Application deadline has been extended until June 18, 2010.

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Statistics

OMB No. 1121-0329

The U.S. Department of Justice, Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking applications for funding for the Methodological Research to Support the Redesign of the National Crime Victimization Survey: Sub-National Estimates. As the statistical arm of the U.S. Department of Justice, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. The NCVS, a major component of the BJS Criminal Justice Statistics Program, furthers the mission of the Department and OJP by providing data about crime, its victims and the consequences of victimization that inform the public and support innovative strategies and approaches for dealing with the challenges that crime presents.

Methodological Research to Support the Redesign of the National Crime Victimization Survey: Sub-National Estimates Solicitation

Eligibility

Applications for funds may be submitted by both for-profit (commercial) and nonprofit organizations (including tribal organizations).
(See “Eligibility” on page 3)

Deadline

Registration with Grants.gov is required prior to application submission.
(See “How to Apply” on page 26)

All applications are due by 5:00 p.m. Eastern time on June 18, 2010.
(See “Deadlines: Registration and Application” on page 3)

Question and Answer Conference Call

A conference to answer questions about this solicitation will be held on April 27, 2010, from 1:00 - 4:00 p.m. Call 202-353-0877 or toll-free at 800-521-6079, pass code 2818.

Contact Information

For technical assistance with submitting the application, contact Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov.

Note: The Grants.gov Support Hotline is available 24 hours, 7 days a week, except federal holidays.

For assistance with the requirements of this solicitation, contact Michael Rand, Chief of Victimization Statistics, at 202-307-0765 email askbjs@usdoj.gov. Include “subnatl” in the subject line.

Grants.gov number assigned to announcement:
2010-BJS-2664

CONTENTS

Methodological Research to Support the Redesign of the National Crime Victimization Survey: Sub-National Estimates CFDA 16.734

Overview

This solicitation seeks applicants to design and conduct a major survey to accompany the National Crime Victimization Survey (NCVS). The focus of the work to be commissioned under this solicitation is to develop and test survey methods to provide sub-national estimates of victimization based on the survey responses.

To ensure the NCVS remains sustainable and meets the goals for which the survey was established and to measure the extent and characteristics of victimization, both reported and unreported, BJS sponsored an expert panel to review the survey's current methodology. The panel's initial recommendations are detailed in the book, *Surveying Victims: Options for Conducting the National Crime Victimization Survey*, National Research Council (2008).

Applicants for funding under this announcement should provide a synopsis of the applicant's background in this field that supports their expertise with the issue, provides a complete explanation of the methodology to be employed, and describes how conclusions and recommendations will be framed. BJS anticipates making one award for a 48-month period under this solicitation, with an award date on or after October 1, 2010. BJS is authorized to issue this solicitation under the Omnibus Crime Control and Safe Streets Act of 1968, Section 302.

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 5:00 p.m. Eastern time on Friday, June 18, 2010. Please see the "How to Apply" section on page 26 for more details.

Eligibility

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortiums with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortiums. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

Project-Specific Information

Introduction and Justification

NCVS is the premier household survey of BJS. The current NCVS program, referred to in this document as the core NCVS, collects data from more than 100,000 persons annually and provides the nation's only measures of the incidence of criminal victimization not reported to authorities. In recent years, declining crime rates and rising costs of enumeration have threatened the survey's ability to meet its intended goals. In 2008, BJS sponsored an expert panel study carried out by the National Research Council of the National Academies to review the survey's methodology, evaluate it, and provide guidelines for improving its design and implementation. The panel's recommendations are contained in *Surveying Victims: Options for Conducting the National Crime Victimization Survey*.

Since 2008, BJS has initiated a number of research projects to assess and improve upon core NCVS methodology, including redesigning the sample plan, comparing alternative modes of interview, reducing non-response bias, examining various reference period lengths, testing effectiveness of victimization screening questions, and exploring the feasibility of producing sub-national estimates of victimization. During 2009, BJS met with various stakeholders, including the Federal Committee on Statistical Methodology, State Statistical Analysis Centers, state and local law enforcement agencies, law enforcement organizations, the Office of Management and Budget, and select Congressional staff to discuss the role of the NCVS, the need for sub-national data, other stakeholder needs, and the challenges and potential methodologies for achieving these objectives.

In response to an interest among our stakeholders for the production of sub-national estimates, and with the advent of funding targeted for this work, the focus of this solicitation is to develop and evaluate a cost effective sub-national companion survey of victimization.

BJS is already researching a number of methods to supply data and/or estimates at the sub-national level. One option being explored is to expand the core NCVS sample and/or to restructure the sampling plan to produce state-level estimates. Another is the production of indirect estimates through small area estimation techniques using existing data. This solicitation is intended to lay a foundation for determining the most viable and cost-effective option for the development and implementation of a large-scale effort to generate sub-national crime victimization estimates.

To help prospective applicants understand why BJS has proposed the methodological approach contained herein, a summary of the expected benefits of this NCVS redesign project follows.

Expected Benefits of this Component of the NCVS Redesign:

1. Preliminary sub-national victimization data to—
   a. evaluate the utility and costs associated with collection of such data;
   b. understand how the key survey results vary by geographical area to determine which data elements would benefit most from an expanded sub-national data collection program; and
   c. explore synthetic estimation for sub-national areas.

2. A joint core NCVS and sub-national component strategy that—
   a. leverages the strengths of two different data collection methodologies;

b. permits the companion program to be scaled according to data needs and available funding;
c. provides the ability to directly compare the costs, operational outcomes, bias, and precision between two different but complementary survey methodologies;
d. maintains the continuity of the national estimates through the core NCVS;
e. enables BJS to combine the high quality nature of the core NCVS data with the companion data collection to help offset the weaknesses of this lower cost methodology;
f. offers the ability to apply different data collection methods, questionnaires and sampling methods to each collection;
g. assists BJS in creating multi-year estimates for smaller areas or specific demographic subgroups with the strengths of the panel design of the core NCVS; and
h. improves BJS' ability to measure small changes in the yearly estimates of the incidence of victimization at the national level.

On a related matter, as noted throughout this solicitation, BJS designed the proposed companion survey to collect data at the Metropolitan Statistical Area (MSA) level. The primary reason for this approach as discussed in Task 2 is that core NCVS is only able to provide estimates at the national level, the regional level and for certain MSAs at this time. Therefore, in order to be able to directly compare the results between the core and the companion survey, the geographical areas are best defined by the MSAs. BJS expects to modify the core NCVS sample design by 2014 to support the production of state estimates. Methods developed in this project must be designed to adapt readily to a state-based estimation program in the future.

The sampling plan outlined in Task 11b (to be used for cost estimates only) entails a total of 15,000 completed interviews per MSA, and is expected to achieve a statistical precision level such that a difference of about +/- 0.40 percent or less can be detected in the estimates of yearly change in the overall personal victimization rate. This would allow one to identify a statistically significant difference in the yearly personal victimization rate from 2.0 percent to 2.4 percent for each MSA—a relative yearly change of 20 percent. For a yearly MSA-level estimate the sample size is expected to yield a 95 percent confidence interval of +/- 0.25 percent for a 2.0 percent characteristic under the same assumptions with a design effect of about 1.2. The actual sampling precision associated with the comparison of companion survey estimates to those from the core NCVS at the MSA level and in aggregate across the MSAs studied will depend on the final sample sizes available from the NCVS in these areas and the final sample sizes developed in Task 2 of this solicitation for the sub-national companion survey.

