APPENDIX A

Survey of Juveniles Charged as Adults in Criminal Courts (SJCACC) in 2014

United States Department of Justice
Bureau of Justice Statistics

Electronic Data Extraction Guide

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Westat/National Center for Juvenile Justice

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Survey of Juveniles Charged as Adult in Criminal Courts: 2014 (SJCACC)

Electronic Data Extraction Guide

What is the Study about?

The U.S. Department of Justice, Bureau of Justice Statistics (BJS) has initiated a data collection to examine young offenders processed in criminal courts. This project is one of the first efforts to collect and archive national level statistics on youth under 18 in the adult court system; it will provide high quality data of great benefit to criminal justice planners, decision makers, and researchers. The goal of this work is to yield national estimates of the number of youth younger than 18 handled in criminal courts and to gain an understanding of their case characteristics and outcomes.

The SJCACC sample will be drawn from all felony and misdemeanor cases disposed in criminal courts in 2014 involving defendants younger than age 18 at the time of the crime. This information is critical to understanding how many youth are charged in criminal court, the characteristics of these youth, the pathways that lead them to criminal court, and the final disposition of their cases.

BJS has retained Westat, a nationally known and highly regarded survey research firm, and the National Center for Juvenile Justice (NCJJ) a national expert on juvenile offenders and on state policies for transferring juveniles to adult criminal courts, to collect data on the processing of youth as adults in criminal court. Westat and the NCJJ have developed a project design that supports multiple modes of data collection. The ability to collect data electronically from automated information systems is ultimately influenced by each jurisdiction's capacity to extract (or dump) the necessary data from their system. The purpose of this data extraction guide is (1) to describe the eligible modes of electronic data submissions, and (2) to provide a set of reporting instructions and standards for jurisdictions that have the capacity to extract data and create records in a uniform format.

Will the data be secure and kept confidential?

We take confidentiality and human subject protection very seriously. Project findings, reports, and data files prepared for dissemination will contain only de-identified and aggregated data and will not contain information that can reasonably be expected to be identifiable to any state, jurisdiction, or individual. Electronic files for public use will include a user's guide, approved by BJS, and will have any numeric identifiers or encrypted identifying information removed from records prior to data delivery to protect the confidentiality of the data. The public use file will be prepared specifically in accordance with the guidelines provided by National Archive of Criminal Justice Data (NACJD), operated by the Inter-University Consortium for Political and Social Research (ICPSR), located at the University of Michigan's Institute for Social Research.

NCJJ project staff will retrieve data sets from the Westat FTP site and store them on the secure server computer, unconnected to any computer outside the office of NCJJ. Access to the data will

be limited to those employees having a need for such data. Data identifiable to a private person will not be used or revealed, except as authorized under 28 CFR § 22.21 and § 22.22.

We understand that there may be policies in place requiring you to limit the amount or type of data you can release. While each of the identified data elements are critical to fully understand the processing of youth charged as adults, we are willing to discuss and adhere to any data transfer agreement you may have.

How do I provide the data for my jurisdiction?

This document will provide general instructions on reporting requirements, case identification and selection, variable and value definitions, and file structure. Additional technical assistance will be provided on a case-by-case basis.

Your jurisdiction may choose to provide data in one of three ways:

1. uniform data extracts,
2. non-uniform data extracts, or
3. unformatted data files.

The rest of this guide provides information and instructions for each type of data submission.

Uniform Data Extracts

Uniform extracts will require the most effort on the part of your jurisdiction to recode and restructure data to the project's specifications. Uniform data extracts, if created properly, will require the least amount of work for you after submission.

What data elements do I include?

The first step in creating a data extract is identifying the tables necessary to provide the key data elements (identified in Appendix C). For example, this may include an arrest table (all arrest charges in the event), arraignment table (all arraignment charges in the event) and a disposition table (all disposition charges with sentencing information). The name, number, and structure of tables will vary for each jurisdiction.

Some of the data elements of interest include:

- unique offender identification number capable of tracking the offender through case processing and to subsequent involvement in the criminal justice system;
- offender demographics (e.g., sex, date of birth, race/ethnicity);
- legal mechanism employed to process the case in criminal court.
- arrest charge(s);
- arraignment charge(s);
- case processing information from arraignment through final case disposition; and
- type of facility where defendant is being held.

Please refer to **Appendix C** for a detailed listing of data elements.

How should my file be structured?

If your jurisdiction is able to provide a uniform data extract, you will have to establish relationships between the appropriate fields and records of source tables and the targeted output layout. Where possible, uniform extract submissions should mirror the preferred data element coding noted in Appendix D.

The file should be structured according to the uniform reporting layout in Appendix C. The layout for uniform extracts includes one record for each case against a defendant that was disposed in 2014; if there are multiple charges, they should all appear in the same record.

What unit of count do I use?

Jurisdictions choosing to submit a uniform data extract should structure their data at the case-level, where one or more charges may be filed against a single defendant. A "charge" (or "count") represents a formal allegation that a person committed a specific crime. For example, a youth charged with four burglaries submitted in one allegation would contribute one record in the data extract. If there are more than five charges only provide the five most serious charges. Do not create an additional record for the remaining charges.

Charges (felony and misdemeanor) of interest are those disposed in 2014 against defendants who were younger than the age of 18 at the time of the crime, regardless of the age of juvenile court jurisdiction (which varies by state).

What cases do I include?

You will need to identify eligible cases for inclusion by querying your jurisdiction's case management system or research database to pull any cases disposed in criminal court in 2014 involving a defendant who was younger than the age of 18 at the time of the crime. Only include cases that have a final disposition in 2014. Do not include cases that were still pending at the end of 2014, for example, do not include cases that only have a change in attorney, or charges added or dropped in 2014. A case should include all charges under the same case number. If there are multiple charges under the same case, include all charges with the same case number

What file formats are acceptable?

The preferred electronic file formats include:

- Access databases (any version up to Access 2010);
- SQL server databases (2008 or earlier);
- text files (fixed width, delimited); or
- Excel (or .csv) files.

We are not currently accepting Oracle databases or XML files.

What supporting documentation do I need to submit?

You will need to provide some tracking information and relevant documentation for your data submission, including:

- Date of submission
- Primary point of contact: name, organization, position, address, telephone, fax, and e-mail address
- File format and format version (e.g., SQL server DB, Access DB, text files (fixed width, delimited), Excel, etc.)
- Major data quality problems
    - Missing data:
        - System-missing (data element not available in system)
        - Unit-missing (large % of missing values for a particular data element)
    - Common data errors, system-wide or with specific elements (e.g. misspellings, redundancy, duplication, contradictory values)

How do I submit my files?

You can use Westat's secure web-based file submission process to transfer your agency's data to Westat. Westat will provide your jurisdiction with a username and password to allow you to log in to the project's website and deposit the electronic data.

You may deposit as many files as necessary and in any format. For example, your jurisdiction may want to deposit several files that must be linked to get complete case data, as well as a Word document that provides the record layout for the files and linking instructions. Additional files, as necessary, may be submitted by your jurisdiction and separately tracked.

If your jurisdiction requires an alternative means of submission, Westat will work with you to find the most convenient yet secure method for you to submit your data.

The data collection manager or another appropriate Westat/NCJJ research team member will be in contact with your jurisdiction in order to initiate and facilitate the data submission process. If needed, the Westat/NCJJ research team will provide guidance and assistance with regard to either uploading data via secure FTP or sending encrypted files on CD.

Non-Uniform Data Extracts

Your jurisdiction may prefer to limit its submission to relevant fields or tables without programming, recoding or restructuring the data to meet project specifications. If your jurisdiction is unable or unwilling to report data in the precise format or exact code categories requested, information system extracts of relevant tables would likely satisfy the request for required data elements. NCJJ programming staff will then recode and restructure the data so that it can match the uniform data extracts.

What data elements do I include?

