



The [U.S. Department of Justice](#) (DOJ), [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 National Crime Victimization Survey: Self Report Data on Rape and Sexual Assault – Pilot Test. As the principal statistical agency in the Department, 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 National Crime Victimization Survey (NCVS), a major component of the BJS Criminal Justice Statistics Program, furthers the Department mission 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 National Crime Victimization Survey: Self-Report Data on Rape and Sexual Assault – Pilot Test Solicitation

Eligibility

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organizational 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 consortia. 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.

Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See “How to Apply,” page 26.) All applications are due by 11:59 p.m. Eastern time on Wednesday, June 15, 2011. (See “Deadlines: Registration and Application,” page 3.)

Contact Information

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

Note: The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with programmatic or any other requirement of this solicitation, contact Michael Rand, Chief, Victimization Statistics, at 202-307-0765 or by e-mail at askbjs@usdoj.gov. Include “rsapilot” in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-3011**

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Methodological Research to Support the National Crime Victimization Survey: Self-Report Data on Rape and Sexual Assault – Pilot Test Solicitation (CFDA #16.734)

Overview

The solicitation seeks applicants to develop and test optimum data collection procedures for self-report data on rape and sexual assault. The focus of the work under this solicitation is to develop, implement, and test survey methods for providing estimates of rape and sexual assault, and to determine the feasibility of using these procedures in the National Crime Victimization Survey (NCVS) program.

Applicants for funding under this announcement should provide a synopsis of their background in the field that documents their expertise with the issues, demonstrates that their firm has the infrastructure necessary to complete a large scale pilot test, and describes the administrative capabilities necessary to undertake a project of this scope. BJS anticipates making one award for a 30-month period under 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 11:59 p.m. Eastern time on Wednesday, June 15, 2011. Please see the “How to Apply” section on page 26 for more details.

Eligibility

Please refer to the title page for eligibility under this program.

Project-Specific Information

The NCVS collects data from more than 94,800 persons in 62,200 households every 6 months and provides the nation’s only measures of the incidence of criminal victimization not reported to authorities. Since 2008, BJS has initiated a number of projects to assess and improve upon NCVS program methodology, including redesigning the sample plan, comparing alternative modes of interviewing, reducing non-response bias, examining various reference period lengths, testing the effectiveness of victimization screening questions, and exploring the feasibility of producing sub-national estimates of victimization. As a part of the continuing effort to improve the survey, the focus of this solicitation is to develop and evaluate improved procedures for collecting self-report data on the sensitive and difficult to measure crimes of rape and sexual assault.

The NCVS is an omnibus crime survey conducted by the Census Bureau under the sponsorship of BJS. The NCVS program produces estimates of many common law crimes including rape

and sexual assault through self-report interviews of persons selected in a national stratified sample of addresses drawn from each decennial census. All residents age 12 or older at each address are interviewed at 6-month intervals. The interview has two components: a screening questionnaire and an incident report form. For every incident uncovered in the screening questionnaire, an incident report form is filled out, obtaining a range of information about the circumstances, offender, and consequences to the victim. The primary measures produced by the NCVS are annual incidence, year-to-year change, and trend estimates.

Challenges exist in the collecting of self-report data on rape and sexual assault. For almost two decades, there have been a number of competing national estimates of the level and the change in level of rape and sexual assault. The official estimates of these crimes released by BJS and based on the NCVS have typically been lower than estimates obtained from surveys contracted for by other federal agencies and by private groups. For example, the National Violence Against Women Survey (NVAWS), sponsored by the National Institute of Justice (NIJ) and the Centers for Disease Control and Prevention (CDC) and conducted in 1995-96, estimated an incidence rate for rape (counting multiple rapes) of 8.7 per 1,000 women aged 18 or older, compared with an incidence rate for rape (including attempted rape) and sexual assault in the previous 12 months of 2.3 per 1,000 women aged 12 or older from the 1996 NCVS.¹

Some of the differences in these estimates result from more and less inclusive definitions of rape and sexual assault. The NCVS, for example, emphasizes felony forcible rape, while the National Women's Study employs a much more inclusive definition. Even when the surveys use comparable definitions, however, the methodology used to elicit reports of these events can differ dramatically and produce very different estimates of the incidence of these crimes. A number of discussions have taken place regarding the desirability of various survey design features, including sample design, screening strategy, reference period, bounding, cuing strategy, types of cues, context, and respondent selection. In addition, differing interviewing modes have been discussed, including telephone interviews in NVAWS, in-person interviews as in the NCVS, and more private, Audio Computer Assisted Self-Interview (ACASI) options like those used in the BJS-sponsored National Inmate Surveys of sexual violence among correctional populations as required by the Prison Rape Elimination Act.

The differences that arise from using different methodologies and surveying different populations have resulted in heated debate over the ideal method for collecting self-report data on rape and sexual assault.² In addition, these disparities have resulted in confusion among stakeholders as to which estimates are more accurate. This debate has had the unintended negative consequence of raising doubts about the self-report methodology itself.

¹See Tjaden, P. and Thoennes, N. 2000. *Full Report of the Prevalence, Incidence, and Consequences of Violence Against Women*. NCJ 183781. National Institute of Justice and Centers for Disease Control and Prevention, Washington, DC; Ringel, C. 1997. *Criminal Victimization 1996*. NCJ 165812. Bureau of Justice Statistics, Washington, DC.

² See Fisher, B. 2009. *The Effects of Survey Question Wording on Rape Estimates: Evidence from a Quasi-Experimental Design*. *Violence Against Women*. 15: 133-147; Fisher, B. and Cullen, F. 2000. *Measuring the Sexual Victimization of Women: Evolution, Current Controversies and Future Research*. In National Institute of Justice (ed.), *Measurement and Analysis of Crime and Justice*, Vol. 4. National Institute of Justice, Washington, DC; Kilpatrick, D. 2004. *What is Violence Against Women? Defining and Measuring the Problem*. *Journal of Interpersonal Violence*. 19: 1209-1234; Rand, M. and Rennison, C. 2005. *Bigger is not Necessarily Better: An Analysis of Violence Against Women Estimates from the National Crime Victimization Survey and the National Violence Against Women Survey*. *Journal of Quantitative Criminology*. 21: 267-291.