The viability of this program will be determined, in part, by cost. BJS speculates that together a sub-national companion survey and a modified core NCVS could ultimately provide direct estimates (at the precision levels stated herein) for as many as 10 of the largest states, and 20 of the larger MSAs at an annual cost of approximately $50-60 million dollars. Using the data provided at the sub-national level could also enable BJS to provide composite estimates (incorporating a model-based or synthetic component) for other MSAs and states along with the use of multiple year averages to expand the data available for other geographies. Whether such benefits could be funded or have the desired return on the investment and what the actual costs would be for such a program under different options is unknown at this time. This collection will inform BJS as to what might be accomplished at different levels of ongoing funding.

Goals and Objectives of this Solicitation

The primary goal of this solicitation is to generate preliminary data at the MSA-level to test the feasibility of producing estimates of the annual incidence of victimization in these areas. This research will help BJS and our stakeholders assess the level and frequency of the geographical estimates to be produced at the end of the NCVS redesign study for a given level of funding. It is anticipated that, ultimately, the sub-national companion data collection will strategically boost the core NCVS sample, and that the blending of the two data collections will provide the necessary statistical power to produce reliable estimates at the sub-national level.

Another key goal of this research is to develop the means to create adjustments to the MSA-level estimates to account for the differences between the sub-national companion survey methodology and the core NCVS methodology. Given that BJS expects the survey response rates for this companion survey to be lower in owing to light of the lower-cost methodology and as such subject to a higher level of non-response bias, BJS plans to leverage the data from the core NCVS, which currently achieves nearly a 90 percent response rate through in-person interviewing techniques, to improve the non-response adjustments for the sub-national companion data. Ultimately, this will reduce the non-response bias in the blended survey data. The cost and viability of the sub-national companion survey methodologies in these areas will be compared to the estimates, metadata, and para-data of the core NCVS.

The objective is to blend the data from this survey with the core NCVS to produce reliable and valid sub-national estimates of the incidence of victimization at a reasonable cost.

The key objectives for this study are to:

1. Develop a sub-national companion data collection to boost the core NCVS and evaluate the companion collection for reliability, validity, cost-effectiveness, and sustainability.
2. Evaluate the feasibility and utility of blending the sub-national companion data into the core NCVS, despite the markedly different sources and levels of coverage, response, and measurement error.
3. Compare the trade-offs in response bias, cost, operational complexity, and estimation between the core NCVS and a lower-cost, sub-national component.
4. Develop sufficiently reliable data at the sub-national level to develop and evaluate model-based estimation procedures that could serve as an additional component to the survey estimates.

In summary, the successful recipient will—

1. Develop and carry out victimization surveys of specified sample size in a selected number of MSAs across the United States using a selected data collection strategy. As noted in this solicitation, for bidding purposes applicants should assume that the data collection will be conducted using Computer-Assisted Telephone Interviewing (CATI) and Random Digit Dialing (RDD) methods that are designed to include cell phone-only households. The actual interviewing methods will be determined in Task 2.
2. The studies will be modeled on the core NCVS, using the same screener along with the necessary information components associated with the selected data collection methodology and a truncated incident report. The data collection will be limited to adult household members (age 18 or older) to reduce the burden and complexity of this research. The parameters to be used in responding to this solicitation are described more fully under Task 11b.

3. Develop qualitative and quantitative measures of the interview process, including survey para-data related to interviewers and the interviewing process, the impact of non-response on survey estimates, and other measures of data quality.
4. Conduct comparative analyses of companion data and core NCVS data by MSA, and develop models to bridge the differences between the estimates.
5. Develop and implement a method for blending or combining data from this companion survey with the core NCVS.
6. Analyze survey data by MSA, and provide BJS with a core set of tables presenting estimates of violent and property crime, as well as the characteristics of crimes and victims, for each of the MSAs. The crimes to be measured include—
   a. Personal crimes: rape/sexual assault, robbery, aggravated assault, simple assault, purse snatching/pocket picking; and
   b. Household crimes: household burglary, motor vehicle theft and theft.

The following sections list the specific tasks and activities to be conducted by the recipient during the course of the project. The deliverables and project schedule for these tasks are provided in a separate section. Since some of the activities determine subsequent tasks to be conducted, as well as the scope and quantity of the work to be performed, we discuss these activities, as necessary, in two ways. First, we describe the objectives of the task and the types of research that we envision will be required to address the issues. Second, we provide a set of parameters for the applicant to use to prepare the application responding to the solicitation.

The tasks are grouped into four phases as they relate to the conceptualization and selection of the survey plan, survey development, implementation, and post-collection model building. A summary of the parameters to be used for budgeting purposes is provided under Task 11b.

Statement of Work and Deliverables

This statement of work provides details on the survey methodology and the scope of the work necessary for the potential recipient to prepare a cost estimate for the requested services in response to this solicitation. The actual survey methods and the scale (e.g., number of geographic areas to be covered and the sample sizes in each geographic area) of the project will be determined collaboratively during the course of this work and based on the actual funding available.

In the application submitted in response to this solicitation, the applicant should, for each task: a) provide descriptions of specific strategies or approaches that would be part of the applicant's work to complete the task, b) describe/demonstrate their capabilities and expertise that will enable them to successfully complete the task, and c) provide cost estimates for performing the work, using the parameters described in Tasks 5 and 11 as applicable.

Our goal with this approach is to provide sufficient information to applicants to enable them to judge the complexity and cost of the developmental work and then to use the parameters provided to create a cost estimate for the expected research, field work, and data processing activities. Through this approach, BJS is seeking to compare the cost estimates provided by applicants for an identical or like set of deliverables while enabling the final parameters of the project to be determined as part of the work and modified based on actual funding availability.

Note: Because the protection of human subjects is a critical issue for OJP, applicants should explain the steps they will take to ensure that IRB review and approval is obtained before any OJP-funded research or data collection regarding human subjects commences.

PHASE 1 – INITIATION, RESEARCH, DESIGN, AND SELECTION OF THE SURVEY DESIGN

Task 1. Project Initiation, Planning, and Management

a. Timetable

Within 3 weeks of the award start date, the recipient will meet with BJS to discuss the proposed tasks. The recipient will develop a detailed timetable for each task, subtask, deliverable (including progress and CATI reports), scheduled meeting, and conference call for the project.

The timetable must identify short-term and long-term deliverables, and follow this overall time frame, measured from project start:

3 weeks:	Phase 1, Task 1c, Kick-off Meeting.
1 month:	Phase 1, Task 1a, Timetable.
6 months:	Phase 1, Tasks 1 – 3.
15 months:	Phase 2, Tasks 4 – 8.
21 months:	Phase 3, Task 9, Pilot Test.
24 months:	Phase 3, Task 10, Hiring.
36 months:	Phase 3, Task 11, Data Collection.
42 months:	Phase 4, Tasks 12 – 15, Processing, Estimation, Analysis, and Files and Documentation
48 months:	Phase 4, Task 16, Project Summary and Recommendations.

After the BJS Project Manager (PM) has agreed to the timetable, all work must be completed as scheduled.

b. Meetings

Conduct meetings with specified organizations to inform project planning, development, and management. These meetings must include, but are not limited to—

i. Kick-off meeting at BJS to discuss plans for, and scheduling of, project activities.
ii. Conference calls to discuss project progress/status, conducted bi-weekly.
iii. Meetings or conference calls with the U.S. Census Bureau and other BJS award recipients conducting research on the core NCVS to discuss current activities and results.
iv. Observe/participate in BJS-scheduled stakeholder meetings as directed; these partners include, but are not limited to, other federal agencies, academics, and state and local law enforcement. Recipients should be prepared to assist BJS and participate in meetings on this program.
v. Wrap-up meeting to present project results and findings to BJS.

c. Status Reports

i. Provide monthly reports that detail status updates on areas such as tasks and expenditures.
ii. During data collection, provide weekly CATI reports, including status updates on various aspects of data collection such as interviews, response rates, survey operations, etc.