The first step in creating a data extract is identifying the tables necessary to provide the key data elements identified in Appendix C. For example, this may include an arrest table (all arrests charges in the event), arraignment table (all arraignment charges in the event) and a disposition table (all disposition charges with sentencing information). The name, number, and structure of tables will vary for each jurisdiction.

Some of the data elements of interest include:

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- legal mechanism employed to process the case in criminal court.
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    - Common data errors, system-wide or with specific elements (e.g. misspellings, redundancy, duplication, contradictory values)
- Data formatting information:
    - Diagrams, data dictionaries, an/or field descriptions where available
    - Any lookup table that helps to translate data values
    - Graphical representation of the physical data source to show underlying database architecture that would inform the restructuring of data files to the uniform format

How do I submit my files?

To maintain the confidentiality of the data, never email your case data. Email is not a secure method of transferring data. Use Westat's secure web-based file submission process to transfer your agency's data to Westat. Westat will provide your jurisdiction with a username and password to allow you to log in to the project's website and deposit the electronic data.

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The data collection manager or another appropriate Westat/NCJJ research team member will be in contact with your jurisdiction in order to initiate and facilitate the data submission process. If needed, the Westat/NCJJ research team will provide guidance and assistance with regard to either uploading data via secure FTP or sending encrypted files on CD.

Unformatted Data Files

Unformatted electronic data files (i.e., “data dumps”) are files that contain virtually all data in a respondent’s automated system. Data dumps are the easiest type of electronic data extract for you to submit. Your jurisdiction may not have the staff or resources to do anything more than provide a complete “dump” of your information system. In such instances, NCJJ programming staff will assume the burden of recoding and restructuring the data to create the equivalent of the uniform extract.

This submission process, while the least labor-intensive for your jurisdiction, would require consultation to verify record layouts, unit of count, data element codes and values, and primary keys for relational tables, etc.

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How do I contact you if I have questions?

For questions about completing your SJCACC Survey:
SJCACC Help Desk
Toll Free: **1-855-654-9639**
Email: **JuvAdultCourt@westat.com**
Fax: 1-855-654-9639
Mail: 1600 Research Boulevard, Rockville, MD 20850

For general questions about the SJCACC Study:

Paula S. Thompson, PMP
SJCACC, Project Director
Westat
1600 Research Boulevard
Rockville, MD 20850
301-517-4030

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Pittsburgh, PA 15203
412–246–0824

Appendix A: Key concepts and definitions

[by order of appearance]

Non-criminal offense: Not a felony or misdemeanor offense. A minor violation of the law or civil infraction punishable only by a fine (e.g., summary traffic infractions, wild life/fish and game).

Case ID#: Unique ID assigned to individual cases by the Court.

Defendant ID#: Unique ID assigned to the defendant by the Court.

Fingerprint ID#: An alternative defendant ID—a unique identification related to the defendant's fingerprint.

Age: Date of birth and date of offense will be used to calculate the defendant's age at the time of the offense. However, where these date fields are unavailable the following age fields will be accepted: age at the time of offense, age at arrest, age at arraignment, and age at conviction.

Race/Ethnicity: The uniform data extract will attempt to minimally capture those groups that the federal Office of Management and Budget (OMB) specifies as necessary for data collection. OMB standards have five categories for data on race: American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, and White. There are two categories for data on ethnicity: "Hispanic or Latino," and "Not Hispanic or Latino."

Charge level/grade: The classification of a felony or misdemeanor, generally based on severity. Class (A, B, C, D), degree (first-degree, second degree), and severity (simple, aggravated) are all examples of charge levels or grades.

Technical violation: A violation by failure to comply with the conditions of conditional release other than failure by commission of a new offense. Failure to appear and probation violation are examples of technical violations.

Arraignment: The hearing before a judge or magistrate where the identity of the defendant is established, the defendant is informed of their rights and any charges against them and a plea is entered. The first time, subsequent to the arrest, that formal charge(s) are entered with a court. This could be called the case filing, initial appearance, or arraignment hearing.

Adjudication: The point in a case where a judge or magistrate makes an ultimate decision on the merits of the case. This may be a verdict of guilty or innocent or a mistrial. Adjudication can also be known as a conviction.

Disposition: An action by a criminal or juvenile justice agency that signifies a decision has been made on a case or a part of a case and either the process is complete and jurisdiction is transferred or a new aspect of the case will need to be decided upon.

Prison: A state or federal confinement facility having custodial authority over adults sentenced to confinement.

Jail: A confinement facility administered by an agency of local government intended for adults but sometimes also containing juveniles and persons detained pending adjudication and persons committed after adjudication, usually those committed on sentences of a year or less.

Youthful offender facility: A facility in adult jails that holds juveniles whose jurisdiction in juvenile court extends beyond the age of 18.

Juvenile facility: A separate facility from a jail or prison intended for the holding of juvenile offenders.

Blended sentencing: The juvenile court has the authority to impose adult criminal sanctions on certain juvenile offenders. The majority of such laws authorize the juvenile court to combine a juvenile disposition with a criminal sentence that is suspended. If the youth successfully completes the juvenile disposition, the criminal sanction is not imposed. If, however, the youth does not cooperate or fails in the juvenile sanctioning system, the adult criminal sanction is imposed. Juvenile court blended sentencing expands the jurisdiction of the juvenile court such that juvenile offenders may face the same penalties as adult offenders.

Waiver: A ruling by a judge after a hearing transferring jurisdiction over a youth from juvenile court to criminal court.

Direct file (or concurrent jurisdiction): Prosecutors have the option to file the case directly in criminal court as well as juvenile court if it meets the criteria for transfer. No hearing is held and there may be no formal standard for deciding which court to file in. This is left to the discretion of the prosecutor.

Statutory exclusion: Statutes or laws that state if a juvenile commits a certain list of enumerated crimes, they will be treated and tried as an adult instead of a juvenile. These juveniles are excluded by statute from the jurisdiction of the juvenile court.

Once an Adult/Always an Adult: The case met state statutory criteria (age, offense, criminal history) that require new cases involving a juvenile previously handled or convicted in criminal court to also be handled in criminal court.

Lower "upper age" of juvenile court jurisdiction: An age below 18 where juvenile court jurisdiction ends and criminal jurisdiction begins. Most states set the upper age of juvenile court jurisdiction at 17. This is the highest age at which a juvenile will still be handled as a juvenile. When a juvenile turns 18, they enter the jurisdiction of the criminal court; 11* states have ended their juvenile court jurisdiction below the age of 18.

*Applies only to Georgia, Louisiana, Massachusetts, Michigan, Missouri, New Hampshire, New York, North Carolina, South Carolina, Texas, and Wisconsin.

