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# **Attachment 1: OMB Clearance for SJCACC data collection**

# NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 11/04/2014

Department of Justice  
Office of Justice Programs

FOR CERTIFYING OFFICIAL: Joseph Klimavicz

FOR CLEARANCE OFFICER: Lynn Murray

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 08/07/2014

ACTION REQUESTED: New collection (Request for a new OMB Control Number)

TYPE OF REVIEW REQUESTED: Regular

ICR REFERENCE NUMBER: 201408-1121-002

AGENCY ICR TRACKING NUMBER: BJS

TITLE: 2014 Survey of Juveniles Charged in Adult Criminal Court (SJCACC)

LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved with change

OMB CONTROL NUMBER: 1121-0349

The agency is required to display the OMB Control Number and inform respondents of its legal significance in accordance with 5 CFR 1320.5(b).

EXPIRATION DATE: 11/30/2017

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	0	0	0
New	77	2,571	0
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	77	2,571	0
Change due to Agency Adjustment	0	0	0
Change due to PRA Violation	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official: Dominic J. Mancini  
Acting Deputy Administrator,  
Office Of Information And Regulatory Affairs

## List of ICs

IC Title	Form No.	Form Name	CFR Citation
2014 Survey of Juveniles Charged in Adult Criminal Court	N/A	Survey of Juveniles Charged in Adult Criminal Court	

## **Attachment 2: SJCACC Hardcopy Survey Guide**

# **Survey of Juveniles Charged as Adults in Criminal Courts (SJCACC): 2013**

**United States Department of Justice  
Bureau of Justice Statistics**

**Hardcopy Survey Guide**

June 2014

Prepared by:  
Westat / National Center for Juvenile Justice

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# **Survey of Juveniles Charged as Adult in Criminal Courts: 2013 (SJCACC)**

## **Hardcopy Survey 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. The SJCACC sample will be drawn from all felony and misdemeanor cases disposed in criminal courts in 2013 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 purpose of this guide is to explain documenting cases using a hardcopy survey when a statewide electronic data system is not available with this information.

### **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 not contain information that can reasonably be expected to be identifiable to a private person. The final data 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. The data will be archived and not publicly available.

Westat staff will store data on the secure server computer, unconnected to any computer outside the office of NCJJ. Access to the data will be limited to those employees working on the collection. Consistent with its mission, BJS is authorized to collect these data and will use them solely for research and statistical purposes only as described in Title 42, U.S.C. §3735 and §3789g (enclosed).

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 understand the processing of youth charged as adults, we are willing to discuss and adhere to any data transfer agreement you may have.

### **Which cases should be included?**

At the start of data collection your jurisdiction provided a list of all eligible cases (i.e., those involving youth under age 18 during 2013) from which Westat statisticians drew a sample. The selected cases are listed in your cover letter included with the survey. If any of the selected case is not a felony or misdemeanor offense, such as a minor violation of the law or civil infraction punishable only by a fine (e.g., a summary traffic infractions, wild life/fish and game), do not include the case in your survey. If a case includes non-criminal offenses in addition to misdemeanor or felony offenses, it is eligible, but you should not report the non-criminal offense in the survey.



## Unit of Count

Report information for each case at the charge-level, where more than one charge may be filed against a single defendant. A "charge" (or "count") represents a formal allegation that a person committed a specific crime. A youth charged with four burglaries submitted in one allegation would contribute four charges in the survey. A youth arrested for three burglaries and arrested again the following week on another burglary charge would also contribute four separate charges.

Charges (felony and misdemeanor) of interest are for cases disposed in 2013 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).

## Relevant Data Elements

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;
- offense type (e.g., felony or misdemeanor)
- offender demographics (e.g., gender, date of birth, race/ethnicity);
- legal mechanism employed to process the matter in criminal court.
- arrest charge(s);
- arraignment charge(s);
- adjudication information;
- sentencing; and
- type of facility where defendant is being held.

