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Appendix A

The Omnibus Crime Control and Safe Street Act of 1968

DERIVATION

Title I
THE OMNIBUS CRIME CONTROL AND SAFE STREETS ACT OF 1968
(Public Law 90-351)

42 U.S.C. § 3711, *et seq.*

AN ACT to assist State and local governments in reducing the incidence of crime, to increase the effectiveness, fairness, and coordination of law enforcement and criminal justice systems at all levels of government, and for other purposes.

As Amended By

THE OMNIBUS CRIME CONTROL ACT OF 1970
(Public Law 91-644)

THE CRIME CONTROL ACT OF 1973
(Public Law 93-83)

THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974
(Public Law 93-415)

THE PUBLIC SAFETY OFFICERS' BENEFITS ACT OF 1976
(Public Law 94-430)

THE CRIME CONTROL ACT OF 1976
(Public Law 94-503)

THE JUSTICE SYSTEM IMPROVEMENT ACT OF 1979
(Public Law 96-157)

THE JUSTICE ASSISTANCE ACT OF 1984
(Public Law 98-473)

STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE ACT OF 1986
(Public Law 99-570-Subtitle K)

THE ANTI-DRUG ABUSE ACT OF 1988
TITLE VI, SUBTITLE C - STATE AND LOCAL NARCOTICS CONTROL
AND JUSTICE ASSISTANCE IMPROVEMENTS
(Public Law 100-690)

THE CRIME CONTROL ACT OF 1990
(Public Law 101-647)

BRADY HANDGUN VIOLENCE PROTECTION ACT
(Public Law 103-159)

VIOLENT CRIME CONTROL AND LAW ENFORCEMENT ACT OF 1994
(Public Law 103-322)

NATIONAL CHILD PROTECTION ACT OF 1993, AS AMENDED
(Public Law 103-209)

and

CRIME IDENTIFICATION TECHNOLOGY ACT OF 1998
(Public Law 105-251)

BUREAU OF JUSTICE STATISTICS
CHAPTER 46 - SUBCHAPTER III
[TITLE I - PART C]

42 USC § 3731 **[Sec. 301.] Statement of purpose**

It is the purpose of this subchapter [part] to provide for and encourage the collection and analysis of statistical information concerning crime, juvenile delinquency, and the operation of the criminal justice system and related aspects of the civil justice system and to support the development of information and statistical systems at the Federal, State, and local levels to improve the efforts of these levels of government to measure and understand the levels of crime, juvenile delinquency, and the operation of the criminal justice system and related aspects of the civil justice system. The Bureau shall utilize to the maximum extent feasible State governmental organizations and facilities responsible for the collection and analysis of criminal justice data and statistics. In carrying out the provisions of this subchapter [part], the Bureau shall give primary emphasis to the problems of State and local justice systems.

42 USC § 3732 **[Sec. 302.] Bureau of Justice Statistics**

(a) Establishment. There is established within the Department of Justice, under the general authority of the Attorney General, a Bureau of Justice Statistics (hereinafter referred to in this subchapter [part] as "Bureau").

(b) Appointment of Director; experience; authority; restrictions. The Bureau shall be headed by a Director appointed by the President, by and with the advice and consent of the Senate. The Director shall have had experience in statistical programs. The Director shall have final authority for all grants, cooperative agreements, and contracts awarded by the Bureau. The Director shall report to the Attorney General through the Assistant Attorney General. The Director shall not engage in any other employment than that of serving as Director; nor shall the Director hold any office in, or act in any capacity for, any organization, agency, or institution with which the Bureau makes any contract or other arrangement under this Act.

(c) Duties and functions of Bureau. The Bureau is authorized to–

(1) make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals for purposes related to this subchapter [part]; grants shall be made subject to continuing compliance with standards for gathering justice statistics set forth in rules and regulations promulgated by the Director;

(2) collect and analyze information concerning criminal victimization, including crimes against the elderly, and civil disputes;

(3) collect and analyze data that will serve as a continuous and comparable national social indication of the prevalence, incidence, rates, extent, distribution, and attributes of crime, juvenile delinquency, civil disputes, and other statistical factors related to crime, civil disputes, and juvenile delinquency, in support of national, State, and local justice policy and decision making;

(4) collect and analyze statistical information, concerning the operations of the criminal justice system at the Federal, State, and local levels;

(5) collect and analyze statistical information concerning the prevalence, incidence, rates, extent, distribution, and attributes of crime, and juvenile delinquency, at the Federal, State, and local levels;

(6) analyze the correlates of crime, civil disputes and juvenile delinquency, by the use of statistical information, about criminal and civil justice systems at the Federal, State, and local levels, and about the extent, distribution and attributes of crime, and juvenile delinquency, in the Nation and at the Federal, State, and local levels;

(7) compile, collate, analyze, publish, and disseminate uniform national statistics concerning all aspects of criminal justice and related aspects of civil justice, crime, including crimes against the elderly, juvenile delinquency, criminal offenders, juvenile delinquents, and civil disputes in the various States;

(8) recommend national standards for justice statistics and for insuring the reliability and validity of justice statistics supplied pursuant to this chapter [title];

(9) maintain liaison with the judicial branches of the Federal and State Governments in matters relating to justice statistics, and cooperate with the judicial branch in assuring as much uniformity as feasible in statistical systems of the executive and judicial branches;

(10) provide information to the President, the Congress, the judiciary, State and local governments, and the general public on justice statistics;

(11) establish or assist in the establishment of a system to provide State and local governments with access to Federal informational resources useful in the planning, implementation, and evaluation of programs under this Act;

(12) conduct or support research relating to methods of gathering or analyzing justice statistics;

(13) provide for the development of justice information systems programs and assistance to the States and units of local government relating to collection, analysis, or dissemination of justice statistics;

(14) develop and maintain a data processing capability to support the collection, aggregation, analysis and dissemination of information on the incidence of crime and the operation of the criminal justice system;

(15) collect, analyze and disseminate comprehensive Federal justice transaction statistics (including statistics on issues of Federal justice interest such as public fraud and high technology crime) and to provide technical assistance to and work jointly with other Federal agencies to improve the availability and quality of Federal justice data;

(16) provide for the collection, compilation, analysis, publication and dissemination of information and statistics about the prevalence, incidence, rates, extent, distribution and attributes of drug offenses, drug related offenses and drug dependent offenders and further provide for the establishment of a national clearinghouse to maintain and update a comprehensive and timely data base on all criminal justice aspects of the drug crisis and to disseminate such information;

(17) provide for the collection, analysis, dissemination and publication of statistics on the condition and progress of drug control activities at the Federal, State and local levels with particular attention to programs and intervention efforts demonstrated to be of value in the overall national anti- drug strategy and to provide for the establishment of a national clearinghouse for the gathering of data generated by Federal, State, and local criminal justice agencies on their drug enforcement activities;

(18) provide for the development and enhancement of State and local criminal justice information systems, and the standardization of data reporting relating to the collection, analysis or dissemination of data and statistics about drug offenses, drug related offenses, or drug dependent offenders;

(19) provide for research and improvements in the accuracy, completeness, and inclusiveness of criminal history record information, information systems, arrest warrant, and stolen vehicle record information and information systems and support research concerning the accuracy, completeness, and inclusiveness of other criminal justice record information;

(20) maintain liaison with State and local governments and governments of other nations concerning justice statistics;

(21) cooperate in and participate with national and international organizations in the development of uniform justice statistics;

(22) ensure conformance with security and privacy requirement of section 3789g of this title and identify, analyze, and participate in the development and implementation of privacy, security and information policies which impact on Federal and State criminal justice operations and related statistical activities; and

(23) exercise the powers and functions set out in subchapter VIII [part H] of this chapter [title].

(d) Justice statistical collection, analysis, and dissemination. To insure that all justice statistical collection, analysis, and dissemination is carried out in a coordinated manner, the Director is authorized to–

(1) utilize, with their consent, the services, equipment, records, personnel, information, and facilities of other Federal, State, local, and private agencies and instrumentalities with or without reimbursement therefore, and to enter into agreements with such agencies and instrumentalities for purposes of data collection and analysis;

(2) confer and cooperate with State, municipal, and other local agencies;

(3) request such information, data, and reports from any Federal agency as may be required to carry out the purposes of this chapter [title];

(4) seek the cooperation of the judicial branch of the Federal Government in gathering data from criminal justice records; and

(5) encourage replication, coordination and sharing among justice agencies regarding information systems, information policy, and data.

(e) Furnishing of information, data, or reports by Federal agencies. Federal agencies requested to furnish information, data, or reports pursuant to subsection (d)(3) of this section shall provide such information to the Bureau as is required to carry out the purposes of this section.

(f) Consultation with representatives of State and local government and judiciary. In recommending standards for gathering justice statistics under this section, the Director shall consult with representatives of State and local government, including, where appropriate, representatives of the judiciary.

42 USC § 3733 **[Sec. 303.] Authority for 100 per centum grants**

A grant authorized under this subchapter [part] may be up to 100 per centum of the total cost of each project for which such grant is made. The Bureau shall require, whenever feasible as a condition of approval of a grant under this subchapter [part], that the recipient contribute money, facilities, or services to carry out the purposes for which the grant is sought.

42 USC § 3735 **[Sec. 304.] Use of data**

Data collected by the Bureau shall be used only for statistical or research purposes, and shall be gathered in a manner that precludes their use for law enforcement or any purpose relating to a particular individual other than statistical or research purposes.

Appendix B

Whitepaper on the Use of NCRP as a Research Platform

The NCRP Data as a Research Platform: Evaluation Design Considerations

Draft

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Contents

A hypothetical evaluation question posits that a state introduced a reform intended to reduce incarceration for a targeted group of offenders. This white paper discusses how the Bureau of Justice Statistics' National Corrections Reporting Program (NCRP) data might be used to investigate what that reform accomplished. Ultimately (but not in this paper) we seek to evaluate the Justice Reinvestment Initiative (JRI), and given that ultimate goal, this paper is a design report.

From the modern framework of potential outcomes (Imbens & Rubin, 2015), evaluation always poses a missing data problem. Once a state introduces a reform, an evaluator can observe what happened following that introduction, but the evaluator cannot tell what would have happened had the state not introduced that reform. The counterfactual is *missing data*.

The solution to the missing value problem is to compare the outcome following implementation of the intervention with a selected counterfactual that presumably approximates what would have happened absent the intervention. With qualifications (Berk, 2005), evaluators usually feel confident about counterfactuals that are based on random assignment (Orr, 1999), but random assignment is impractical for large-scale prison reforms. The alternative to random assignment is quasi-experiments that exploit naturally occurring variation in what is sometimes called *observational data*. Quasi-experimental designs are tricky because they raise validity and reliability challenges.

This paper is a discussion of selected quasi-experimental approaches that should be useful for dealing with the above evaluation question: pretest-posttest designs, difference-in-difference designs, difference-in-difference-in-differences designs, and synthetic control methods. This is not an exhaustive list of evaluation strategies, but we intend to emphasize the analysis of panel data (defined below) derived from the NCRP. After examining these different evaluation approaches, we conclude that each of the approaches has merit and that a thoughtful evaluation would exploit the advantages of each.

As the argument advances, some definitions will be helpful.

Effect A treatment effect or just *effect* is what the state actually accomplished because of the reform. It might be defined as the reduction in the number or percentage of the targeted population appearing in state prison relative to the size or percentage of that targeted population that would have appeared absent the intervention.

Estimate The above is definitional. The evaluator's problem is to *estimate* the size of that effect by identifying an appropriate counterfactual using procedures described in many books concerned with evaluation (Lee, 2005; Cameron & Trivedi, 2005; Angrist & Pischke, 2009; Rosenbaum, 2009; Morgan & Winship, 2015).

Validity If the counterfactual does not provide a good comparison, we say that the evaluation design poses a *validity challenge*, meaning that even in a very large sample, the estimated effect would not approximate the real effect (Manski, 2007).

Reliability Even if the counterfactual is valid, the amount of information provided by the data may be so meagre that the estimated treatment effect is measured with great imprecision. When the sampling variance for the estimated treatment effect is large, we say that the evaluation design has little power or inadequate *reliability*.

The question facing us is: How we can use the NCRP to estimate effects that are both valid and reliable? Comparing the pre-implementation period with the post-implementation period within the same state raises validity concerns because changes might have happened without the intervention. Contrasting states that did and did not implement the intervention raises other validity concerns because differences might have occurred for reasons other than the intervention. Furthermore, reliability is challenging when performing state comparisons, because given a maximum of 50 states, sample sizes are small.

Without pretense of being either comprehensive or final, this white paper walks through evaluation design considerations specific to the NCRP. We illustrate use of those designs using NCRP data from two states: Arizona and California. However, this paper does not provide an evaluation of policy interventions in either state; we merely use these two to demonstrate how an evaluation might be conducted. Arizona is a convenient choice because, to our knowledge, there has been no major policy intervention within the state. Using Arizona data, we would expect that a demonstration evaluation would find no effect of an imagined policy intervention. California is a convenient choice because its prison Realignment initiative toward the end of the data assembly period had a widely acknowledged effect on state prisons. Using California data, we would expect that a demonstration evaluation would identify the effect from that known intervention.