Appendix B: Preferred offense coding categories

1. **Murder/nonnegligent manslaughter -** The willful (nonnegligent) killing of one human being by another. Deaths caused by negligence, attempts to kill, suicides, accidental deaths, and justifiable homicides are excluded. The term is used in the same sense as in the UCR Crime Index. Negligent homicide should be included under other violent offenses/other offenses against persons.
2. **Violent sexual assault -** Sexual acts or attempted sexual acts with a female or male against their will by force or threat of force. Includes rape and violent sex acts other than forcible rape (e.g., incest, sodomy). The term is broader than the UCR Crime Index and includes gender-neutral rape or sexual assault statutes that prohibit forced sexual acts against either sex.
3. **Robbery -** Unlawful taking or attempted taking of property that is in the immediate possession of another by force or the threat of force. The term is used in the same sense as in the UCR Crime Index and includes forcible purse snatching.
4. **Aggravated assault -** Unlawful intentional inflicting of serious bodily injury, or unlawful threat or attempt to inflict bodily injury or death, by means of a deadly or dangerous weapon with or without actual infliction of any injury. The term is used in the same sense as in the UCR Crime Index. It includes conduct included under the statutory names aggravated assault and battery, aggravated battery, assault with intent to kill, assault with intent to commit murder or manslaughter, atrocious assault, attempted murder, felonious assault, and assault with a deadly weapon.
5. **Simple assault -** Unlawful intentional inflicting, or attempted or threatened inflicting, of less than serious bodily injury without a deadly or dangerous weapon. The term is used in the same sense in UCR reporting. Simple assault is often not distinctly named in statutes since it consists of all assaults not explicitly named and defined as serious.
6. **Other violent offenses/other offenses against persons -** This category includes kidnapping, custody interference, unlawful restraint, false imprisonment, reckless endangerment, negligent or vehicular homicide, harassment, etc., and attempts to commit any such acts.
7. **Burglary -** Unlawful entry or attempted entry of any fixed structure, vehicle, or vessel used for regular residence, industry, or business, with or without force, with intent to commit a felony or larceny. The term is used in the same sense as in the UCR Crime Index.
8. **Larceny-theft -** Unlawful taking or attempted taking of property (other than a motor vehicle) from the possession of another, by stealth, without force and without deceit, with intent to permanently deprive the owner of the property. This term is used in the same sense as in the UCR Crime Index. It includes shoplifting and purse snatching without force.
9. **Motor vehicle theft -** Unlawful taking, or attempted taking, of a self-propelled road vehicle owned by another, with the intent to deprive the owner of it permanently or temporarily. The term is used in the same sense as in the UCR Crime Index. It includes joyriding or unauthorized use of a motor vehicle as well as grand theft auto.
10. **Arson -** Intentional damaging or destruction by means of fire or explosion of the property of another without the owner's consent, or of any property with intent to defraud, or attempting the above acts. The term is used in the same sense as in the UCR Crime Index.
11. **Forgery (and counterfeiting) -** Altering, copying, or imitating something without authority or right, with the intent to deceive or defraud by passing it as that which is original or genuine.

Includes the selling, buying, or possession of an altered, copied, or imitated thing with the intent to deceive or defraud.

12. **Fraud -** Unlawfully depriving a person of their money, property, or legal right, by means of deceit or intentional misrepresentation. Included are confidence games, credit or debit card fraud, and bad checks, excludes forgeries and counterfeiting.
13. **Embezzlement** - Misappropriation or misapplication of money or property entrusted to one's care, custody, or control.
14. **Vandalism -** Destroying or damaging, or attempting to destroy or damage, the property of another without the owner's consent, or public property, except by burning.
15. **Stolen property offenses** - Unlawfully and knowingly receiving, buying, distributing, selling, transporting, concealing, or possessing stolen property, or attempting any of the above. The term is used in the same sense as the UCR category stolen property; buying, receiving, possessing.
16. **Trespassing** - Unlawful entry or attempted entry of the property of another with the intent to commit a misdemeanor, other than larceny, or without intent to commit a crime.
17. **Other property offenses** - This category includes property offenses not distinguished in the categories above (e.g., extortion, blackmail, tampering, etc.) and attempts to commit any such offenses.
18. **Drug trafficking/manufacturing** - Unlawful sale, purchase, distribution, manufacture, cultivation, or transport of a controlled or prohibited drug or attempt to commit these acts (includes possession with intent to sell).
19. **Drug possession/use** - Unlawful possession or use of a controlled or prohibited drug or attempt to commit these acts.
20. **Other drug offenses** - This category includes drug law violations not distinguished in the categories above (e.g., possession of drug paraphernalia and visiting a place or permitting occupancy of a place where drugs are found).
21. **Weapons offenses** - Unlawful sale, distribution, manufacture, alteration, transportation, possession, or use of a deadly or dangerous weapon, or accessory, or attempt to commit any of these acts. The term is used in the same sense as the UCR category weapons; carrying, possessing, etc.
22. **Sex offenses (not violent)** - All offenses having a sexual element not involving violence. The term combines the meaning of the UCR categories prostitution and commercialized vice and sex offenses. It includes offenses such as statutory rape, indecent exposure, prostitution, solicitation, pimping, lewdness, fornication, adultery, etc.
23. **Technical violation of probation or parole** - Violations of probation or parole; acts that disobey or go against the conditions of probation or parole. Examples include: failure to participate in a specific program, failure to appear for drug tests or meetings, and failure to pay restitution.
24. **Obstruction of justice/failure to appear** - This category includes intentionally obstructing a court (or law enforcement) in the administration of justice, acting in a way calculated to lessen the authority or dignity of the court, failing to obey the lawful order of a court, and violations of probation or parole other than technical violations, which do not consist of the commission of a crime or are not prosecuted as such. It includes contempt, perjury, obstructing justice, bribing witnesses, failure to report a crime, nonviolent resisting arrest, etc.
25. **Liquor law violations (not minor in possession)** - Being in a public place while intoxicated through consumption of alcohol, or intake of a controlled substance or drug. It includes public

intoxication, drunkenness, and other liquor law violations. It does not include driving under the influence or minor in possession. The term is used in the same sense as the UCR category of the same name.

26. **Disorderly conduct -** Unlawful interruption of the peace, quiet, or order of a community, including offenses called disturbing the peace, vagrancy, loitering, unlawful assembly, and riot.
27. **Other offenses against public order -** This category includes other offenses against government administration or regulation, e.g., escape from confinement, bribery, gambling, hitchhiking, health violations, false fire alarms, immigration violations, etc.
28. **Driving-related offenses:** This category includes offenses consisting of those misdemeanors and felonies relating to the operation of self-propelled surface motor vehicles requiring an appearance in court, including: driving under the influence, hit and run, reckless driving, and driving without a license. Vehicular homicide should be included under other violent offenses/other offenses against persons.

99. **UNKNOWN:** use this only when no offense information is available.

Appendix C: Uniform Extract Data Layout

2014 Survey of Juveniles Charged as Adults in Criminal Courts (SJCACC)

Universe: Any case disposed in criminal court in 2014 involving a defendant who was younger than the age of 18 at the time of the crime.

Unit of count: Case-level, all charges associated with a single case and its outcome in terms of dispositions and sentences are that are linked to that case.

Data Element Groups Containing Variables		
	Data Element Group Name	*Data Element Group Label*
	DEG1	Defendant information
	DEG2	Legal mechanism for transfer information
	DEG3	Arrest/Case information
	DEG4	Arraignment information
	DEG5	Adjudication outcome information
	DEG6	Sentencing information
DEG1	Defendant information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		State
		County
		Case ID#
		Defendant ID#
		Fingerprint ID#
		Date of birth
		Age at offense
		Age at arrest
		Age at arraignment
		Age at conviction
		Sex
		Ethnicity (Hispanic origin)
		Race
DEG2	Legal mechanism for transfer information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		Legal mechanism for transfer identified?
		What is the legal mechanism that allows the defendant younger than age 18 to be tried in criminal court?

DEG3	Arrest/Case information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		Date of offense
		Date of arrest
		Number of charges at arrest
		Most serious - Type of offense
		Most serious - Type of offense - other specify
		Most serious - Type of charge (felony/misd./other)
		Most serious - Type of charge (felony/misd./other) - other specify
		Most serious - Statute Number
		2nd most serious - Type of offense
		2nd most serious - Type of offense - other specify
		2nd most serious - Type of charge (felony/misd./other)
		2nd most serious - Type of charge (felony/misd./other) - other specify
		2nd most serious - Statute Number
		3rd most serious - Type of offense
		3rd most serious - Type of offense - other specify
		3rd most serious - Type of charge (felony/misd./other)
		3rd most serious - Type of charge (felony/misd./other) - other specify
		3rd most serious - Statute Number
		4th most serious - Type of offense
		4th most serious - Type of offense - other specify
		4th most serious - Type of charge (felony/misd./other)
		4th most serious - Type of charge (felony/misd./other) - other specify
		4th most serious - Statute Number
		5th most serious - Type of offense
		5th most serious - Type of offense - other specify
		5th most serious - Type of charge (felony/misd./other)
		5th most serious - Type of charge (felony/misd./other) - other specify
		5th most serious - Statute Number
DEG4	Arraignment information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		Was the case dismissed before arraignment?
		Date of dismissal
		Reason for dismissal
		Reason for dismissal - other specify
		Date of arraignment
		Type of legal representation at arraignment
		Type of legal representation at arraignment - other specify
		Most serious - Type of offense
		Most serious - Type of offense - other specify
		Most serious - Type of charge (felony/misd./other)
		Most serious - Type of charge (felony/misd./other) - other specify
		Most serious - Statute Number
		2nd most serious - Type of offense
		2nd most serious - Type of offense - other specify
		2nd most serious - Type of charge (felony/misd./other)
		2nd most serious - Type of charge (felony/misd./other) - other specify