In an effort to address this debate and to determine an agreed upon method for measuring rape and sexual assault in self-report surveys, BJS has asked the National Research Council (NRC) to convene a Committee on National Statistics (CNSTAT) panel. The Panel has been asked to review the state of self-report methodologies with respect to rape and sexual assault, make recommendations as to the definition of these crimes within the mandate of the NCVS, and identify the optimal methodology for measuring the incidence and prevalence of these crimes using self-report surveys.

The deliberations and recommendations of the Panel will shape the optimal design that is ultimately developed and tested under this contract. A mechanism will be worked out so that the funding recipient can be informed of the Panel's work as it progresses while respecting the National Research Council's provisions for confidentiality of its panels' deliberations. When the initial design work is completed, the Panel will be asked to comment on the design and assess how consistent it is with the Panel's recommendations.

This solicitation seeks applicants to create and test two different designs for collecting self-report data on rape and sexual assault. One of these designs will be the optimal design identified by the CNSTAT panel or as reasonable an approximation of that design as can be achieved. The second design will be one very similar to those used by Dean Kilpatrick and his colleagues, which is frequently cited as an alternative to the NCVS for estimating the prevalence and incidence of rape and sexual assault.³

The test will assess the relative feasibility, cost, and error components of the two designs. More specifically, the test must address the relative accuracy and quality of the estimates of the prevalence and incidence of rape and sexual assault across the survey designs. The successful applicant will be asked to examine the evidence on the relative desirability of various design attributes for reporting of rape and sexual assault in the development of the two designs. The applicant will also be asked to assess whether an improved design could be implemented within the existing NCVS program and, if not, what vehicle would be appropriate.

³ See Kilpatrick, D., Edmunds, C., and Seymour, A. 1992. *Rape in America: A Report to the Nation*. Arlington, VA: National Victim Center and Medical University of South Carolina; Kilpatrick, D., Resnick, H., Rugiero, K., Conoscenti, L., and McCauley, J. 2007. *Drug-facilitated, Incapacitated, and Forcible Rape: A National Study*. Charleston, SC: Medical University of South Carolina and National Crime Victims Research and Treatment Center.

Expected Benefits of this Research

This work will contribute to our understanding of sexual violence and the measurement of these crimes. This understanding, in turn, will provide routine information that can guide policies to prevent and respond to rape and sexual violence. More specifically, this research will —

- Determine the optimal design for measuring rape and sexual assault.
- Develop improved collection procedures for self-report data on rape and sexual assault.
- Evaluate the accuracy, utility, and costs of improved collection procedures relative to those used heretofore.
- Determine whether the optimal design can be accommodated within the current NCVS program or whether an alternative collection is necessary.
- Provide improved measurement of rape and sexual assault.
- Improve national estimates of rape and sexual assault.
- Improve data collection methodology and measurement within the NCVS program.

Goals and Objectives

The goals of this solicitation are to develop and test two designs for collecting self-report data on rape and sexual assault and to compare outcomes of each design against the other and against the existing NCVS. BJS and the funding recipient will work concurrently with the CNSTAT panel to develop an optimal design for a self-report survey of rape and sexual assault. The successful applicant will then conduct a pilot test of the optimal design and the comparison design.

The funding recipient will evaluate the estimates of rape and sexual assault from each of the two designs and compare them with estimates from the existing NCVS. These comparisons will be used to determine whether the optimal design is feasible and yields higher quality data at relatively reasonable cost. In addition, the recipient is expected to provide an assessment of whether an improved rape and sexual assault data collection methodology can be implemented within the existing NCVS program or whether a separate survey collection is necessary.

The study has three key objectives:

1. Develop and pilot test an optimal design to collect self-report data on rape and sexual assault.
2. Develop and pilot test a comparison design using Random Digit Dialing (RDD) to collect self-report data on rape and sexual assault.
3. Conduct detailed analytical comparisons of the two designs against each other and the existing NCVS program.

To accomplish the first objective, the funding recipient will draw upon the CNSTAT Panel's work on the desirability of various design attributes for reporting of rape and sexual assault and its determination of the optimal design for collecting self-reported data on these crimes. In approaching its work, the CNSTAT Panel will consider the optimal design as one that maximizes data quality and accuracy of reporting. Members of the successful applicant's staff will be invited to all information-gathering meetings of the CNSTAT panel, and a mechanism will be worked out so that the applicant can be kept abreast of the Panel's thoughts regarding optimal designs. For purposes of preparing cost estimates for this solicitation, applicants should assume that such a strategy would involve Computer-Assisted Personal Interviewing (CAPI) at

the household level and ACASI at the individual level; however, the exact elements of the final design will not be determined before the end of Phase 2 (outlined below).

In developing the optimal design, the funding recipient and BJS will hold one or more meetings with stakeholders in the area of rape and sexual assault victimization. The purpose of these meetings is to gather information on – (1) policy and program needs for data on rape and sexual assault; (2) varying legal definitions across states for rape and sexual assault; (3) best methods for representing the definitions in survey instruments so their meaning is clear to respondents; and (4) best methods for obtaining as complete reporting as possible, including methods whereby respondents may report anonymously.

Following development and build out of the optimal design, the funding recipient and BJS will review the results with the CNSTAT panel in an effort to refine the design prior to pilot testing.

The second objective involves the development of a comparison design, using RDD with a dual frame to allow for the sampling of cell phone-only households. The purpose of the second design is to provide a point of comparison (to the optimal design) that is representative of previous efforts in measuring rape and sexual assault outside of the NCVS. In developing this design the funding recipient will review approaches used by previous researchers and surveys addressing rape and sexual assault, including NVAWS, the National Women's Survey (NWS), and the National Intimate Partner and Sexual Violence Surveillance System (NISVSS). In developing the comparison design, the funding recipient will have latitude to modify design features to some degree as exigencies require.

