

# 1. Meeting Minutes



**JISC DATA DISSEMINATION COMMITTEE**  
**Friday October 23, 2015 (8:00 a.m. – 9:30 a.m.)**  
**Teleconference**

**DRAFT - MEETING MINUTES**

**Members Present**

Judge Thomas J. Wynne, Chair  
Judge Jeannette Dalton  
Judge J. Robert Leach  
Judge G. Scott Marinella  
Judge David A. Svaren  
Ms. Barbara Miner  
Ms. Brooke Powell  
Ms. Aimee Vance

**AOC Staff Present**

Stephanie Happold, Data Dissemination Administrator  
Kathy Bowman, Secretary MSD

**Guests Present**

Mr. Jason Murphy – Data Driven Safety  
Mr. Will Saunders – OCIO  
Ms. Becky Miner – Washington State Patrol  
Ms. Kimberly McFarland – Washington State Patrol  
Ms. Shelly Williams – Office of the Attorney General

Judge Wynne called the meeting to order at 8:04 a.m.

**1. Minutes of August 28, 2015 and September 10, 2015**

The Committee approved the meeting minutes.

**2. DDS Request for Amending Section 10.4 of Agreement**

Mr. Jason Murphy with Data Driven Safety (DDS) presented his request for modifying the Data Share Agreement between DDS and AOC to allow the release of specific case information about individuals. The proposed amendment deletes section 10.4 of the agreement that states:

10.4 DDS shall not release specific case information about individuals to any subscribers or other third party entities.

Mr. Murphy explained that changes in the industry have led carriers to require greater information than what has been provided in the past, and that the AOC has other provisions in the agreement sufficient to ensure that DDS properly safeguards the data.

Judge Wynne said he was unaware of any reason section 10.4 of the agreement should not be eliminated in this case. Judge Marinella noted that DDS provides data to subscribers who have been vetted and as long as there is no specific case information about individuals provided to third-party customers, there would still be adequate control of the data. Judge Leach suggested eliminating section 10.4. Judge Wynne asked if there was any objection by the Committee. Ms. Vance stated she did not have an objection. Judge Svaren made a motion to remove section 10.4 from the DDS Data Share Agreement with AOC. Judge Marinella seconded, and the Committee voted unanimously to remove section 10.4. DDA Happold will amend the contracts for both Data Driven Safety and Drivers History Information and send the amendments out for signature.

### **3. OCIO – Will Saunders Introduction**

The Office of the Chief Information Officer's (OCIO) Senior Program Manager Will Saunders introduced himself to the Committee and spoke about key data issues and some strategies the executive branch was developing that he believed were achievable, progressive and sustainable. He explained that the executive branch was directed to develop individualized plans for providing electronic access to category 1 data, but noted review was still necessary. Mr. Saunders said the OCIO is interested in collaborating with the judicial branch to address data issues and Judge Wynne said he is welcome to join future meetings. Barb Miner agreed. DDA Happold will advise Mr. Saunders of the DDC meeting schedule and will add him to the email Listserv for the Committee.

### **4. Review of Data Dissemination Policy**

Judge Wynne invited discussion whether the Data Dissemination Policy was still needed with the implementation of GR 31. DDA Happold responded on behalf of the AOC and stated that though she thought the policy contradicted some language in GR 31 and needed to be updated, it was still necessary as a guide for the AOC when providing court data to requestors. An example she gave was Section III.A.3 and Section III.B.5, though the latter's language was confusing and needed to be clarified. Ms. Miner believed that a financial data policy was still necessary but was concerned that it could be contrary to the intent of GR 31. She also stated that she would be happy to participate on a committee to update the policy. Judge Wynne said an update to reflect reality was needed. Ms. Vance agreed and offered to assist. Judge Wynne, Ms. Miner, and Ms. Vance formed a workgroup that will review the policy and DDA Happold will staff it. There was no motion made at this time. DDA Happold said that she would schedule a teleconference for the workgroup.

### **5. CLJ JIS Retention Schedule Review – Small Claims Retention**

DDA Happold updated the Committee that Iteration 1 of ITG41 was nearly complete and that work on Iteration 2 will begin. With the start of Iteration 2, DDA Happold asked if the Committee would like to change Small Claims retention from 5 years to 10 years to reflect the life of judgement as discussed during its August 28 meeting. If approved, DDA Happold will present the request to the JISC at its December meeting. A motion was made to change Small Claims retention from 5 years to 10 years. The motion passed unanimously.

## **6. WSP access to Juvenile Sealed Records with JIS Link Account.**

DDA Happold provided an overview of her memo requested by the Committee at its September 10 meeting. She stated it is AOC's position that RCW 13.50.260(7) does not prevent WSP access to information in sealed juvenile court files in order to satisfy its obligations under RCW 13.50.260(8)(d). Further, Court Rule GR31(f)(3) supports WSP access to court records not publically accessible if the desired records are identified, the proposed use is provided, and the access is governed by a dissemination contract. DDA Happold has not yet approached AOC ISD to discuss creating a new JIS Link profile for this access. A concern will be the amount of resources needed to implement it, if it can be done at all. She will meet with them and find out if there are other options besides a JIS LINK account. Ms. Barbara Miner said County Clerks could give this information now until AOC implements a solution. Ms. Becky Miner said prosecutors are helping and the courts are providing a referral history sheet, but it is a work-around and is cumbersome. Judge Marinella noted the referral could be outlined as a guideline for clerks. Ms. Becky Miner was concerned that not all courts have the same records. It was suggested that the Pattern Forms Committee could add language to a state-wide seal-order form to provide information to the WSP.

A motion was made to provide access to sealed juvenile court files to the WSP via a JIS LINK account or other viable option. The motion was passed unanimously.