DEG4 (cont'd)	Arraignment information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		2nd most serious - Statute Number
		3rd most serious - Type of offense
		3rd most serious - Type of offense - other specify
		3rd most serious - Type of charge (felony/misd./other)
		3rd most serious - Type of charge (felony/misd./other) - other specify
		3rd most serious - Statute Number
		4th most serious - Type of offense
		4th most serious - Type of offense - other specify
		4th most serious - Type of charge (felony/misd./other)
		4th most serious - Type of charge (felony/misd./other) - other specify
		4th most serious - Statute Number
		5th most serious - Type of offense
		5th most serious - Type of offense - other specify
		5th most serious - Type of charge (felony/misd./other)
		5th most serious - Type of charge (felony/misd./other) - other specify
		5th most serious - Statute Number
DEG5	Adjudication outcome information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		Date of final adjudication
		Legal representation for adjudication
		Legal representation for adjudication - other specify
		Number of charges at adjudication
		Most serious - Type of offense
		Most serious - Type of offense - other specify
		Most serious - Type of charge (felony/misd./other)
		Most serious - Type of charge (felony/misd./other) - other specify
		Most serious - Statute Number
		Most serious - Adjudication outcome
		Most serious - Type of conviction
		Most serious - Type of non-conviction
		2nd most serious - Type of offense
		2nd most serious - Type of offense - other specify
		2nd most serious - Type of charge (felony/misd./other)
		2nd most serious - Type of charge (felony/misd./other) - other specify
		2nd most serious - Statute Number
		2nd most serious - Adjudication outcome
		2nd most serious - Type of conviction
		2nd most serious - Type of non-conviction
		3rd most serious - Type of offense
		3rd most serious - Type of offense - other specify
		3rd most serious - Type of charge (felony/misd./other)
		3rd most serious - Type of charge (felony/misd./other) - other specify
		3rd most serious - Statute Number
		3rd most serious - Adjudication outcome
		3rd most serious - Type of conviction
		3rd most serious - Type of non-conviction

DEG5 (cont'd)	Adjudication outcome information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		4th most serious - Type of offense
		4th most serious - Type of offense – other specify
		4th most serious - Type of charge (felony/misd./other)
		4th most serious - Type of charge (felony/misd./other) – other specify
		4th most serious - Statute Number
		4th most serious - Adjudication outcome
		4th most serious - Type of conviction
		4th most serious - Type of non-conviction
		5th most serious - Type of offense
		5th most serious - Type of offense – other specify
		5th most serious - Type of charge (felony/misd./other)
		5th most serious - Type of charge (felony/misd./other) – other specify
		5th most serious - Statute Number
		5th most serious - Adjudication outcome
		5th most serious - Type of conviction
		5th most serious - Type of non-conviction

DEG6	Sentencing information	
	Variables within this Data Element Group	
	Variable	*Variable Label*
		Date of initial court sentence
		Sentenced to prison?
		Did the offender receive a life or LWOP sentence?
		What was the total maximum imposed prison sentence for all offenses?
		What was the total maximum suspended prison sentence for all offenses?
		Sentenced to youthful offender facility?
		Total maximum length of youthful offender facility sentence
		Sentenced to jail?
		Total maximum jail sentence
		Sentenced to juvenile facility?
		Total maximum juvenile facility sentence
		Sentenced to probation?
		Length of probation sentence
		Was offender fined and/or assessed court costs?
		What was the fine and/or court costs?
		Offender ordered to pay restitution?
		Were other types of sentencing imposed?
		If yes, what other type of sentencing was imposed?
		Treatment/counseling
		Blended sentencing (juvenile)
		Other (specify)
		Other type of sentencing - other specify

Appendix D: Uniform Extract Suggested Coding

DATA ELEMENT GROUPS * unit of count is at the case-level, please complete the record for all charges in a given case				
Defendant information	**Column**	**Description**	**Values**	**Notes**
		State		
		County		
		Case ID#		Unique ID assigned to individual cases by the Court.
		Defendant ID#		Unique ID assigned to the defendant by the Court.
		Fingerprint ID# (sometimes referred to as FBI number)		Alternative defendant ID–unique to the defendant's fingerprint.
Where DOB is provide one of the following:		Date of birth	MM/DD/YYYY	
		Age at offense	10-99 = valid ages	
			-8= Don't know	
		Age at arrest	10-99 = valid ages	
			-8= Don't know	
		Age at arraignment	10-99 = valid ages	
			-8= Don't know	
		Age at conviction	10-99 = valid ages	
			-8= Don't know	
		Sex	1 = Male	
			2 = Female	
			-8= Don't know	
		Ethnicity	1 = Hispanic or Latino	
			2 = Not Hispanic or Latino	
			-8= Don't know	
	Race	American Indian or Alaska Native	1= Yes	
			2= No	
		Asian	1= Yes	
			2= No	
		Black/African American	1= Yes	
			2= No	
		Native Hawaiian or Other Pacific Islander	1= Yes	
			2= No	
		White	1= Yes	
			2= No	
		Don't know	1= Yes	
			2= No	

Legal mechanism for transfer information	Column	Description	Values	Notes
		Legal mechanism for transfer identified?	1= Yes	Can this agency provide information regarding the legal mechanism that allows this youth under age 18 to be tried in criminal court?
			2= No	
		What is the legal mechanism that allows the defendant younger than age 18 to be tried in criminal court?	1= Age of majority lower than 18	Age of majority is lower than 18–in this state all youth of the defendant's age under state law are adults for the purpose of criminal prosecution regardless of the offense with which they are charged.
			2= Transfer from juvenile court	Transfer from juvenile court (e.g., judicial waiver, bindover, remand, decline, and certification).
			3= Statutory exclusion or legislative exclusion	Statutory exclusion or legislative exclusion–this case met state statutory criteria (age and offense) that exclude such cases from juvenile court.
			4= Concurrent jurisdiction, prosecutor discretion, or direct file provisions	Concurrent jurisdiction, prosecutor discretion, or direct file provisions–this case met state statutory criteria (age and offense) that allow prosecutors to file such cases in either juvenile or criminal court.
			5= Once an adult/always an adult	"Once an adult/always an adult"–this case met state statutory criteria (age, offense, criminal history) that require new cases involving a juvenile previously handled or convicted in criminal court to be handled in criminal court.
			-8= Don't know	
Arrest/Case information	Column	Description	Values	Notes
		Date of offense	MM/DD/YYYY	
		Date of arrest	MM/DD/YYYY	
		Number of charges/counts reported at the time of arrest	1-999 = valid number of charges	
			-8= Don't know	
		Type of offense	1= Murder/nonnegligent manslaughter	
			2= Violent sexual assault	
			3= Robbery	
			4= Aggravated assault	
			5=Simple assault	
			6= Other violent offense/ person offense	
			7= Burglary	
			8= Larceny/theft	
			9= Motor vehicle theft	
			10= Arson	
			11= Forgery (and counterfeiting)	
			12= Fraud	
			13= Embezzlement	
			14= Vandalism	
			15= Stolen property offenses	
			16= Trespassing	