Deliverables associated with this task: A timetable. Progress reports: monthly progress reports are due 10 business days after the end of the period covered; CATI reports are due by close of business the Monday following the week covered by the report.

For this solicitation, the applicant's submission should a) briefly describe how they will accomplish this task, b) demonstrate the capability to plan large-scale data collections, coordinate efforts with the U.S. Census Bureau and other organizations, form expert panels, plan and conduct meetings, and provide status reports, all in a timely manner, and c) provide a cost estimate for performing the task described above.

Task 2. Methodological Development

In this task, the recipient will work with BJS to develop the best study design to maximize the use of the sub-national companion survey data coupled with the core NCVS data to develop a reliable methodology to produce sub-national estimates of criminal victimization.

In developing their recommendations as described below, the recipient must review and consider the findings from ongoing research provided by BJS. BJS will work with the recipient to determine the study protocols to be used in this part of the project. Areas of research and development to be covered by the design include—

a. **Sample Design and Data Collection Methodology**
The recipient will develop a sample design and data collection methodology to produce the most statistically efficient, cost-effective, and representative sample of households possible in the selected MSAs. The recipient must examine the trade-offs associated with different data collection methodologies such as Random-Digit-Dialing (RDD) with methods to incorporate cell phone-only households, an address-based sampling plan supplemented by telephone directory matching and mail surveys, computer-based data collection, and other options. These trade-offs include the coverage, response rates, and cost of the survey.

Furthermore, the recipient will explore examine the use of various methods for linking criminal activity and demographic and socio-economic characteristics to the sampling frame in order to—

i. evaluate the utility of this approach under different proposed data collection methods (RDD, address-based sampling, or other);
ii. stratify and allocate the sample; and
iii. improve the precision in the overall estimates and those for select demographic subgroups.

The utility of this approach would depend on the size of the geographical area, the correspondence between the area for which the data is available and the areas defined by the sampling frame, and the diversity of the profile of the communities within the area.

BJS expects that this companion survey would use a cross-sectional sampling plan to support blending data across multiple years to improve the statistical precision in the estimates for various demographic subgroups (and for smaller MSAs or similar areas). The core NCVS is conducted using a rotating panel design to reduce costs and leverage the benefits of a personal-visit data collection process to further improve response rates and to increase the precision in the estimates of year-to-year change. Under the proposed two-survey system, this sub-national survey needs to be designed in such a way as to maximize the ability to blend the sub-national companion data with the core NCVS. Again, we anticipate that these two different design strategies, when blended as part of a redesigned NCVS, would leverage the complementary strengths of panel vs. cross-sectional methodology.

b. **Geographic Units and Sample Size**

As the first objective for this task, the recipient must identify the appropriate level of geography for which the data will be collected. In making this determination there are a variety of competing factors that must be considered. First, our stakeholders would like the NCVS program to produce estimates at both the state and smaller geographic levels. Such estimates would help inform policy-makers on a host of issues including, the allocation of federal funding to the states, creation and modification of victim programs, and understanding differences in the nature of crimes in specific communities. Second, the principal goals of this research include the ability to make direct comparisons of the survey outcomes between this sub-national survey and the core NCVS and to develop the methodology to blend the data from both collections.

With such a goal it is preferable to define the geographical units in a manner for which data can be produced from both programs. This aspect becomes the limiting factor, as the current design of the core NCVS sample design does not permit the creation of state-level estimates. However, in many cases the primary sampling units in the core NCVS directly correspond to an MSA. For this reason, BJS has defined the geographical units for this project in this manner. Because the long-term goal for the survey is to produce state-level estimates, BJS needs to understand the differences in the operational and statistical aspects of producing state vs. MSA-level data. As such, BJS and the recipient must examine whether to design the sub-national companion survey to produce a combination of state and MSA-level estimates based on the trade-offs associated with the cost of this survey and the need for information.

The second objective concerns the number of geographical units to study and the number of household/persons to interview from each. Increasing the number of MSAs would provide a richer database from which to compare estimates from this data collection to those obtained from the same areas via core NCVS. Moreover, having more areas will help BJS develop and evaluate the feasibility of producing model-based / synthetic estimates for sub-national areas. In contrast, changing the number of areas to be surveyed and the number of households and persons interviewed in each area impacts the cost and scale of this data collection, and the precision in the estimates. Therefore, the recipient must evaluate the trade-offs associated with these goals to design an acceptable and justifiable survey for the funding available. The recipient will also be required to work with BJS and the U.S. Census Bureau to determine how to obtain the necessary sample size to support these comparisons with the selected areas in the core NCVS.

c. **Enhanced follow-up procedures**

The recipient must examine the impact of a sample-based personal-visit follow-up procedure for telephone non-respondents on the weighted and un-weighted response rates, the bias in the survey estimates, and the costs of the survey. Finally, the recipient must examine the benefits of other forms of non-response follow up, including but not limited to, the use of reminder post-cards (as feasible, based on phone number links to other directories to obtain the address information), and varying the number of call-backs.

If the sub-national companion survey is designed to prepare state-level estimates and if a sample-based personal-visit follow-up option is adopted, BJS expects that this would require the use of a geographically clustered, multi-stage sample design to reduce travel costs to parallel the core NCVS program. Because the scope of this study is limited to MSA-level estimates, BJS does not envision that a clustered sample design is required even with a personal-visit follow-up option. However, the recipient must examine the impact on the proposed sampling plan if a personal-visit follow-up option is exercised in one or more of the MSAs selected.

The recipient will evaluate the trade-offs associated with the different design options discussed above by conducting a limited literature and related program review, conducting data analysis of available information or through simulations, and by drawing upon their expertise in survey design and implementation to provide BJS with a written summary of their recommendations and the associated rationale. This evaluation will include the cost, response rate, and bias differences associated with the incorporation of a Spanish version of the instrument and the use of Spanish speaking interviewers. Applicants should bear in mind that, given the expected constraints on the timing and funding for this program, this work cannot be extensive, as the research component of this process must be completed within 4 months of the start date. BJS does not anticipate conducting a formal test of these different design options as part of this work.

Deliverables associated with this task: A written summary of the multiple survey design options and review of the relevant survey research literature for conducting surveys at the sub-national level. The recipient's recommendations as to which option(s) should be implemented to best meet the goals described throughout this solicitation.

For this solicitation, the applicant's submission should a) propose a high-level survey design and methodology that best addresses the areas described above, b) recommend whether to link external data to the sampling frame (as described above) and how it would be used, c) describe how they will conduct the research, development, and comparative evaluation of this design to other potential designs, d) explain how they will determine the best sampling unit and sample size, e) demonstrate knowledge of the effectiveness of various follow-up procedures, f) address how the sub-national companion data can be blended with the core NCVS, g) demonstrate capability to perform this task, and h) estimate the cost of performing the research, development, and evaluation described in this task. For costing purposes, include developing Spanish versions of the questionnaires and training Spanish-speaking interviewers. Use the other parameters in Task 11b as applicable.

Task 3. Optimal Design and Cost Estimate

Upon researching the design parameters and trade-offs associated with the various design options reviewed in Task 2, BJS will work with the recipient to develop an optimal design to best meet the project goals in terms of the measurement objectives (number and type of sites) and sampling and survey precision outcomes (sample sizes).