Ms. Powell would like to see what goes out to the County Clerks so she can provide that to the Juvenile Court Administrators. Ms. Powell and Ms. Barbara Miner will coordinate. DDA Happold approved the use of her October 23, 2015 memo to be sent to County Clerks and Juvenile Court Administrators. DDA Happold will keep all advised of status by including this topic on the DDC December 4 Meeting agenda. DDA Happold will also set-up a meeting with AOC ISD and will keep WSP's Ms. Miner and Ms. Collinsworth advised.

## **7. Upcoming Requests**

DDA Happold reported both Harvard University Research and Yakima County Clerks have data dissemination requests that cannot wait for the next scheduled meeting for discussion. Judge Wynne will work with DDA Happold directly to schedule discussion.

The meeting adjourned at 8:44 am.

### **3. CCYJ Request**



**BY EMAIL ONLY**

Stephanie Happold  
JIS Data Dissemination Committee (“DDC”)  
Data Dissemination Administrator  
Administrative Office of the Courts  
PO Box 41170  
Olympia, WA 98504-1170  
[stephanie.happold@courts.wa.gov](mailto:stephanie.happold@courts.wa.gov)

October 6, 2015

**RE: Additional JIS LINK access for the Center for Children & Youth Justice account**

Dear Ms. Happold and other members of the DDC,

This letter is to request additional JIS LINK access, including any exemption needed. Specifically, I am requesting our existing account – assigned to the Center for Children & Youth Justice (“CCYJ”) – be changed to one that provides for a DCH (defendant case history) screen that permits me to search true names and AKAs for all courts in Washington.

At CCYJ, I manage a non-profit civil legal aid program, Lawyers Fostering Independence (“LFI”). LFI provides legal counsel and direct representation to 17-24 year olds who have experienced foster, kinship, or group care while growing up. Many of our young people have legal barriers standing in the way of reaching for their future. Juvenile records are a common barrier to housing and employment.

About 30% of LFI’s work is to help its clients seal their juvenile records. So I regularly use the JIS LINK (or “the system”) to begin evaluating whether a young person is eligible to seal or not. Recently, I have run into the issue of not getting a full criminal history for clients having aliases in the system. In one instance, the system returned two municipal cases but caused me to initially overlook 8 juvenile superior court cases tied to the client’s system aliases – I only learned of the other cases because of a municipal docket reference to a superior court case. In short, the JIS LINK access I have right now is hampering my ability to be an effective advocate for our clients.



center for  
**CHILDREN & YOUTH**  
JUSTICE

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A JIS LINK account that has DCH command capability and shows all the cases for any court in Washington tied to true names/AKAs should solve my issue. I hope you will grant CCYJ this access so it can better provide civil legal aid to its LFI clients. Please don't hesitate to let me know if you need additional information.

Sincerely,

Hickory M. Gateless, WSBA #41031  
Managing Attorney, Lawyers Fostering Independence  
206.696.7503, x17  
[hgateless@ccyj.org](mailto:hgateless@ccyj.org)



**December 4, 2015**

**TO:** JISC Data Dissemination Committee  
**FROM:** Stephanie Happold, AOC Data Dissemination Administrator  
**RE:** CCYJ Request for Access to JIS DCH Screen - Recommendation

The Center for Children & Youth Justice (CCYJ) currently has JIS LINK Level 1 Public access to Judicial Information System (JIS) screens. A customer's access level determines which JIS screens are available to that subscriber. The CCYJ is requesting access to the JIS DCH screen and alias information that are not available to Level 1 users. The DCH screen displays the Defendant Case History and lists all the criminal cases in which the subject has been a party.

**The AOC recommendation is to grant CCYJ access to the DCH screen and alias information with a Level 20 JIS LINK Account**

The DCH is a compiled JIS report, meaning it contains information from more than one case and/or court. Because it is a compiled record, it is not available to JIS LINK Level 1 users. Members of the public, many governmental agencies, and most non-profit organizations are given JIS LINK Level 1 Public access. However, the Judicial Information System Committee Data Dissemination Policy (DD Policy) permits "public purpose agencies" to be granted additional access to JIS records beyond that which is permitted the public.<sup>1</sup> A public purpose agency is a governmental agency as defined in RCW 42.17.020<sup>2</sup> and a non-profit organization "whose principal function is to provide services to the public."<sup>3</sup>

The JIS Committee (JISC) authorized the Data Dissemination Committee (DDC) to act on its behalf in reviewing and acting on requests for JIS access by non-court users.<sup>4</sup> The DD Policy sets forth criteria which this Committee may use in deciding the CCYJ request:

- The extent to which access will result in efficiencies in the operation of a court or courts.
- The extent to which access will enable the fulfillment of a legislative mandate.
- The extent to which access will result in efficiencies in other parts of the criminal justice system.
- The risks created by permitting such access.<sup>5</sup>

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<sup>1</sup> DD Policy, Sec. IX.B.

<sup>2</sup> Definition of "agency" in RCW 42.17.020 was later recodified in RCW 42.17A.005(2).

<sup>3</sup> DD Policy, Sec. IX.A.

<sup>4</sup> JISC Bylaws, Article 7, Secs. 1 and 2.

<sup>5</sup> DD Policy, Sec. IX.C.



In reviewing the CCYJ request, the organization qualifies as a “public purpose agency” as it is a non-profit organization whose principal function is providing services to the public. The CCYJ Lawyers Fostering Independence program provides legal counsel to 17-24 year olds who experienced foster, kinship, or group care growing up. According to Mr. Gateless’ letter to the DDC, thirty percent of the program’s work is helping clients seal their juvenile records. Because Level 1 JIS LINK access does not have alias or DCH information, attorneys may not know their client’s full criminal history, and cases can be missed. By providing CCYJ Lawyers Fostering Independence program Level 20 Public Defender access, attorneys will have alias and DCH information that will allow them to be better advocates for their clients.