Arrest/Case information (cont.)	Column	Description	Values	Notes
			17= Other property offenses	
			18= Drug trafficking/manufacturing	
			19= Drug possession/use	
			20= Other drug offenses	
			21= Weapon offense	
			22= Sex offense (not violent)	
			23= Technical violation of probation or parole	
			24= Obstruction of justice/failure to appear	
			25= Liquor law violations (not minor in possession)	
			26= Disorderly conduct	
			27= Offenses against public order	
			28= Driving-related offenses	
			29= Other (specify)	
			-8= Don't know	
		Type of offense - description	Text field	
		Type of charge	1= Felony	(E.g., Felony 1, Misdemeanor 1, Class C offense).
			2= Misdemeanor	
			3= Other (specify)	
		Type of charge - other specify	Text field	
		Statute Number	Text field	
Arraignment information	**Column**	**Description**	**Values**	**Notes**
		Was this case dismissed before arraignment?	1= Yes	
			2= No	
		Date of dismissal	MM/DD/YYYY	
		Reason for dismissal	1= Dismissal/Nolle prosequi	
			2= Dismissal for want of prosecution	
			3= Sent to juvenile court for processing	
			4= Other (specify)	
			-8= Don't know	
		Reason for dismissal - other specify	Text field	
		Date of arraignment	MM/DD/YYYY	

Arraignment information	Column	Description	Values	Notes
		Type of legal representation at arraignment	1= Private attorney	
			2= Public Defender	
			3= Assigned/contracted attorney	
			4= Pro se (waived right to an attorney)	
			5= Other (specify)	
			-8= Don't know	
(cont.)		Type of legal representation at arraignment - other specify	Text field	
		Type of offense	1= Murder/nonnegligent manslaughter	
			2= Violent sexual assault	
			3= Robbery	
			4= Aggravated assault	
			5= Simple assault	
			6= Other violent offense/ person offense	
			7= Burglary	
			8= Larceny/theft	
			9= Motor vehicle theft	
			10= Arson	
			11= Forgery (and counterfeiting)	
			12= Fraud	
			13= Embezzlement	
			14= Vandalism	
			15= Stolen property offenses	
			16= Trespassing	
			17= Other property offenses	
			18= Drug trafficking/manufacturing	
			19= Drug possession/use	
			20= Other drug offenses	
			21= Weapon offense	
			22= Sex offense (not violent)	
			23= Technical violation of probation or parole	
			24= Obstruction of justice/failure to appear	
			25= Liquor law violations (not minor in possession)	
			26= Disorderly conduct	
			27= Offenses against public order	
			28= Driving-related offenses	
			29= Other (specify)	
			-8= Don't know	

Arraignment information (cont'd)	Column	Description	Values	Notes
		Type of offense - description	Text field	
		Type of charge	1= Felony	
			2= Misdemeanor	
			3= Other (specify)	
		Type of charge - other specify	Text field	
		Statute Number	Text field	
Adjudication/ Conviction information	**Column**	**Description**	**Values**	**Notes**
		Date of final adjudication	MM/DD/YYYY	
		Legal representation for adjudication	1= Private attorney	
			2= Public Defender	
			3= Assigned/contracted attorney	
			4= Pro se (waived right to an attorney)	
			5= Other (specify)	
			-8= Don't know	
		Legal representation for adjudication - other specify	Text field	
		Number of charges reported at adjudication	1-999 = valid number of charges	
			-8 = Don't know	
		Type of offense	1= Murder/nonnegligent manslaughter	
			2= Violent sexual assault	
			3= Robbery	
			4= Aggravated assault	
			5= Simple assault	
			6= Other violent offense/ person offense	
			7= Burglary	
			8= Larceny/theft	
			9= Motor vehicle theft	
			10= Arson	
			11= Forgery (and counterfeiting)	
			12= Fraud	
			13= Embezzlement	
			14= Vandalism	
			15= Stolen property offenses	
			16= Trespassing	
			17= Other property offenses	
			18= Drug trafficking/manufacturing	
			19= Drug possession/use	

Adjudication/ (cont'd)	Column	Description	Values	Notes
			20= Other drug offenses	
			21= Weapon offense	
			22= Sex offense (not violent)	
			23= Technical violation of probation or parole	
			24= Obstruction of justice/failure to appear	
			25= Liquor law violations (not minor in possession)	
			26= Disorderly conduct	
			27= Offenses against public order	
			28= Driving-related offenses	
			29= Other (specify)	
			-8= Don't know	
		Type of offense - description	Text field	
		Type of charge	1= Felony	
			2= Misdemeanor	
			3= Other (specify)	
		Type of charge - other specify	Text field	
		Statute number	Text field	
		What was the outcome of adjudication for this charge?	1= Conviction	Guilty pleas should be coded as 1=Conviction
			2= Non-conviction	
			3= Other (specify)	
			-8= Don't know	
		What was the outcome of adjudication for this charge? other specify	Text field	
		If outcome was conviction: type of conviction	1= Nolo contendere (No contest)	
			2= Bench trial	
			3= Jury trial	
			4= Guilty Plea	
			-8= Don't know	
		If outcome was non-conviction: type of non-conviction	1= Dismissal/Nolle prosequi	Deferred Prosecution: A finding by the court that requires the defendant complete a specific set of actions prior to an official adjudication by the court. For example, a defendant is charged with theft. The court orders the defendant to complete 90 hours of community service in 6 months in lieu of a guilty finding. This finding serves as the case disposition. Deferred Prosecution is meant to include all findings that necessitate some action by the defendant in order to avoid a conviction, including agreements that require
			2= Dismissal for want of prosecution	
			3= Sent to juvenile court for processing	
			4= Deferred prosecution	
			5= Other	
			-8= Don't know	

				the consent of the Prosecutor and/or Defendant.
		If outcome was non-conviction: type of non-conviction – other specify	Text field	

Sentencing information	Column	Description	Values	Notes
		Date of initial court sentence	MM/DD/YYYY	
		Sentenced to prison?	1= Yes 2= No -8= Don't know	Offender was sentenced to prison (a correctional facility for adults, primarily convicted felons, typically operated by a state agency).
		Did the offender receive a life or LWOP sentence?	1= Yes 2= No -8= Don't know	
		What was the total maximum imposed prison sentence for all offenses?	1-999 = valid number of months -8= Don't know	
		What was the total maximum suspended prison sentence for all offenses?	1-999 = valid number of months -8= Don't know	
		Sentenced to youthful offender facility?	1= Yes 2= No -8= Don't know	Offender was sentenced to a youthful offender facility (a separate facility for offenders younger than a certain age that is part of the adult prison system, may have specialized programming)
		Total maximum length of youthful offender facility sentence	1-999 = valid number of months -8= Don't know	
		Sentenced to jail?	1= Yes 2= No -8= Don't know	Offender sentenced to jail (a confinement facility primarily for adults, typically operated by a local government agency, holds both offenders awaiting adjudication and those who have been convicted, primarily misdemeanants).
		Total maximum jail sentence	1-999 = valid number of months -8= Don't know	
		Sentenced to juvenile facility?	1= Yes 2= No -8= Don't know	Offender sentenced to a juvenile facility (a correctional or residential placement facility primarily for juvenile offenders, may hold youth pre- or post-adjudication, may be operated by a state or local government agency or privately operated, may or may not be secure).
		Total maximum juvenile facility sentence	1-999 = valid number of months -8= Don't know	

		Sentenced to probation?	1= Yes 2= No -8= Don't know	Offender sentenced to probation (conditional freedom grated by a judicial officer to an adult or juvenile offender).
		Length of probation sentence	1-999 = valid number of months -8= Don't know	
		Was offender fined and/or assessed court costs?	1= Yes 2= No -8= Don't know	Offender fined (a monetary penalty imposed upon a convicted offender that must be paid to the court).
Sentencing information (cont'd)	**Column**	**Description**	**Values**	**Notes**
		What was the fine and/or court costs?	1-9,999,999 = valid number of dollars -8= Don't know	
		Offender ordered to pay restitution?	1= Yes 2= No -8= Don't know	Offender ordered to pay restitution (a court requirement that an offender pay money or provide services to the victim of the crime or provide services to the community).
		Were other types of sentencing imposed?	1= Yes 2= No -8= Don't know	
		If yes, what other type of sentencing was imposed?		
		Treatment/counseling	1= Yes 2= No	
		Blended sentencing (juvenile)	1= Yes 2= No	
		Other (specify)	1= Yes 2= No	
		Other type of sentencing - other specify	Text field	