After BJS approves this optimal design, the recipient will prepare a detailed cost estimate, expected response rates, and estimates on sampling precision. A written evaluation will describe the methods, objectives, and expected outcomes for each of the following, as applicable—

a. **Measurement** (e.g., for what number and type of sites)
b. **Sampling frames**
c. **Sampling precision** (sample size and stratification)
d. **Sample selection**
e. **Interview protocol**
f. **Response rates**
g. **Non-response follow-up**
h. **Questionnaire** translations and bilingual interviewers.

If at this point, BJS determines that the project is not feasible or will not be able to meet the stated objectives, the project will not move forward to Phase 2.

Deliverable associated with this task: A detailed sample design and data collection methodology, and descriptions of the methods, objectives, expected outcomes, and cost estimates as described above. This is due within 6 months of project start. If BJS implements any part of this design in the remaining phases of this project, supplemental funding will be made available as necessary.

For this solicitation, the applicant's submission should a) describe how they plan to optimize and evaluate their proposed design; b) demonstrate their capability to create and evaluate optimal designs, and c) estimate the costs associated with this work. For costing purposes, include developing Spanish versions of the questionnaires and training Spanish-speaking interviewers. Use the other parameters in Task 11b as applicable.

PHASE 2 – SURVEY DEVELOPMENT

Task 4. Questionnaire Development

Develop and test the questionnaires to be used in the study. The recipient should propose how to use the core NCVS basic screening questions and victimization incident report as the basis for the questionnaires in the proposed study. These questionnaires are available from BJS upon request. To reduce respondent burden, shortened incident report questionnaires need to be developed.

In this phase, the recipient will conduct sufficient cognitive and technical testing to ensure the survey instrument's performance and that the questionnaire sequences and questions operate correctly.

BJS is currently conducting research to evaluate the feasibility of migrating from the current 6-month reference period used in the core NCVS to a 12-month reference period, as proposed here. If the research is completed prior to Phase 2 of this study, BJS will share and discuss the results of this research with the recipient to evaluate whether to use the proposed 12-month reference period.

Deliverables associated with this task: A written summary of recommended changes to the core NCVS questionnaires and the modified questionnaires. The design for an integrated CATI-based RDD with methods to incorporate cell phone only households (or other proposed mode of data collection) household screener, victimization screener, and incident report questionnaires (in conjunction with Task 7).

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, including how an RDD-based (or other proposed mode of data collection) household screener could be integrated into the survey process,
b) demonstrate their ability to perform the task, for example, propose general areas in each questionnaire where the instrument can be modified or shortened to reduce burden but maintain the critical elements for crime identification and classification, and
c) include estimates of the cost of revising the incident report questionnaires and developing Spanish versions of the questionnaires. Use the other parameters in Task 11b as applicable.

Task 5. Sample

a. Final Sample Design

The recipient shall design the sample for each MSA in the study and develop the proposed sampling procedures at the household and person levels based on the design developed in Tasks 2 and 3.

In terms of the primary objective to compare estimates from this program to the core NCVS, the precision will be a function of the sample sizes obtained from this study and those that BJS is able to achieve with the U.S. Census Bureau for the core NCVS. The recipient will be required to work with BJS and the U.S. Census Bureau to develop the appropriate sample sizes for both studies to support these comparisons and to provide sufficiently reliable data for the funding available to blend the data from the two programs and to support the development of model-based estimates.

During this phase of the work the recipient will develop a proposed sample weighting plan for review by BJS to control for any differences in the probabilities of selection among the sample units.

As noted below in Task 7, the CATI procedures must be designed to select a knowledgeable adult to provide household information and an adult at random from the selected households. In some instances, the two selected adults could be the same person.

b. Sample Selection

Upon approval by BJS of the final sampling frame design, and procedures, the recipient will draw the sample for data collection.

Deliverables associated with this task: A written sampling plan submitted to BJS for approval -- this sampling plan must describe the sampling specifications and procedures, the level of precision the sample will provide, sample size and response rate needed to achieve this level of precision, methods of household selection, and the proposed sample weighting plan to adjust for any differences in the selection probabilities at the household and person levels. Confirmation and description of the selected sample.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their capability to successfully design and select the proposed sample, and c) include cost estimates for developing and drawing the proposed sample. Use the parameters provided in Task 11b, as necessary, including the American Association for Public Opinion Research (AAPOR) guidelines listed below. Again, do not include the cost of implementing the data collection.

For cost estimation purposes, per the AAPOR suggested guidelines, applicants should indicate the RDD method they recommend for this study and specifically explain if it will be—

i. restricted to blocks or banks of numbers with a specified number of listed telephone numbers (e.g., at least one listed number per hundred bank),
ii. purged of business numbers by cross-reference to databases such as the Yellow Pages,
iii. screened of non-productive numbers before the sample is released to interviewers, and
iv. modified in any other way.

Applicants to this solicitation must propose the methods they recommend using to include cell phone-only households under the assumed RDD data collection methods.

Task 6. Survey Operations

Develop each of the following deliverables working in conjunction with BJS:

a. Survey protocols

i. survey definitions regarding the outcomes of the interviewing process—partial, completed, hard refusal, ineligible
ii. quality control procedures for
    a) data collection
    b) interviews
iii. interviewer materials
    a) manuals
    b) training materials
    c) data collection interview procedures
    d) selection criteria for hiring interviewers
    e) selection procedures for hiring interviewers

b. FAQs for respondents

Includes information on confidentiality, how the data will and will not be used, voluntary status of survey, definitions of terms, general sample information, etc.

c. Documents for OMB project approval

Includes the 30- and 60-day notices, form 83i, support statement, justification memorandum, and copies of all survey documents, including but not limited to the questionnaires, all follow-up documents, and CATI scripts.

Deliverables associated with this task: Each of the subtasks in Task 6 is a deliverable.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) describe their experience in drafting the necessary documents, and c) include estimates of the cost of performing this task.

Task 7. CATI Development

Develop and test Computer-Assisted Telephone Interviewing (CATI) and case management systems. These systems include the capability to collect para-data such as timestamps on screeners, interviewer IDs, interviewer status (newly trained or experienced), the number of phone numbers that have been opened for interviewing, status of interviews using BJS protocols (e.g., the number of completed interviews, and the number of incomplete interviews and the number of call-backs, and the number of hard refusals), interviewer feedback, and other para-data as required by BJS. The data processing procedures detailed below (Task 8a-c) must be built into CATI to the fullest extent possible.

Moreover, the CATI instrument must have the capacity to—

a. select an adult from each household to be the household respondent, using the same criteria as the core NCVS. This selected adult must be knowledgeable of household crimes and able to answer questions related to household property victimizations.
b. randomly select an adult from each household. This might be the adult who responds to the household questions or it might be another adult. This person will be asked the individual-level questions.
c. gather relevant data on a maximum of three victimizations (violent or property) per household. In 2007 nearly 90% of households experienced three or fewer victimizations. With 90% of victim experiencing three or fewer victimizations, and added cost of gathering data on the few households with additional victimizations, diminishing returns dictate collecting data on no more than three victimizations per household.
d. easily add or replace a question or set of questions.
e. generate weekly reports to update BJS on the feedback, para-data, and other information listed above.

The recipient will develop a set of CATI programming and case management procedures for BJS approval. BJS requires that the CATI instrument be fully tested by a combination of the recipient's professional staff, the recipient's phone interviewing professionals, and by the BJS project team. At the conclusion of CATI testing and development, the recipient must submit a workability report to BJS, including a sample of the weekly CATI report.

Throughout the data collection period the recipient must provide the BJS project team with weekly status reports. In addition to reporting on the para-data and progress of the survey, the field progress reports will highlight any identified problems with the data collection activities and recommend remedial actions. The recipient will work with BJS to determine the exact content and format of the report.