The third objective involves determining (1) the relative cost-benefit trade-offs among the three designs, (2) whether elements of a final design can operate within the existing NCVS program, and (3) how best to improve the measurement of the incidence and prevalence of rape and sexual assault in the existing NCVS, if the optimal design cannot be accommodated in the ongoing survey. This objective requires the funding recipient to conduct a rigorous evaluation of the optimal and comparison designs and to examine how data from the two data collection strategies compare with estimates obtained from the NCVS. Such an evaluation must include an assessment of the feasibility of each design as well as an assessment of the validity, reliability, data quality, cost-effectiveness, and relative yield of the differing collection strategies.

Assessing the quality of the data on sexual assault and rape produced by each design is extremely important in evaluating these procedures. Determining the relative accuracy of the data across designs is extremely difficult in self-report surveys because there is no gold standard of validity against which the results can be compared. The creativity with which applicants approach this task will be an important determinant of success.

One approach to establishing the quality of the data may involve demonstrating that specific procedures produce the results that past survey research practices say they should. If, for example, a sample obtained through RDD is highly selective in terms of the social attributes of the respondents and in terms of the incidence and prevalence of sexual crimes, then this would suggest that such data are not as representative as data obtained using other methods. This would also suggest that estimates based on RDD designs may have non-response biases and may be less accurate than estimates based on other sampling designs.

Moreover, if a two-stage screening procedure systematically excludes some events that fit the definition of rape and sexual assault, while a one-step procedure does not, then the one-step procedure could be deemed superior. These and other disaggregations of the data will indicate

whether the optimal design is producing superior data for the reasons that theory and practice say they should. Assessing accuracy in this manner will require that the funding recipient be knowledgeable of the theory and practice of surveying for sexual crimes and that they build into the instruments in each survey information that will permit the necessary comparisons.

The following section lists the specific tasks and activities to be conducted by the recipient during the course of the project. The deliverables and guidance on the contents of a successful application are provided for each task.

Statement of Work and Deliverables

This statement of work provides details on survey methodology and the scope of work necessary for applicants to prepare a cost estimate.

For each task submitted in response to this solicitation, the applicant should—

- a) provide descriptions of specific strategies or approaches that would be part of the applicant's work to complete the task,
- b) describe and demonstrate their capabilities and expertise that will enable them to successfully complete the task, and
- c) provide detailed cost estimates for performing the work, using the parameters described in Tasks 1-13, as applicable.

The statement of work is intended to provide applicants with sufficient information to enable them to judge the complexity and cost of the developmental work. The applicants are directed to use the parameters provided to create a cost estimate for the expected research, field work, and data processing activities. BJS will use these estimates to compare applicants on an identical or like set of deliverables. The optimal survey design tested in this project may differ from this initial design depending upon the findings of the CNSTAT panel and will be determined collaboratively during the course of the project.

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

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, and deliverable (including progress reports); scheduled meetings; and conference calls for the project. The timetable must identify short-term and long-term deliverables. The recipient is expected to follow this overall timetable, measured from project start:

3 weeks	Phase 1, Task 1b, Kick-off Meeting
1 month	Phase 1, Task 1a, Timetable
2-3 months	Phase 1, Task 1b, Stakeholder Meetings
12 months	Phase 1, Tasks 2-4, Methodological Development

17 months	Phase 2, Task 5 and 6, Systems Development and Feasibility Test
23 months	Phase 3, Tasks 7-10, Pilot Data Collection
28 months	Phase 4, Tasks 11-12, Post-Data Collection: Processing, Estimation, Analysis, Files, and Documentation
30 months	Phase 4, Task 13, Project Summary and Recommendations

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

b. Meetings

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

- Kick-off meeting at BJS to discuss plans for, and scheduling of, project activities.
- Conference calls to discuss project progress/status, conducted bi-weekly.
- Meetings or conference calls with the CNSTAT panel, U.S. Census Bureau, and other BJS award recipients conducting research on the NCVS to discuss current activities and results.
- BJS-scheduled stakeholder meetings in which the recipient will observe/participate as directed. These stakeholders include, but are not limited to, other federal agencies, academics, state and local law enforcement, and victim service providers. Recipients should be prepared to assist BJS and participate in meetings on this program.
- Wrap-up meeting to present project results and findings to BJS.

c. Status Reports

The recipient shall provide monthly reports that update status of areas such as tasks and expenditures. During the pilot study, the recipient shall provide bi-weekly ACASI and CATI reports, including status updates on various aspects of data collection (e.g., number of interviews, response rates, non-response follow-up, and status of ongoing survey operations).

Deliverables associated with this task: a timetable, monthly progress reports (due 10 business days after the end of the period covered), and bi-weekly ACASI and CATI reports (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 and implement large-scale data collections, form expert panels, plan and conduct meetings, and provide status reports, all in a timely manner; and c) provide a detailed cost estimate for performing the task described above.

Task 2. Methodological Development

In this task, the recipient will develop two survey designs. The first design, referred to as the "optimal design", will reflect the work of the CNSTAT panel, as well as input from BJS. The optimal survey design is intended to maximize data quality and accuracy in collecting rape and sexual assault data. The second design, referred to as the "comparison design," is to be developed by the recipient. The design should incorporate methods similar to those employed in

previous well-known data collection efforts in the area of rape and sexual assault that have utilized RDD.⁴

a. Developing the Data Collection Methodology

The primary goal of this solicitation is to develop and test two survey designs for collecting data on rape and sexual assaults. In collaboration with BJS and the CNSTAT panel, the recipient must develop a two-pronged approach—one testing the optimal design and one testing a comparison design, based on previous research in the area of rape and sexual assault.