This paper has five principal parts. The first discusses how the NCRP can be arranged into panel data; this arrangement is especially useful for both description and evaluation. The second part introduces some terms, describes some data transformations, and discusses statistical methodology exclusive of evaluation methodology. The third part describes patterns in prison admissions and prison populations in Arizona and California. This description is background for the discussion of evaluation methodology, the focus of this paper, which appears in part four. Part five offers some concluding remarks.

1. The NCRP as Panel Data

Sponsored by the Bureau of Justice Statistics, the NCRP was redesigned beginning in 2010 to assemble prison term records and post-confinement community supervision term records provided by state authorities (Luallen, Rhodes, Gaes, Kling, & Rich, 2014).[1] A prison term record begins when an offender enters prison and ends when he or she leaves. The same offender may have multiple terms. The records are updated yearly for each currently participating state and have been collected retrospectively for some states that had not previously reported. Defined similarly, the assembly of post-confinement community supervision (PCCS) records is a recent expansion of the NCRP; post-confinement records are not considered further in this paper although we could apply analogous evaluation tools to PCCS.

[1] The redesign was intended to increase state participation, improve data quality, and increase the data's utility for research. Previous users of the NCRP might note that the prison-term-based record arrangement replaced the earlier reliance on unlinked admission and release records (A and B records) and stocks as of December 31 of the reporting year (D records). The current NCRP allows stocks to be known for any date within the observation window.

The NCRP is designed to capture all prison terms that were active sometime during a window period beginning in 2000 and ending (currently) in 2014. However, reporting patterns and data quality vary by state. For many states, reporting is complete starting in 2000 and their data are deemed to be sufficiently reliable so that the NCRP team could assemble prison term records for all reporting years. Other states either report insufficient data (e.g., stock records but not admission and release records[2]) or the reported data are deemed unreliable for one or more years starting in 2000. For these states, the NCRP team either did not assemble term records at all or assembled term records beginning at some year after 2000. Prison terms have also been assembled for Federal prisons (as part of BJS's Federal Justice Statistics Program), but those Federal records are not yet part of the NCRP. Because of jurisdictional differences, it seems doubtful that Federal records would be useful counterfactuals for evaluating state interventions.

When assembling descriptive statistics, and when explaining patterns in prison usage, assembling the NCRP term file into *panel data* is helpful. In this paper, panel data comprise a cross-section of time-series aggregates.[3] *Cross-sections* are defined as states or frequently as offense combinations within a single state. *Time-series* are months although other time-series units might be useful. *Aggregates* are sums of units (such as admissions and prison stocks) or averages (such as average time-served). As an illustration, picture measures of the number of admissions (the aggregate) for violent crimes, property crimes and drug law violations within Arizona (the cross-sections) for every month between 2003 and 2012 (the time-series).

The analysis associated with this memo begins by using NCRP data from 2003 through 2012, a period during which 26 states have prison term records. The analysis eventually reduces this observation window because it turns out that most of the interesting trends happen after 2003, and by starting the observation window later, we can include additional states in the analysis.

2. Defining Variables and Statistical Methodology

This paper discusses evaluation methodology but preliminary to that discussion we define terms whose meaning might otherwise be ambiguous. We also discuss the regression specification that enters into the evaluation methodology. We do not discuss evaluation design per se in this section.

2.1 Terminology and Data Transformations

Three terms appear repeatedly in the rest of this paper.

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[2] It is possible to construct prison term records based on stocks alone provided a term is defined as lasting at least one year. Additionally, when assembling descriptive statistics, we can impute missing terms from stocks under an assumption that admissions appear steadily at the prison during a year. Because the limited number of states restricts power, it might be useful to include additional states in the analysis despite this limitation. However, we do not follow that route for this demonstration.

[3] Panel data might be expressed as individual units (terms in our application), in which case the individual units are the cross-section. For some purposes, analyzing the NCRP data at the individual level may be insightful, but this paper is concerned with analyzing aggregate units so it adopts a narrow definition for panel data.

- Offense seriousness: Correctional interventions frequently are targeted on a specific type of offense or offender. For this paper, we presume the intervention targets offense types defined by seriousness, and below we explain how we determined seriousness.
- Admissions: Some interventions are best characterized as altering the rate at which offenders enter prison.
- Stocks: Other interventions are characterized as altering the prevalence of offenders in prison.

Admissions and stocks are examined on a per capita basis, which requires some data manipulation, discussed below.

2.1.1 Offense Seriousness

Because correctional interventions often target offenses by seriousness, and because relative seriousness is not obvious from an offense name, this paper creates *offense seriousness* categories. Note that a useful definition of an offense category would depend on the intervention, so the seriousness categories used here are purely illustrative. For example, an intervention targeted on drug-law violators would dictate a different way of defining offense categories.

Each prison term in the NCRP dataset is associated with a BJS offense code (assigned to the variable BJS_Offense_1 in the NCRP). Using data from all states reporting to the NCRP since 2000, we computed the mean time-served by individuals released from prison by offense code. (When computing time-served, we excluded the records for offenders who served fewer than 90 days because this exclusion allows us to adjust (imperfectly) for time-served following a revocation for a technical violation.) Using average time-served, we placed every offender into a unique quintile ranging from least to most serious offenses, i.e. from least to most time-served, on average. The quantiles define five ordered seriousness categories.

Based on prison admissions, table 1 shows the distribution of seriousness categories cross-tabulated with traditional generic offense groupings—violent, property, drug, other, and missing. Given the remarkable dispersion of seriousness across offense types, we question how informative generic offense types are for classifying data, but that is a topic for another time. We will use these offense seriousness categories in this paper.

Table 1: Tabulation of Generic Offense Categories and Ascribed Seriousness Categories

	seriousness				
off_type	1	2	3	4	5
Violent	7	93,184	4,975	365,922	618,879
Property	270,240	556,971	9,582	446,504	34,112
Drug	375,161	257,429	500,579	63,497	1
Other	270,091	129,766	249,963	299	18,062
Missing	244				48,556

Note that it is possible to include (or exclude) offense types and still classify by seriousness. For example, just select violent offenses and compute seriousness categories within that grouping. We

suspect that this approach may place unwarranted weight on states having similar reporting conventions, but that too should be a topic for research.

Classifying offenses by seriousness using time-served as an objective measure has some appeal for understanding prison populations and comparing populations across states. Classification is especially useful for evaluation because reforms often target a specific seriousness category (especially the least serious crimes) for an intervention, suggesting that a counterfactual comes from comparing the targeted population with the next less serious crimes (which should not be affected by the intervention). This need for counterfactuals highlights the need for careful consideration of seriousness categories. Three considerations seem important:

1. Many interventions identify the targeted category using a combination of offense type and offender criminal history. The NCRP does not yet include any measure of criminal history although it is possible to develop a proxy measure suitable for many analyses.[4] Because our concern is with demonstration, we have not attempted to apply this proxy in our analysis.

2. Useful evaluation requires careful thought about offense classification. For example, if the state targeted offenders convicted of drunk driving, the counterfactual might be other crimes that result in sentences roughly equivalent to the sentences for drunk driving. We employ the seriousness categories for demonstration, not because they are necessarily the best way to create counterfactuals for all evaluation questions, but because we are interested in demonstration.

3. Both random assignment and quasi-experiments require the evaluator to justify the *stable unit treatment evaluation assumption* (SUTVA). In the present context, SUTVA means that the effect of the intervention does not spill over into the counterfactual comparison. For purposes of discussion, we will maintain SUTVA, but a proper evaluation would carefully select the comparison subjects to make SUTVA most plausible.[5]

2.1.2 Admissions

When assembling data, we discarded admissions when the term lasted for 90 days or fewer. This choice is arguable but it eliminates short periods for revocations. The choice is also problematic in that we cannot tell time-served for those who enter within 90 days of the final observed date so, for a few states, there is a slight bias upward for admissions during the last 90 days of the observation window. (That is, when no other information is available, we assume all terms with unobserved

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[4] The NCRP data begin for most states in 2000, so if the analysis begins in 2003, it is possible to distinguish offenders who were released from prison during a three-year window before their current admission from offenders who lacked a previous criminal history so measured. This is a crude but presumably effective way to distinguish offenders based on criminal history. This paper does not demonstrate this application.

[5] SUTVA is most credible when interventions are rule driven, which we expect to be the case with most prison reforms. Morgan and Winship (2015) provide a helpful discussion of SUTVA and how to deal with violations. For example, suppose an intervention targeted drunk drivers but some offenders convicted of public intoxication (rather than drunk driving) are incidentally considered comparable and are released. The evaluator might drop public intoxication from the comparison group and contrast drunk driving with other offenses of comparable seriousness. Thoughtful consideration can mitigate or eliminate the SUTVA problem.

releases last 91 days or longer.) This bias will not be serious for this paper because most of the states have reported 2013 data, and given 2013 data, we know when time-served lasted more than 90 days for terms commencing in 2012.

2.1.3 Stocks

Our definition of stocks is just releases minus admissions for a given month. This is really the *change in stocks*, but given the beginning stock in 2000, it is easy to compute cumulative stocks from changes in stocks.[6] For econometric analysis, dealing with changes in stocks (essentially a first difference) has more desirable statistical properties than dealing with cumulative stocks.

2.1.4 Data Problems and Adjustments

The NCRP data have been matched with other data sources (Census data, FBI data, etc.) that provide general population (age, arrests, etc.) statistics on a yearly basis. However, to capture interventions that may have occurred during the year, we analyze prison statistics on a monthly basis, which causes problems requiring adjustments.

Arrests

For example, consider prison admissions during January of 2005. If we hypothesize that prison admissions are a function of arrests, we might regress admissions on arrests for 2005. The logical problem is that while the admissions by construction occurred in January 2005, about 11 of every 12 arrests during 2005 occurred after January (and this ignores the delay from arrest to conviction to incarceration), so the regression is misspecified.

Our approach is:

1. When analyzing year Y admissions in January, we use the weighted average of 11/12 year Y-1 arrests and 1/12 year Y arrests.
2. When analyzing year Y admissions in February, we use the weighted average of 10/12 year Y-1 arrests and 2/12 year Y arrests.
3. We make this adjustment progressively for other months.

This approach makes some strong assumptions about the lags between arrests and admissions, and a refined analysis is required to develop an empirically justified distributed lag structure.[7] We have not done that for this discussion.

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[6] As noted earlier, the NCRP include all terms that were active sometime during the observation window. This implies that an investigator can always construct the stock population on any date during that window by a cumulative tabulation over time of admissions minus releases.

[7] Our assumption is that arrests during the current month and arrests during the previous 11 months contribute equally to admissions/stocks during the current month. An alternative would be to lag the effect of arrests. For example, the previous 12 months (not including the current month) might account equally for admissions/stocks. Or the previous months might have unequal weights so that arrests from 6 months in the past have greater weight than 1 month and 12 months in the past. Possibly the lag structure should extend longer than 12 months. Different lag structures are testable using the data to identify best fit but we have not done that here.

Population

For many purposes, it is instructive to examine admissions per capita or stocks per capita, but the issue is "what should we use as population?" The current NCRP data report state population for the year, and we adopt an adjustment similar to that used for arrests to distribute population over time. However, this begs the question: Who is counted in the at-risk population? We adopted an expedient approach of using the male and female population between 14 and 34; although 14 is too young for prison admissions, we are constrained by Census-reported age categories.[8]

Scaling by population facilitates cross-state comparisons by accounting for population growth. However scaling can distort raw trends. For example, prison population may increase on a raw basis yet decrease on a per capita basis. Depending on the research question, scaling might be inappropriate.

2.1.5 Scaling for Visualization

Another form of scaling is important for visualization. For some of the analysis, our approach is to standardize change in stock by subtracting the mean change and dividing by the standard deviation. Because it places statistics on a standard basis, this scaling facilitates drawing comparisons by cross-sections. The application of this scaling will be obvious from the context because statistics will be centered on zero and have a standard deviation of one.

2.2 Regression Specifications

Our analyses are always based on regressions even when the analysis is motivated by description. We do not want to get too deeply into the details (which receive additional coverage in context) but:

1. To capture short-term patterns in trends, we use Fourier transformations that account for year and half-year cycles. To capture long-term trends, we use polynomials. Specifically, Fourier transformations use trigonometric functions (sine and cosine) to capture cycles that repeat every year and half year.[9] We do not know why these cycles occur, but we suspect they are related to court cycles and delays between conviction and prison admissions. The cycles do not much interest us, but accounting for them reduces residual variance so we can better see what does interest us. When we use Fourier transformations, we first test for whether the year and half-year effects are jointly statistically significant at $p < 0.05$. If not, we drop them from the analysis; otherwise, we retain both the year and half-year effects.

2. Polynomials are useful for modeling long-term trends, the patterns that do interest us. Time is always rescaled to run from 0 to 1 by dividing the months by 120, the total number of months in the observation window. This rescaling helps with interpretation and does not alter the

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[8] The approach is expedient because older offenders are at risk of entering prison. An alternative approach would be to weight the age groupings according to the age of offenders entering prison. We have not taken that step in this paper.