Deliverables associated with this task: Operational CATI instrument(s) with the following capabilities: household screener compatible with RDD (including enhancements for cell phone-only households or other methodology, as approved by BJS), victimization screener, incident report questionnaires, accurate skip patterns, and data collection in both English and Spanish, collecting the required para-data, performing selected data checks and edits. Additionally, it must have the capacities described above.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate the capability to develop operational CATI instruments, and c) estimate the costs of this development.

Task 8. Data Processing Procedures

During this phase of the work, the recipient will develop the proposed data edits, conversion, non-response adjustment procedures, and data documentation for review by BJS. For this task the recipient will, for example, outline the basic strategy for adjusting the sub-national companion survey data for non-response, based solely on the collected information. Additional non-response procedures explored in Task 13 will examine the feasibility of incorporating the core NCVS data into the estimation process to further reduce the bias in the sub-national companion data collection.

The data file must be in SPSS and SAS format. The documentation must include record layout; variable and value lists, labels, definitions, and formats; recode information and syntax; the survey questionnaires; and survey background information. The recipient will coordinate with the National Archive of Criminal Justice Data (NACJD) to ensure the data file and codebook documentation deliverables meet Inter-University Consortium for Political and Social Research (ICPSR) formats and standards for data archiving.

A data codebook must be supplied with each of the data files to document the definitions for the categorical variable values, the range of values observed for each data element and any formatting applied.

The recipient will also develop and document data processing and editing procedures for—

a. **Data cleaning, skip pattern, consistency, and out-of-range checks**
b. **Data conversion**
c. **Non-response adjustment procedures**
d. **Preliminary data file and codebook documentation.**

Deliverables associated with this task: All the documents and procedures described in Task 8 are deliverables.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) describe their knowledge and experience in drafting complex data processing procedures, and c) estimate the costs of performing this task.

Phase 2 deliverables for Tasks 4-8 above are to be submitted on a flow basis as specified in the timetable. The final deliverable for Phase 2 is a written report summarizing the final procedures and decisions from this Phase. All Phase 2 deliverables are due within 15 months of project start.

PHASE 3 – DATA COLLECTION

Task 9. Pilot Data Collection

This pilot data collection operation must begin within 15 months of project start. This task must reach completion within 21 months of project start (i.e., it is to be completed in 6 months time).

a. Pilot Interviewer Selection and Training
The recipient will hire (if necessary to augment organizational interviewing staffs) and train an adequate number of interviewers to conduct and complete 5,000 interviews in the Chicago-Naperville-Joliet, IL-IN-WI MSA within, or as close as possible to, the specified enumeration period.

b. Pilot Data Collection
Using the CATI instrument approved in Phase 2, the recipient will interview the sampled households and individuals.

c. Pilot Review of Interviews for Quality Assessment
In addition to the CATI pre-survey testing procedures, the recipient will use the 5,000 completed pilot test interviews as an additional evaluation and testing process of the CATI instrument. The recipient will prepare a report of the findings from these interviews and review these results with BJS before proceeding with the rest of the data collection. The report will examine the response patterns associated with the completion of these interviews, the missing data patterns in the responses, and the occurrence of any out-of-range or misreported information (e.g., write-in responses that would suggest a prior response was incorrectly assigned or other skip-pattern issues). The remainder of the data will be collected only after implementing any modifications developed in consultation with BJS.

d. Pilot Design Parameters for Preparing Your Application
As noted throughout this solicitation, the survey design actually used for the data collection may differ from the specifications cited below. For purposes of preparing your application, please use the following design parameters for Task 9.

i. Conduct studies in the Chicago-Naperville-Joliet, IL-IN-WI. This MSA was selected because it contains a significant number of cases in the core NCVS to enable comparisons to the MSA-level estimates resulting from this project.

ii. Complete the survey with 5,000 households
   a. Obtain household information and screen for household crimes from a knowledgeable adult age 18 or older and obtain crime incident report(s) for crimes uncovered using core NCVS methodology for selecting this respondent.
   b. Sample within household and randomly select one adult age 18 or older to screen for personal crimes and obtain crime incident report(s) for crimes uncovered. This might be the adult interviewed for the household information, or it might be another adult in the household.
   c. No interviews will be conducted with household members younger than 18 years of age.

iii. Sample the phone number banks and phone numbers for the RDD sample with methods to incorporate cell phone-only households as proposed by the applicant in the cost estimates for Task 5. Assume no oversampling of the phone number exchanges to increase the realized sample of cases by demographics or other characteristics.

iv. Complete data collection within a 6 month period.

v. See Task 11b, v-ix for remaining parameters.

If, at this point, BJS determines that the project is not feasible or will not be able to meet the stated objectives, the project will not move forward to Task 10.

Deliverables associated with this task: A written report of findings from the 5,000 pilot CATI interviews, including unweighted crosstabs as described in Task 13, based on only the pilot data. Modifications to the CATI system, sampling plan, and data collection methodology based on these findings and determined in conjunction with BJS. The pilot data collection must be completed in 3 months and the report is due 3 months after that (within 21 months of project start).

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their ability to perform the task, and c) estimate the costs of performing this task.

Task 10. Interviewer Selection and Training

Depending on the outcome of the pilot survey and at the discretion of BJS, the recipient will hire (if necessary to augment organizational interviewing staffs) and train an adequate number of interviewers to conduct and complete 15,000 interviews in each of five additional MSAs within, or as close as possible to, the specified enumeration period.

Deliverables associated with this task: Confirmation and general description of hired interviewers and of completed training, due within 24 months from project start.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their ability to perform the task, and c) estimate the costs of performing this task.

Task 11. MSA Data Collection

Data collection operations will begin within 24 months of project start. All data collection interviews must be completed within 36 months of project start.

a. Data collection
Using the CATI instrument and the sampling and data collection plan approved in Phase 2, the recipient will interview the sampled households and individuals.

Deliverable associated with this task: Final report confirming completion of data collection, including final detailed CATI report, due within 36 months of project start.

b. Design Parameters for Preparing Your Application
As noted throughout this solicitation, the survey design actually used for the data collection may differ from the specifications cited below. However, for the purposes of preparing your application, please use the following design parameters for Task 11 and, as needed, where they apply to other tasks.

i. Conduct studies in the following five MSAs. These MSAs were selected because they contain the most cases in the core NCVS, enabling comparisons to the MSA-level estimates resulting from this project.
   a. New York-Northern New Jersey-Long Island, NY-NJ-PA
   b. Los Angeles-Long Beach-Santa Ana, CA
   c. Miami-Fort Lauderdale-Pompano Beach, FL
   d. Dallas-Fort Worth-Arlington, TX
   e. Phoenix-Mesa-Scottsdale, AZ

ii. Complete the survey with 15,000 households per MSA:
   a. Obtain household information and screen for household crimes from a knowledgeable adult age 18 or older and obtain crime incident report(s) for crimes uncovered using core NCVS methodology for selecting this respondent.
   b. Sample within household and randomly select one adult age 18 or older to screen for personal crimes and obtain crime incident report(s) for crimes uncovered. This might be the adult interviewed for the household information, or it might be another adult in the household.
   c. No interviews will be conducted with household members younger than 18 years of age.

iii. Sample the phone number banks and phone numbers for the RDD sample with the inclusion of cell phone-only households as proposed by the applicant in the cost estimates for Task 5. Assume no oversampling of the phone number exchanges to increase the realized sample of cases by demographics or other characteristics.

iv. Data collection must be completed within a 12 month period.

v. Data collection will not involve the use of incentives.

vi. The reference period for the study will be the 12 months prior to the month of interview. Survey estimates are to be computed on an annual basis.

vii. In calculating your proposed response rate, use the RDD method from Task 5 and the definitions listed in AAPOR formula RR3 and disposition codes in table 1 found in *Standard Definitions Final Disposition of Case Codes and Outcome Rates for Surveys*, as feasible. Base the screening requirements on your proposed response rates and RDD methodology.

viii. Use the following interview and follow-up parameters for cost estimation:
   a. An average of 10 minutes for each RDD household eligibility screener
   b. An average of 5 minutes for each household victimization screener if no crimes are uncovered, and 10 minutes if crimes are uncovered.
   c. An average of 5 minutes for each individual victimization screener if no crimes are uncovered, and 10 minutes if crimes are uncovered.
   d. An average of 20 minutes for each incident report questionnaire.
   e. Pre-letters to address households.
   f. Ten (10) call-back attempts for non-responders.
   g. Mail-out follow-up postcards to address households.
   h. No personal visit follow-ups.

ix. Data collection will use both English and Spanish instruments**.**

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their ability to perform the task, and c) estimate the cost of performing this task.

