



The U.S. Department of Justice, Office of Justice Programs, [Bureau of Justice Statistics](#) is pleased to announce that it is seeking proposals for the development, design, and field testing of the State Courthouse Operations and Security Statistics Survey and for the preparation of an implementation plan for fielding the survey in 2009. 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. This survey, a component of the BJS Criminal Justice Statistics Program, furthers the mission of the Department and the Office of Justice Programs by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide state-of-the-art knowledge and information in support of innovative strategies and approaches for dealing with these challenges.

## **State Courthouse Operations and Security Statistics Survey: Development and Design Phase Solicitation**

### **Eligibility**

Applications for funds may be submitted by both for profit and non profit organizations.  
(See more information in the "Eligibility" section on page 3)

### **Deadline**

All applications are due by 5:00 p.m. Eastern time on May 15, 2008.  
(See "Deadline: Application" on page 3)

### **Contact Information**

For assistance with the programmatic requirements of this solicitation, contact Thomas H. Cohen, Statistician, at 202-307-0765 or via e-mail at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "scoss08" in the subject line.

This application must be submitted through [Grants.gov](http://Grants.gov). For technical assistance with submitting the application, call the Grants.gov Customer Support Hotline at 1-800-518-4726.

**2008-BJS-1855**

# CONTENTS

Overview .....	3
Deadline: Registration .....	3
Deadline: Application .....	3
Eligibility .....	3
Project-Specific Information .....	5
Performance Measures .....	7
How to Apply .....	8
What an Application Must Include: .....	9
Standard Form 424	
Program Narrative	
Budget and Budget Narrative	
Indirect Cost Rate Agreement	
Selection Criteria .....	11
Review Process .....	11
Additional Requirements .....	11

# Design of State Courthouse Operations and Security Statistics Survey

## CDFA Number 16.734

### Overview

The Bureau of Justice Statistics (BJS) is seeking proposals for the development, design, and field testing of the State Courthouse Operations and Security Statistics Survey and preparation of an implementation plan for fielding the survey in 2009. The goal of the survey is to provide funding to design and develop a survey to measure the operations, security procedures, and policies maintained in the Nation's courthouses, the focal point of the American justice system. The survey will collect information on the number of violent incidents and threats in the Nation's courthouses, persons and funding assigned to security details, procedures for handling defendants, public accessibility, and procedures for providing off-site judicial security. Applicants are encouraged to review previous BJS reports focusing on its state court research programs available on the BJS website at <<http://www.ojp.usdoj.gov/bjs>>. BJS anticipates making one award for a ten-month period under this solicitation, with an award date on or after September 1, 2008. BJS is authorized to issue this solicitation under the Omnibus Crime Control and Safe Streets Act of 1968, Section 302, as amended.

### Deadline: Registration

Registering with Grants.gov is a one-time process; however, if you are a first time registrant it could take up to several weeks to have your registration validated and confirmed and to receive your user password. It is highly recommended you start the registration process as early as possible to prevent delays in submitting your application package to our agency by the deadline specified. There are three steps that you must complete before you are able to register: 1) Register with the Central Contractor Registry (CCR); 2) Register yourself as an Authorized Organization Representative (AOR); and 3) Be authorized as an AOR by your organization. For more information, go to <<http://www.grants.gov>>. **Note: Your CCR Registration must be renewed once a year. Failure to renew your CCR registration may prohibit submission of a grant application through Grants.gov.**

### Deadline: Application

The due date for applying for funding under this announcement is 5:00 p.m. Eastern time, on May 15, 2008.

### Eligibility

Both profit-making and nonprofit organizations may apply for funds. 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.

**Faith-Based and Other Community Organizations:** Consistent with President George W. Bush's Executive Order 13279, dated December 12, 2002, and 28 C.F.R. Part 38, it is DOJ policy that faith-based and other community organizations that statutorily qualify as eligible applicants under DOJ programs are invited and encouraged to apply for assistance awards to fund eligible grant activities. Faith-based and other community organizations will be considered for awards on the same basis as other eligible applicants and, if they receive assistance awards, will be treated on an equal basis with all other grantees in the administration of such awards. No eligible applicant or grantee will be discriminated for or against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.