[9] Fourier transformations are sometimes uses to capture cyclical behavior because a Fourier transformation can capture any repeated pattern with an arbitrary degree of precision. Our application requires four terms—a sine and cosine function that repeats on a yearly basis and a sine and cosine function that repeats on a half-year basis. Hence the regression shows four terms f1 through f4.

regression results.[10] When we use polynomials, we always start with a cubic. A polynomial based on a cubic includes time, time-squared and time-cubed. When we use a polynomial, we first test whether the cubed term is significant at $p < 0.05$. If it is not significant, we drop the cubed term and test for the squared term, and if that is not significant, we then test for the linear trend. If it is not significant, there is no trend.

Other variables are incorporated into the regression. Seeking to demonstrate techniques, we have not attempted to be comprehensive. The arrest variables (and sometimes lagged releases) enter into some of the regressions. Typically we perform a joint test for statistical significance, and if the variables are not statistically significant, we drop them (at $p < 0.05$).

Dependent variables are scaled by dividing by population and sometimes additional units (such as division by 100) to provide interpretable pictures. Regression parameters are difficult to interpret and we suggest examining them qualitatively (for direction) but ignoring them quantitatively (for magnitude). Because of collinearity, even qualitative interpretations can be uninformative, so the reader might treat collinear variables as just "adjusting" for past arrests; collinearity will not affect the joint explanatory power of even perfectly collinear variables.

3. Descriptive Statistics

Descriptive analysis is a useful starting point. We show figures summarizing long-term trends in two states that have reported to the NCRP since 2003. The purpose of presenting descriptive trends is simply to illustrate considerable fluctuation in stocks (prison stock) and flows (admissions) over short periods of time. These fluctuations complicate evaluation because, when short-term changes occur naturally, interrupted time-series are unreliable for forming counterfactuals. Given this limited purpose, we only show trends for Arizona and California, two states that are the focus when this paper turns from description to illustrating approaches to evaluation.

Figure 1 shows Arizona admissions per 100,000 residents between 16 and 34, in total and broken down by offense seriousness category. The figure has six panels corresponding to the five seriousness classes and all classes rolled together. The dots are actual data. Table 2 shows regression results. If the cycles were insignificant, then the curve would be smooth. Therefore, by just looking at the figure, we can tell that the Fourier transformations are statistically significant except for seriousness class 4. The cycles might exist for seriousness class 4, but power is insufficient to detect the pattern. Regardless, unless the line is flat (perhaps with cyclical perturbations), we can tell whether the polynomial is statistically significant. A sharp eye can even tell which degree of the polynomial is statistically significant. There are strong seasonal and long-term trends in Arizona.

[10] The regressions used here are invariant (except for scale effects) to linear transformations. Although a polynomial may seem nonlinear, it is actually linear in its arguments, which is sufficient for the invariance properties to hold.

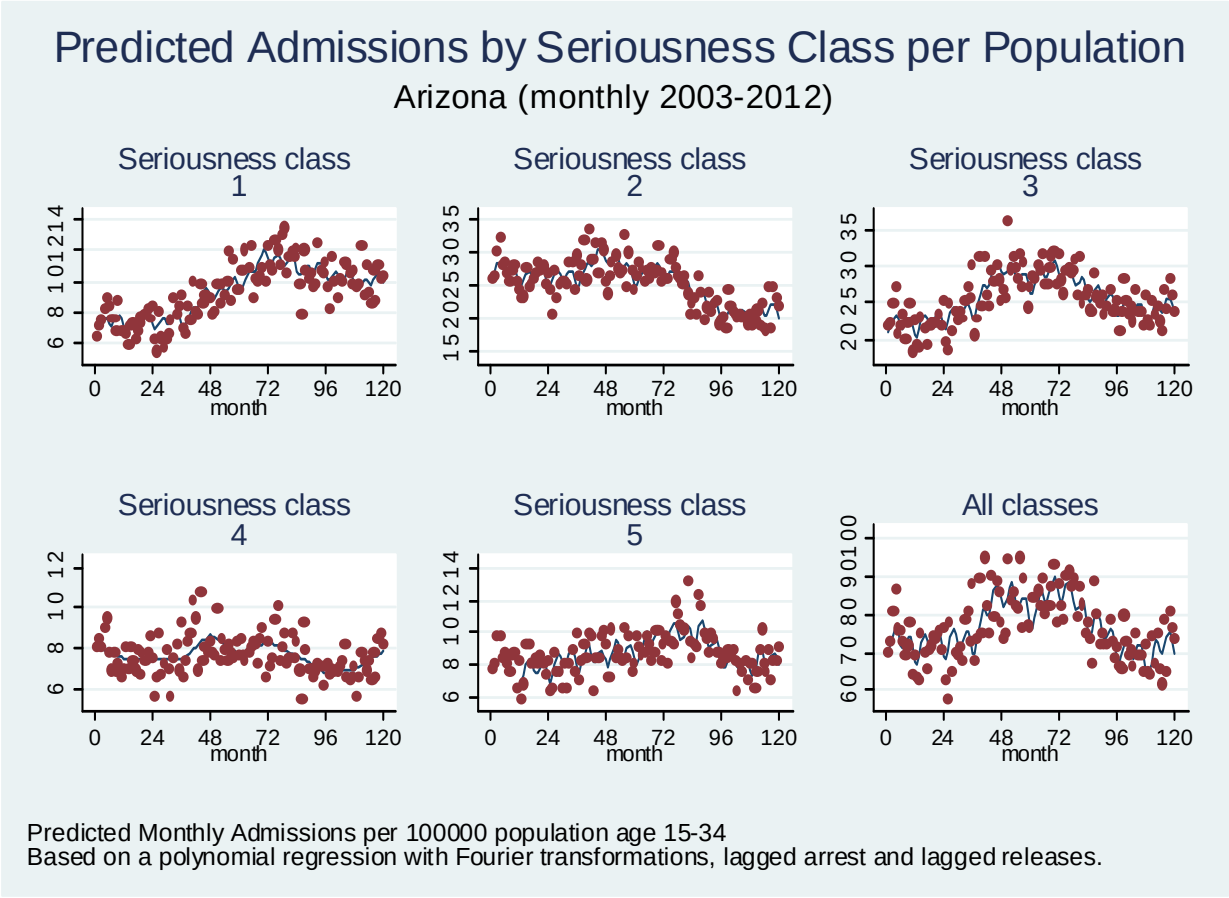

Figure 1: Trends in Prison Admissions per Capita in Arizona

Because the figures are adequately descriptive, the regression parameters (table 2) are relatively uninteresting. The polynomials are captured by the **T, Tsq** and **Tq** terms. The Fourier transformations are captured by the **f1** through **f4** terms. If parameters appear in the table, then the polynomial/cycles are statistically significant at $p < 0.05$.[11] That is, the table indicates the degree of the polynomial used to estimate the regression and whether the Fourier transformations entered the regression. The table shows that past arrests are important for explaining admissions; the arrest variables would not appear in the table if they were not jointly significant. Lagged releases are typically not statistically significant. Except for seriousness class 4 admissions, the R^2 gives an impression of substantial change in admissions per capita over time. This is a context where R^2 tells us little. If there are no cyclical patterns and no trend, then the R^2 would be near zero. An R^2 of zero does not mean that we have explained nothing; on the contrary, we have explained much—namely, there is no discernable trend.

[11] The table also shows which specific parameters are statistically significant, but the significance of individual parameters should be of little interest. Joint tests are most interesting but not shown in the table.

Table 2: Arizona Polynomial Regression

	admissions1	admissions2	admissions3	admissions4	admissions5	total
T	22.361**	20.800**	43.494**	5.807**	13.074**	107.886**
Tsq	-21.040**	-27.090**	-43.617**	-5.653**	-11.562**	-111.826**
viol	2,028.386	12,336.912**	11,082.520**	3,967.658**	2,264.606*	32,503.767**
prop	123.841	-1,393.047**	-1,340.379**	-397.512**	166.634	-2,931.792**
drug	-1,002.431**	-1,058.146**	-1,651.783**	-320.935*	-100.615	-4,629.464**
f1	-0.129	-0.605*	-0.403		-0.218	-1.373
f2	-0.207	0.061	0.063		0.101	0.263
f3	-0.367**	-0.873**	-1.059**		-0.543**	-3.105**
f4	-0.023	0.398	0.267		-0.096	0.507
lagged_releases5					0.054**	
_cons	11.830	12.824	25.060	1.406	-14.172	50.566
R2	0.71	0.70	0.63	0.23	0.47	0.58
N	120	120	120	120	108	120

* p<0.05; ** p<0.01

For present purposes, the story behind the trends in Arizona is simple. There are short-term fluctuations and long-term reversals in trends. If we attempted to evaluate a policy intervention in Arizona, these short-term fluctuations and long-term shifts would raise validity concerns. We return to this point later.

Polynomials can give distorted impressions when admission practices suddenly shift. California (Figure 2) illustrates this. California had been experiencing a decrease in prison population per capita before it changed its admission practices (called Realignment) to make greater use of county jails. The polynomial suggests a downward trend that really has abated by the last year of data, but the polynomial does not show that subsequent abatement. (A higher degree polynomial might be helpful, but probably a spline recognizing the known break in California admissions would be more helpful.) Notice the high R^2; these occur because of the precipitous drop in admissions, not because the regressions really explain better in California than in Arizona.

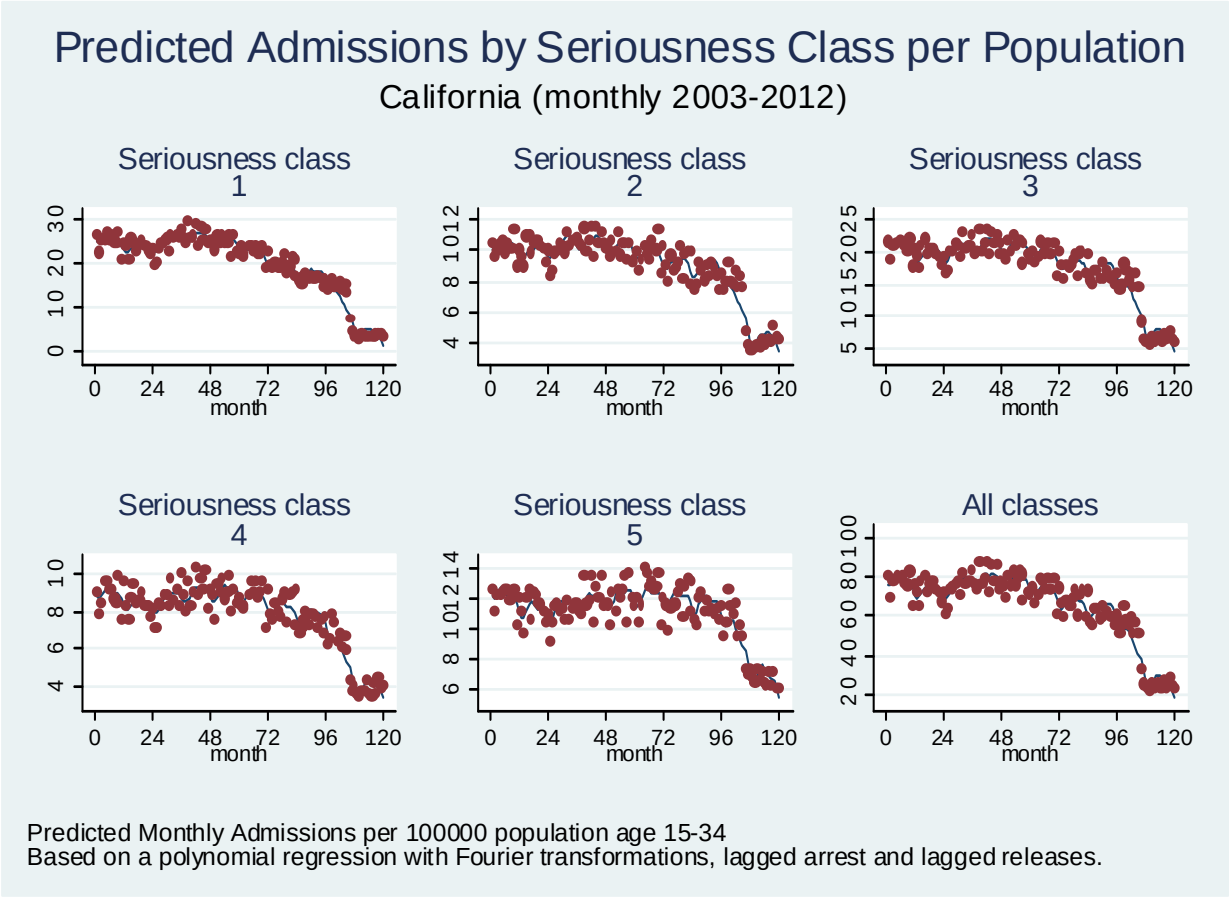

Figure 2: Trends in Prison Admissions per Capita in California

Table 3: California Polynomial Regression

	admissions1	admissions2	admissions3	admissions4	admissions5	total
T	-58.610**	-28.160**	-59.884**	-19.684**	-31.378**	-197.717**
Tsq	130.626**	66.244**	141.910**	48.809**	81.263**	468.851**
Tq	-88.539**	-39.915**	-90.954**	-29.415**	-52.312**	-301.135**
viol	59.711	-374.048	-469.230	604.787	259.377	80.597
prop	-1,529.135*	289.447	-297.389	-104.952	-13.903	-1,655.931
drug	1,832.610**	755.396**	1,473.717**	567.860**	571.489**	5,201.072**
f1	-0.997**	-0.465**	-1.042**	-0.391**	-0.526**	-3.421**
f2	-0.153	-0.087	0.005	-0.053	0.035	-0.254
f3	-0.324	-0.149	-0.337	-0.115	-0.287*	-1.211
f4	-0.045	0.062	-0.070	-0.102	-0.100	-0.254
_cons	5.349	-8.119	-3.623	-10.672	-4.225	-21.290
R2	0.95	0.89	0.91	0.88	0.81	0.92
N	120	120	120	120	120	120

* p<0.05; ** p<0.01

California offers a useful contrast to Arizona. In Arizona, the figure shows short-term fluctuations and long-term reversals in trends; by assumption, made for purposes of this discussion, neither could be attributed to a statewide intervention. If we had attempted to evaluate an intervention, these naturally occurring changes would raise validity issues. In California, we know that the state

correctional system underwent a profound policy change, shifting offenders from state prisons to county jails. Interesting, however, a cynical evaluator could point out that the post-intervention trends appear to be an extension of preexisting trends. Descriptive statistics provide an inadequate platform for evaluation.