PHASE 4 – POST-DATA COLLECTION

Task 12. Process Data

The recipient will implement the post-data collection data processing procedures developed in Phase 2, Tasks 4 - 8 to identify remaining data issues and to report these findings to BJS for resolution. Data processing must be completed within 42 months.

Deliverable associated with this task: A written report of data anomalies and a preliminary data file.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their ability to perform the task, and c) estimate the costs of performing this task.

Task 13. Companion Survey Estimation, Analysis, and Comparison to Core NCVS

This task entails estimation and analysis of the sub-national companion data. In the first part of this task, these data will be analyzed on their own. In the second part, the recipient will compare these findings to core NCVS findings. After this task is completed, in Task 14 the recipient will work to blend the two data sources to develop combined survey estimates at both the national and MSA levels.

a. As a first step in preparing the sub-national companion survey data, the recipient will develop and implement the final set of survey weighting and non-response procedures, and variance estimation methods and prepare a set of specified tabulations and significance tests with the resulting data.

We anticipate that, with RDD or some other low-cost approach, relatively little information will be available prior to the interview about the demographic nature and composition of the households, but the recipient will use the information available at the telephone exchange level to adjust for non-response/refusal at first contact and to align (e.g., via raking or post-stratification) the weighted distribution of respondent households and persons to administrative benchmarks, as practical and sensible. The recipient will examine patterns in call-back attempts and other operational data to adjust for non-response. If a sufficient number of partial interviews have been conducted (in which household composition, race and ethnicity, age and gender data are obtained but the crime data are not complete) the information collected will be considered in developing the non-response adjustment. Likewise, the recipient is responsible for estimating the overall eligibility rate of the sampling frame units from the data available and incorporating this into the weighting process.

Next, using the fully processed companion survey data, the recipient will produce a series of cross-tabulations and incidence rates for select questionnaire items, both weighted and un-weighted, following the basic statistical summaries presented in the annual BJS bulletin, *Criminal Victimization* for each of the selected MSAs. The recipient will provide significance testing for all point estimates from each MSA that account for the complexity of the survey design and the weighting procedures. Applicants should also assume that no imputation will be necessary although the actual requirements will be determined based on the status of the missing data items.

The recipient will develop replicate weights or other methods required to create accurate estimates of the sampling precision in the estimates to account for the sampling procedures.

b. Following the preparation and analysis of the sub-national companion survey data, the recipient will be required to conduct a comparative analysis of the para-data and the survey data results to the equivalent available information from the core NCVS for these MSAs. BJS anticipates that the recipient will be required to work on-site or at a designated research facility to access the core NCVS micro data to conduct this analysis. The recipient should conduct a detailed analysis of the findings from both surveys to estimate the potential bias in the sub-national companion data and the differences in the para-data to the extent possible (of note BJS is working to enhance the para-data collected from the core program prior to the implementation of this study). If a personal visit follow-up strategy is conducted in some MSAs, the recipient will be required to assess the reduction in bias associated with the enhanced follow-up procedures.

Deliverables associated with this task: Documentation of the estimation methods. Identification and discussion of any issues associated with the data and the weighting and estimation process. The requested cross-tabulations and analysis of the sub-national companion survey data. A detailed comparison of the sub-national companion survey and the core NCVS for the selected MSAs, analyzing the collected data and para-data. These deliverables are due within 42 months of project start.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their ability to conduct the required analysis, and c) estimate the costs of conducting this research and analysis. BJS realizes the level of complexity associated with this work cannot be fully described at this time and expects recipients to provide their best estimate of the level of effort required to perform this task based on similar experiences in this area.

Task 14. Blending Companion Survey Data with Core NCVS

As noted previously, the ultimate goal of this study is to blend data between the core NCVS and the sub-national companion survey to produce combined survey estimates. The recipient will be required to work collaboratively with BJS and the U.S. Census Bureau to design and implement a weighting and estimation procedure to blend the survey data for the selected MSAs to produce a set of national and MSA-level crime incidence and characteristic estimates.

The recipient must provide BJS with a draft of the proposed methodology; produce a micro-level data set that combines the core NCVS data with the sub-national companion survey, test estimates, and a summary of the data quality measures associated with these estimates and procedures. BJS may elect to modify these procedures and the final methods will be documented in a final methodological report.

Recipients are expected to design and develop a methodology to blend the micro-survey data to leverage the expected reduced bias properties of the core program to further adjust the sub-national companion survey data for non-response and to best utilize the data to produce blended data estimates with the greatest statistical precision possible. The recipient must generate a data file capable of producing blended-data estimates for the MSAs and blended-data national estimates. We expect that such process may require the recipient to work with the U.S. Census Bureau and prepare multiple survey weights to support such estimates.

Deliverables associated with this task: Blended micro-data file with the appropriate weights and variance estimation parameters -- this file must support the production of blended data estimates for the MSAs and blended data national estimates.

For this solicitation, the applicant's submission should: a) indicate how they plan to accomplish this task; b) describe their capability to design and implement a complex estimation procedure of this nature; and c) include estimates of the costs of conducting this task, including working with the U.S. Census Bureau on-site or at a designated research facility.

Task 15. Final Data File and Codebook Documentation

The recipient will produce a final data file and codebook documentation following specifications used by the National Archive of Criminal Justice Data and standards issued by the Inter-University Consortium for Political and Social Research (ICPSR).

Deliverables associated with this task: Electronic versions of the datasets created in tasks 13 and 14 in both SPSS and SAS formats and supporting documentation, following the procedures developed in Task 9. Supporting documentation includes, but is not limited to, a comprehensive codebook detailing variable positions; variable and value labels; procedures for data verification; any recoding implemented during the data cleaning process; and copies of all programs used to generate data or published statistics. The recipient will continue to coordinate these efforts with NACJD to ensure the final data and documentation adhere to ICPSR standards. These deliverables are due within 42 months of project start.

For this solicitation, the applicant's submission should a) briefly describe how they propose to create the data files, b) demonstrate their ability to create the data files, and c) estimate the costs associated with this work.

Task 16. Project Summary and Recommendations

The recipient shall produce a report summarizing the project and providing recommendations for future work in the area of sub-national estimates. Specifically, the report must—

a. Outline the findings related to the pilot study and 5-MSA sub-national companion data collection.

b. Describe and discuss the—
   i. Estimates generated from the sub-national companion study.
   ii. Sub-national/ core NCVS comparison and blending methodology.
   iii. Estimates generated from the blended sub-national companion and core NCVS data.

c. Include recommendations for scaling up the sub-national companion feasibility study to a nationally representative sub-national and state data collection.

d. Outline the projected costs, logistics, sample sizes, response rates, assumptions, and issues related to data quality, including metrics defining potential coverage error, response error, and measurement error associated with a nationally representative sub-national/state data collection.

e. Identify and address the technical and methodological issues related to the generalization and transferability of the findings from this sub-national companion feasibility study.