Survey of Juveniles Charged in Adult Criminal Court (SJCACC)

Electronic Data File Transfer Instructions

Thank you for participating in the Survey of Juveniles Charged in Adult Criminal Court (SJCACC). In order to transfer your data electronically, we have enabled a secure file transfer process. Please use the following URL to sign on to the system.

https://securetransfer2.westat.com/human.aspx?InstID=5140

If you do not already have your username and password, please email Anne Rackow at arackow@ncjfcj.org

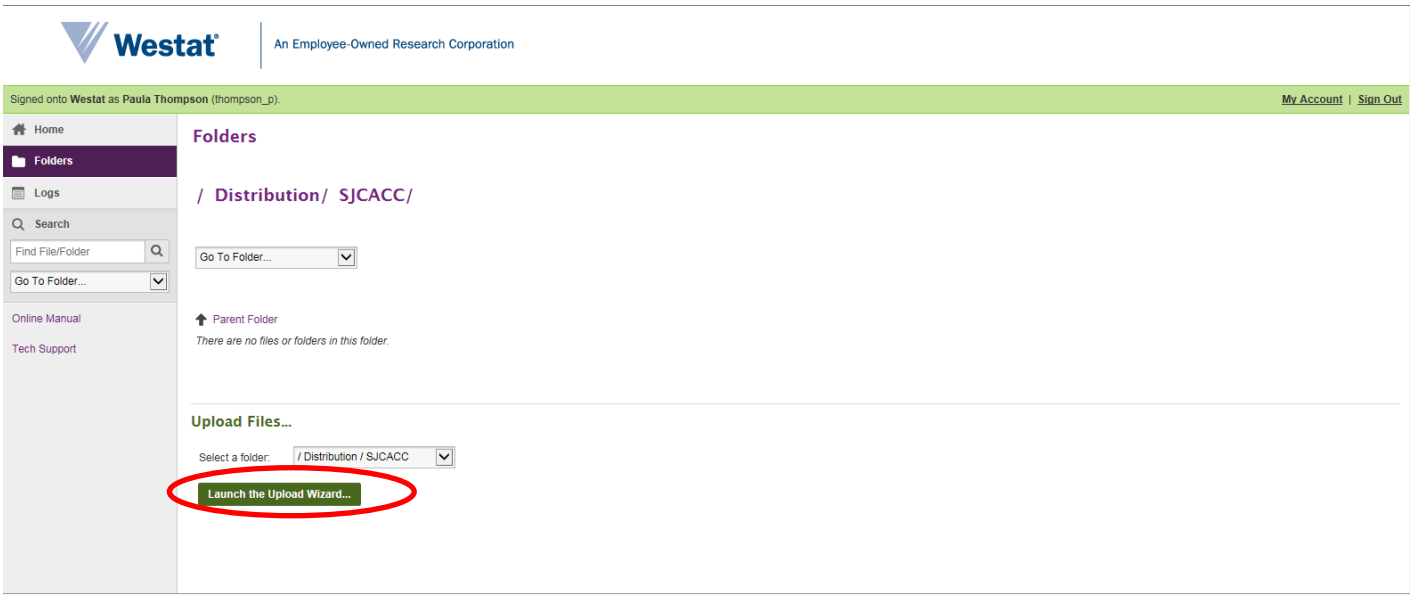
You will be required to change your password the next time you sign on. Please note that the new password you choose needs to be a minimum of 8 characters, and passwords cannot RESEMBLE usernames. Passwords must also contain AT LEAST ONE LETTER AND ONE NUMBER while containing BOTH UPPERCASE AND LOWERCASE LETTERS.

Please note that you cannot use apostrophes or quotation marks.

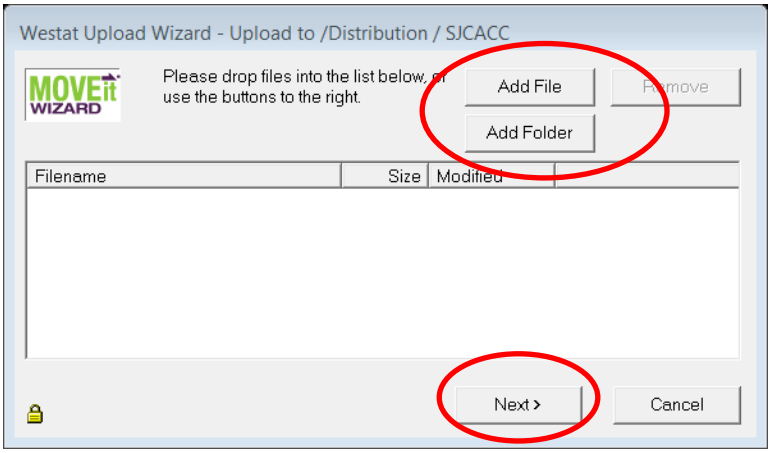
If you need assistance other than obtaining your username or password, please contact Gavin Birch at 301 610 5122 / gavinbirch@westat.com.

The following instructions describe the steps to upload your survey data using Westat's secure File Transfer Protocol program. The process allows you to 1) add one or more individual files or as an entire folder; 2) upload the files individually or as a zip file; and 3) rename the files and add a note or description.

1. After accessing the site, click on the **Launch the Upload Wizard** button to start the transfer process. Follow the instructions to browse, select, and securely transfer your file.

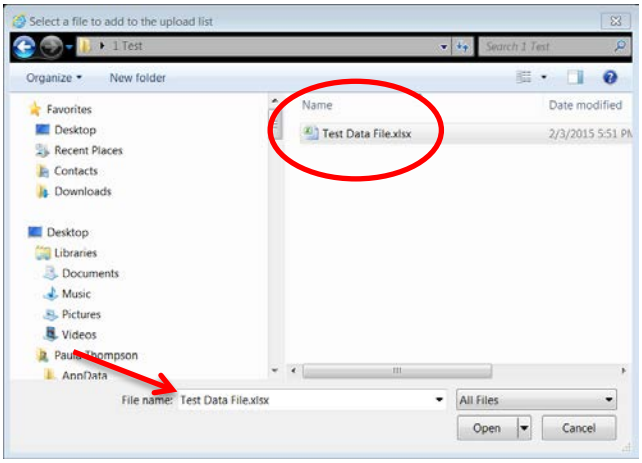


2. The window below will appear. Select **Add File** or **Add Folder** to navigate to the location of your data files and click the **Next** button.

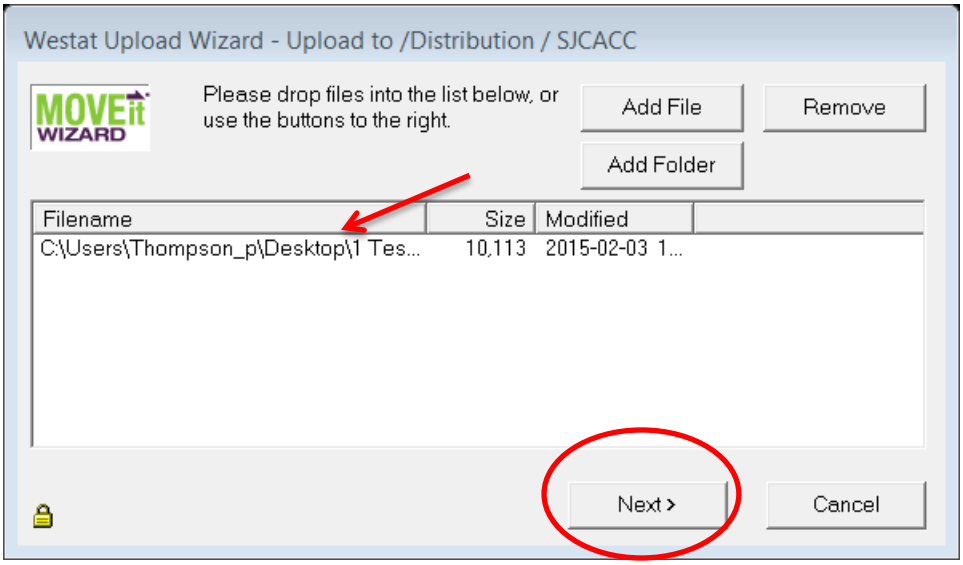


SJCACC Help Desk | Email: JuvAdultCourt@westat.com | Toll-free Phone: 1-855-654-9639 | Fax: 1-888-371-3949

3. Locate the files or folders that contain the data you want to transfer and click on the file name or folder name to select.