Additional descriptive analysis comes from examining the monthly change in stocks beginning in the first month (i.e., January 2003) and ending in December 2012. Monthly change—the first difference of the cumulative change—is more useful for understanding trends because it more clearly relates changes to covariates. That is, if we wanted to analyze changes in stocks, serial correlation would be severe, so we would take first differences to reduce the serial correlation. That step is taken here.

Figure 3 shows actual data (the dots) and predictions (the lines) for Arizona. The change in the stock of prisoners is the difference between admissions and releases in each month, so in theory this new figure might tell us something different than did its admissions counterpart, but in fact the story does not much change. As before, we see fluctuations in the change in the stock, cycles and long-term shifts in trends. Basing an evaluation on an interrupted time-series would be tenuous.

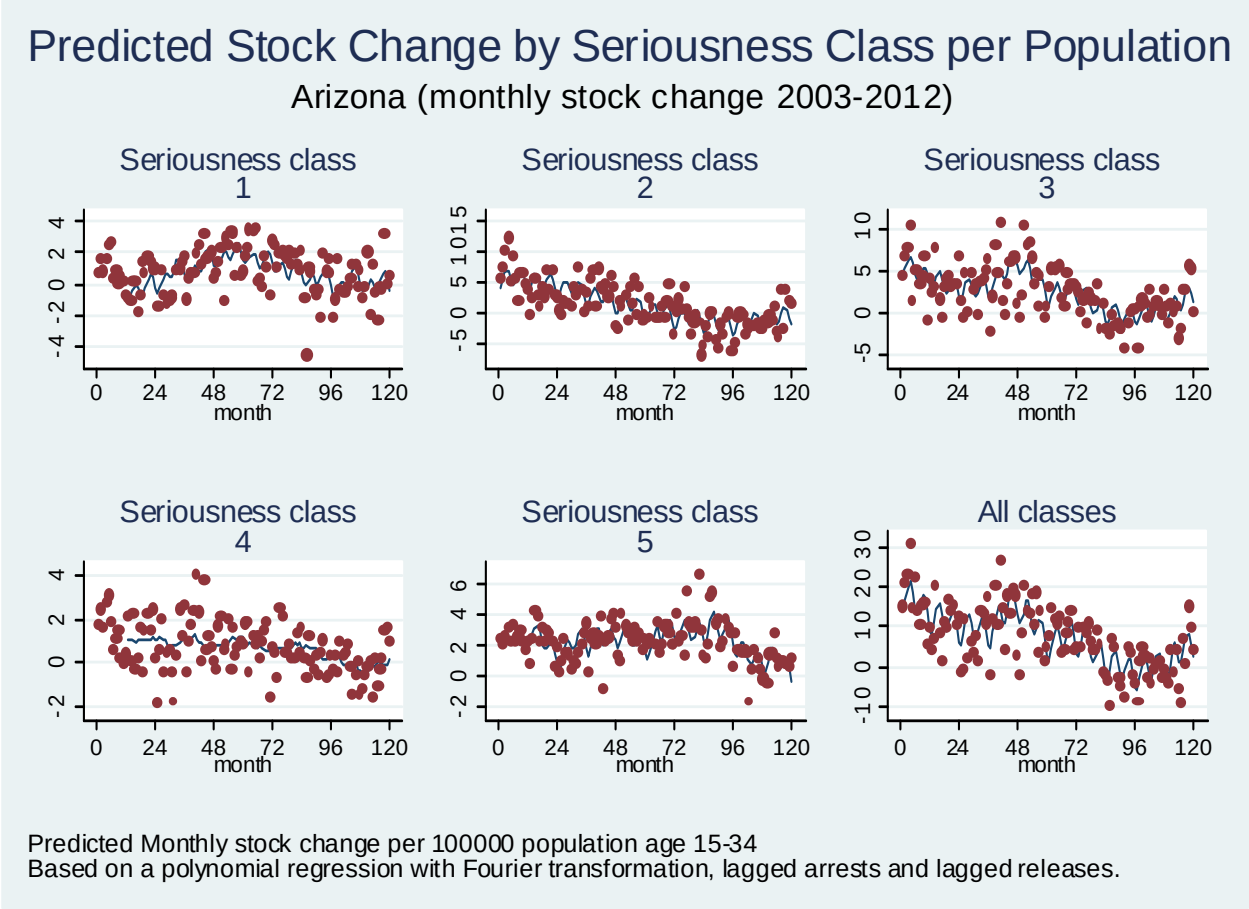

Figure 3: Trends in per Capita Changes in Stocks in Arizona

Table 4: Regression Results for Trends in per Capita Changes in Stocks in Arizona

	stock1	stock2	stock3	stock4	stock5	total
T	14.193**	-1.579	-6.990**	-3.136**	-18.081**	-16.063**
Tsq	-9.446**	-31.970			35.856**	
lagged_releases1	-0.037**					
f1	-0.119	-0.558	-0.106		-0.232	-1.033
f2	-0.317	0.072	0.124		-0.006	0.243
f3	-0.474**	-1.039**	-1.161**		-0.680**	-3.542**
f4	0.002	0.961**	0.130		-0.055	1.072
Tq		27.635*			-25.672**	
viol			6,570.743**			21,662.546**
prop			-1,421.503**			-3,479.537**
drug			-547.111*			-1,446.532**
lagged_releases4				0.047**		
lagged_releases5					0.089**	
_cons	1.856	5.772**	16.311	-3.164*	-3.442*	12.771
R2	0.31	0.60	0.45	0.16	0.46	0.60
N	108	120	120	108	108	120

* p<0.05; ** p<0.01

Figure 4 is the counterpart to figure 2 for California. Although the story might have been different from that told by admissions in California, in fact the story is quite similar. We see fluctuations and cycles but no large interruptions in the trend except for the drastic drop in stocks following California's policy intervention. Late in the period, the change in stocks has hovered around zero, much as it had during the years prior to the intervention. Even the cynical evaluator, identified earlier, might find this abrupt change immediately after the intervention compelling; still, it would be helpful to have a formal test. This concern brings us to the transition between descriptive statistics and inferential statistics used for evaluation, the topic of the next section.

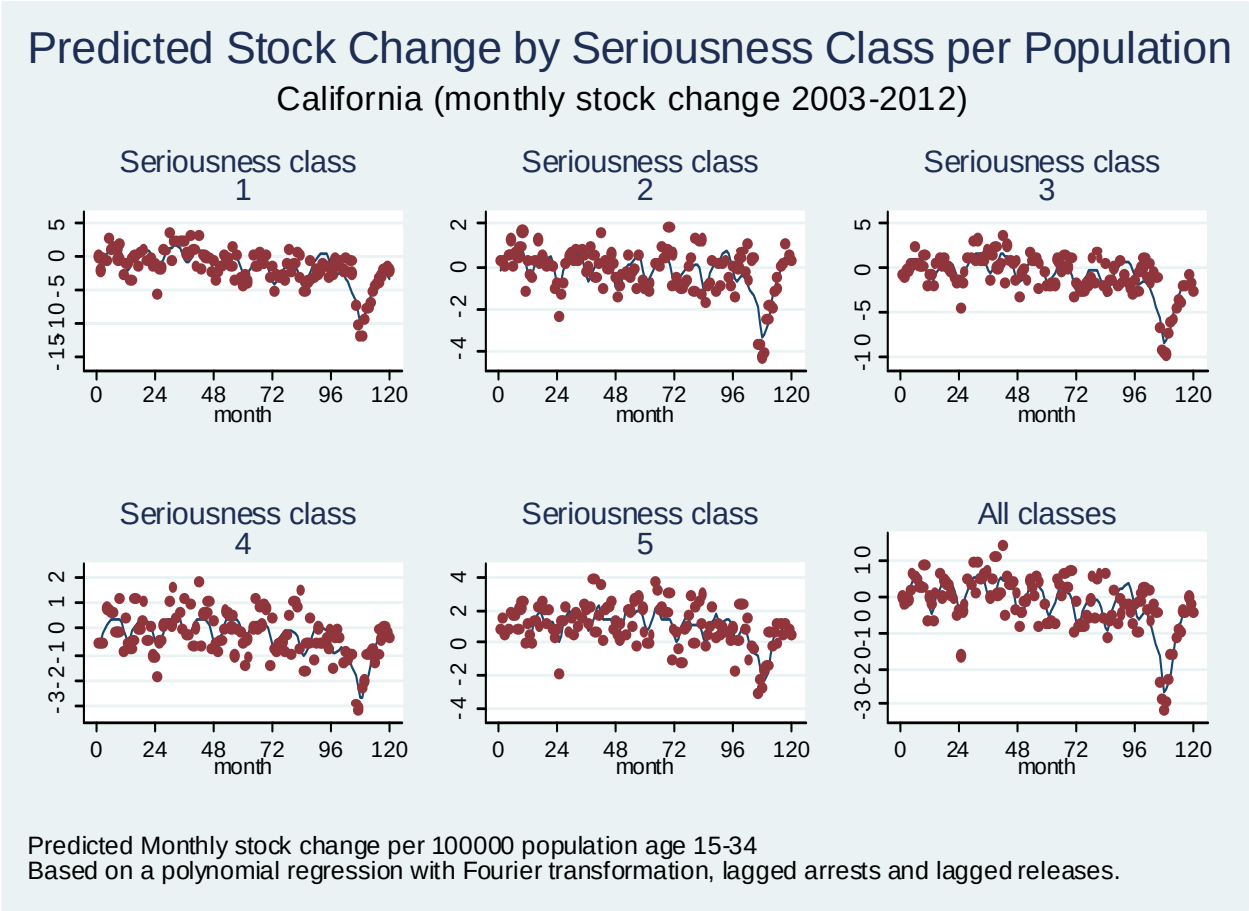

Figure 4: Trends in per Capita Stocks in California

Table 5: Regression Results for Trends in Per Capita Stocks in California

	stock1	stock2	stock3	stock4	stock5	total
T	-71.510**	-25.467**	-52.572**	-9.449**	-14.066**	-172.254**
Tsq	144.079**	52.120**	110.051**	18.662**	26.834**	352.982**
Tq	-51.795**	-13.774*	-38.823**			-108.210**
viol	-114.764	1,265.110**	870.502	1,230.239**	1,413.594*	4,728.302
prop	1,939.548**	728.416**	1,211.545*	328.098	295.366	4,514.428*
drug	2,439.854**	927.589**	1,972.270**	582.595**	919.159**	6,672.004**
f1	-1.474**	-0.573**	-1.315**	-0.444**	-0.560**	-4.367**
f2	-0.084	-0.048	0.203	0.002	0.179	0.238
f3	-0.381	-0.266*	-0.280	-0.142	-0.384**	-1.419*
f4	0.044	0.064	0.113	0.009	-0.087	0.168
lagged_releases5					0.004	
_cons	-90.733**	-50.439**	-79.699**	-35.503**	-48.842**	-297.535**
R2	0.69	0.51	0.67	0.49	0.45	0.65
N	120	120	120	120	108	120

* p<0.05; ** p<0.01

4. Evaluation

The rudiments of evaluation appear in the discussion above (that is, our eyes can detect patterns), but formal designs are required to meet validity and reliability challenges. We discuss four evaluation designs: interrupted time-series; difference-in-differences; difference-in-difference-in-differences; and synthetic control methods. Throughout this discussion, the motivational illustration is that a state decides to reduce its prison population for the least serious offenders. This policy shift occurs at a defined point in time, although we might assume that the intervention takes time to reach full implementation so the full effect is lagged.