To ensure the CCYJ will use the Level 20 access for the reasons set forth in Mr. Gateless’ letter, a written agreement between the CCYJ and the AOC would be executed limiting the use of the information solely for those reasons. Also, the agreement would only be with the CCYJ Lawyers Fostering Independence program and would include the requirements described in the JISC Data Dissemination Policy IX.D.<sup>6</sup>

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<sup>6</sup> DD Policy, Sec.IX.D: Access to public purpose agencies shall be governed by an electronic data dissemination contract with each such agency. The contract shall:

1. Specify the data to which access is granted.
2. Specify the uses which the agency may make of the data.
3. Include the agency’s agreement that its employees will access the data only for the uses specified.

**4. NCJJ WESTAT BJS  
Contract Language  
Amendment Request**



**U.S. Department of Justice**

Office of Justice Programs

*Bureau of Justice Statistics*

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*Washington, D.C. 20531*

November 19, 2015

Ms. Stephanie Happold  
JISC Data Dissemination Committee  
C/O Data Dissemination Administrator  
PO Box 41170  
Olympia, WA 98504-1170

Dear Ms. Happold:

I am writing to request that the JISC Data Dissemination Committee (“**the Committee**”) permit a modification to the Data Share Agreement between the State of Washington Administrative Office of the Courts and the Bureau of Justice Statistics (“**BJS**”). The agreement is to provide the terms and conditions under which BJS will receive Washington State court data from the AOC for the Survey of Juveniles Charged in Adult Criminal Court (SJCACC) (“**DSA16225**”).

Specifically, I am requesting modifications to Sections 6 and 14 as described below. Further, based upon our General Counsel’s review, we cannot agree to Section 19.5, also as described below.

A. Regarding Section 6, which reads:

*6. The Researchers further agree that the AOC shall have the right, upon reasonable notice, to monitor, audit, and/or review the activities and policies of the Researchers (or any person or entity granted access to information and/or data under Paragraph 5, above) in order to assure compliance with this Agreement.*

I request a modification of this section that limits the AOC’s monitoring, audit, and other review activities to the data provided by the AOC. This is necessary because BJS will be obtaining data from other States as part of the Survey of Juveniles Convicted in Adult Criminal Court (SJCACC) project, and based upon BJS’s agreements with other States and based on BJS’s standards for assuring the protection of personally-identifiable information in their data, and in order to meet its requirements under law and regulation, BJS cannot provide the AOC with access to the data it receives from other States.

B. Regarding Section 14, which requests AOC review of reports prior to publication and reads:

*14. Researchers will provide the AOC with a copy of any report generated from this research project 60 days prior to publication with the opportunity for the AOC to object*

*to the use of its data in the report; however, any objection must be reasonable and rationally based. If such objection is made the data shall be removed from the report.*

BJS cannot agree to Section 14 of DSA16225, if the objections to the use of AOC data extend to the statistical content of any report that BJS may produce from the data. As a principal Federal Statistical Agency, BJS must abide by principles of credibility and a strong position of independence from political influences on the content of its reports. Credibility requires that BJS produce data with reliable methods and that the findings that obtain from the analysis of the data are not altered or modified in ways that will violate methodological rigor. The position of independence requires that the statistics that BJS chooses to publish are not determined by political influences. A failure on BJS's part to follow these principles would tarnish its reputation as an honest broker and trusted source of statistical information about the operations of criminal justice systems.

However, as part of its efforts to produce credible statistics, BJS welcomes AOC's review of its methods and use of AOC's data in its reports. To that end, BJS can and will provide the Washington AOC with a copy of any report it produces that is based on AOC data prior to publication for the purposes of determining whether BJS accurately represented the AOC data. As BJS's current publication plans provide for generating national estimates of juveniles convicted in adult criminal courts and not state-specific estimates, it would be impossible for AOC to determine whether BJS accurately represented its data when the AOC data were combined with those from other states; however, to assist AOC, BJS would provide it with separate tabulations based on AOC data alone that show how it handled the AOC data in its report. These tabulations will show national totals and separate totals based on AOC data. BJS would welcome any AOC comments on BJS's methodology and the accuracy of its representation of AOC data.

C. Regarding Section 19.5, which reads:

***19.5 GOVERNING LAW:*** *This Agreement shall be governed in all respects by the laws and statutes of the State of Washington. The venue of any action hereunder shall be in the U.S. District Court for the Western District of Washington.*


Section 19.5 of the current agreement is worded in such a way that it would have the Department of Justice agree to be bound "by the laws and statutes of the State of Washington," which is a provision to which we cannot agree. The venue(s) in which the Department of Justice will bring a legal action or defend a legal action are determined by the Department's litigating divisions after a complete examination of the facts and legal issues. As such, the venue cannot be determined by an agreement signed by a federal statistical agency. BJS is required to execute its responsibilities with all applicable federal statutes and regulations, and wherever a conflict might exist between federal laws and the State of Washington, BJS would be legally bound to adhere to the former, thus rendering the section 19.5 agreement null and void.

Thank you for considering these points. If you have questions about them or want to discuss them, please feel free to contact me at 202-514-1062 (or by email at [William.Sabol@usdoj.gov](mailto:William.Sabol@usdoj.gov)),

or you or your staff may also contact Dr. Howard Snyder who is directly responsible for this project by phone or email at 202-616-8305 or [Howard.Snyder@ojp.usdoj.gov](mailto:Howard.Snyder@ojp.usdoj.gov).

I look forward to receiving your decision in this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "W. Sabol", written in a cursive style.

William J. Sabol  
Director

cc: Paula Thompson, Westat  
Melissa Sickmund, NCJJ  
Peter Brien, Office of the General Counsel of the Office of Justice Programs  
Suzanne Strong, BJS  
Howard Snyder, BJS

**STATE OF WASHINGTON  
ADMINISTRATIVE OFFICE OF THE COURTS  
And  
NATIONAL CENTER FOR JUVENILE JUSTICE  
And  
WESTAT  
And  
U.S. DEPARTMENT OF JUSTICE, BUREAU OF JUSTICE STATISTICS  
Data Agreement – AOC # DSA16225**

THIS AGREEMENT is entered into between the Administrative Office of the Courts (AOC), the National Center for Juvenile Justice, which is the Research Division of the National Council of Juvenile and Family Court Judges (NCJJ), Westat, a survey research firm (Westat), and the U.S. Department of Justice, Bureau of Justice Statistics (BJS). NCJJ, Westat, and BJS are also referred to in this Agreement as the Researchers.