1. Optimal Design.

The final elements of the optimal design will be based on the findings and recommendations of the CNSTAT panel, which will work concurrently with early stages of this program. Although final aspects of the optimal design will be determined at the conclusion of Phase 2, the recipient may prepare a cost estimate based on the following design elements:

- Address-based sample frame
- Initial household contact, rostering, and respondent selection using CAPI
- Individual interviewing using ACASI
- 1 adult female interviewed per household
- 12-month reference period
- Explicit cueing with two-stage cueing and crime classification
- Crime classification scheme that allows for the unbounding of out-of-scope incidents

The optimal design strategy will use CAPI at the household level for the initial contact and to generate a household roster. From the household roster the study will randomly select one adult female to participate in the survey. Protocols must be established for the selection of female respondents only. Once an adult female has been selected, ACASI will be used for the individual-level interviews on rape and sexual assault.

The optimal design will use a 12-month reference period, and the funding recipient must incorporate strategies to address bounding and the identification of events that may have occurred outside of the reference period. Additionally, the optimal design should incorporate a two-stage cueing and crime classification strategy that allows for the unbounding of out-of-scope incidents.

Up to 10,000 completed interviews will be conducted for the optimal design, with final sample size chosen to provide sufficient power and precision to observe change in key estimates. Details specific to sampling are addressed below in Task 2b.

⁴Tjaden, P. and Thoennes, N. 2000. *Full Report of the Prevalence, Incidence, and Consequences of Violence Against Women*. Washington, DC National Institute of Justice and the Centers for Disease Control and Prevention. Dean Kilpatrick, C. Edmunds, and A. Seymour, 1992. *Rape in America: A Report to the Nation*. Arlington, VA: National Victim Center and Medical University of South Carolina.

2. Comparison Design.

The comparison design should be developed incorporating elements of previous well-known survey efforts in this area of research. The recipient should consult existing collections in preparing their submission, including the NVAWS, NWS, and NISVSS. The comparison design should contain the following elements:

- Dual frame RDD with cell phone component
- Centralized CATI for all components of data collection
- 1 adult female per household
- 12-month reference period
- Explicit cueing with one-stage cueing and crime classification

Interviews will be conducted by RDD and must incorporate a dual frame approach to include cell phone-only households. Additionally, a methodology should be developed to screen for multiple telephone numbers within each household. The initial household contact, generation of the household roster, random selection of the respondent, and interview will be conducted through a centralized CATI facility.

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

- 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),
- purged of business numbers by cross-reference to databases such as the Yellow Pages, and
- screened for non-productive numbers before the sample is released to interviewers, and modified in any other way.

Applicants must propose methods for including cell phone-only households under the assumed RDD data collection methods.

Protocols must be established for the selection of female respondents only. The comparison design will use a 12-month reference period. The funding recipient must also incorporate strategies to address bounding (events happening outside the 12-month reference period) and crime classification.

Although the above surveys do not include methods for unbounding crime, the comparison design must develop protocols to establish comparable definitions of rape and sexual assault. The purpose of this approach is to provide the ability to select incidents using either a broader definition or narrower definition of rape and sexual assaults. In this manner estimates can be more easily evaluated across the two designs.

Up to 10,000 completed interviews will be conducted for the comparison design, with final sample size chosen to provide sufficient power and precision to observe change in key estimates. Details specific to sampling are addressed below in Task 2b.

b. Determining the Sample Design, Geographic Units, and Sample Size

The goals of this research require the ability to evaluate and compare the survey outcomes between the optimal and comparison designs. Therefore, samples for both strategies must provide sufficient power to detect differences in key estimates. As a starting point for response to this solicitation and producing cost parameters, the recipient is directed to assume up to 10,000 completed interviews in each design.

Additionally, to increase comparability with ongoing NCVS projects, the recipient is directed to select samples in five MSAs that include large samples in the ongoing NCVS. Concentrating interviews in these areas will also reduce travel costs in the optimal design. The applicant should provide an estimate of the number of completed interviews for each design depending on cost and power assessments. The five MSAs include—

1. New York-Northern New Jersey-Long Island, NY-NJ-PA
2. Los Angeles-Long Beach-Santa Ana, CA
3. Miami-Fort Lauderdale-Pompano Beach, FL
4. Dallas-Fort Worth-Arlington, TX
5. Phoenix-Mesa-Scottsdale, AZ

The recipient shall review the research in the area and draw upon their expertise in survey design and implementation to provide BJS with a written summary of their recommendations and demonstrate how the recommended sampling designs will provide sufficient power to detect differences in key estimates. The summary should also include the cost estimates, expected response rates, and population coverage associated with each design.

Deliverables associated with this task: A written summary of the two designs, including mode of interviewing, sample selection, and development and implementation costs.

For this solicitation, the applicant's submission should a) propose two survey designs and methodologies that best address the elements described above, b) describe how they will conduct the research, development, and comparative evaluation of these designs, c) explain how they will determine the best sampling approach, d) demonstrate knowledge of the effectiveness of various follow-up procedures, e) provide detailed estimates for the cost of performing the research, development, and evaluation described in this task, and f) include detailed cost estimates for developing and drawing the proposed samples.

c. Developing Procedures for Seeding the Samples with Individuals who have Experienced Rape or Other Sexual Victimizations

The two study samples of 10,000 adult women are at risk of not including a sufficient number of victims of rape and sexual assault to adequately compare design options. Based on a 12-month reference period, the National Violence Against Women Survey (conducted in 1995-96) reported a rape rate of 0.30% - representing 24 victims among the 7,856 women interviewed. The National Women's Study (conducted in 2006) found somewhat higher rates (0.9%) - representing an estimated 27 of the 3,001 women in the study. Extrapolating these rates to the target samples, the expected number of rape and sexual assault victims may range between 30 and 90, depending on the effectiveness of the screening strategies and types incidents covered in the surveys.