Let:

S_{ijk} This is the stock of offenders from seriousness category *i* at time *j* in state *k*.

s_{ijk} This is the change in the stock from seriousness category *i* at time *j* in state *k*.

$$s_{ijk} = S_{ijk} - S_{i(j-1)k}$$

M_j This is the month, typically parameterized to run from 0 to 1 by dividing months by the number of months in the observation window as described above. When drawing figures, to assist the reader, we revert to using the months rather than transformed version of months.

These are all variables that we used above when presenting descriptive statistics.

The discussion of *design* in the remainder of this section is progressive. That is, the interrupted time-series is the least useful and the synthetic estimation is arguably the most useful, but they actually have much in common, so value comes from building more sophisticated approaches onto the less sophisticated approaches. As the term is used here, an approach is more sophisticated if it raises fewer validity concerns.

Although we derived the descriptive statistics from 2003–2012, based on the descriptive statistics we doubt that such a long time-series is useful for evaluation because perturbations and reversals in trend that occur early in the time-series are likely uninformative about interventions that occur later in the time-series. Consequently, in the following demonstration, we will abbreviate the time-series. This has the additional advantage of allowing us to expand the number of states under study. An evaluation of the JRI would probably benefit from even a shorter observation window.

As a road map of the following subsections, for Arizona we imagine an intervention that happened exactly two years before the end of the NCRP time-series. In fact, there was no intervention on that date, so we would not expect to observe an effect. We then discuss using an interrupted time-series (section 4.1), a difference-in-differences design (section 4.2) and a difference-in-difference-in-differences design (section 4.3) to "evaluate" this imagined intervention. The point is that the least rigorous design can lead to spurious conclusions and the more sophisticated designs are more believable. For California, a real intervention occurred toward the end of the time-series, purposefully substituting confinement in county jails for confinement is state prisons. We use the synthetic case control method to detect the consequences of that policy change (section 4.4).

4.1 Interrupted Time-Series

For Arizona we hypothesize a break in a trend on January 1, 2011 only for the least serious offenses, which are assumed to be the target of the intervention. An approach to an interruptive time-series is to assume that trends are linear or nearly linear immediately to the left and immediately to the right of the break.[12] The "treatment effect" is the shift in the regression lines at the intervention point. The typical application selects a *bandwidth* (of time) that is clustered about the intervention point. Without more discussion, we limit the analysis to two years before the intervention and two years after the intervention. Given yearly cycles, bandwidths should always be specified as years. In practice we would test alternative bandwidths, but this testing is not important for this demonstration.

We have standardized the stock by subtracting the mean change and dividing by the standard deviation for the pre-intervention period. Without standardization, difference-in-differences and difference-in-difference-in-differences comparisons are difficult to discern. With standardization, statistics are centered near zero and have a standard deviation near one regardless of the original scale.

Using the Arizona data, we fit a linear model in time to the left and a linear model in time to the right of the intervention point. This model also includes cycles, and they are very important over this short interval, but we will not show them because they dominate the picture. See figure 5. It shows the predictions, based on the linear model after removing (partialing out) the cycles, for all five offense seriousness categories (SC 1 through SC 5), but current attention is just on the first offense seriousness category (SC 1).

[12] Although the point is arguable, some evaluators treat an interrupted time-series as being a regression discontinuity design (Imbens & Lemieux, 2007). From the RDD perspective, the estimated treatment effect is most valid when it is estimated immediately about the break point using local linear regressions. The RDD—and hence the interrupted time-series—has less appeal when the impact of an intervention materializes over a lengthy period, one of the points made in this paper. Within a criminal justice context, some of these issues are discussed in Rhodes and Jalbert (2013).

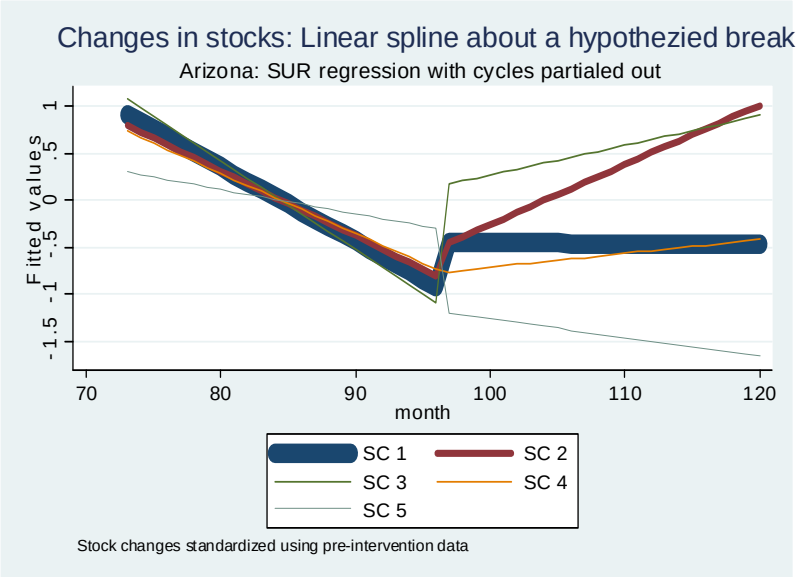

Figure 5: An Interrupted Time-Series for Changes in Per Capita Prison Stocks in Arizona

Focusing our attention on seriousness class 1, the visual impression is that the stock increased at the time of the imaginary intervention (i.e. after 24 months) and that the previously decreasing trend reversed its course. Because there was no actual intervention, we expected to see a continuation of the pre-24 month trend. In fact, the jump after 24 months is not statistically significant, but the reversal in the trend is highly significant ($p = 0.02$); based on these results alone, we would falsely conclude that our imaginary intervention changed the trend. In fact, looking across all five seriousness classes, the jump is significant ($p = 0.001$) for one class and the reversal in trends is significant at $p < 0.05$ for two seriousness classes and insignificant at $p < 0.06$ for a third. These results illustrate that resting evaluation on an interrupted time-series is treacherous and raises validity concerns, causing us to recommend against using an interrupted time-series to evaluate policy interventions intended to affect populations in state prisons.[13]

4.2 Difference-in-Differences

A problem with the interrupted time-series is that the post-intervention period may differ from the pre-intervention period for reasons that have nothing to do with the intervention. One way to strengthen the inference about treatment effectiveness is to presume that, absent an effective intervention, whatever changes occur during the post-intervention period would affect both seriousness class 1 and seriousness class 2 crimes in approximately the same way. This implies that we should compare the difference in trends for seriousness class 1 and seriousness class 2 crimes and only reject the null of no treatment effect when the break/trend for seriousness class 1 crimes differs

[13] An evaluator might choose to use a polynomial instead of local linear regressions, but this approach raises validity issues. When the regression is nonlinear in the vicinity of the break point, distinguishing between naturally occurring nonlinearity and nonlinearity induced by a true intervention is tenuous. We concede that other evaluators may prefer a nonlinear regression nevertheless, and rather than argue the point, we just emphasize that an interrupted time-series raises difficult problems of interpretation.

from the break/trend for seriousness class 2 crimes. A similar logic might be employed to contrast seriousness class 1 and seriousness class 3 crimes. This type of comparison is an application of a difference-in-differences (DD) design. Note that this approach depends critically on being correct about SUTVA so in a real application evaluators would be especially careful about choosing the cross sections.[14]

There is a trick to deriving the standard error for the test statistic because the time-series are not independent. We have used a linear seemingly unrelated regression (SUR) to estimate covariances. Variances are unaffected because, for each seriousness class, the right-hand-side variables are the same.

We compare the break in the time-series for seriousness class 1 with the break in the time-series for seriousness class 2 and find no statistically significant difference. We compare the break for SC 1 with the break for SC 3 and again find no significant break. We compare the break for SC 1 with the average of SC 2 and SC 3 and again find no statistically significant difference. Using these same contrasts for the post-intervention trends, we find no statistically significant differences. The DD design provides more satisfying results both because we fail to reject the null (which we know is correct) and because the logic of a DD is more compelling than the logic of an interrupted time-series.

4.2.1 An Alternative Approach

Although the DD framework specified above is familiar, an alternative that uses essentially the same identification strategy may be better. The alternative uses a ratio:

$$r_{ijk} = \frac{S_{ijk}}{\sum_{i \neq 1} S_{ijk}}$$

The numerator is stock for the seriousness class that is targeted by the intervention. The denominator is some combination of seriousness classes that are not targeted for the intervention. As before, the denominator should probably be restricted to seriousness classes that are similar to the seriousness class of interest.

We can substitute the ratio into the same regression framework used earlier for the interrupted time-series. Because we have not taken a first difference, autocorrelation is a problem, and consequently we have introduced a Prais-Winston transformation to adjust the regression for autocorrelation. Figure 6 shows four ratios, over an abbreviated observation window, for Arizona. The highest curve shows the ratio of class 1 seriousness offenders to the sum of class 1 and class 2 seriousness offenders. The lowest curve shows the ratio of class 1 seriousness offenders to the sum of all offenders. Visual inspection of the figure suggests no strong sharp breaks at 96 months. The evidence is less compelling regarding trends, and in fact, the trends are statistically different during the hypothetical intervention period (when no intervention in fact occurred) for two of the four contrasts. However, there is no statistically significant change in the trends for SC 1/(SC 1 + SC 2) or for

[14] Often interventions are rule driven, such as: release drug-law violators convicted of minor trafficking offenses. A suitable comparison group would be offenders convicted of low-level property crimes or minor assaults. The most desirable comparison group depends on the context so our choice of seriousness classes is only for illustration.

SC1/(SC1 + SC2 + SC 3); these are the contrast that seem most justified because SC 4 and SC 5 crimes are very different than SC 1 crimes. Even if we decide to place some emphasis on ratios that are statistically significant, we note that the size of the effect is not substantively large, so effects might be statistically significant but not substantively important. Given that the more proximate seriousness classes are the most informative for SC 1, we put more faith in the comparisons for these first two ratios.

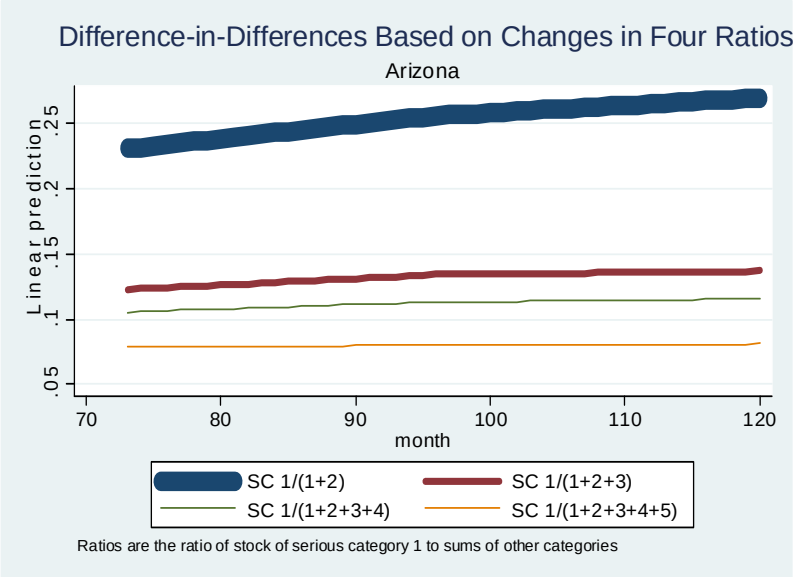

Figure 6: An Application of a Difference-in-Differences Estimator for Changes in Prison Stocks in Arizona

The difference-in-differences approach does not eliminate validity challenges and a rigorous evaluation might more carefully construct and examine the contrasts. The simple point made in the above two figures is that a difference-in-difference design greatly reduces validity challenges that arose in the interrupted time-series approach. A reader might think of the difference-in-difference approach as starting with an interrupted time-series (which is an obvious element of the DD) and improving the credibility of the inference.

4.2.2 Multi-State Considerations

Noteworthy, the DD estimates in the above two sections are *state-specific*. For some evaluations, including an evaluation of the JRI, several states have implemented the interventions at about the same time, and we might be interested in comparing effects across states or in combining effects to get an average effect. Because the estimate from one state is independent of the estimate from another state, we can combine estimates using an approach generically known as meta-analysis. There are many sources explaining meta-analysis (Borenstein M. , Hedges, Higgins, & Rothstein, 2009) but the simple analytics, suitable for present purposes, appear in accessible sources (Borenstein M. , Hedges, Higgins, & Rothstein, 2010; Rhodes, 2012).

Basically if we derive treatment effects for N states, then we can average across those N states to derive a composite treatment effect. We will not discuss the details, but a meta-analysis approach leads to an average (or, as appropriate, a weighted average) with standard error that depend on (among other things) whether the chosen estimator is a fixed-effect or a random-effect estimator.

An important consideration when evaluating JRI is that JRI is not a unique program. Rather, the JRI approach varies across the state implementers. This suggests that the meta-analysis might attempt to explain the size of treatment effects using specific program components as explanatory variables. Technically, this approach is a straightforward regression problem (Rhodes, 2012). Practically, however, inferences are limited by (1) the small number of states that have adopted JRI and (2) the diversity of JRI practices across those states. Rather than identifying an average treatment effect (a fixed-effect model), it may be useful to identify the variance in treatment effects across settings (a random-effect model) even it that variance cannot be explained due to insufficient data.