Deliverables associated with this task: A preliminary draft of the project summary and recommendations, due within 47 months of project start. Upon BJS approval, a final report that addresses all revisions requested by BJS, due within 48 months of project start.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) discuss their capability and expertise in preparing this type of report, and c) estimate the costs to prepare this final report.

Amount and Length of Awards

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. Funding will be provided pursuant to a cooperative agreement between BJS and the recipient.

The project will be concluded within 48 months of project start. If BJS determines that the project is not feasible or will not meet the stated objectives, then BJS will conclude the project by shortening the period of performance. This project will not be extended or repeated.

The amount of the award is expected to be between $14-16 million. Applicants are to base their cost estimates on six MSAs (one for the pilot and five others for the full data collection). However, BJS desires to collect data from as many MSAs as possible. Supplemental funding will be made available if, for example, the research in Phase 2 indicates the sample size or survey methodology parameters outlined in Task 11b are inadequate.

Except for the design parameters detailed in Task 11b, the costs to conduct all tasks should be estimated in the usual manner. As noted throughout this solicitation, the survey design actually used for the data collection may differ from the specifications cited. The parameters are provided to develop cost estimates for the data collection portion of the application.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than $250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2010 salary table for SES employees is available at http://www.opm.gov/oca/10tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of BJS. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request that the applicant adjust and resubmit their budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

Research, human subjects, IRB review, and confidentiality

All applicants for OJP funds are advised that the Department of Justice defines *research* as "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge," 28 C.F.R. § 46.102(d). If OJP determines that a funded application involves research and includes human subjects, the approval of an Institutional Review Board (IRB) might be required before OJP funds may be spent for these purposes. If an application includes an evaluation component, that component will be examined by OJP to determine whether it meets the definition of "research." All applications should be as clear as possible in describing the purpose of the evaluation, and the extent to which its findings may contribute to generalizable knowledge.

The protection of human subjects of OJP-sponsored research is of critical importance. If an application involves human subjects of research, it must explain whether IRB approval has been or will be obtained, and it must explain applicant's procedures for obtaining informed consent and minimizing risks.

All applications that include a research or statistical component that collects information identifiable to a private person will be required to complete and submit to OJP a privacy certification.

For further guidance regarding federal regulations regarding research, human subjects protection, and confidentiality, please see the OJP website (http://www.ojp.usdoj.gov/funding/other_requirements.htm).

Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L.103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work. Grantees are required to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. **Additionally, applicants must discuss in their application their methods for collecting data for performance measures. Please refer to "What an Application Must Include" (below), for additional information on applicant responsibilities for collecting and reporting data.**

Performance measures for this solicitation are as follows:

Objective	Catalog ID	Performance Measure(s)	Data Recipient Provides
Administer survey to 15,000 households in each of the selected		1) Percentage of correctly identified and coded crime (result: following correct	Number of crimes identified in the dataset

MSAs, (5,000 households for the Pilot Test) collecting complete and accurate information pertaining to general demographic characteristics and crime victimizations during the past 12 months, both at the household level and person level for household members 18 or older.		skip pattern). 2) Percentage of correctly coded interviews (i.e., complete, partial, hard refusal, etc.). 3) Response rates for individuals (18 and older) and households. 4) Percentage of completed items in screener's and incident's reports. 5) Quality of management as measured by whether this and all other significant interim project milestones were achieved, deadlines were met, and costs remained within the approved limits.	Number of correctly identified and coded crimes. Number of interviews Number of correctly coded interviews Weighted and unweighted number of households and individuals that were contacted. Weighted and unweighted number of households and individuals that responded. Number of items in screener's and incident's reports. Number of completed items in screener's and incident's reports. Weighted and unweighted item response rates. A pilot study report prior to larger data collection outlining key issues and problems in implementation. Demonstration that data collection protocol and systems have obtained high-quality and comprehensive data with minimal missing or inconsistent data in file, minimal post validation follow-up, and all target response rates have been achieved.
Develop a viable and effective method for merging sub-national companion data with core NCVS data. Create direct sub-		1) Precision of estimates. 2) Ease and efficacy of methodology for blending sub-national and core NCVS data.	Sub-national victimization tables for key estimates. Standard errors for all estimate tables.

national victimization estimates from the sub-national data file, and from the blended data file. Document operational and technical issues associated with these measurements for future application.		3) Number of objectives fully met or addressed.	A methodology for blending the sub-national companion data with the core NCVS data. Procedures for creating estimates using the blended data, including complete documentation of measurement issues. Procedures for weighting the blended file to produce sub-national and national estimates. Procedures for creating variance estimates for all point estimates using the blended data, including complete documentation of measurement issues. Sub-national and national victimization tables for key estimates, using the blended data file. Standard errors for these estimate tables.

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of federal grants to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.grants.gov. If you experience difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the application deadline specified. All applicants are required to complete the following.

1. **Acquire a Data Universal Numbering System (DUNS).** A DUNS number is required for Grants.gov registration**.** The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout

the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR registration at least once per year to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password**. Complete your AOR profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

4. **Acquire authorization for your AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at your organization must login to Grants.gov to confirm you as an AOR. Please note that there can be more than one AOR for your organization.

5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.734, titled "Special Data Collections and Statistical Studies*,"* and the funding opportunity number is 2010-BJS-2664.

6. **Submit an application consistent with this solicitation.** Within 24-48 hours after submitting your electronic application, you should receive an e-mail validation message from Grants.gov. The validation message will tell you whether the application has been received and validated or rejected, with an explanation. **Important:** You are urged to submit your application at least 72 hours prior to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Experiencing Unforeseen Grants.gov Technical Issues

If you experience unforeseen Grants.gov technical issues beyond your control that prevent you from submitting your application by the deadline, you must contact BJS staff within **24 hours after the deadline** and request approval to submit your application. At that time, BJS staff will require you to e-mail the complete grant application, your DUNS number, and provide a Grants.gov Help Desk tracking number(s). After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues you reported, OJP will contact you to either approve or deny your request to submit a late application. If the technical issues you reported cannot be validated, your application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time; (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site; (3) failure to follow all of the instructions in the OJP solicitation; and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov are posted on the OJP funding Web pages, www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Must Include

This section describes what BJS expects an application to include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application and, should a decision nevertheless be made to make an award, may result in the inclusion of special conditions that preclude access to, or use of, award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are not responsive to the scope of the solicitation, or do not include a program narrative, budget, budget narrative, tribal resolution (if applicable), and resumes/curriculum vitae of key personnel with decision making authority will not proceed to peer review and will not receive further consideration.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that all resumes be included in a single file.

Standard Form 424
Please see www.ojp.usdoj.gov/funding/forms/application_sf424.pdf for instructions on how to complete your SF424. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable) in the Type of Applicant 1 data field. For-profit applicants also may select additional applicable categories (e.g., "Private Institution of Higher Education").

Project Narrative
The project narrative should describe activities discussed in the Statement of Work and address each task, deliverable, and the application evaluation criteria. The project narrative should contain a detailed time line for project activities, a description of the survey methodology to be used including defined geographic boundaries, data collection method, data entry, and data documentation procedures. The project narrative should be double-spaced with 12-point standard font and 1" standard margins.

Budget and Budget Narrative
A sample budget worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If you submit a different format, you must include the budget categories listed in the sample budget worksheet.