To increase the number of sampled persons in the field test who report rape or other sexual victimization, the recipient will develop procedures for including victims who have reported such crimes to local law enforcement agencies or victim services agencies. The recipient shall –

- Review past studies that have successfully included known victims from a police frame of addresses or phone numbers
- Develop procedures for obtaining cooperation of law enforcement and victim services agencies within the five MSAs; contact agencies to determine willingness to participate in the studies; and work with BJS staff, as needed, to include known victims in the samples
- Work with each department to determine the mix of crimes that would be included in the sample, the feasibility of collecting records within the timeframe covered (to correspond to the 12-month reference period of the optimum and comparison surveys), and the availability of addresses of persons who reported the crime (for inclusion in the optimal design) and phone numbers (for inclusion in the comparison design) and other data as needed

Deliverables associated with this task: A written summary of past studies employing police records and seeded samples in self-report victimization surveys. The recipient shall also provide detailed procedures for obtaining police and victim services records, and outline plans for developing and testing these procedures. These deliverables are due within 12 months of project start.

For this solicitation, the applicant's submission should a) demonstrate knowledge of potential obstacles and describe how they can be addressed, b) propose procedures that best address the elements described above, c) provide detailed estimates for the cost of performing the research, development, and evaluation described in this task, and d) include detailed cost estimates for implementing the proposed seeded samples in the five MSAs.

Task 3. Questionnaire Development

The recipient shall develop two separate questionnaires using the parameters identified in Task 2, above. The recipient will develop questionnaires for the optimal and comparison designs and conduct sufficient cognitive and technical testing to ensure survey instrument performance and to determine that questionnaire sequences operate correctly.

As a precursor to instrument development, the recipient will conduct an exhaustive review and assessment of current and past methodologies used to measure rape and sexual assault. The findings from this review will guide the recipient in refining the parameters of the optimal and comparison designs prior to pilot testing. In performing this task, the successful applicant should rely heavily upon the work of the CNSTAT panel, which will have examined the legal definitions of rape and sexual assault and assessed the survey methods used to measure these crimes.

This task also requires the recipient to produce a research memorandum for OMB clearance prior to conducting the cognitive interviews. The BJS project manager will work with the recipient in producing the required documentation.

Deliverables associated with this task: Review and assessment of current and past methodologies used to measure rape and sexual assault, OMB cognitive interviewing clearance memorandum, questionnaires for the optimal and comparison designs, and up to 40 completed cognitive interviews per design, as needed. ACASI and CATI questionnaires should be developed to maximize the efficiency of each design.

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

Task 4. Design and Cost Estimate

Upon researching and designing the parameters associated with the two competing designs identified in Task 2, the contractor will present these designs to BJS and the CNSTAT panel for consideration and comment. BJS may request modifications to the design at this time. After the BJS has approved the optimal and comparison designs, the recipient will prepare detailed cost estimates, 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:

- Measurement
- Sampling frames
- Sampling precision (sample size)
- Statistical power (effect magnitude)
- Sample selection
- Interview protocols
- Response rates
- Non-response follow-up
- Questionnaire development
- ACASI tutorial development
- Cost structures associate with interviewing

Deliverables associated with this task: Detailed sample designs and data collection methodologies for the two designs, descriptions of the methods, objectives, expected outcomes, and detailed cost estimates as described above. These deliverables are due within 12 months of project start.

For this solicitation, the applicant's submission should a) describe how they plan to optimize and evaluate the two proposed designs and b) estimate the costs associated with this work, including estimates of the costs of questionnaire development for the CATI and ACASI applications.

PHASE 2 – SYSTEMS DEVELOPMENT AND FEASIBILITY TESTING

Task 5. Systems Development

For purposes of this solicitation, the optimal design is assumed to include ACASI, but a final decision will not be reached until the end of Phase 2.

The recipient will develop and test ACASI, CATI, and case management systems. These systems include the capability to collect paradata such as timestamps, interviewer IDs,

interviewer status (newly trained or experienced), status of interviews (e.g., the numbers of completed interviews, incomplete interviews, call-backs, and hard refusals), interviewer feedback, and other paradata as needed by BJS. The data processing procedures detailed in Task 4 must be built into ACASI and CATI to the fullest extent possible.

Moreover, the ACASI and CATI instruments must have the capacity to—

1. randomly select one adult female from each household to participate in the survey;
2. gather relevant data on rape and sexual assault over the course of the preceding 12 months;
3. incorporate appropriate measures for bounding and recall; and
4. provide bi-weekly reports to update BJS on the feedback, paradata, and other information listed above.

The recipient will develop ACASI and CATI programming and case management procedures for BJS approval. With the involvement of BJS staff, the recipient will conduct usability tests on the ACASI and CATI instruments.

Deliverables associated with this task: Operational ACASI and CATI instruments with full documentation. System capabilities must include — rostering of all household residents, random selection of one adult female household member for participation in the survey, automated victimization screener compatible with ACASI and CATI RDD, incident report questionnaires, precise skip patterns, and instrumentation for collecting the required paradata and performing selected data checks and edits.

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 ACASI and CATI instruments, and c) provide detailed estimates of costs for this development.

Task 6. Feasibility Test

Feasibility testing will be undertaken prior to full scale implementation in order to ensure that the developed designs can be successfully fielded in a substantial pilot test. Testing must begin within 15 months of project start and be completed in 2 months time.

The recipient will conduct iterative rounds of testing, with no greater than 100 total respondents for each study design. A minimum of two testing rounds is required; however, refinements and modifications may be made to the questionnaires and survey systems, as needed, prior to completion of each round of testing.

The recipient must identify the quantifiable metrics to be used in assessing the outcomes of feasibility testing, identify the manner in which the collected data will be analyzed (including software that will be used), and specify how the findings from the testing will be incorporated into subsequent refinements of survey instruments and systems. Such metrics should include but are not limited to—

- response rates
- timing
- buttons pushed
- measurement of keystrokes

- interview break offs
- ACASI tutorial performance
- ACASI performance

At the conclusion of feasibility testing, the recipient must submit a functionality report to BJS. A reconciliation meeting will be held with the recipient, BJS, and the CNSTAT panel. The purpose of the meeting will be to discuss findings from the feasibility testing and the concurrent work of the CNSTAT panel and to review the design development work of the recipient (including questionnaire and system development).