The difference-in-differences designed matched with meta-analysis appears to be a strong design for evaluating correctional interventions that are targeted on a specific group of offenders. We recommend combining DD and meta-analysis as the basic approach to dealing with state-level correctional interventions. However, this paper discusses an additional approach—a difference-in-difference-in-differences design—that may be suitable in some circumstances.

4.3 Difference-in-Difference-in-Differences

Although the DD framework appears to provide a useful basis for evaluation, we might strengthen that inferential framework using a difference-in-difference-in-differences design, hereafter DDD. The logic is that we compare the changes in slope in the state that implemented the intervention (Arizona, here) with the changes in slope for states that did not implement the intervention.[15] This is a DDD design because the first difference is within state (using the ratio approach) and the second difference is across state.

There are a number of ways to specify a model, but they all have a flaw: What other states should be used in the comparison? This question used to receive little attention in econometrics. Recently it has been receiving widespread attention (Wooldridge, 2007; Abadie, Diamond, & Hainmueller, 2010; Abadie, Diamond, & Hainmueller, 2014; Imbens & Wooldridge, 2009).

The basic problem is that statistical testing assumes that the state or states used in the DDD comparison are in fact appropriate comparisons, so that measurement error comes exclusively from time-series fluctuations. In fact, if there are differences across states that are not taken into account by matching states, then an additional level of uncertainty—that attributable to selecting the comparison states—is incorrectly ignored by the analysis.

Rather than performing a mock evaluation with cross-state comparisons, we use descriptive statistics from Georgia to illustrate the potential danger of a cross-state comparison. Compare figure 7 (Georgia) with figure 1 (Arizona). The presumption is that neither state had implemented major interventions to alter prison admissions. The logic of a difference-in-difference (or difference-in-difference-in-differences) methodology is that, for Georgia to be a useful counterfactual, both states should show comparable trends absent any interventions, but clearly the comparison shows that

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[15] This is one way of testing the SUTVA. Returning to the earlier example, suppose the intervention affects drunk driving but that offenders convicted of public intoxication might be treated similarly, perhaps because they were actually charged with drunk driving but entered a plea to public intoxication. We would expect to see a different trend for drunken driving in the state that implemented the intervention than in the state that did not implement the intervention. If there was no spillover, we would not expect to see the same contrast for public introxication.

equivalency to be erroneous. Any comparison of trends in Arizona and Georgia would fail to capture the uncertainly of selecting a state (Georgia) for purposes of comparison (with Arizona). Simply put, Georgia is a poor counterfactual but how would an evaluator know that?

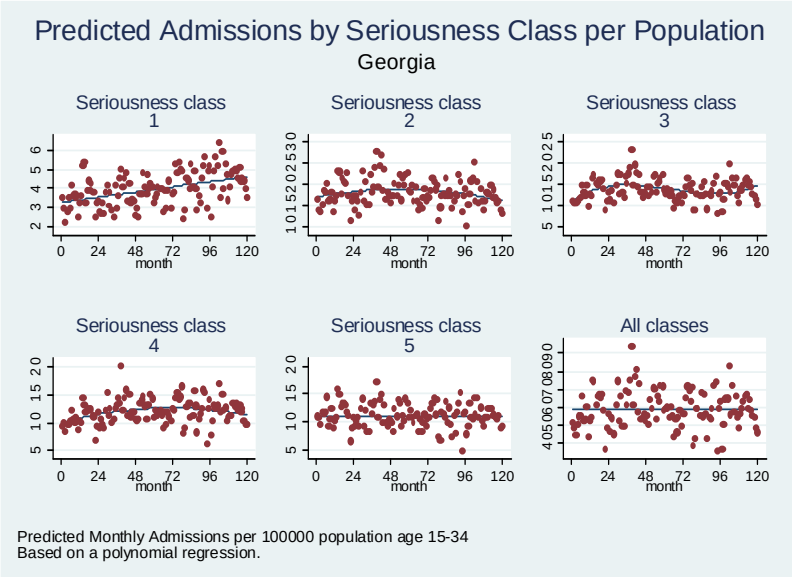

Figure 7: Trends in Prison Admissions per Capita in Georgia

A DDD methodology has the potential to improve the validity of inferences otherwise based on a DD methodology, but not necessarily if we lack a principled basis for selecting one or more comparison states. We turn to that issue next. We caution that the synthetic control methodology is emerging in the evaluation literature.

4.4 Synthetic Control Methodology

We illustrate using California because we know California implemented a major reform (Realignment) to reduce its prison population, and we might think that this reform would change the ratio of seriousness class 1 offenders to the sum of seriousness class 1 and 2 offenders. Note that California did not target its intervention to emphasize seriousness class 1 offenders over seriousness class 2 offenders, although this seems like an interesting research question, and it nicely illustrates the synthetic control methodology (Abadie, Diamond, & Hainmueller, 2010; Abadie, Diamond, & Hainmueller, 2014). We do not claim, however, that this is a serious evaluation.

Still thinking about DDD, and still using the DD ratio, we face two problems: (1) What states should be included in the comparison, and (2) What statistical test is appropriate for analysis? The synthetic control methodology answers both questions.

First we treat the ratio SC 1/(SC 1 + SC 2) as the variable of interest. The left-hand panel of figure 8 shows that prior to the California intervention (the broken vertical line) this ratio had been decreasing steadily and that after the intervention the ratio fell precipitously. From a DD perspective, this is fairly strong evidence that Realignment has worked to reduce the proportion of offenders in California prisons for relatively minor crimes (SC 1). The broken line shows the trend for the

synthetic cohort, identified as a cluster of states that experienced trends much like those experienced in California *prior to the intervention*.[16] After the intervention, the trend in the synthetic cohort states continued its fairly linear pattern. The fact that the post-intervention trend in California departs from the post-intervention trend in the synthetic cohort suggests that California successfully reduced the proportion of SC 1 offenders to the sum of SC 1 and SC 2 offenders. We have used a DDD perspective to strengthen the evidence from the DD perspective. However, we have not yet provided a statistical test.

To understand the statistical test, first perform a mental calculation. Looking at the left-hand panel, subtract the ratio for California from the ratio for the synthetic cohort. Graph that difference into the panel on the right. Prior to the intervention, the difference is near zero, so the line on the right-hand panel is flat until the intervention. Thereafter the line becomes increasingly negative.

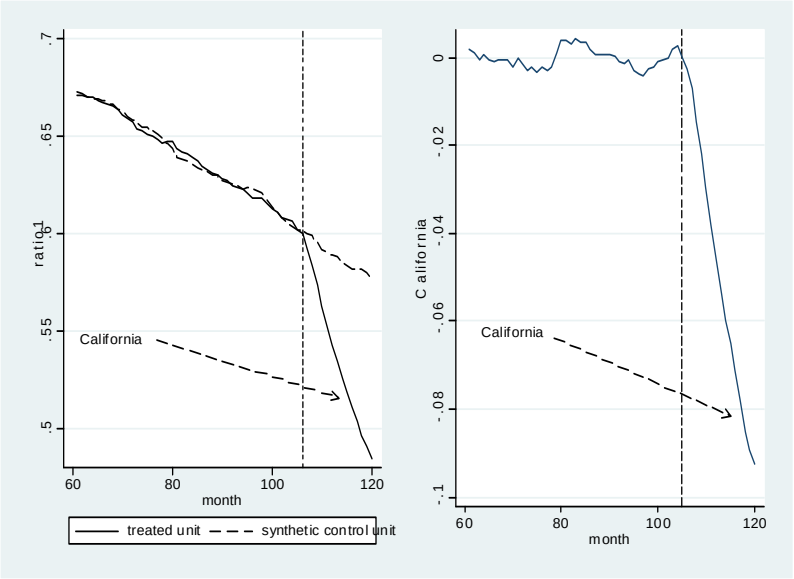

Figure 8: California and Synthetic Cohort: SC 1/(SC 1 + SC 2)

Next, translate the right-hand panel from figure 8 to become the left-hand panel in figure 9. Then, repeat the exercise applied to California to every other state; for each state imagine the counterpart to the left-hand panel, and draw that imagined counterpart into the right-hand panel.[17] The right-hand panel looks like a ball of yarn, but what is important is that the trend for California forms a lower boundary for the cluster of lines. Thirty states entered the analysis, so by chance, under the null hypothesis of no treatment effect, California would provide the lower boundary in this figure with a

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16 We refer readers elsewhere (Abadie, Diamond, & Hainmueller, 2010; Abadie, Diamond, & Hainmueller, 2014) for a technical explanation of identifying the synthetic control group. Intuitively the synthetic control group comprises other states that have trends similar to those experienced in California and have explanatory variables (such as arrests per capita) that have similar values. Members of the synthetic control group are weighted by relevance so some states receive higher weights than do others. Many states receive a weight of zero, meaning they are excluded from the synthetic control group.

17 Some states are so unique that they lack a synthetic cohort. They are excluded from the analysis so that the 33 states that entered the original analysis have been reduced to 30 states.

probability of 1/30. Thus we reject the null of no treatment effect in California with a probability of 1/30 = 0.0333.

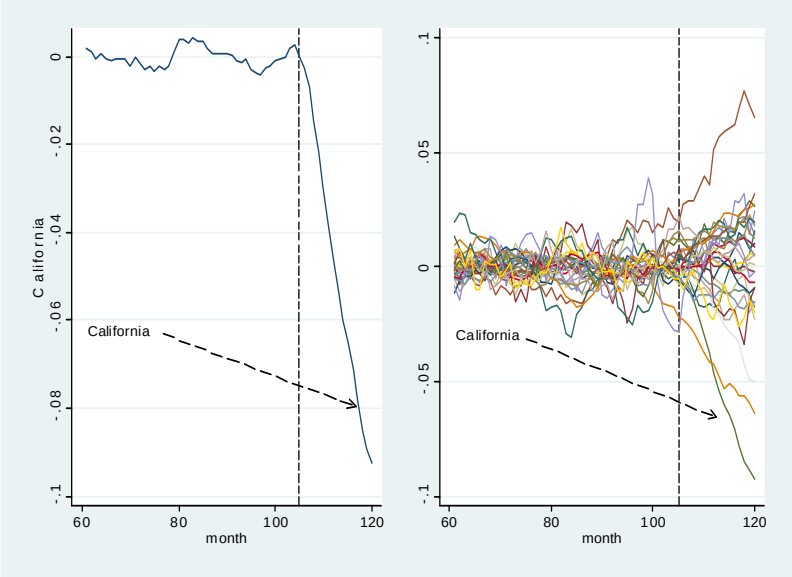

Figure 9: Test Statistic for Trend in SC 1/(SC 1 + SC 2)

Figure 10 provides a different measure for examining the trend: the ratio of SC 1 to the sum of SC 1, SC 2 and SC 3. The impression is not much changed. From a DD perspective, illustrated by the left-hand panel, we have strong evidence that California's Realignment has alter the composition of its prison population in the intended direction. California has decreased the ratio of the least serious offenders (as judged by offense seriousness) relative to other low seriousness offenders. From the right-hand panel, we have evidence that this change in not spurious, because it has not occurred in other states.

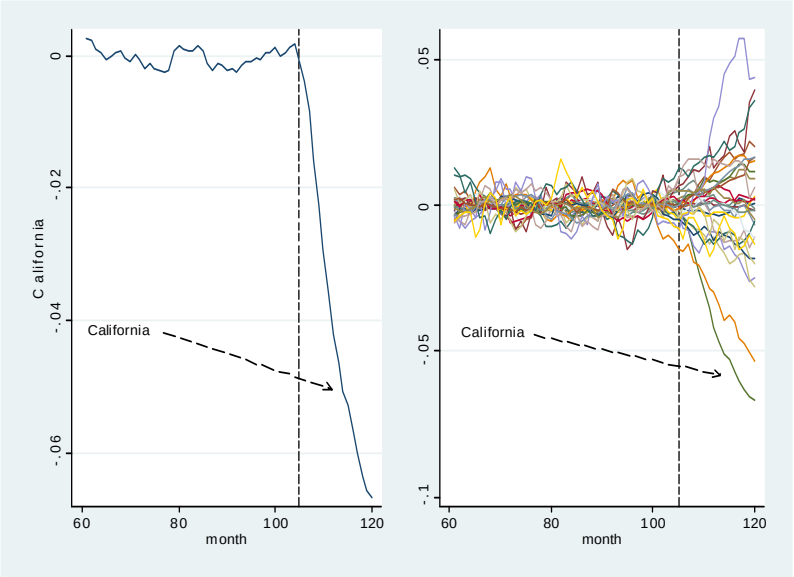

Figure 10: Test Statistics for Trend in SC 1/(SC 1 + SC 2 + SC 3)

The next figure is the counterpart to figure 10 but the ratio represented is SC 5/(SC 3 + SC 4 + SC 5). This tests the null that California has increased the proportion of the most serious offense classes relative to other relatively serious offense classes. One other state actually forms the upper boundary for the ball of twine, so the effect is statistically significant at 0.066.