**PURPOSE:** The BJS initiated a data collection to examine young offenders processed in criminal courts called the Survey of Juveniles Charged as Adult in Criminal Courts (SJCACC), as further described in Appendix A which is incorporated herein by reference. BJS retained Westat and NCJJ to collect data on the processing of youth as adults in criminal court. This Agreement is to provide the terms and conditions under which the NCJJ, Westat and BJS will receive Washington state court data from the AOC for use in the SJCACC.

**IT IS THEREFORE AGREED AS FOLLOWS:**

1. The AOC has determined that the Researchers' written request clearly specifies the information and/or data sought and the research, evaluative, or statistical purpose for which the information and/or data will be used. The AOC will consent to the Researchers' request for release of a compiled report prepared by the AOC and containing the non-uniform data extracts as described in Appendix A. The parties acknowledge that the terminology used for the data fields being provided may be different than what is specified in Appendix A. The following are some of the different variables, as well as the data that the AOC is unable to provide:
  - a. Arrest information:
    - Date of offense: AOC is providing date of violation.
    - Date of arrest: AOC is unable to provide this information.
  - b. Arraignment information:
    - Reason for dismissal: AOC is unable to provide this information.
    - Type of legal representation: AOC has limited information. It can be deduced from official name and/or participant supplement text fields. It also varies from court to court due to different courts' business processes.
  - c. Sentence information:
    - Sentence to youthful offender facility: AOC is unable to provide this information.
  - d. Legal mechanism for transfer information.
    - There are limitations to what can be provided. The report includes an explanation of what is provided.

## DSA16225

2. AOC will not provide data from any cases or court case records which have been ordered sealed by the court.
3. The Researchers shall securely protect the data by means of physical locks, computer passwords and/or encryption, maintain the information on a password-protected computer, and restrict access to only staff that has a need to know the information.
4. The Researchers shall:
  - 4.1 Use the information and/or data provided only for the research, evaluative or statistical purposes described in Appendix A and for no other purposes;
  - 4.2 Limit access to the information and/or data to those persons necessary to conduct the work described in this Agreement;
  - 4.3 Agree that the name and address of any individual is ancillary to this request for access and that no identifying information will be used in reports or publications prepared in relation to this request;
  - 4.4 Immediately notify the AOC of any material changes in the purposes, scope, or objectives of its proposed research or in the manner in which the information and/or data will be gathered or used;
  - 4.5 Prohibit the disclosure of data in any form which identifies an individual;
  - 4.6 Prohibit the copying or duplication of information or data provided other than for the stated purpose set forth in Appendix A; and
  - 4.7 Agree not to use any of the information and/or data to create a contact list for commercial purposes.
5. In the event the Researchers deem it necessary, for the purposes consistent with this Agreement, to disclose the information and/or data to any other person or entity besides those under Researchers' supervision, the Researchers shall:
  - 5.1 Secure the written agreement of any such person or entity to comply with all terms of this Agreement as if they were the Researchers named herein;
  - 5.2 Submit such written agreement to the AOC with a request for its written consent; and
  - 5.3 Not disclose any of the information and/or data until the AOC has provided such written consent.
6. The Researchers further agree that the AOC shall have the right, upon reasonable notice, to monitor, audit, and/or review the activities and policies of the Researchers (or any person or entity granted access to information and/or data under Paragraph 5, above) in order to assure compliance with this Agreement.
7. The parties agree to protect the confidentiality of the information and data which is accessible under this Agreement and shall adhere to any current or future statutory or administrative rules regulating the right of privacy and confidentiality, which relate to such data. The parties shall exercise due care to protect the data from unauthorized physical and electronic access. Due care includes establishing and maintaining security policies, standards and procedures which detail access security, premise security, and sanctions for unauthorized use or disclosure of data. Each party shall notify the other parties immediately after becoming aware of any unauthorized access, use or disclosure.

8. The Researchers acknowledge that the AOC does not maintain official court records. Official court records are maintained by the courts of record. The AOC:
  - 8.1 Does not warrant that the information provided pursuant to this Agreement is accurate or complete;
  - 8.2 Does not guarantee that information is in its most current form;
  - 8.3 Makes no representations regarding the identity of any person whose name is included in the information provided; and
  - 8.4 Does not assume any liability resulting from the release or use of this information.
9. Researchers acknowledge that the AOC shall not be responsible or liable in any way whatsoever for the validity of any data provided or for the use of information and data provided. Specifically:
  - 9.1 The AOC shall not be liable for any demand or claim, regardless of form of action or venue thereof, for any damages resulting from the use by Researchers or other third parties of any data provided under this Agreement;
  - 9.2 The AOC shall not be liable for any demand or claim, regardless of form of action or venue thereof, for any damages arising from incorrect or incomplete data provided under this Agreement; and
  - 9.3 The AOC shall not be liable to Researchers or any other party for any loss, including revenue, profits, time, goodwill, computer time, destruction, damage or loss of data, or any other indirect, special or consequential damage which may arise from the use, operation, or modification of data provided under this Agreement.
10. The AOC or any of the Researchers may terminate this Agreement without cause by providing written notice of such termination to the other party. Said notice shall specify the effective date of termination which must be at least thirty (30) calendar days subsequent to the date such notice was provided. If one Researcher wishes to terminate its involvement with this Agreement, the other parties will amend the Agreement removing that party's information. The terminated Researcher shall return all information and/or data to the AOC including all originals, copies, extracts, or other forms and/or formats. If the Agreement is terminated by all parties, all Researchers shall return all information and/or data to the AOC including all originals, copies, extracts, or other forms and/or formats. Paragraph 12 and all confidentiality provisions contained in this Agreement will survive upon any termination described in this paragraph.
11. In the event that one or all of the Researchers fails to comply with any term of this Agreement, the AOC shall have the right to terminate this Agreement and to pursue any legal remedies and actions it deems appropriate. Additionally, if any Researcher violates any of the confidentiality provisions of this Agreement, the AOC will no longer provide JIS data for future requests by that Researcher. If the AOC terminates this Agreement, the Researchers (or any person or entity granted access to the information and/or data) shall return all information and/or data to the AOC including all originals, copies, extracts, or other forms and/or formats. Paragraph 12 and all confidentiality provisions contained in this Agreement will survive upon termination of this Agreement.
12. As allowed by law, each Researcher shall defend, protect, and hold harmless the AOC and any of its employees, and the Courts and any of their employees, from any claims, damages, or other liability arising as a result of disclosure, inadvertent or otherwise, by that