As the CNSTAT panel will be working concurrently with the recipient, the reconciliation meeting will provide an opportunity to compare the work and findings of the two efforts. The reconciliation meeting will result in a final assessment of the optimal design and its components prior to the pilot test.

Modifications to the ACASI and CATI systems, sampling plan, and design elements from the reconciliation meeting will be determined collaboratively between the recipient and BJS.

This task requires the recipient to produce a research memorandum for OMB clearance of the feasibility testing. The BJS project manager will work with the recipient in producing the required documentation.

Deliverables associated with this task: Recipient will deliver a written plan for development and implementation of feasibility testing to BJS for approval. This plan must describe the testing specifications and procedures, quantifiable metrics, and process data to be used in evaluating the outcome of the testing, a demonstrated approach to analyzing the test data, and a method for incorporating the findings into refinements of the questionnaires and survey systems. This task requires the recipient to write an OMB feasibility testing clearance memorandum that incorporates findings and changes that arise from the cognitive testing in Task 3.

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 implement a test of functionality, and c) include cost estimates for developing, administering, and assessing the feasibility of the optimal and comparison designs in a pilot study.

At the end of Phase 2, if BJS determines that the project will not meet the stated objectives or that funding is not available, the project will not move forward to Phase 3.

PHASE 3 – PILOT TEST

Task 7. Survey Operations

The successful recipient shall develop each of the following deliverables, working in conjunction with BJS staff:

a. Survey protocols

The recipient will develop survey protocols for both the optimal and comparison designs that address the following:

- survey definitions, regarding the outcomes of the interviewing process— partial, completed, hard refusal, and ineligible,
- quality control procedures for data collection,
- interviews,
- interviewer manuals,
- interviewer training materials,
- data collection interview procedures,
- selection criteria for hiring interviewers, and
- selection procedures for hiring interviewers.

The recipient will develop special survey protocols related to known victims seeded in the samples for both the optimal and comparison designs. These protocols shall include —

- Memoranda of Understanding (MOUs) or other legal documents needed to secure transfer of data
- enhanced informed consent protocols that may be needed for victims included in the seeded samples
- case-based tracking capabilities to ensure identification of seeded cases to administer consent protocols
- procedures for minimizing risk of emotional reaction by survey participants, such as providing toll-free numbers for victim assistance, referring respondents to local victim assistance providers, and training interviewers in detecting and responding to emotional distress of survey participants.

b. Materials for respondents

The recipient will also develop materials for respondents:

- FAQs for respondents, including information on confidentiality, how the data will and will not be used, voluntary status of survey, definitions of terms, and general sample information, and
- ACASI tutorial for respondents sampled under the optimal design

c. Documents for OMB project approval

The recipient will work with the BJS project manager to develop and submit the OMB clearance package. The package will include the 30- and 60-day notices, form 83i, supporting statement, justification memorandum, and copies of all related survey documents (e.g., the questionnaires, follow-up documents, ACASI and CATI scripts, FAQ's, and consent forms). This task must be completed within 19 months of the project's start.

Deliverables associated with this task: Each of the subtasks in Task 7 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 8. ACASI and CATI Monitoring

The recipient must provide BJS with bi-weekly status reports throughout the data collection period. In addition to reporting on the paradata 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 ACASI and CATI status reports containing the following information: timing, response rates, necessary paradata, and required data checks and edits.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, and *b)* provide detailed estimates for the costs associated with these activities.

Task 9. Pilot Data Collection

a. Obtain listing of known victims from participating law enforcement and victim services agencies

The recipient will obtain the address of persons who reported a sexual victimization (for inclusion in the optimal design) or their phone number (for inclusion in the comparison design) and other data as needed. These addresses or phone numbers of victims within each MSA shall be randomly assigned to the samples for follow-up in the optimal and comparison studies.

b. Pilot Interviewer Selection and Training

The recipient will hire (if necessary to augment organizational interviewing staffs) and train an adequate number of interviewers to complete up to 10,000 ACASI and 10,000 CATI interviews in five MSAs.

c. Pilot Data Collection

Using the ACASI and CATI instruments approved in Phase 2, the recipient will conduct interviews of sampled individuals in the selected households. The pilot test must begin within 19 months of project start and reach completion within 4 months.

d. Review of Interviews for Quality Assessment

In addition to the ACASI and CATI pre-survey testing procedures, the recipient will evaluate and test the quality control aspects of the ACASI and CATI instruments. The recipient will prepare a report of the findings from these interviews. The report will examine the response patterns associated with the completion of these interviews, the missing data patterns in the responses, the occurrence of any out-of-range or misreported information (e.g., responses that would suggest a prior response was incorrectly assigned) and any other skip-pattern issues.

e. Pilot Design Parameters for Preparing Your Application

Although the optimal design collection may differ from the initial specifications, for purposes of preparing your application, use the following design parameters for Task 9:

- Conduct simultaneous surveys of two different designs in five MSAs,
- Complete up to 10,000 ACASI interviews,
- Complete up to 10,000 CATI interviews,

- Complete additional interviews of known rape and sexual assault victims seeded in each sample,
- Sample within each household and randomly select one adult female to screen for rape or sexual assault and crime characteristics for uncovered events,
- Include procedures for the unbounding of out-of-scope crimes in the ACASI and CATI modes so that measures of unfounded victimization in the comparison design can be identified.

Deliverables associated with this task: A written report of findings from the piloted ACASI and CATI interviews, including annual incidence and prevalence estimates for rape and sexual assault, estimates of unfounded victimizations in the comparison design, and un-weighted cross-tabulations.

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) provide detailed cost estimates for performing all work associated with this task.

PHASE 4 – POST-DATA COLLECTION

Task 10. 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.

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 data files 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 files and codebook and study documentation deliverables meet Inter-University Consortium for Political and Social Research (ICPSR) formats and standards for data archiving.

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

- data cleaning, skip pattern, consistency, and out-of-range checks;
- data conversion;
- non-response adjustment procedures; and
- the preliminary data file and codebook documentation.