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

## How do I contact you?

For questions about completing your SJCACC Survey

### SJCACC Help Desk

Toll Free: XXX-XXX-XXXX

Email: [XXXXXX@Westat.com](mailto:XXXXXX@Westat.com)

Fax: XXX-XXX-XXXX

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 survey will attempt to minimally capture those groups that the federal Office of Management and Budget (OMB) specifies as necessary for data collection, e.g., 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 in which court to file. 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: Data Elements Layout

<b>2013 Survey of Juveniles Charged as Adults in Criminal Courts (SJCACC)</b>		
<u>Universe:</u> Any case disposed in criminal court in 2013 involving a defendant who was younger than the age of 18 at the time of the crime.		
<u>Unit of count:</u> Charge-level, all charges associated with a criminal event and their outcomes in terms of dispositions and sentences that are linked to those charges.		
<b>Data Element Groups Containing Variables</b>		
	<i>Data Element Group Name</i>	<i>Data Element Group Label</i>
	DEG1	Defendant information
	DEG2	Arrest/Case information
	DEG3	Arraignment information
	DEG4	Adjudication outcome information
	DEG5	Sentencing information
	DEG6	Prior criminal history information
	DEG7	Legal mechanism for transfer 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
		Date of birth
		Sex
		Race
		Hispanic origin
		Case ID#
		Defendant ID#
		Fingerprint ID#
<b>DEG6</b>	<b>Legal mechanism for transfer information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		Through juvenile court (waiver)
		Filed directly in criminal court
		Direct file type
		Defined as adult ("lower upper age" of juvenile court jurisdiction)

<b>DEG3</b>	<b>Arrest/Case information</b>	
	<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 arrest charge statute number
		Most serious arrest charge offense description
		Is most serious arrest charge an attempt?
		Is most serious charge felony or misdemeanor?
		Most serious arrest charge level/grade
		2nd most serious arrest charge statute number
		2nd most serious arrest charge offense description
		Is 2nd most serious arrest charge an attempt?
		Is 2nd most serious charge felony or misdemeanor?
		2nd most serious arrest charge level/grade
<b>DEG4</b>	<b>Arraignment information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		Number of charges at arraignment
		Most serious arraignment charge statute number
		Most serious arraignment charge offense description
		Is most serious arraignment charge an attempt?
		Is most serious charge felony or misdemeanor?
		Most serious arraignment charge level/grade
		2nd most serious arraignment charge statute number
		2nd most serious arraignment charge offense description
		Is 2nd most serious arraignment charge an attempt?
		Is 2nd most serious charge felony or misdemeanor?
		2nd most serious arraignment charge level/grade
		Legal representation for arraignment
<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
		Type of adjudication
		General conviction category
		General non conviction category
		Was alternative/special assignment made?
		Type of alternative adjudication proceeding
		Was alternative/special assignment completed?
		Number of charges at adjudication
		Most serious adjudication charge statute number
		Most serious adjudication charge offense description
		Is most serious adjudication charge an attempt?
		Is most serious charge felony or misdemeanor?
		Most serious adjudication charge level/grade
		Legal representation for adjudication



DEG6	Sentencing information	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		Date of sentence
		Incarceration Sentence
		Incarceration Type
		Probation Sentence
		# Probation Months
		Jail Sentence
		# Jail Months
		Jail Suspended- Months
		Prison Sentence
		# Prison Months- Maximum
		Prison Suspended- Months
		Fine imposed
		Fine dollar amount
		Restitution required
		Restitution dollar amount
		Treatment/counseling
		Blended sentencing (juvenile)

**Attachment 3: SJCACC Electronic Data Extraction Guide**

# **Survey of Juveniles Charged as Adults in Criminal Courts (SJCACC): 2013**

**United States Department of Justice  
Bureau of Justice Statistics**

**Electronic Data Extraction Guide**

June 2014

Prepared by:  
Westat / National Center for Juvenile Justice

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# **Survey of Juveniles Charged as Adult in Criminal Courts: 2013 (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. The SJCACC sample will be drawn from all felony and misdemeanor cases disposed in criminal courts in 2013 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 not contain information that can reasonably be expected to be identifiable to a private person. The final data 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. The data will be archived and not publicly available.

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 working on the collection. Consistent with its mission, BJS is authorized to collect these data and will use them solely for research and statistical purposes only as described in Title 42, U.S.C. §3735 and §3789g (enclosed).

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 a record for each charge against a defendant that was disposed, meaning that some records may have information duplicated (i.e., case and defendant identifiers, demographic information).

We will provide an Excel workbook containing the data element layout with suggested coding classification options and value labels. You can save a copy locally to enter information directly or simply use it as a guide.

### What unit of count do I use?

Jurisdictions choosing to submit a uniform data extract should structure their data at the charge-level, where more than one charge may be filed against a single defendant. A "charge" (or "count") represents a formal allegation that a person committed a specific crime. A youth charged with four burglaries submitted in one allegation would contribute four records in the data extract. A youth arrested for three burglaries and arrested again

the following week on another burglary charge would also contribute four separate records.

Charges (felony and misdemeanor) of interest are those disposed in 2013 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 case filed in criminal court in 2013 involving a defendant who was younger than the age of 18 at the time of the crime.