Researcher of any information received pursuant to this Agreement or for acts of that Researcher which are libelous or slanderous or violate a right of confidentiality.

13. This agreement may be executed in any number of counterparts, each of which when executed and delivered shall constitute an original of this agreement, but all the counterparts shall together constitute the same agreement. No counterpart shall be effective until each party has executed at least one counterpart.
14. Researchers will provide the AOC with a copy of any report generated from this research project 60 days prior to publication with the opportunity for the AOC to object to the use of its data in the report; however, any objection must be reasonable and rationally based. If such objection is made the data shall be removed from the report.
15. The effective date of this agreement is the date of last signature. This Agreement will terminate one year from the effective date.
16. There is no compensation associated with this Agreement.
17. The data will be transmitted by the AOC to the Researchers by a method determined by the parties.
18. The signatories to this contract represent that they have the authority to bind their respective organizations to the contract.

**19. GENERAL TERMS AND CONDITIONS:**

- 19.1 **ALTERATIONS AND AMENDMENTS:** This Agreement may be amended by a written agreement between the parties.
- 19.2 **ASSIGNMENT:** The Researchers may not transfer or assign:
  - (i) this Agreement or any portion thereof;
  - (ii) any right or benefit accruing to the Researchers under this Agreement; nor
  - (iii) any claim arising under this Agreement.
- 19.3 **DISPUTES:** Except as otherwise provided in this Agreement, when a bona fide dispute concerning a question of fact arises between the AOC and any of the Researchers, and it cannot be resolved, parties may take the dispute to the Judicial Information System Data Dissemination Subcommittee. The initiating party shall reduce its description of the dispute to writing and deliver it to the others. The other parties shall write a response, and the matter shall be scheduled to be heard by the Data Dissemination Subcommittee. All parties agree to exercise good faith in dispute resolution and to avoid litigation whenever possible; however, this does not limit any party from pursuing resolution of any dispute through a court of competent jurisdiction.
- 19.4 **ENTIRE AGREEMENT:** This Agreement sets forth the entire agreement between the parties with respect to the subject matter hereof and supersedes all previous discussions and agreements. Understandings, representations, or warranties not contained in this Agreement or a written amendment hereto shall not be binding on any party.
- 19.5 **GOVERNING LAW:** This Agreement shall be governed in all respects by the laws and statutes of the State of Washington. The venue of any action hereunder shall be in the U.S. District Court for the Western District of Washington.

- 19.6 **HEADINGS:** The headings and table of contents used herein are for reference and convenience only and shall not enter into the interpretation hereof unless otherwise specified herein. In the interpretation of this Agreement, the terms and conditions shall be construed to be complementary.
- 19.7 **CONFLICTS OF AUTHORITY:** If any provision of this Agreement shall be deemed in conflict with any statute or rule of law, such provision shall be deemed modified to conform to said statute or rule of law.
- 19.8 **INDEPENDENT STATUS OF PARTIES:** Except as described in Appendix A, the parties to this Agreement will be acting in their individual capacities and not as agents, employees, partners, joint venturers, or associates of one another. The employees or agents of one party shall not be considered or construed to be the employees or agents of another party for any purpose whatsoever.
- 19.9 **NON-EXCLUSIVITY:** This Agreement is non-exclusive. During the term of this Agreement, the AOC reserves the right to enter into agreements with other parties as it deems fit. Nothing contained in this Agreement shall be construed to limit in any way the AOC's right to enter a like or similar agreement or grant a like or similar license to any other entity or party on such terms as the AOC may in its sole discretion deem appropriate.
- 19.10 **NOTICES:** Any notice required or permitted to be given under this Agreement shall be effective if and only if it is in writing. Notice must be given by personal delivery or sent by United States certified mailing to the following:

**AOC:** Data Dissemination Administrator, Administrative Office of the Courts, 1206 Quince Street SE, PO Box 41170, Olympia, WA 98504-1170.

**NCJJ:** \_\_\_\_\_  
\_\_\_\_\_

**WESTAT:** \_\_\_\_\_  
\_\_\_\_\_

**BJS:** \_\_\_\_\_  
\_\_\_\_\_

- 19.11 **SEVERABILITY:** If any term or condition of this Agreement or the application thereof to any person(s) or circumstances is held invalid, such invalidity shall not affect other terms, conditions, or applications which can be given effect without the invalid term, condition, or application; to this end the terms and conditions of this Agreement are declared severable.
- 19.12 **SUBCONTRACTING:** The Researchers shall not enter into subcontracts relating to this Agreement without obtaining prior written approval from the AOC.

**19.13 WAIVER:** No term or condition of this Agreement shall be held to be waived, modified, or deleted, and no breach excused, except by a written instrument signed by the parties hereto. Waiver of any breach of any term or condition of this Agreement shall not be deemed a waiver of any prior or subsequent breach.

IN WITNESS WHEREOF the parties have signed their names hereto.