Faith-based organizations receiving DOJ assistance awards retain their independence and do not lose or have to modify their religious identity (e.g., removing religious symbols) to receive assistance awards. DOJ grant funds, however, may not be used to fund any inherently religious activity, such as prayer or worship. Inherently religious activity is permissible, although it cannot occur during an activity funded with DOJ grant funds; rather, such religious activity must be separate in time or place from the DOJ-funded program. Further, participation in such activity by individuals receiving services must be voluntary. Programs funded by DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion.

If your organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled, under the Religious Freedom Restoration Act, 42 U.S.C. § 2000bb, to receive federal funds and yet maintain that hiring practice, even if the law creating the funding program contains a general ban on religious discrimination in employment. For the circumstances under which this may occur, and the certifications that may be required, please see the Civil Rights Compliance section under "Additional Requirements" included herein.

**American Indian Tribes and Alaska Native Tribes and/or Tribal Organizations:** Applicants are limited to for-profit (commercial) organizations, non-profit 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 commercial and non-profit organizations, tribal colleges and universities, and tribal consortiums.

All tribal applications must be accompanied by a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable government body. If the grant will benefit more than one tribal entity, a current authorizing resolution or other enactment of the tribal council or comparable government body from each tribal entity must be included. If the grant application is being submitted on behalf of a tribal entity, a letter or similar document authorizing the inclusion of the tribal entity named in the application must be included.

Applicants are encouraged to review the Civil Rights Compliance section under "Additional Requirements" in this announcement.

## **Project-Specific Information**

The security of the Nation's courthouses continues to be a major concern for state officials, law enforcement personnel, and courthouse staff. Over the past several years, courthouses, court staff, and individuals related to court personnel were affected by several violent incidents including the killing of a judge and other court staff by a criminal defendant in Atlanta, the murder of a federal judge's family in Chicago, and the shooting of a man armed with an inactive hand grenade outside a Federal courthouse. A recent survey by the Administrative Office of Pennsylvania's Courts also highlights the problem of judicial security. Among the study's numerous findings were that about half of the surveyed judges reported experiencing a threatening action or inappropriate communication during the previous year.

Growing security concerns and an increasing number of violent incidents in the Nation's courts have highlighted the need to better understand the resources required to insure safe courthouse operations. State court judges, administrators, and security personnel must assess the level of protection needed in their courthouse facilities and devote human and budgetary resources accordingly. Available information on security levels, procedures, and costs from similarly situated jurisdictions is also required in order to help establish security plans. Detailed data on court security and operations may also give rise to national standards.

In order to attain a greater comprehension of threats against the Nation's court system, current security procedures devised to meet those threats, and general court operating procedures, BJS proposes to fund the design and development of a survey focusing on courthouse operations and security statistics in a national sample of general and limited jurisdiction state trial courts.

### **Scope of Work**

The objectives of this project are to (1) develop a data collection instrument to obtain information on courthouse security operations and procedures and threats against courthouse staff and judicial personnel; (2) develop sampling methodologies for producing reliable national level estimates of courthouse security operations and threats in both limited and general jurisdiction state trial courts; (3) develop statistical models for assessing the reliability of the proposed sampling frameworks; (4) conduct field tests of the data collection instrument in a range of urban, suburban, and rural courts; (5) develop methods to encourage participation from key state court professional agencies; and (6) provide an implementation plan for the national data collection to begin in 2009.

In preparing proposals for this solicitation, applicants are strongly encouraged to discuss the extant literature on courthouse operations and security statistics, including the materials produced by the Bureau of Justice Assistance (BJA) on this issue. In addition, applicants are encouraged to review the data collection instruments, datasets, and statistical reports from BJS focusing on court statistics and adjudications, available on the BJS website at [www.ojp.usdoj.gov/bjs](http://www.ojp.usdoj.gov/bjs).

