forensic Sample _____
 - Description of total amount _____
 - Condition _____
 - Concentration of the sample _____
43. During the reporting period, how many cases resulted in searchable profiles obtained from FGG/FGGS? _____

⁵ <https://sakitta.org/webinars/webinar-view.cfm?id=62>

44. During the reporting period, how many investigations resulted in a new arrest that relied, in part, on the use of FGG/FGGS? _____
45. During the reporting period, how many suspects were identified as a result of the use of FGG/FGGS? And how many suspects were prosecuted as a result of the use of FGG/FGGS?
- A. Number of suspects identified _____
- B. Number of suspects prosecuted _____
46. Please identify the vendor laboratory/laboratories used to conduct FGG during the reporting period: _____
47. Please provide the names of any genetic genealogy service(s) used to search the FGG profile(s) during the reporting period: _____
48. During the reporting period, how many cases were closed or cleared by exceptional means through the use of FGG/FGGS? *To be cleared by exceptional means, the agency must have identified the offender and gathered enough evidence to support an arrest/conviction. Examples may include the identification of a deceased offender or the identification of offender who is already serving a life sentence for an unrelated conviction, and it is determined that prosecution will not be pursued.* _____

CONVICTED OFFENDER INTERVIEW PROTOCOL

Please answer the following questions regarding Convicted Offender Interview(s) from this reporting period.

49. How many convicted offenders were interviewed? _____
50. Of those approached for an interview, how many were willing to engage with law enforcement? _____
51. Were there any investigative leads gained from interviews that were conducted?
- A. Yes
If Yes, how many? _____
- B. No
52. Have any of the leads gained from the interviews led to new or re-opened investigations?
- A. Yes
If Yes, how many New? _____
If Yes, how many Reopened? _____
- B. No
53. Have any investigative leads led to the resolution of cases?
- A. Yes
If Yes, how many Solved and Closed by exceptional circumstance? _____
If Yes, how many Guilty Plea? _____

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If Yes, how many Proceeding to trial/prosecution? _____

B. No

54. Additional crimes now known to have been committed by the interviewed offender (other than the crime the offender was previously convicted for committing):

A. Sexually motivated homicides _____

B. Non-sexually motivated homicides _____

C. Aggravated assault _____

D. Felony drug offenses _____

E. Other

If Other, please explain. _____

OTHER RELEVANT ACTIVITIES

55. Do you have other grant related activities to report for this reporting period that has not otherwise been covered by the questions contained herein? If so, please list:

TRAINING AND TECHNICAL ASSISTANCE

Training

56. Did the project provide or facilitate training to project staff (or individuals involved in the project) during the reporting period? *Training is defined as a program of instruction on a particular topic and/or a skill related to a specific operation for either individuals who can use the information or skill on their job, or trainers who will provide instruction to others. Examples include providing training in a classroom/onsite or virtual setting; hosting and/or conducting a webinar; or conducting a workshop at a conference or summit.*

A. Yes

If Yes, how many trainings were completed during the reporting period? _____

B. No *(If No, skip to Question 52)*

57. For each of the trainings completed during the reporting period, please indicate who provided the training, the target audience, number of people trained and the name of the training provider. *Count each person only once per training topic, regardless of how many times he/she attended the training. You may report five trainings per reporting period.*

Training Topic	Target Audience	Number People Trained	Training Provider	What funds were used to provide the training?
[Open text]	<ul style="list-style-type: none"> Law enforcement supervisors Detectives/investigators 	[Positive whole number]	[Open text]	<ul style="list-style-type: none"> Grant funds National Training

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<ul style="list-style-type: none"> • SANEs/forensic nurses • Forensic lab personnel • Prosecutors • Victim advocates • Other 				<ul style="list-style-type: none"> • and Technical Assistance Center (NTTAC) • Other OJP funds • Other • Unknown
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58. Will your grant program be able to directly apply the knowledge obtained through the training(s)?
- A. Yes
 - B. No, the training(s) may be useful to advocate for new approaches but will not be applied directly at this time.
 - C. No, the training(s) did not provide information that can be directly applied to the grant program.
59. Please describe the impact that the training(s) will have on specific outcomes/objectives related to the goals of your program. _____

Technical Assistance

60. Did you receive any technical assistance (TA) during the reporting period? *Technical assistance is targeted assistance to a site, agency, or jurisdiction for the purpose of assessing gaps, barriers and needs, developing strategic plans, or creating innovative approaches to emerging or complex issues.*
- A. Yes
If Yes, how many separate TA providers did you work with during the reporting period? Please clarify with the TA provider if they are OJP-funded. _____
 - B. No *(If No, skip to next section)*
61. For each TA provider you interacted with during the reporting period, please enter the following information. *The number of entries should equal the number you entered in Question 64B (up to five per quarter).*

Organizational Name of TA Provider	TA Topic	Nature of Contact (select all that apply)	Number of Engagements	Satisfaction	Feedback on Your Encounters with This TA Provider	What funds were used to provide the technical assistance?
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[Open text]	[Drop down list from NTTAC]	<ul style="list-style-type: none"> • Conference • Direct assistance • National program or policy advancement • Operational support • Training • Other (if Other, please explain) 	[Positive whole number]	<ul style="list-style-type: none"> • Very satisfied • Satisfied • Neither Satisfied nor Dissatisfied • Dissatisfied • Very Dissatisfied 	[Open Text]	<ul style="list-style-type: none"> • Grant funds • NTTAC • Other OJP Funds • Other • Unknown
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62. Will your grant program be able to directly apply the knowledge obtained through the technical assistance?

- A. Yes
- B. No, the TA may be useful to advocate for new approaches but will not be applied directly at this time.
- C. No, the TA did not provide information that can be directly applied to the grant program.

63. Please describe the impact that the technical assistance may have on specific outcomes/objectives related to the goals of your program.

SEMIANNUAL NARRATIVE QUESTIONS

Please answer the following questions every semi-annual reporting period (January and July of each year), based on your grant-funded activities.

1. What were your accomplishments during the reporting period?

2. What goals were accomplished, as they relate to your grant application?

3. What problems/barriers did you encounter, if any, within the reporting period that prevented you from reaching your goals or milestones?

4. Is there any assistance that BJA can provide to address any problems/barriers identified in Question 3?

- A. Yes
- B. No

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If Yes, please explain. _____

5. Are you on track to fiscally and programmatically complete your program as outlined in your grant application?

A. Yes

B. No

If No, please explain. _____

6. What major activities are planned for the next 6 months?

7. Based on your knowledge of the criminal justice field, are there any innovative programs/accomplishments that you would like to share with BJA?

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