**STATE OF WASHINGTON  
ADMINISTRATIVE OFFICE OF THE  
COURTS**

**NATIONAL CENTER FOR JUVENILE  
JUSTICE**

By: \_\_\_\_\_

By: \_\_\_\_\_

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Title

\_\_\_\_\_  
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BUREAU OF JUSTICE STATISTICS**

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## **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**

April 2015

Prepared by:  
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:

- 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.

### 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)
- 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.

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.

## 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.

### 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?

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- 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)
- 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 web site 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.

## **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](mailto: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

**Melissa Sickmund, Ph.D.**

SJCACC, Project Director

National Center for Juvenile Justice (NCJJ)

3700 South Water Street, Suite 200

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.

<b>Data Element Groups Containing Variables</b>		
	<i>Data Element Group Name</i>	<i>Data Element Group Label</i>
	DEG1	Defendant information
	DEG2	Legal mechanism for transfer information
	DEG3	Arrest/Case information
	DEG4	Arraignment information
	DEG5	Adjudication outcome information
	DEG6	Sentencing information
<b>DEG1</b>	<b>Defendant information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		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
<b>DEG2</b>	<b>Legal mechanism for transfer information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		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	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		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
		2 <sup>nd</sup> most serious - Type of offense
		2 <sup>nd</sup> most serious - Type of offense - other specify
		2 <sup>nd</sup> most serious - Type of charge (felony/misd./other)
		2 <sup>nd</sup> most serious - Type of charge (felony/misd./other) - other specify
		2 <sup>nd</sup> most serious - Statute Number
		3 <sup>rd</sup> most serious - Type of offense
		3 <sup>rd</sup> most serious - Type of offense - other specify
		3 <sup>rd</sup> most serious - Type of charge (felony/misd./other)
		3 <sup>rd</sup> most serious - Type of charge (felony/misd./other) - other specify
		3 <sup>rd</sup> most serious - Statute Number
		4 <sup>th</sup> most serious - Type of offense
		4 <sup>th</sup> most serious - Type of offense - other specify
		4 <sup>th</sup> most serious - Type of charge (felony/misd./other)
		4 <sup>th</sup> most serious - Type of charge (felony/misd./other) - other specify
		4 <sup>th</sup> most serious - Statute Number
		5 <sup>th</sup> most serious - Type of offense
		5 <sup>th</sup> most serious - Type of offense - other specify
		5 <sup>th</sup> most serious - Type of charge (felony/misd./other)
		5 <sup>th</sup> most serious - Type of charge (felony/misd./other) - other specify
		5 <sup>th</sup> most serious - Statute Number
DEG4	Arraignment information	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		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
		2 <sup>nd</sup> most serious - Type of offense
		2 <sup>nd</sup> most serious - Type of offense - other specify
		2 <sup>nd</sup> most serious - Type of charge (felony/misd./other)
		2 <sup>nd</sup> most serious - Type of charge (felony/misd./other) - other specify

<b>DEG4 (cont'd)</b>	<b>Arrest information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		2 <sup>nd</sup> most serious - Statute Number
		3 <sup>rd</sup> most serious - Type of offense
		3 <sup>rd</sup> most serious - Type of offense - other specify
		3 <sup>rd</sup> most serious - Type of charge (felony/misd./other)
		3 <sup>rd</sup> most serious - Type of charge (felony/misd./other) - other specify
		3 <sup>rd</sup> most serious - Statute Number
		4 <sup>th</sup> most serious - Type of offense
		4 <sup>th</sup> most serious - Type of offense - other specify
		4 <sup>th</sup> most serious - Type of charge (felony/misd./other)
		4 <sup>th</sup> most serious - Type of charge (felony/misd./other) - other specify
		4 <sup>th</sup> most serious - Statute Number
		5 <sup>th</sup> most serious - Type of offense
		5 <sup>th</sup> most serious - Type of offense - other specify
		5 <sup>th</sup> most serious - Type of charge (felony/misd./other)
		5 <sup>th</sup> most serious - Type of charge (felony/misd./other) - other specify
		5 <sup>th</sup> most serious - Statute Number
<b>DEG5</b>	<b>Adjudication outcome information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		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
		2 <sup>nd</sup> most serious - Type of offense
		2 <sup>nd</sup> most serious - Type of offense - other specify
		2 <sup>nd</sup> most serious - Type of charge (felony/misd./other)
		2 <sup>nd</sup> most serious - Type of charge (felony/misd./other) - other specify
		2 <sup>nd</sup> most serious - Statute Number
		2 <sup>nd</sup> most serious - Adjudication outcome
		2 <sup>nd</sup> most serious - Type of conviction
		2 <sup>nd</sup> most serious - Type of non-conviction
		3 <sup>rd</sup> most serious - Type of offense
		3 <sup>rd</sup> most serious - Type of offense - other specify
		3 <sup>rd</sup> most serious - Type of charge (felony/misd./other)
		3 <sup>rd</sup> most serious - Type of charge (felony/misd./other) - other specify
		3 <sup>rd</sup> most serious - Statute Number
		3 <sup>rd</sup> most serious - Adjudication outcome
		3 <sup>rd</sup> most serious - Type of conviction
		3 <sup>rd</sup> most serious - Type of non-conviction

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

DEG6	Sentencing information	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		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
Where DOB is provide one of the following:		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.
		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	
			MM/DD/YYYY	
		Date of arrest	MM/DD/YYYY	
			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		

Arrest information	Column	Description	Values	Notes
(cont.)		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	
		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				

Arrest 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 2= Non-conviction 3= Other (specify) -8= Don't know	Guilty pleas should be coded as 1=Conviction
		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 2= Dismissal for want of prosecution 3= Sent to juvenile court for processing 4= Deferred prosecution 5= Other -8= Don't know	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

			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 granted 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).
<b>Sentencing information (cont'd)</b>	<b>Column</b>	<b>Description</b>	<b>Values</b>	<b>Notes</b>	
		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)

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## 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](mailto: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.