The recipient will have routine contact with court administrators, managers, and other courthouse staff and must be knowledgeable in the area of court security and building operations and the larger criminal justice system. The recipient of funds will:

1. Develop a detailed timetable for each task in the project. All deliverables are due within 10 months. After the BJS Project Manager has agreed to the timetable, all work must be completed as scheduled.
2. Develop a data collection instrument that will obtain information on courthouse security operations and procedures and threats against courthouse staff and judicial personnel. Some of the data elements that should be included in this instrument are: total number of court personnel, security officers, procedures for handling defendants, screening the public, and types of technology and equipment used to secure the Nation's courthouses. In addition, baseline data should be collected on the nature and extent of violence and security violations that take place against court staff or occur on court grounds and the court's responses to these threats. The collection agent should convene at least one focus group of subject matter experts to assist in developing the data collection instrument for the survey.
3. Develop sampling methodologies for producing reliable national level estimates of courthouse security operations and threats in both limited and general jurisdiction state trial courts. The sampling strategy will allow for estimates to be made on court security procedures and threats in a national sample of urban, suburban, and rural limited and general jurisdiction trial courts. The data collection agent will work with BJS and a focus group of subject matter experts to develop this sampling strategy.
4. Develop statistical models for assessing the reliability of the proposed sampling framework. The design will include statistical models capable of assessing the reliability of the proposed sampling framework. These statistical models and sampling estimates will be made available to the project monitor and be used for project documentation and approval by the Office of Management and Budget (OMB).
5. Conduct field tests of the data collection instrument in a range of urban, suburban, and rural courts. Nine courts should be selected to field test the designed data collection instrument. The nine courts will include general and limited jurisdiction trial courts located in counties classified as urban, suburban, and rural. Field tests will assess the feasibility of collecting detailed court security and operations data from a range of urban, suburban, and rural limited and general jurisdiction trial courts.
6. Develop methods to encourage participation from key professional agencies in the State Courthouse Operations and Security Statistics Survey. The collection agent will develop an action plan to enhance the level of interest and participation in the survey among key stakeholders in the state court community including the Conference of State Court Administrators, the National Association of Court Managers, and the American Judges Association. Documentation of interest among these professional groups will be submitted to OMB as supporting evidence for the necessity of implementing this study.
7. Provide an implementation plan for the national data collection to begin in 2009. In collaboration with the BJS project manager, an implementation plan for executing the State Courthouse Operations and Security Statistics Survey in 2009 will be developed. The national implementation plan must address all aspects of the data collection including, but not limited to:

- selection of a national sample of limited and general jurisdiction trial courts in which detailed courthouse operations and security statistics will be collected
  - survey construction
  - sample design and courthouse selection
  - contact procedures for selected courts
  - protocols for coordinating the data collection within sampled courts
  - techniques for obtaining high rates of participation by sampled courts
  - a methodology to address item and unit non-response, post survey weighting specifications to produce national-level estimates, and standard errors.
8. Meetings and progress reports – Formal meetings between the BJS Project Monitor and the recipient will be scheduled as needed. Such meetings will take place at a location mutually acceptable to both parties. Conference calls between BJS project principals and the recipient’s Project Director shall be held at least once per month.
- The recipient shall host two formal meetings during the development phase of the instrument and sampling design. Participants shall include Recipient and BJS staff, consultants, and subject matter experts. The first meeting shall be held in Washington, DC. The second meeting can be held at a location to be determined by the recipient and the BJS Project Monitor.

### **Funding Information**

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law.

### **Match Requirement**

Consistent with established BJS data quality standards and based on the nature of the deliverables, BJS has determined that it is not feasible to require the award recipient to contribute money, facilities, or services to carry out the purposes for which the grant is sought. Therefore, there is no match requirement.

### **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. Performance measures for this solicitation are as follows:

Objective	Performance Measures	Data Grantee Provides
Develop State Courthouse Operations and Security Statistics Survey	<p>Successfully complete the survey design and implementation plan which will enable BJS to effectively obtain reliable national level estimates of courthouse security operations and threats in both limited and general jurisdiction state trial courts.</p> <p>Successfully conduct a pretest to assess the feasibility of collecting detailed data from a range of urban, suburban, and rural courts and producing reliable national level estimates of courthouse security operations and threats in both limited and general jurisdiction state trial courts.</p>	<p>Demonstrate that the survey design and collection plan includes: (1) a robust instrument capable of obtaining essential data elements; (2) sampling methodologies for producing reliable national level estimates; (3) statistical models for assessing the reliability of the proposed sampling frameworks; (4) methods to encourage participation from key state court professional agencies; and, (5) techniques for obtaining high rates of participation by sampled courts; and (6) a methodology to address item and unit non-response, post survey weighting specifications, and standard errors.</p> <p>Demonstrate the viability of the survey instrument and collection protocol to obtain quality data as indicated by factors such as: minimal number of missing or inconsistent data in data file; minimal post validation follow-up; and 100% response from selected jurisdictions.</p>

## How to Apply

DOJ is participating in the e-Government initiative, one of 25 initiatives included in the President's Management Agenda. Part of this initiative -- 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.