4. The selected files will appear in the window below. Click the **Next** button after selecting all the files you want to transfer.



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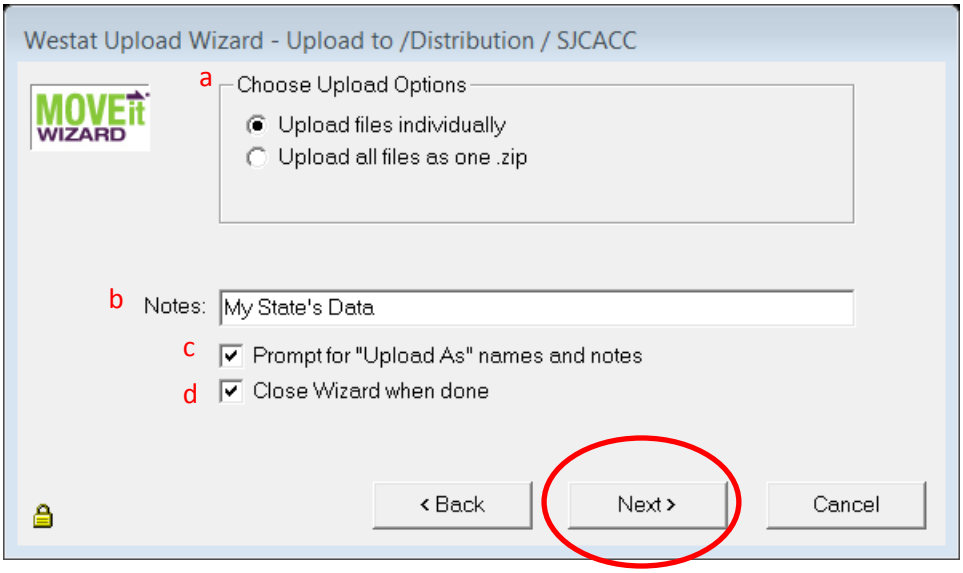
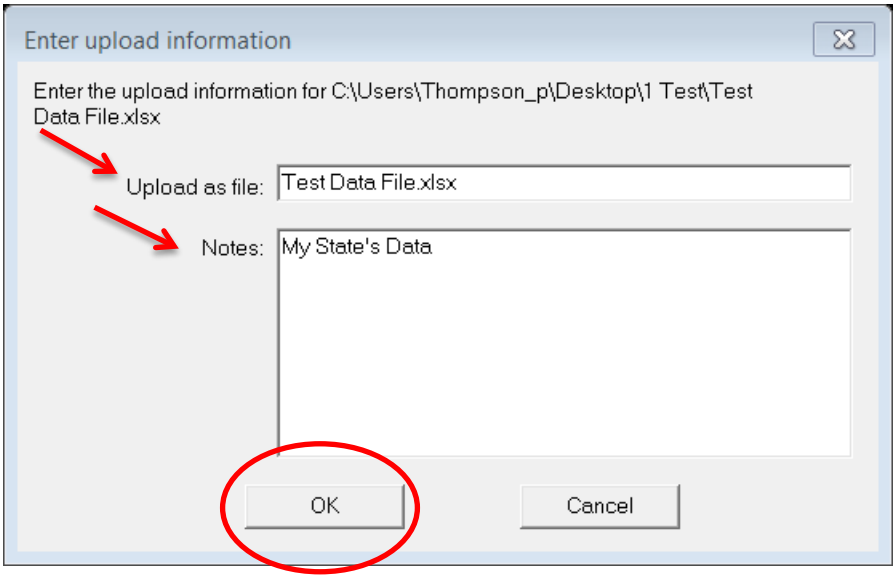
5. This screens allows you to
    a. choose the upload method, upload individually or as a zip file,
    b. enter a brief note to describe the file(s),
    c. **Prompt for "Upload As"** to enter more detailed notes about the files, and
    d. close the wizard automatically when you are done.

    Click the **Next** button to move to the next step.

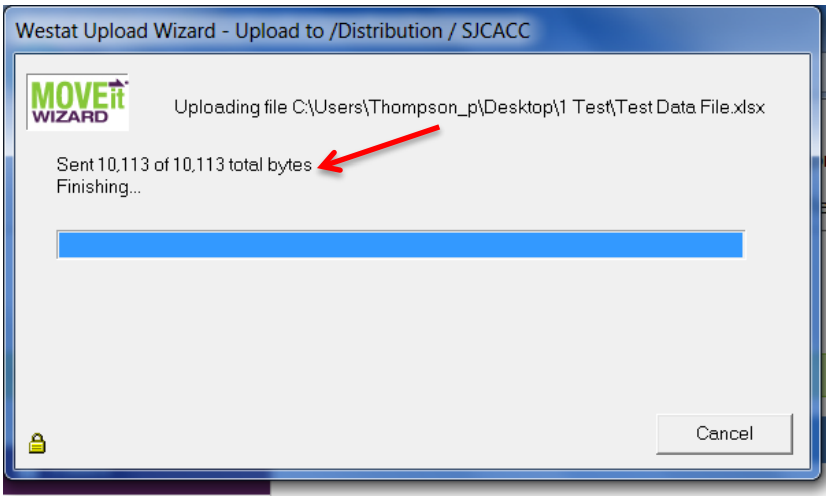


6. This screen allows you to change the name of the file in the **Upload as file** text box. You may also enter more information about the files in the **Notes** section. Click the **OK** button to move to the next step.