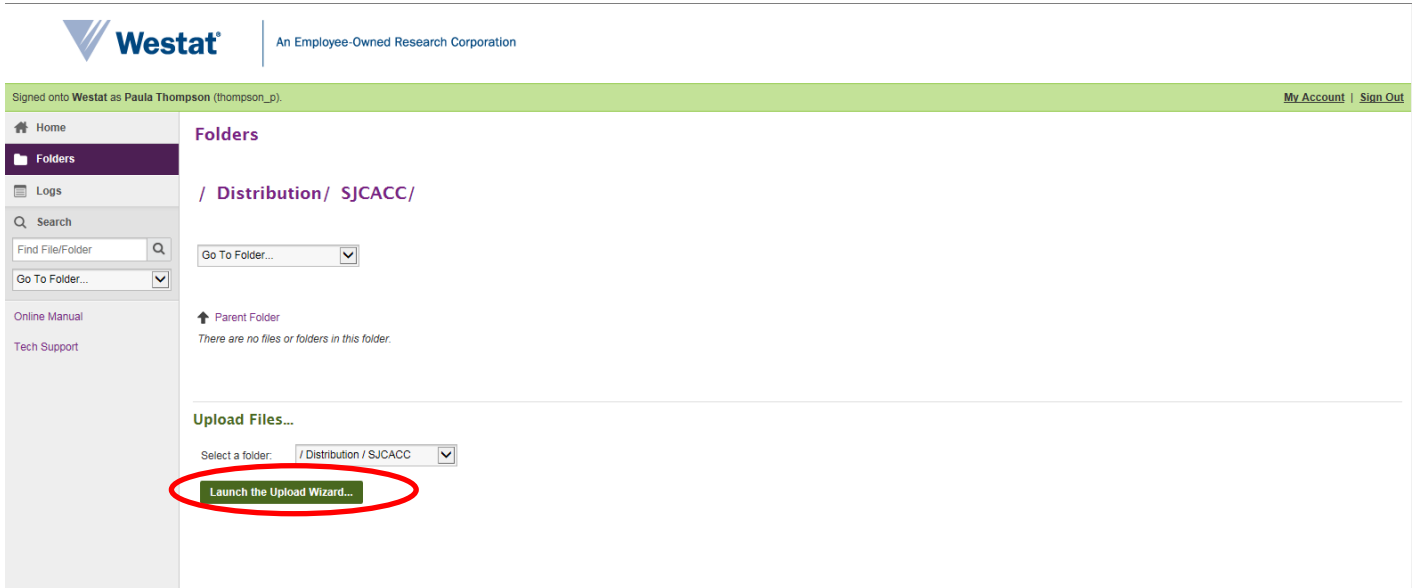
Please note that you cannot use apostrophes or quotation marks.

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

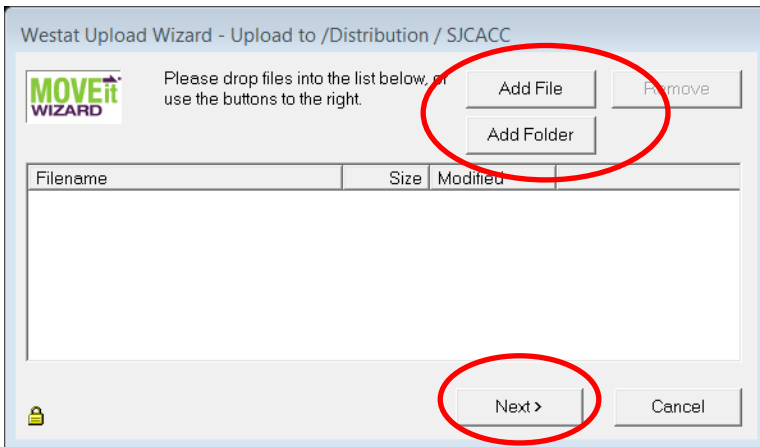


The following instructions describe the steps to upload your survey data using Westat's secure File Transfer Protocol program. The process allows you to 1) add one or more individual files or as an entire folder; 2) upload the files individually or as a zip file; and 3) rename the files and add a note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

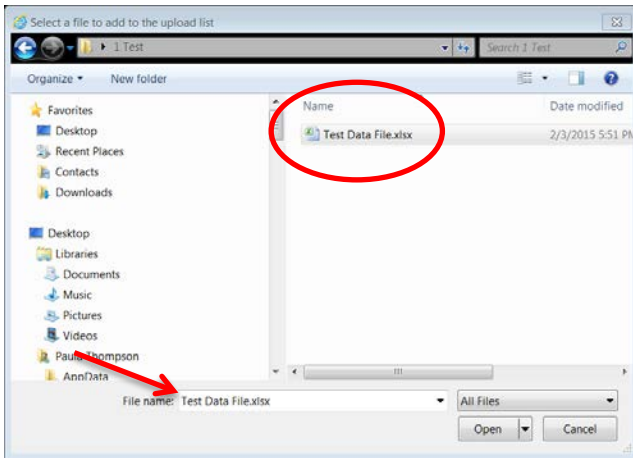
1. After accessing the site, click on the **Launch the Upload Wizard** button to start the transfer process. Follow the instructions to browse, select, and securely transfer your file.