Deliverables associated with this task: All the documents and procedures described in Task 10 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) provide detailed estimates for costs of performing this task.

Task 11. Data Analysis

The recipient will implement the post-data collection data processing procedures developed in Tasks 4 - 9, identify remaining data issues, and report these findings to BJS for resolution. Data analyses must be completed within 28 months of the project's start.

The recipient will develop replicate weights or other methods needed to produce estimates of the sampling precision in the survey estimates that account for the sampling procedures.

Following the pilot test and preparation of the data files, the recipient will be required to conduct a detailed evaluation and analysis of the paradata. In addition, the recipient will provide detailed survey results including the generation of incidence and prevalence rates. The recipient is also expected to conduct detailed analyses to estimate the potential bias in the two divergent approaches.

A critical component of this project is the evaluation of the two designs as compared to each other and the NCVS. The recipient is encouraged to consider a broad range of metrics to assess reliability and validity. These metrics should include, but are not limited to—

- incident production,
- response rates and representativeness of the resulting sample,
- qualitative examination of incident narratives,
- relative seriousness of the crime,
- cost per interview,
- data quality, and
- reporting accuracy.

The applicant should explain in detail how these metrics will be computed and employed to assess relative data quality. For example, because under-reporting of victimization is assumed to be substantial, designs that yield more reports of rape and sexual assault would be considered “better.” This general standard must be tempered by consideration of the nature of the events reported in each design. If the events captured in one design are qualitatively different than those captured in another such that many do not fall within the scope of the survey, then higher rates of reporting would not indicate higher performance. If higher rates of reporting disappear when adjustments are made for differential response rates, then this would not indicate superior performance of a particular design.

For the comparisons between the current NCVS and these alternative designs, the Census Bureau will provide person-level data from the public use files aggregated over a number of years. To the extent that narrative data on incidents of rape and sexual assault are collected in the on-going NCVS, this information will also be made available by the Census Bureau.

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; all requested cross-tabulations and analyses of the rape and sexual assault data from the two designs; and a detailed comparative analysis of the designs with special attention on the elements of divergence and convergence. These deliverables are due within 28 months of project start.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) provide examples of the analyses to be performed and how the analyses will contribute to success of this project, c) demonstrate their ability to conduct the required analysis, and d) provide detailed cost estimates for conducting components of this research and the proposed analyses. Although the level of complexity associated with this work is not fully known, BJS expects applicants to provide their best estimate of the level of effort required to perform this task based on similar experiences in this area.

Task 12. 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 (NACJD) 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 6 (feasibility test) and 9 (pilot test) in both SPSS and SAS formats and supporting documentation. 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 28 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) provide detailed cost estimates for the research and analyses that will be associated with this task.

Task 13. Project Summary

The recipient shall produce a report summarizing the project. Specifically, the report must—

1. outline the findings related to the development of the designs, feasibility testing, and pilot study,
2. contain detailed comparative analyses on the two designs, including comparison to each other and the existing NCVS (as outlined in Tasks 6-11),
3. describe and discuss the estimates generated from the two studies,
4. outline the projected costs, logistics, sample sizes, response rates, assumptions, and issues related to data quality (including metrics defining potential coverage error, response error, measurement error associated with a nationally representative rape and sexual assault collection and cost structures associated with interviewing under the optimal and comparison designs), and
5. provide recommendations as to whether the optimal mode of collection can occur within the current core NCVS or if a separate collection is necessary.

Deliverables associated with this task: A preliminary draft of the project summary and recommendations (due within 28 months of project start); a final report that addresses all revisions requested by BJS (due within 30 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 30 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 \$10 and \$12 million. Applicants are to base their cost estimates on data collection in five MSAs.

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.

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 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/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 the Bureau of Justice Statistics. 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 the applicant to adjust and resubmit its 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.

Match Requirement

This solicitation does not require a match.

Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Administer optimal and comparison design surveys up to 20,000 individuals in areas selected by BJS for the pilot test, collecting complete and accurate information pertaining to rape and sexual assault, demographic characteristics and crime specific information during the preceding 12 months.	Percentage of data that are comprehensive and accurate.	Number of data items (by design type). Number of data items that are comprehensive and accurate (by design type).
	Percentage of correctly coded interviews.	Number of coded interviews (by design type). Number of correctly coded interviews (by design type).
	Percentage of correctly identified and coded crimes.	Number of correctly identified and coded crimes (by design type). Number of identified and coded crimes (by design type).
	Provide response rate.	Weighted and unweighted number of individuals that were contacted (by design type). Number of attempts to contact an individual (by design type). Number of completed and partial interviews (by design type). Number of milestones and deadlines met.
	Percentage of milestones and deadlines met.	Number of milestones and deadlines set.

<p>Develop the necessary infrastructure to implement the optimal designs, and suggest modifications where appropriate or needed.</p>	<p>Percentage of completed items in screener and incident reports.</p> <p>Provide precision of estimates.</p> <p>Percentage of data that are comprehensive and accurate.</p>	<p>Number of completed items in screener and incident reports (by design type).</p> <p>Number of items in screener and incident reports (by design type).</p> <p>Standard errors for all estimate tables (by design type).</p> <p>Tables containing key estimates of victimization for the pilot test (by design type).</p> <p>Tables containing key process data information such as number of contacts, FR effort in securing interviews, reasons for refusal, detailed incident narratives, and instrument timing (by design type).</p> <p>Number of data items (by design type).</p> <p>Number of data items that are comprehensive and accurate (by design type).</p>
<p>Document operational and technical issues associated with the optimal and comparison designs for future application.</p>	<p>Develop instruments and protocols that enhance capability to produce reliable national estimates.</p>	<p>Questionnaires that reflect the review and assessment of prior rape and sexual assault methodologies in addition to the input from the CNSTAT panel.</p> <p>Development of necessary infrastructure to implement the design recommended by the CNSTAT panel including hiring and training of interviewers, development and programming of ACASI and CATI.</p> <p>Dataset and codebooks.</p>

Based upon detailed comparative analyses of the optimal, comparison, and existing NCVS designs, recommend a design strategy that improves upon existing methods for measuring incidence and prevalence of rape.	Produce a report that provides recommendations about the feasibility of the survey design strategies.	Provide a project summary report that includes a rigorous evaluation of the three survey designs, including an assessment of the feasibility, validity, reliability, data quality, cost-effectiveness, and relative yield of the different strategies.
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Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting performance measures data. Please refer to the section “What an Application Should Include” (page 28) for additional information.