Another possible null is that California simultaneously decreased the use of incarceration for SC 1 relative to SC 1 and SC 2 and increased the use of incarceration for SC 5 relative to SC 4 and SC 5. What we find is that California has reduced the use of prison for SC 1 (compared with SC 1 plus SC 2) by more than any other state and California has simultaneously increased the use of prison for SC 5 (compared with SC 4 plus SC 5) by more than every other state except one. These two trends are independent, so it is highly unlikely that California could have accomplished these simultaneous changes by chance.

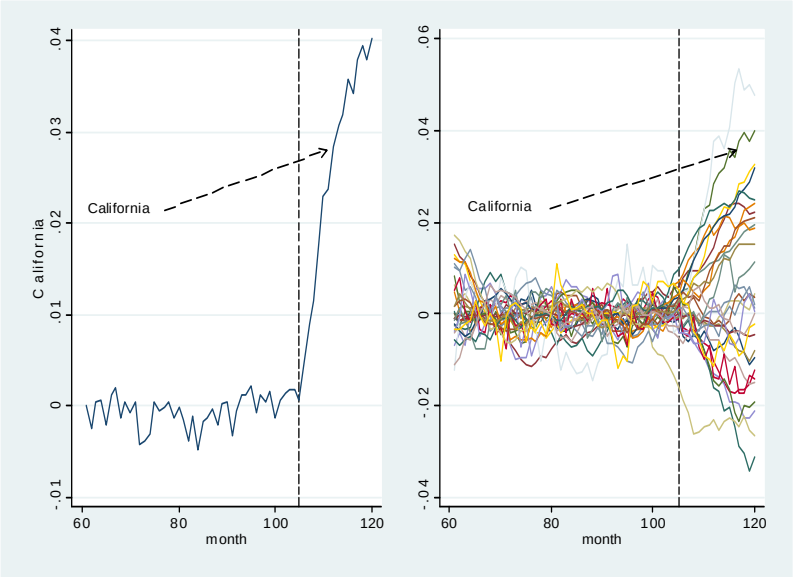

Figure 11: Test Statistics for Trends in SC 5/(SC 3 + SC 4 + SC5)

Although we have rejected an interrupted time-series as a useful evaluation design, we have not reached a conclusion that a DDD is superior to a DD. The synthetic cohort approach is recent and we feel uncomfortable that not enough experience has accumulated to adopt the synthetic control method as the principal evaluation method for statewide prison interventions. Furthermore, when it has been applied, the synthetic control approach has assumed that one state (California, above) has implemented the intervention while other states have not. Authorities have suggested how to deal with multiple states (Abadie, Diamond, & Hainmueller, 2010), but when several states have adopted an intervention—the JRI problem—the usefulness of the suggestions is not so obvious.

Our recommendation is using the DD and DDD in conjunction to strengthen conclusions in the face of potential validity challenges. Because prison reforms typically target a specific prison population defined by offense type (seriousness) and offender type (criminal history), it is practical to identify a within-state counterfactual of offenses that are slightly less serious (hence not a target for the intervention) and offenses that are slightly more serious (and hence not a target for the intervention). Many evaluators would argue that this is a relatively strong basis for estimating a treatment effect provided that SUTVA is met.

Nevertheless, a known deficiency of a DD framework is that pre-intervention trends may not portend post-intervention trends in the absence of the intervention. Using the logic of an interrupted time-series framework by limiting the bandwidth is helpful for dealing with this validity challenge, but we have suggested another procedure, namely using a DDD framework to test whether the trends in the state being evaluated differ substantially from the trends in other states. Not all states may offer good comparisons, so using statistical tests, we have applied the synthetic estimation framework to select states.

If the DD-estimated effect is not statistically significant or substantively meaningful, we probably halt the investigation. If it is significant/substantively meaningful, we then apply DDD through the synthetic estimation approach. However, it seems unreasonably conservative to put heavily reliance on statistical significance from the synthetic comparison approach. After all, if we require both tests

(the DD and the DDD), under the null the probability of rejecting the null is no longer 0.05, but rather, 0.05x0.05 = 0.0025. Clearly the test is too conservative.

We are unsure of an optimal test, but it seems sensible to mix quantitative and qualitative tests. The quantitative test is based on the DD. As already noted, if we fail to reject the null, then testing ceases. If we reject the null, the qualitative test is based on the DDD. To pass the qualitative test, we would expect California to fall near the lower or upper envelope of the multiple curves, but requiring California to form the envelope (the only way to achieve $p < 0.05$ given 30 states in the study) seems too severe.

5. Conclusions

This paper has discussed approaches to evaluating state-level reforms intended to reduce the use of prison for selected classes of offenders. Evaluation is difficult because random assignment is impractical and evaluation requires other approaches. Alternative approaches face validity and reliability challenges because it is difficult to identify suitable counterfactuals, and when they are identified, sample sizes are small.

We believe that interrupted time-series are poor designs that can lead to spurious findings, sometimes causing evaluators to reject interventions that are beneficial and sometimes causing evaluators to accept interventions that are ineffective. When the intervention targets a class of offenders, then a class of similar offenders within the same state may be a suitable counterfactual. This is the logic of a difference-in-difference design. Some additional rigor may be gained by augmenting the difference-in-differences with a difference-in-difference-in-differences approach, comparing trends across states. The problem is to identify suitable states for comparison and to identify statistical tests that recognize the small sample involved in the comparison. Synthetic control may provide a useful approach.

We have skirted or only briefly mentioned important issues. One issue is identifying the counterfactuals. We based the counterfactuals exclusively on five offense seriousness classes, but this is probably inadequate for many evaluation questions. As already mentioned, most prison reforms target certain offenses and offenders, and the counterfactual should be built around those types. Another issue is that states use their prisons in different capacities. For example, some states may frequently send offenders convicted of domestic assault to prison; other states may do so rarely. If offenders convicted of domestic assault are not part of the targeted group, it seems inappropriate to include them in any analysis that makes cross-state comparisons. This is just to say that an evaluator must think carefully about appropriate counterfactuals, and the choice of a counterfactual will hang on the evaluation question.

Especially when drawing cross-state comparisons, an evaluator needs to consider what other interventions are occurring. For convenience, our illustrations assume that no other interventions were occurring, but that assumption was for convenience and a serious evaluation would carefully determine its truth. California was an extreme choice; no other state, to our knowledge, has imposed such a strong change on its prison system during the same time frame. This will not always be the case, however. We were motivated to think about this problem because of the Justice Reinvestment Initiative, which is being implemented by several states, in different forms, simultaneously. From an evaluation standpoint, it may not make sense to estimate the size of the treatment effect by comparing JRI participants in the synthetic control framework. The larger concern is that two or more states may

simultaneously implement interventions, and while it may be useful to understand whether one type of intervention is preferable to another, the larger question regards what each accomplishes. From the DDD perspective, this requires comparing a state (or states) that implemented interventions to states that did not. In turn, this requires detailed knowledge of what states have done to moderate their prison populations. The NCRP program assembles useful data (known as the fact sheets), providing some basis for selection.

Finally, the discussion has concerned prison population composition, but this is not the only type of question that might be posed and answered using NCRP data. The NCRP is especially useful for studying recidivism defined as returning to prison in the same state. (The NCRP team is working on linking NCRP data across states so over time the definition will be expanded.) Questions about recidivism are equally amenable to the research designs posed here.

Our expectation is to apply the recommended approach to the Justice Reinvestment Initiative. JRI was implemented between 2010 and 2013 so with 2014 data we should be able to assess the impact of JRI interventions.

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Appendix C

Results of state survey on their ability to provide prisoners' 9-digit social security number to NCRP

Yes	Probably/Likely/Very likely	Maybe	Unlikely/Very unlikely
Arkansas	Arizona	Colorado	Alaska (law restricts access)
Connecticut	California	Delaware	Idaho
Hawaii	Indiana	Georgia DOC	Maryland
Kansas	Iowa	Minnesota	Nebraska
Louisiana	Kentucky	North Carolina	Nevada parole
Michigan	Maine		Wisconsin
New Hampshire	Massachusetts DOC		
New Jersey	Massachusetts parole		
New Mexico	Mississippi		
North Dakota	Missouri		
South Dakota	New York		
Vermont	Ohio		
West Virginia	Oklahoma		
Wyoming	Pennsylvania parole		
	Rhode Island		
	South Carolina DOC		
	South Carolina parole		
	Texas		
	Utah		
	Washington		

No	Don't know	Did not respond
DC (CSOSA)	Alabama	Florida
Georgia parole (by law)	Montana	Illinois
Nevada DOC (policy)	Virginia	
Oregon (policy)		
Pennsylvania DOC (policy)		
Tennessee		

Appendix D

Phone script to introduce reporting year 2015 data collection for states already submitting data to NCRP

NCRP 2015 Data Collection Protocol and Interview Guide – CURRENTLY CONTRIBUTING STATES

Prior to initial conversation with state:

- Get background information:
  - Review prior conversations with state (to re-familiarize yourself)
  - Get 2014 submission date (to identify target date for 2015 data)
  - Find out the NPS and APS contacts for the state
  - Look up what we are thanking them for (see NCRP points of contact.xls)
  - review Fact Sheet, to re-familiarize yourself with the state
  - Review data quality issues Jeremy and Ryan identified (see K:\Projects\NCRP\State Folders)
  - Significant, unexplained differences between NCRP and NPS or DOC annual report
- Determine what we need to ask them for
  - 2015 NCRP data
  - Other NCRP data: D records, ABD from prior years, additional ABD data elements, EF records
  - Approve/review Fact Sheet
- Email the primary contact to set up a time to talk. The purpose of the call will be to:
  - Talk about the 2015 data request.
  - Talk about improvements we have made to NCRP
  - Get your ideas on other improvements we can make to NCRP
- Record initial and follow-up attempts to reach POC on your tracking sheet.

General outline conversation with primary point of contact (will vary depending on your relationship with the POC and the POC's familiarity with NCRP and our project)

- Confirm this is a good time to talk
- Thank them for what they did in 2015 (2014 data request, have list ready)
- Indicate we have made a number of improvements to NCRP over the past year. For example:
  - Construction of EF term records
  - More states are participating
  - New data quality controls; ABD term records
- Discuss the 2015 data request
  - Highlight what has changed for 2015 – request 9-digit SSN, address of last residence prior to imprisonment, security level at which prisoner is being held
  - Confirm that they'll be able to submit 2015 data (e.g., not transitioning to a new system)
    - Set a target date for submission, based on what they did last year
  - If a new state, indicate that the includes and excludes are in the FAQ.
- In addition to getting 2015 data, we have other initiatives planned for 2016 and beyond that will improve the NCRP
  - [as appropriate] data linkage to external federal sources if permitted by the states
  - [as appropriate] want to fill in the holes from prior years – see if they can submit old data
  - [as appropriate] want to get additional data elements – see if they can do this
  - [as appropriate] want to get EF records – see if they can submit EF records for the first time. Mention that BJS grant funding may be available, and see if they are interested.

    - [as appropriate] want to re-design of how NCRP does parole/PCCS – as appropriate, ask parole/PCCS questions, identify who to talk with, or set up time to talk with the POC about this
- Ask them if they have any questions about NCRP.
- Confirm next steps for them (e.g., submit 2015 data, then submit old data)
- Indicate what you will be sending to them (see list below)
    - Ask them if they prefer the materials mailed or emailed
    - Ask them what pieces of the mailing should be sent to others (above or below them) – confirm contact information. Ask about other persons in our state contact list.
- Thank them for participating in NCRP

After the initial conversation

- Record the date of the conversation on your tracking sheet
- Within 2 days of the call, prepare the materials to be mailed (or emailed) to them
    - Data request materials
        - BJS cover letter: add POC name and address, save in K:\Projects\NCRP\2015 Data Collection\Materials sent to states\[state name], print on BJS letterhead
        - Abt cover letter: add POC name and address, customize depending on what they did last year and what they agreed to do in 2016, save in K:\Projects\NCRP\2015 Data Collection\Materials sent to states\[state name], print on Abt letterhead
        - FAQ
    - Use hand-addressed Abt (9x12) envelope, if mailing
- *Tom reviews the materials before sending*
- Mail (1st class) or email
- Record date of mailing on your tracking sheet
- Send NCRP Newsletter to other state contacts, as appropriate

If data is not received by March 31, 2016

- Check tracking sheet to see whether they previously said they would be late submitting data (e.g., because of legislative session work)
- Email point of contact (customize this email depending on your relationship with the contact):
    - "We are checking back with you on the status of our request for 2015 NCRP data. You had earlier indicated to us that you would be able to submit these data by March 31, 2016. Please contact me if you have any questions. Thank you again for participating in NCRP."
- Record email on tracking sheet
- Follow-up if no response in 2-3 days
- Record response on tracking sheet

Appendix E

Phone script to introduce reporting year 2015 data collection for states that have not recently submitted data to NCRP

NCRP 2015 Data Collection Protocol and Interview Guide –LAPSED STATES OR THOSE NOT CURRENTLY SUBMITTING

Prior to initial conversation with state:

- Get background information:
  - Review any prior conversations with state (to re-familiarize yourself)
  - If state has submitted in the past, review what parts of NCRP and what years were provided.
  - Find out the NPS and APS contacts for the state
  - review Fact Sheet, to re-familiarize yourself with the state
  - If the state has submitted in the past, review any data quality issues that Jeremy and Ryan have identified (see K:\Projects\NCRP\State Folders)
  - Significant, unexplained differences between NCRP and NPS or DOC annual report
  - For states that have never submitted, consider having BJS send a letter to the DOC commissioner to solicit participation.
- Determine what we need to ask them for
  - 2015 NCRP data
  - Other NCRP data: D records, ABD from prior years, additional ABD data elements, EF records
- Email the primary contact to set up a time to talk. The purpose of the call will be to:
  - Talk about the 2015 data request and what's new for this year.
  - Talk about advantages of submitting to NCRP (access to NCRP website for state to state analytic tool, use of NCRP data by outside groups for research)
  - Discuss the reduced list of variables we are requesting for lapsed and new states.
  - Mention that if budget constraints prevent the DOC from doing the programming required to extract data for NCRP, BJS does make small one-time grants to assist states that have never submitted, have lapsed in submission, or are making IT system changes that require reprogramming extraction code.
  - Get your ideas on other improvements we can make to NCRP (lapsed states only)
- Record initial and follow-up attempts to reach POC on your tracking sheet.