### **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 case filed in criminal court in 2013 involving a defendant who was younger than the age of 18 at the time of the crime.

### **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?**

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.

## 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?

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?

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 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: XXX-XXX-XXXX

Email: [XXXXXX@Westat.com](mailto:XXXXXX@Westat.com)

Fax: XXX-XXX-XXXX

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

### 2013 Survey of Juveniles Charged as Adults in Criminal Courts (SJCACC)

Universe: Any case disposed in criminal court in 2013 involving a defendant who was younger than the age of 18 at the time of the crime.

Unit of count: Charge-level, all charges associated with a criminal event and their outcomes in terms of dispositions and sentences are that are linked to those charges.

<b>Data Element Groups Containing Variables</b>	
<i>Data Element Group Name</i>	<i>Data Element Group Label</i>
DEG1	Defendant information
DEG2	Arrest/Case information
DEG3	Arraignment information
DEG4	Adjudication outcome information
DEG5	Sentencing information
DEG6	Prior criminal history information
DEG7	Legal mechanism for transfer 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
	Date of birth
	Sex
	Race
	Hispanic origin
	Case ID#
	Defendant ID#
	Fingerprint ID#
<b>DEG6</b>	<b>Legal mechanism for transfer information</b>
	<i>Variables within this Data Element Group</i>
	<i>Variable</i>
	<i>Variable Label</i>
	Through juvenile court (waiver)
	Filed directly in criminal court
	Direct file type
	Defined as adult ("lower upper age" of juvenile court jurisdiction)

<b>DEG3</b>	<b>Arrest/Case information</b>	
	<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 arrest charge statute number
		Most serious arrest charge offense description
		Is most serious arrest charge an attempt?
		Is most serious charge felony or misdemeanor?
		Most serious arrest charge level/grade
		2nd most serious arrest charge statute number
		2nd most serious arrest charge offense description
		Is 2nd most serious arrest charge an attempt?
		Is 2nd most serious charge felony or misdemeanor?
		2nd most serious arrest charge level/grade
<b>DEG4</b>	<b>Arraignment information</b>	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		Number of charges at arraignment
		Most serious arraignment charge statute number
		Most serious arraignment charge offense description
		Is most serious arraignment charge an attempt?
		Is most serious charge felony or misdemeanor?
		Most serious arraignment charge level/grade
		2nd most serious arraignment charge statute number
		2nd most serious arraignment charge offense description
		Is 2nd most serious arraignment charge an attempt?
		Is 2nd most serious charge felony or misdemeanor?
		2nd most serious arraignment charge level/grade
		Legal representation for arraignment
<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
		Type of adjudication
		General conviction category
		General non conviction category
		Was alternative/special assignment made?
		Type of alternative adjudication proceeding
		Was alternative/special assignment completed?
		Number of charges at adjudication
		Most serious adjudication charge statute number
		Most serious adjudication charge offense description
		Is most serious adjudication charge an attempt?
		Is most serious charge felony or misdemeanor?
		Most serious adjudication charge level/grade
		Legal representation for adjudication

DEG6	Sentencing information	
	<i>Variables within this Data Element Group</i>	
	<i>Variable</i>	<i>Variable Label</i>
		Date of sentence
		Incarceration Sentence
		Incarceration Type
		Probation Sentence
		# Probation Months
		Jail Sentence
		# Jail Months
		Jail Suspended- Months
		Prison Sentence
		# Prison Months- Maximum
		Prison Suspended- Months
		Fine imposed
		Fine dollar amount
		Restitution required
		Restitution dollar amount
		Treatment/counseling
		Blended sentencing (juvenile)

## Appendix D: Uniform Extract Suggested Coding

DATA ELEMENT GROUPS					
* unit of count is at the charge-level, please complete the record for each charge on a given case					
Defendant information	Column	Description	Values	Notes	
		State			
		County			
		Case ID#			Unique ID assigned to individual cases by the Court.
		Defendant ID#			Unique ID assigned to the defendant by the Court.
		Fingerprint ID# (sometimes referred to as FBI number)			Alternative defendant ID—unique to the defendant's fingerprint.
		Date of birth		MM/DD/YYYY	
Where DOB is not available, provide one of the following:		Age at offense	0 = Missing or suspect		
			10-99 = good ages		
		Age at arrest	0 = Missing or suspect		
			10-99 = good ages		
		Age at arraignment	0 = Missing or suspect		
			10-99 = good ages		
		Age at conviction	0 = Missing or suspect		
			10-99 = good ages		
		Sex	1 = Male		
			2 = Female		
			9 = Unknown/Missing		
		Ethnicity	1 = Not Hispanic or Latino		
			2 = Hispanic or Latino		
			9 = Unknown/Missing		
		Race	1 = American Indian or Alaska Native		
			2 = Asian/Pacific Islander		
			3 = Black/African American		
			3 = Native Hawaiian or Other Pacific Islander		
			4 = White		
			5 = Other		
			9 = Unknown or missing		