Note on project evaluations: Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protections. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research. Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined 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). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” web page (www.ojp.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.fsrs.gov.

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

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 awards 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 the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours a day, 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 specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) 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 Dun and Bradstreet at 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 Central Contractor Registration (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 annually** 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 the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the 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 CFD#16.734, titled "Special Data Collections and Statistical Studies," and the funding opportunity number is 2011-BJS-3011.
6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **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 an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJS staff **within 24 hours after the deadline** and request approval to submit its application.

At that time, BJS staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the 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, if any, are posted at the top of the OJP funding Web page, www.ojp.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should 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 be made to make an award, it 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 some application elements are so critical that applications unresponsive to the scope of the solicitation or that do not include a program narrative, and budget detail worksheet including a budget narrative, key staff information, privacy certificate, and human subjects protection certificate of compliance will neither proceed to peer review nor receive further consideration.

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

1. Information to complete the Application for Federal Assistance (SF-424)

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable).

2. Program 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 11-point standard font and 1" standard margins. The program narrative should not exceed 75 pages. If the program narrative fails to comply with these guidelines, noncompliance may be considered in peer review and in final award decisions.

The following sections should be included as part of the program narrative:

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

Submission of performance measures data is not required for the application. Performance measures are included as an alert that funding recipients will be

required to submit specific data to the Bureau of Justice Statistics as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.gov/financialguide/index.htm.

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

4. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/financialguide/part3/part3chap17.htm.

5. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) 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 membership should 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 should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at minimum, the applicant should submit an unsigned, draft tribal resolution as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the signed tribal resolution.

6. Additional Attachments

Key staff information

This should include a staff loading chart, by task, showing the role and number of hours 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 cooperative agreement; 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 www.bjs.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 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at www.bjs.gov/content/hscr.cfm.

7. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.gov/funding/forms.htm. For funding recipients, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#) (required to be submitted in GMS prior to the receipt of any award funds)
- b. [Disclosure of Lobbying Activities](#) (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- c. [Accounting System and Financial Capability Questionnaire](#) (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)

- d. [Standard Assurances](#) (required to be submitted in GMS prior to the receipt of any award funds)

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 (10%)

The application should clearly and concisely address the tasks in the Statement of Work and scheduled timeline. The applicant should demonstrate their ability to complete tasks outlined in the Statement of Work and clearly document evidence of expertise and experience in sexual violence research, 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., ACASI and CATI) — and knowledge of standard social science and survey methodology and data processing.

2. Project Design and Implementation (30%)

Applicants should outline proposal that implements the key objectives for this study. Those objectives follow:

- a) Develop and pilot test an optimal design to collect self-report data on rape and sexual assault.
- b) Develop and pilot test a comparison design using Random Digit Dialing (RDD) to collect self-report data on rape and sexual assault.
- c) Conduct detailed analytical comparisons of the two designs against each other and the existing NCVS program.

The application will be evaluated to determine the reasonableness of the proposed project design, given the statement of work and tasks to be completed.

3. Capabilities/Competencies (30%)

The application should describe in detail the applicant's—

- Demonstrated expertise in applied survey research, including survey construction, interview techniques, large scale pilot data collections (including ACASI, RDD and cell phone-only households), data collection, data entry, and verification.
- Demonstrated expertise and experience in sexual violence research, and 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 and series and repeat victimizations, particularly as they relate to the collection of sensitive and hard to measure crimes of rape and sexual assault.
- Demonstrated experience in researching and evaluating existing designs and developing new designs.
- Demonstrated experience in achieving proposed response rates with various survey modes, including ACASI, 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 creating processed data sets and producing documentation, such as codebooks, summary reports, and the other reports described in the tasks.

4. Budget (15%)

The application's budget will be evaluated for—

- Reasonableness, justification, and clearly proposed cost estimates 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 phases and tasks.

5. Impact/Outcomes and Evaluation (15%)

Evaluation of the application will also be based on how the proposed approach and methods in this project will achieve the performance of developing, implementing, and conducting two surveys of two different designs simultaneously. The applicant should demonstrate ability to develop methodologies for evaluating data from different survey designs, as well as responsiveness and efficiency in the development and implementation of a large scale pilot test.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJS may use either internal peer reviewers, external peer reviewers, or a combination 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, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with Bureau of Justice Statistics, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet 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 the Bureau of Justice Statistics, 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.

Additional Requirements

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

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting 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
- Active CCR Registration

Application Checklist

Methodological Research to Support the National Crime Victimization Survey: Self-Report Data on Rape and Sexual Assault – Pilot Test Solicitation

This application checklist has been created to assist in developing an application.

Eligibility Requirement: Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organizational 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 consortia. 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.

_____ The amount of the award is expected to be between \$10- \$12 million. Applicants are to base their cost estimates on data collection in five MSAs.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 28)
- _____ Program Narrative (see page 28)
 - _____ 11-point font
 - _____ Should not exceed 75 double spaced pages
 - _____ 1-inch margins
- _____ Budget Detail Worksheet (see page 29)
- _____ Budget Narrative (see page 29)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 29)
- _____ Tribal Authorizing Resolution (if applicable) (see page 29)
- _____ Additional Attachments (see page 30)
 - _____ Key Staff Information
 - _____ Privacy Certificate
 - _____ Human Subjects Protection Certification of Compliance
- _____ Other Standard Forms as applicable (see page 30), including:
 - _____ Disclosure of Lobbying Activities (if applicable)
 - _____ Accounting System and Financial Capability Questionnaire (if applicable)