**Grants.Gov Instructions:** Complete instructions can be found at [www.grants.gov](http://www.grants.gov). If you experience difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **1-800-518-4726**.

**CFDA Number:** The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.734, titled “State Courthouse Operations and Security Statistics Survey: Development and Design Phase,” and the funding opportunity number is 2008-BJS-1855.

**A DUNS number is required:** The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a DUNS (Data Universal Numeric System) number in their application for a new award or renewal of an award. Applications without a DUNS number are incomplete. 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. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, simple, one-time activity. Obtain one by calling 1-866-705-5711 or by applying online at <http://www.dunandbradstreet.com>. Individuals are exempt from this requirement.

## What an Application Must Include

When applying for federal funding, applicants must provide the following:

**Standard Form 424**  
**Program Narrative**  
**Budget and Budget Narrative**  
**Indirect Cost Rate Agreement** (*if applicable*)

- Applicant must complete the Application for Federal Assistance (SF-424), a standard form that most federal agencies use.
- The project narrative should describe activities as discussed in the Scope of Work. The applicant should describe the project goals and objectives, project plans, and the methods for achieving the goals.
- The Budget Detail Worksheet may be found through the Internet at [http://www.ojp.usdoj.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.usdoj.gov/funding/forms/budget_detail.pdf), OJP Standard Forms & Instructions. The OJP Financial Guide, which governs the administration of funds, contains information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records, is available on the OJP website at <http://www.ojp.usdoj.gov/financialguide/index.htm>. If you have any questions, please contact the OJP Office of the Chief Financial Officer’s Customer Service Center at 1-800-458-0786.
- 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 [http://www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## Other Attachments

- **Key staff information.**  
Information on key staff includes: a staff loading chart, by task and contract year, showing the role and number of hours (per year) committed for proposed staff; identification of proposed key personnel and their qualifications for the significant functions in this project, along with concise descriptions of the duties each will perform under the grant; and an identification by name of 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 be followed to protect identifiable data. A model certificate is located at <http://www.ojp.usdoj.gov/bjs/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 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at <http://www.ojp.usdoj.gov/bjs/hscr.htm>.
- **Assurances and Certifications.** Applicants are required to submit as an attachment signed copies of these assurances and certifications electronically through Grants.Gov. It is critical that the name, address, telephone number, fax number, and e-mail address of the authorizing official on these online forms are correct. These forms can be obtained on OJP's funding page at <http://www.ojp.usdoj.gov/funding/forms.htm>.
  - (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, and Other Responsibility Matters; and Drug-Free Workplace.** This form commits the applicant to comply with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR 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 and 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:

1. **Statement of the Problem/Program Narrative**  
Content of the proposal and how it addresses the tasks in the Scope of Work.  
Ability to complete the Scope of Work with documented evidence of extensive knowledge and experience in survey and sample design.
2. **Project Design and Implementation**  
Demonstrated knowledge of applied survey research, including survey construction, sample issues, questionnaire issues, content issues, bias issues, as well as the ability to pre-test research findings.
3. **Capabilities/Competencies**  
Demonstrated ability of staff in understanding survey research, including survey design and sample design.
4. **Budget**  
Demonstrated fiscal, management, staff, and organizational capacity to provide sound management for this project. Applicant should include detailed staff resources and other costs by project tasks.
5. **Impact/Outcomes and Evaluation**  
  
Demonstrated ability to develop research designs for complex surveys.

## **Review Process**

Applications will be reviewed competitively with the final award decision made by the Director of BJS. The applicant will be evaluated based on the requirements mentioned under the Selection Criteria.

## **Additional Requirements**

- Civil Rights Compliance
- Confidentiality and Human Subjects Protections Regulations

- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA) Compliance
- DOJ Information Technology Standards
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of the Comptroller Financial Guide
- Suspension or Termination of Funding

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 [http://www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).