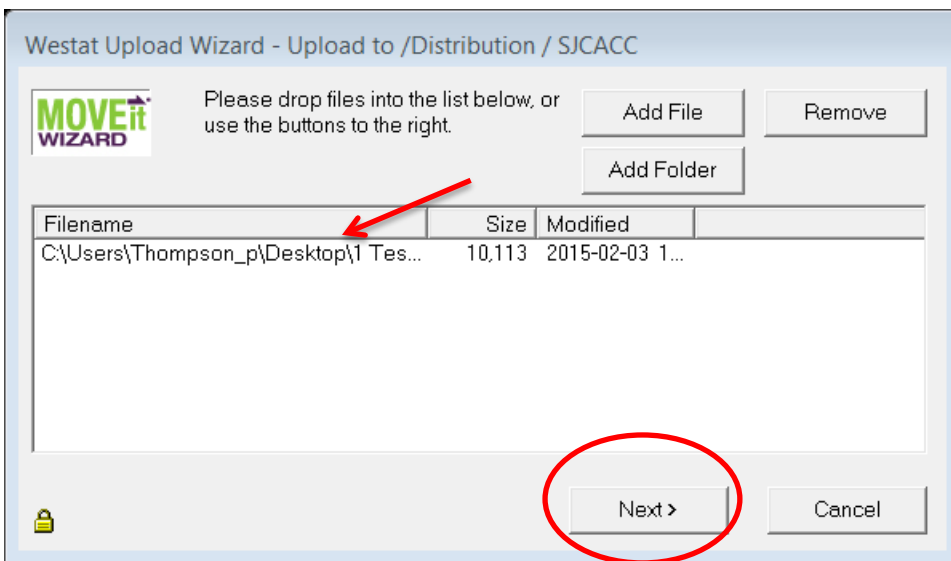
2. The window below will appear. Select **Add File** or **Add Folder** to navigate to the location of your data files and click the **Next** button.



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.



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.

Westat Upload Wizard - Upload to /Distribution / SJCACC

**MOVEit WIZARD**

a Choose Upload Options

Upload files individually  
 Upload all files as one .zip

b Notes: My State's Data

c  Prompt for "Upload As" names and notes  
d  Close Wizard when done

< Back    **Next >**    Cancel

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.

Enter upload information

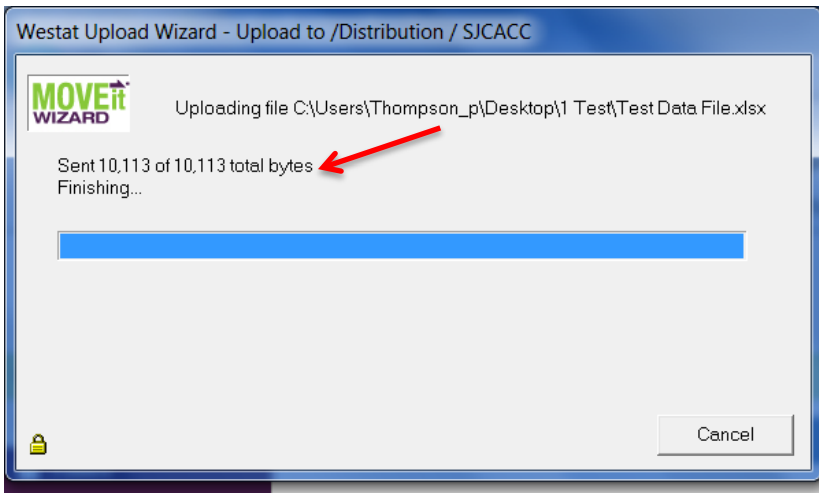
Enter the upload information for C:\Users\Thompson\_p\Desktop\1 Test\Test Data File.xlsx

Upload as file: Test Data File.xlsx

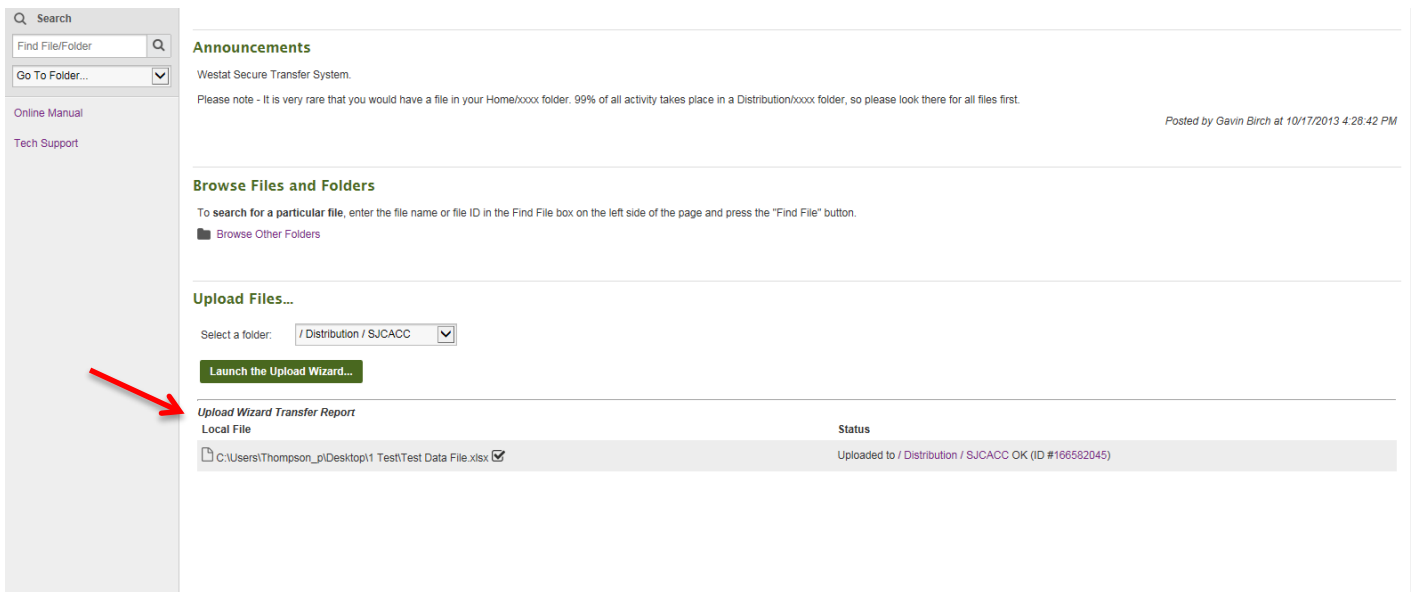
Notes: My State's Data

OK    Cancel

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

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## 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 (NJR) and State Court Processing Statistics (SCPS). BJS's courts collections standardize data on crime type, case processing, and sentencing across jurisdictions. The NJR, 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.

## For more information contact:

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