The budget narrative should include a narrative description and explanation of the estimated costs, separated by task. For example, for Task 3, provide the estimated cost and number of staff hours necessary to complete the optimal design and cost analysis. Note that, for some tasks, the applicant is requested to submit a proposed method, but also requested to use some of all of the parameters outlined in Task 11b in the cost estimates. For example, in Task 2, the applicant should propose their recommended sample design, but for budgeting purposes, include the costs of items listed in Task 11b, such as Spanish Questionnaires or no personal visit follow-up, even if they are not part of the proposed design.

Please see the OJP Financial Guide for questions pertaining to budget including allowable and unallowable costs at www.ojp.usdoj.gov/financialguide/index.htm.

Indirect Cost Rate Agreement
Applicants who do not have a federally negotiated indirect cost rate and wish to establish one may submit a proposal to their "cognizant" federal agency. Generally, the cognizant federal agency is the agency that provides the preponderance of direct federal funding. This can be determined by reviewing an organization's schedule of federal financial assistance. If DOJ is your cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

Plan for collecting the data required for performance measures.
(See "Performance Measures" on page 24.)

Tribal Authorizing Resolution
If an application is being submitted by either (1) a tribe or tribal organization, or (2) by a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its residents must be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application must include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant.

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at a minimum, the applicant must submit an unsigned, draft tribal resolution as part of its application. An applicant failing to submit either a signed or an unsigned copy of a tribal resolution as part of its application will be eliminated from funding consideration. If selected for funding, any applicant that has submitted an unsigned tribal resolution must submit the signed copy of the tribal resolution to OJP within 30 days of acceptance of the award. In all such cases, use of and access to funds will be contingent on receipt of the signed tribal resolution.

Other Attachments

Key staff information
The applicant's submission should include a comprehensive statement of the applicant's capabilities and competencies. Among the areas of relevant expertise the applicant should address are, applied survey research including survey construction, interview techniques, large scale telephone RDD and other methods of data collection mentioned in Task 2, complex data analysis variance estimation, survey weighting, non-response adjustments and modeling, and the design and preparation of synthetic survey

estimates. The statement should also clearly demonstrate the applicant's familiarity with the findings from the BJS reports produced from prior NCVS data collections including methodological and redesign studies. Finally, the statement should demonstrate the applicant's knowledge of relevant issues related to the collection of survey research including respondent burden, recall periods, series and repeat victimizations, and methods for improving recall period.

The applicant should include a staff loading chart, by task, deliverable, and time frame, showing the role and number of hours committed for proposed staff. The applicant should: identify proposed key personnel and their qualifications for the significant functions in this project; concise descriptions of the duties each staff person will perform under the grant; and, identify all key personnel with decision-making authority.

Privacy Certification

The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person, which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to protect identifiable data. A model certificate is located at bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf.

Human Subjects Protection Certification of Compliance

BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 C.F.R. Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at bjs.ojp.usdoj.gov/content/hscr.cfm.

Assurances and Certifications

Applicants are required to review, accept, and "sign off" on these assurances and certifications electronically through GMS. Please verify accuracy of the name, address, phone number, fax number, and e-mail address of the authorizing official on these online forms.

(1) **Assurances:** The applicant must comply with the assurances in order to receive federal funds under this program. It is the responsibility of the recipient of federal funds to fully understand and comply with these requirements. Failure to comply may result in withholding of funds, termination of the award, or other sanctions.

(2) **Certifications Regarding Lobbying; Debarment, Suspension, Other Responsibility Matters; and Drug-Free Workplace:** This form commits the applicant to comply with the certification requirements under 28 C.F.R. Part 69, "New Restrictions on Lobbying," and 28 C.F.R. Part 67, "A Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for a Drug-Free Workplace (Grants)."

Selection Criteria

Proposals should describe the plan and implementation strategies outlined in the Scope of Work. Information on staffing levels and qualifications should be included for each task along with descriptions of experience relevant to the project. Resumes of the proposed project director and key staff should be submitted with the proposal.

Applications will be reviewed competitively with the final award decision made by the Director of BJS. The applicant will be evaluated on the basis of the following criteria:

1. Program Narrative (5%)

The application should clearly and concisely address the tasks in the Statement of Work and scheduled timeline. The applicant should demonstrate its ability to complete the Statement of Work and how clearly it documents evidence of research expertise and experience in sample design, objective data gathering, data entry and verification, project documentation, and the production of data files. The applicant should demonstrate the availability of an adequate computing environment— including electronic survey systems (e.g., CATI) — and knowledge of standard social science methodology and data processing.

2. **Project Design and Implementation (15%)**

A proposal that implements RDD and cell phone-only households or some other reliable cost-saving method of data collection. The reasonableness of the proposed project design, given the statement of work and tasks to be completed.

3. Capabilities/Competencies (35%)

Demonstrated expertise in applied survey research, including survey construction, interview techniques, large scale telephone data collections (including RDD and cell phone-only households), data collection, data entry, and verification. Familiarity with the findings from the BJS reports produced from prior NCVS data collections, including methodological and redesign studies. Knowledge of data collection issues including respondent burden, recall periods, series and repeat victimizations, particularly as they relate to the collection of personal or sensitive data. Demonstrated experience in researching and comparing existing designs and developing new designs for complex surveys. Demonstrated experience in use of enhanced follow-up procedures including sample-based personal visit, different call-back programs, mail and computer contact, and incentives. Demonstrated experience in achieving your proposed response rate with various survey modes, including RDD and cell phone-only households. Demonstrated experience in conducting complex data analysis, estimation, and modeling, including variance estimation, survey weighting, and non-response adjustments. Demonstrated experience in designing, implementing, and preparing estimates from dual-frame, dual-survey programs similar to the proposed core-companion methodology. Demonstrated experience in creating processed data sets and producing documentation such as codebooks, summary reports, and the other reports described in the tasks.

4. Budget (25%)

Reasonableness and justification of the proposed budget across phases, tasks, and deliverables. Demonstrated fiscal, management, staff, and organizational capacity to provide sound management for this project. The applicant should include detailed staff resources and other costs, broken out by project tasks as defined under Task 11b (page 18).

5. Impact/Outcomes and Evaluation (20%)

How the proposed approach and methods in this project will achieve the performance goals for this project to create an optimal methodology for preparing sub-national estimates from a joint companion survey, core program design. Demonstrated ability to develop methodologies for blending data, creating blended estimates and produce complex models as described in the scope of work.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. BJS reviews the applications to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will be reviewing the applications submitted under this solicitation that meet basic minimum requirements. BJS will use both internal and external peer reviewers to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is not a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with BJS, conducts a financial review of applications for potential discretionary awards and cooperative agreements to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of BJS, who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Applicants should be aware that winning applications might be made available to the public after redactions of information determined to be covered by Privacy Act considerations.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. We strongly encourage you to review the information pertaining to these additional requirements prior to submitting your application. Additional information for each can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality and Human Subjects Protection (if applicable)
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA) (if applicable)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Nonsupplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in excess of $5,000,000—federal taxes certification requirement

Application Checklist

Methodological Research to Support the Redesign of the National Crime Victimization Survey: Sub-National Estimates

This application check list has been created to aid you in developing your application. Below is a list of required items.

The Application Components:
_____ Program Narrative
_____ Project Design and Implementation
_____ Capabilities/Competencies
_____ Budget Narrative
_____ Budget Detail Worksheet
_____ Impact/Outcomes and Evaluation/Plan for Collecting Data for Performance Measures
_____ Key Staff Resumes

Program Narrative/Abstract Format:
_____ Double-spaced
_____ 12-point standard font
_____ 1” standard margins

Other:
_____ Standard Form 424
_____ Privacy Certification
_____ Human Subjects Protection Certification of Compliance
_____ Indirect Cost Rate Agreement (if applicable)