Legal mechanism for transfer information	Column	Description	Values	Notes
		Legal mechanism for transfer identified?	0 = No 1 = Yes	Can this agency provide information regarding the legal mechanism that allows this youth under age 18 to be tried in criminal court?
		Legal mechanism type	1= Through juvenile court (waiver) 2= Filed directly in criminal court 3= Defined as adult	Ruling by a judge to transfer jurisdiction over a youth from juvenile court to criminal court. ("lower upper age" of juvenile court jurisdiction)
		Direct file sub-category	1= Statutory exclusion 2= Concurrent jurisdiction 3= Once an adult/always an adult	Case met statutory criteria (age and offense) that exclude it from juvenile court. Case met statutory criteria (age and offense) that allow prosecutors to file in either juvenile or criminal court. Case me 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.
	Arrest/Case information	Column	Description	Values
		Date of offense	MM/DD/YYYY	
		Date of arrest	MM/DD/YYYY	
		Number of charges at arrest	0 = Unknown or missing 1-999 = valid number of charges	
		Type of charge 1 (Felony/Misdemeanor)	1= Felony 2= Misdemeanor 9= Unknown or missing	



Arrest/Case information	Column	Description	Values	Notes
(cont.)		General offense subcategory	1= Criminal homicide	
			2= Violent sexual assault	
			3= Robbery	
			4= Simple assault	
			5= Aggravated assault	
			6= other person offense	
			7= Burglary	
			8= Larceny/theft	
			9= Motor vehicle theft	
			10= Arson	
			11= Vandalism	
			12= Stolen property	
			13= Trespassing	
			14= Forgery	
			15= Fraud	
			16= Other property offense	
			17= Trafficking/manufacturing	
			18= Possession/use	
			19= Other drug law offense	
			20= Weapon offense	
			21= Sex offense (non-violent)	
			22= Liquor law, not status	
			23= Disorderly conduct	
			24= Obstruction of justice	
			25= Driving-related offense	
			26= Other public order offense	
		Statute Number	text field	
	Level/Grade	text field	(E.g., Felony 1, Misdemeanor 1, Class C offense).	
	Specific offense description	text field		

Arrest information	Column	Description	Values	Notes
		Date of arraignment	MM/DD/YYYY	
		Legal representation for arraignment	1= Public defender 2= Private attorney 3= Assigned/contracted attorney 4= Pro se 5= Other 9= Unknown or missing	waived right to an attorney
		Number of charges at arraignment	0 = Unknown or missing 1-999 = valid number of charges	
		Type of charge 1 (Felony/Misdemeanor)	1= Felony 2= Misdemeanor 9= Unknown or missing	
		General offense subcategory	1= Criminal homicide 2= Violent sexual assault 3= Robbery 4= Simple assault 5= Aggravated assault 6= other person offense 7= Burglary 8= Larceny/theft 9= Motor vehicle theft 10= Arson 11= Vandalism 12= Stolen property 13= Trespassing 14= Forgery 15= Fraud 16= Other property offense 17= Trafficking/manufacturing 18= Possession/use 19= Other drug law offense 20= Weapon offense 21= Sex offense (non-violent) 22= Liquor law, not status 23= Disorderly conduct 24= Obstruction of justice	

Arrest information (cont'd)	Column	Description	Values	Notes
			25= Driving-related offense	
			26= Other public order offense	
		Statute Number	text field	
		Level/Grade	text field	(E.g., Felony 1, Misdemeanor 1, Class C offense)
		Specific offense description	text field	
Adjudication/ Conviction information	Column	Description	Values	Notes
		Date of final adjudication	MM/DD/YYYY	
		Legal representation for adjudication	1= Public defender 2= Private attorney 3= Assigned/contracted attorney 4= Pro se 5= Other 9= Unknown or missing	waived right to an attorney
		Number of charges at adjudication	0 = Unknown or missing 1-999 = valid number of charges	
		Type of charge 1 (Felony/Misdemeanor)	1= Felony 2= Misdemeanor 9= Unknown or missing	
		General offense subcategory	1= Criminal homicide 2= Violent sexual assault 3= Robbery 4= Simple assault 5= Aggravated assault 6= other person offense 7= Burglary 8= Larceny/theft 9= Motor vehicle theft 10= Arson 11= Vandalism 12= Stolen property 13= Trespassing 14= Forgery 15= Fraud 16= Other property offense 17= Trafficking/manufacturing	