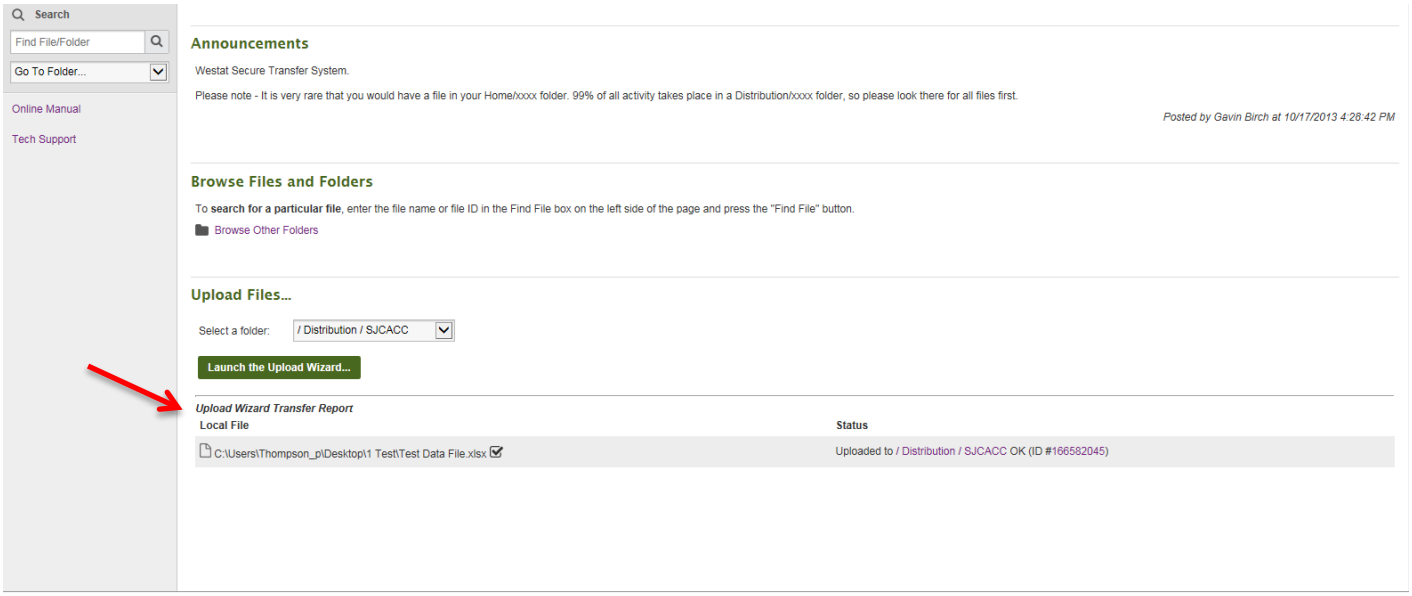


SJCACC Help Desk | Email: JuvAdultCourt@westat.com | Toll-free Phone: 1-855-654-9639 | Fax: 1-888-371-3949

7. Next, you will see a window that displays the progress of your transfer.



8. After returning to the main page, you should see a Transfer Report message listing your transferred files.



Survey of Juveniles Charged in Adult Criminal Court (SJCACC)—Factsheet

The Bureau of Justice Statistics' courts collections

The Bureau of Justice Statistics has collected nationally representative data on felony cases in state courts since 1986 through two collections-the National Judicial Reporting Program (NJRP) and State Court Processing Statistics (SCPS). BJS's courts collections standardize data on crime type, case processing, and sentencing across jurisdictions. The NJRP, which collected data from a nationally representative sample of counties, included counties in 47 states in 2006, the last year of the collection.

General description and goals: What is SJCACC?

With support from the Office of Juvenile Justice and Delinquency Prevention, BJS is using its expertise in collecting and standardizing court data to initiate an important new data collection that will examine young offenders processed in adult criminal courts. The purpose of the Survey of Juveniles Charged in Adult Criminal Court (SJCACC) is to collect information about the criminal case processing of juveniles (youth younger than age 18) in adult criminal courts across the country. This study will provide the first available data on how many youth are charged in criminal court, the characteristics of these youth, the pathways that led them to criminal court, and the final disposition of their cases.

Many in the field of juvenile justice have been clamoring for a national data collection that captures information on this population of young offenders "caught between two worlds."

> "OJJDP collaborated with BJS to fund and design this research because it will fill a critical gap in our understanding of America's justice system. With the support of courts across the country, policymakers, practitioners, and advocates will have a clearer picture of what happens to youth handled in the adult criminal justice system. This will better enable us to provide developmentally appropriate, trauma-informed care and services to youth, and training and support to prosecutors, courts, and the correctional system."
>
> Robert L. Listenbee, Administrator of the Office of Juvenile Justice and Delinquency Prevention

> "As a president-elect of the National Council of Juvenile and Family Court Judges, I am aware of the nationwide importance of this information. I applaud BJS for funding this study that will, for the first time, develop national estimates of the number of juveniles tried as adults in criminal court and an understanding of their case outcomes. I look forward to learning of the findings from this important work."
>
> Judge Peggy H. Walder, Douglas County, Georgia, Juvenile Court (now NCJFCJ President)

> "Although my state, California, collects data on cases involving juvenile offenders handled in criminal court and publishes caseload and case flow statistics, most states do not track and account for all of their juvenile transfer cases. Only 1 in 4 states publicly report the total number of their transfers, and even fewer report offense profiles, demographic characteristics, or details regarding processing and sentencing. Prosecution in criminal court is critically important in the lives of those youth, but nationally we can't even say how many youth are tried as adults in a given year."
>
> Judge Michael Nash (ret.), Los Angeles, California, Juvenile Court (past NCJFCJ President)

"As someone who has made a career of encouraging data-driven decision-making, I look forward to the day when more information on these difficult and complex cases is available."

Justice Bobbe J. Bridge (ret.), Washington, Founding President/CEO, Center for Children & Youth Justice

"To be 'smart on crime' we must have timely and useful data and information to guide policy and practice. This BJS data collection will fill a long-standing information gap—namely information on juveniles tried as adults. This work will help inform justice system policy makers, professionals, and practitioners who seek to improve public safety and outcomes for youth in contact with the law. Our juvenile justice initiative, Models for Change, takes a developmental approach to systems reform based on scientific research that has demonstrated that adolescents are different from adults and that to be effective the justice system should hold them accountable, treat them fairly, and prevent future offending."

Laurie Garduque, John D. and Catherine T. MacArthur Foundation Director of Justice Reform

BJS has retained Westat, a nationally known and highly regarded survey research firm, and the National Center for Juvenile Justice (NCJJ), a national expert on juvenile offenders and on state policies for transferring juveniles to adult criminal courts, to collect data on the processing of youth as adults in criminal court.

Population of interest

The population of interest for the SJCACC is all cases, felony and misdemeanor (excluding traffic, fish and game commission charges), disposed in state criminal courts in 2014 that involved a defendant who was younger than the age of 18 at the time of the crime. Rough estimates are that there are 190,000 such cases disposed in state criminal courts each year.

What information will SJCACC collect?

Westat and the NCJJ have developed a project design that supports multiple modes of data collection. Jurisdictions with electronic data may choose to provide case information in one of three ways: (1) uniform data extracts, (2) non-uniform data extracts, or (3) unformatted data files. Jurisdictions that do not have electronic case-level data will be given a hardcopy survey form to submit the data. At the start of data collection jurisdictions will be asked to provide a list of all eligible cases (i.e., cases disposed in 2014 involving youth under age 18) from which Westat statisticians will draw a sample. The resulting selected cases will be sent in a letter along with the survey.

Information that will be collected includes:

- unique offender identification number capable of tracking the offender through case processing and to subsequent involvement in the criminal justice system;
- offender demographics (e.g., gender, date of birth, race/ethnicity);
- legal mechanism employed to process the matter in criminal court;
- arrest charge(s);
- offense type(s) (e.g., felony or misdemeanor);
- arraignment charge(s);
- adjudication information;
- sentencing; and
- type of facility where defendant was held while case was being processed.

Data file structure and standardization

For those jurisdictions with electronic data systems, we will provide an Excel file containing the data element layout with suggested coding classification options and value labels to use as a guide. However, we recognize that the participating courts are unique and have different data systems with different levels of detail and different data sharing capabilities. Rather than placing the burden on the data contributor to submit data in a uniform format, we will accept any (and all) data that each jurisdiction can provide and in turn will process it into a standard format that can be used to produce the national estimates.

To do this effectively, NCJJ will study and compare the submitted data to the extract guideline specifications to determine if they require any restructuring. For each submission, NCJJ will communicate with contributing jurisdictions to clarify any questions raised during the review. For files that require substantial restructuring, NCJJ staff will consult with jurisdiction personnel to obtain file documentation that will enhance understanding of the data. During this process, NCJJ will be in close communication with the jurisdiction to verify that the file is processed properly. NCJJ has successfully processed databases extracted from court management information systems for its National Juvenile Court Data Archive for the past 35 years. For jurisdictions unable to provide databases, Westat and NCJJ will sample up to 40 cases and administer a paper and pencil survey.

Schedule

Westat and NCJJ will begin contacting state courts early in 2015. Data collection will begin shortly after that. Data collection will end during the fall of 2015 and data analysis will begin. BJS will publish a report with the national estimates in 2016.

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