Adjudication/ Conviction information (cont.)	Column	Description	Values	Notes	
			18= Possession/use		
			19= Other drug law offense		
			20= Weapon offense		
			21= Sex offense (non-violent)		
			22= Liquor law, not status		
			23= Disorderly conduct		
			24= Obstruction of justice		
			25= Driving-related offense		
			26= Other public order offense		
		Statute Number	text field		
	Level/Grade	text field	(E.g., Felony 1, Misdemeanor 1, Class C offense)		
	Specific offense description	text field			
		Outcome of adjudication for charge 1	1= Conviction		
			2= Nonconviction		
			3= Other		
			4= Pending		
			9= Unknown or missing		
		Type of conviction		1= Nolo contendere	No contest
				2= Bench trial	
				3= Jury trial	
		Type of nonconviction		1= Dismissal/Nolle prosequi	
				2= Dismissal for want of prosecution	
3= Bench trial					
4= Jury trial					
Sentencing information	Column	Description	Values	Notes	
		Date of sentence	MM/DD/YYYY		
		Type of sentence imposed	1= Incarceration		
			2= Probation		
			3= Treatment/Counseling		
			4= Fine		
			5= Restitution		
			6= Other		

Sentencing information	Column	Description	Values	Notes
(cont.)		Type of incarceration imposed (Adult facility)	1= Prison	A facility in adult jails that holds juveniles whose jurisdiction in juvenile court extends beyond the age of 18.
			2= Youthful offender facility	
			3= Jail	
		Type of juvenile correctional facility	1= Blended sentencing	
			2= Juvenile facility only	
		Life or LWOP sentence	0 = No	
			1 = Yes	
		Length of prison sentence imposed	No. of months	
		Length of prison sentence suspended	No. of months	
		Length of prison sentence time-served	No. of months	
		Length of youthful offender facility sentence	No. of months	
		Length of jail sentence imposed	No. of months	
		Length of jail sentence suspended	No. of months	
		Length of jail sentence time-served	No. of months	
		Length of juvenile facility sentence (in months)	No. of months	
		Length of probation sentence (in months)	No. of months	
		Fine dollar amount	\$ Dollars	
		Victim restitution dollar amount	\$ Dollars	
	State restitution dollar amount	\$ Dollars		

**Attachment 4: Westat/NCJJ SJCACC Participant Letter**



An Employee-Owned  
Research Corporation



December X, 2014

Name of Court Administrator  
Title  
Address  
Address  
City, State Zip

Dear Court Administrator:

Westat and the National Center for Juvenile Justice are pleased to conduct the Survey of Juveniles Charged in Adult Criminal Court (SJCACC) on behalf of the U.S. Department of Justice's Bureau of Justice Statistics.

To decide on the most efficient approach to meet the project's goals, we are requesting information on the availability of key variables in your court's case management system. The availability and reliability of these data are of critical importance in designing our sample approach and data collection procedures. Please help us understand how we can develop a plan that will make it possible for your state to contribute data to this important study.

In each state, we will need to collect information that will be the basis for estimating or directly counting the number of juveniles younger than 18 (at the time of their offense) adjudicated in your adult criminal courts in 2013. Additionally, we will need to know if your information system can provide data on the youth's demographic characteristics, state fingerprint-based ID number, date of court referral, court charge(s), adjudication type and date, and sentence length and type. If your statewide data system can provide this information, we will work with you to develop a process for contributing the needed information to this study. If your state does not have a statewide system that can provide the information, we will collaborate with you on a plan that will provide useful substitute information to the study, such as statewide summary data or data from a sample of jurisdictions in your state.

We have enclosed a SJCACC Contact Information Form. Please provide the contact information for the best individuals to speak to at your court regarding this data request. If you prefer to designate someone else to respond to this request for information, please show that on the form and return it in the postage paid, pre-addressed envelope provided. You may also fax it to 1-855-654-9639 or email to [JuvAdultCourt@westat.com](mailto:JuvAdultCourt@westat.com). Please return the completed form by **December XX, 2014**. In the next few weeks, a representative from our SJCACC project team will be in touch with you or your designee, regarding your state court's participation.

Sincerely,

Paula S. Thompson, PMP  
Senior Study Director  
Westat

Melissa Sickmund, Ph.D.  
Director  
National Center for Juvenile Justice