General outline conversation with primary point of contact (will vary depending the POC's familiarity with NCRP and our project)

- Confirm this is a good time to talk
  - For states that have never submitted, confirm that they are the person you should be talking to (they can authorize participation in NCRP). Also ask whether we need to contact a separate person for the parole records.
- [If state has previously submitted] Thank them for past participation, and make the case for restarting submission (new states have come on, we will accept reduced variable list, etc)
- Thank them for taking the time to speak with you, introduce the NCRP and its many uses by federal, state, nonprofit, and academic researchers.
  - Discuss how important an administrative data collection is to BJS, since they can only get out to field the survey of prison inmates every 7-10 years.
  - Stress that once the extraction program has been set up, only very minor changes need to be made in subsequent years to provide annual data.

    - Mention that we will accept a reduced list of variables to get them started, and that BJS can provide one-time small grants to support programming of extraction programs.
- Indicate BJS is committed to NCRP and Abt Associates, their data collection agent, has made a number of improvements to NCRP over the past 5 years For example:
    - Construction of term records for both prison and PCCS records
    - More states are participating
    - New data quality controls
    - Annual data providers meeting
- Discuss the 2015 data request
    - Highlight what has changed for 2015 – request 9-digit SSN, address of last residence prior to imprisonment, security level at which prisoner is being held
    - Confirm that they'll be able to submit 2015 data (e.g., not transitioning to a new system)
        - Set a target date for submission, based on what they did last year
    - If a new state, indicate that the includes and excludes are in the FAQ.
- In addition to getting 2015 data, we have other initiatives planned for 2016 and beyond that will improve the NCRP
    - [as appropriate] data linkage to external federal sources if permitted by the states
    - [as appropriate] want to fill in the holes from prior years – see if they can submit old data at the same time as the 2015 data (should just require a change in the year in the extraction program)
    - [as appropriate] want to get E,F records – see if they can submit E,F records for the first time. Mention that BJS grant funding may be available, and see if they are interested.
    - [as appropriate] ask parole/PCCS questions, identify who to talk with, or set up time to talk with the POC about this
- Ask them if they have any questions about NCRP.
- Confirm next steps for them (e.g., submit 2015 data, then submit old data)
- Indicate what you will be sending to them (see list below)
    - Ask them if they prefer the materials mailed or emailed
    - Ask them what pieces of the mailing should be sent to others (above or below them) – confirm contact information. Ask about other persons in our state contact list.
- Thank them for participating in NCRP

After the initial conversation

- Record the date of the conversation on your tracking sheet
- Within 2 days of the call, prepare the materials to be mailed (or emailed) to them
    - Data request materials
        - BJS cover letter: add POC name and address, save in K:\Projects\NCRP\2015 Data Collection\Materials sent to states\[state name], print on BJS letterhead
        - Abt cover letter: add POC name and address, customize depending on what they have agreed to do in 2016, save in K:\Projects\NCRP\2015 Data Collection\Materials sent to states\[state name], print on Abt letterhead
        - FAQ
    - Use hand-addressed Abt (9x12) envelope, if mailing
- *Tom reviews the materials before sending*
- Mail (1st class) or email
- Record date of mailing on your tracking sheet
- Send NCRP Newsletter to other state contacts, as appropriate

If data are not received by March 31, 2016

- Check tracking sheet to see whether they previously said they would be late submitting data (e.g., because of legislative session work)
- Email point of contact (customize this email depending on your relationship with the contact):
    - "We are checking back with you on the status of our request for 2015 NCRP data. You had earlier indicated to us that you would be able to submit these data by March 31, 2016. Please contact me if you have any questions. Thank you again for participating in NCRP."
- Record email on tracking sheet
- Follow-up if no response in 2-3 days
- Record response on tracking sheet

Appendix F

Introductory letter from BJS to data respondents for collection of 2015 NCRP data

U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

Washington, D.C. 20531

DATE

Name
Agency
Address
City
State, zip

Dear_____:

We are writing to request your participation in the National Corrections Reporting Program (NCRP). Data are now being collected for the 2015 reporting year by Abt Associates Inc., our data collection agent.

Last year all 50 states submitted at least some NCRP data. We are confident that in 2016 we will have 100% participation. For 2015, our emphasis will be on increasing the number of states that submit key offender identifiers (State ID and FBI number) and post-confinement community supervision admission (Part E) and release (Part F) records. Please note that there are no new variables or records in this year's request.

As provided under Title 42 of the United States Code, Section 3789, BJS collects NCRP data for statistical purposes only, does not release data pertaining to specific individuals in the NCRP, and has in place procedures to guard against disclosure of personally identifiable information. NCRP data are maintained under the security provisions outlined in U.S. Department of Justice regulation 28 CFR §22.23, which can be reviewed at: http://bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf. The NCRP collection underwent its 3-year clearance review by the Office of Management and Budget in 2012 and was approved; you can read the application and review comments at: http://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=201208-1121-005.

Finally, we want to alert you that in addition to this request for NCRP data, if you are the respondent for other annual BJS data collections, you will receive separate cover letters for these collections, including the National Prisoner Statistics (NPS), Annual Probation and Parole Surveys (APS), Capital Punishment, and Deaths in Custody Reporting Program (DCRP). We appreciate the amount of time and energy that you expend in providing us these data. Without your assistance, BJS would be unable to provide comprehensive and accurate statistics on the correctional populations in the United States.

On behalf of BJS, Abt will be in contact with your agency shortly to launch the 2015 data collection process. In the meantime, if you have any questions please feel free to contact the Abt Project Director, Tom Rich, at 617-349-2753 or Tom_Rich@abtassoc.com or the BJS Program Manager, Ann Carson, at 202-616-3496 or elizabeth.carson@ojp.usdoj.gov. Once again, many thanks for your participation in BJS' NCRP program.

Sincerely,

William J. Sabol, Ph.D.
Director
Bureau of Justice Statistics

E. Ann Carson, Ph.D.
Statistician and Program Manager, NCRP
Bureau of Justice Statistics

Appendix G

Introductory letter from data collection agent to data respondents for collection of 2015 NCRP data

January 12, 2016

<RESPONDENT TITLE> <RESPONDENT FIRST NAME> <RESPONDENT LAST NAME>
<RESPONDENT TITLE, OFFICE>
<RESPONDENT DOC>
<RESPONDENT DOC STREET ADDRESS>
<RESPONDENT DOC CITY>, <RESPONDENT DOC STATE> <RESPONDENT DOC ZIP>

Dear <RESPONDENT TITLE> <RESPONDENT LAST NAME>:

On behalf of the Bureau of Justice Statistics (BJS), I want to thank you for participating in the National Corrections Reporting Program (NCRP). Last year all 50 states submitted at least some NCRP data. We are confident that in 2015 we will continue to have 100% participation.

For this year's request, we are requesting that you submit 2015 Parts A, B, D, E, and F – the same as you have done in the past. Data request instructions and submission procedures are attached.

If possible, we would appreciate receiving these data by March 31, 2016.

BJS has obtained permission from the Office of Management and Budget through its clearance procedure to request variables that will allow BJS and other researchers to better characterize the geographic and security profile of offenders, as well as to link the NCRP data to other federal datasets if permitted by <RESPONDENT DOC STATE>. If possible, please add the following items to your submission:

- Add 9-digit social security number and address of last known residence prior to imprisonment to the NCRP data files you currently submit.
- Add the security level of custody for each inmate in NCRP Parts A and D (prison admission and yearend custody records).

If you have any questions about NCRP or this data request, please contact me at 617-349-2753 or tom_rich@abtassoc.com. Again, we appreciate your support of NCRP.

Sincerely,

Tom Rich
NCRP Site Liaison

Appendix H

Instructions for NCRP data submission, reporting year 2015

2015 NCRP Data Request Instructions

Prison and Post Confinement Community Supervision Records (Parts A, B, D, E, and F)

January 2016

Contacts:
Tom Rich
NCRP Project Director
and Site Liaison
617-349-2753
tom_rich@abtassoc.com

Michael Shively
NCRP Site Liaison
617-520-3562
michael_shively@abtassoc.com

Abt Associates Inc.
55 Wheeler Street
Cambridge, MA 02138

2015 NCRP Data Request Instructions

Table of Contents

Overview

The National Corrections Reporting Program (NCRP) collects offender-level information from state departments of correction and community supervision on admissions to and releases from prisons and post confinement community supervision programs. Abt Associates is the NCRP data collection agent for the Bureau of Justice Statistics, the federal agency that administers NCRP. BJS has administered NCRP since 1983. Contact your **NCRP site liaison** (Tom Rich, at tom_rich@abtassoc.com or 617-349-2753 or Mike Shively, at michael_shively@abtassoc.com or 617-520-3562) for more information. Or visit the NCRP website at www.ncrp.info.

For 2015, states are asked to submit three prison files:

- Prison Admissions (Part A): one record for each *admission* of a sentenced offender to the state's prison system during calendar year 2015.
- Prison Releases (Part B): one record for each *release* of a sentenced offender from the state's prison system during calendar year 2015.
- Prison Custody (Part D): one record for each sentenced *offender* in the physical custody of the state's prison system on December 31, 2015.

For 2015, states are also asked to submit two post-confinement community supervision (PCCS) files:

- Post Confinement Community Supervision[1] Admissions (Part E): one record for each *admission* to a post-confinement community supervision program.
- Post Confinement Community Supervision Releases (Part F): one record for each *release* from a post-confinement community supervision program.

The detailed instructions below for Parts A, B, D, E, and F include the NCRP definitions of admissions, releases, and other terminology. The NCRP definitions may vary from the definitions your state uses.

What's New for 2015

BJS has obtained clearance from OMB (1121-005) to collect the following pieces of information for all parts (A – F):

- 9-digit social security number

BJS has obtained clearance from OMB (1121-005) to collect the following pieces of information for prison and parole admission records (A, E):

[1] Post Confinement Community Supervision means sentenced offenders serving a period of community supervision immediately after release from prison.

- Address of last residence prior to imprisonment, consisting of street address, city, state, and zip code

In addition, BJS has added the following item to prison yearend custody records (Part D):

- Security level at which the inmate is imprisoned

General Data Submission Instructions

Is there a required format or coding scheme for the data?

- There is no required format or file type for the data you submit; use whatever is most convenient for you.
- There is no required set of codes for the categorical NCRP variables (e.g., race, prison admission type). The documentation in this manual includes suggested "NCRP format" codes, but you can use whatever internal codes your agency uses. As necessary, Abt will re-code your internal agency codes into the standardized NCRP codes.

What if I am unable to provide all the requested data?

- If your agency does not collect one or more of the requested data elements or providing them would be an excessive burden (or is not allowed under agency policy), those data elements do not have to be included in the data submission. The instructions for each Part also highlight the "core" data elements that are most important to NCRP.

When is the data submission due?

- The target date for submitting NCRP data is March 31st, but we understand that agency constraints in many states preclude meeting that target date. The Abt site liaison will work with each state to set a realistic target date.

How do I send the data to Abt Associates?

- The preferred method for submitting data is via the NCRP data transfer site (transfer.abtassoc.com). This site is compliant with FIPS (Federal Information Processing Standard) 140-2 and meets all the requirements of the Federal Information Security Management Act (FISMA) and the Privacy Act. The data are automatically encrypted during transit.
- When you are ready to submit data, contact your NCRP site liaison[2] to obtain a unique username and password for the transfer portal, or to make other submission arrangements. Please protect your transfer portal username and password. Instructions on how to use the transfer site are available from your Abt site liaison.

What happens after we submit data?

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[2] Tom Rich, at tom_rich@abtassoc.com or 617-349-2753, or Mike Shively, at michael_shively@abtassoc.com or 617-520-3562

- Abt will verify the contents of the data files and conduct a series of validity checks on the data (including comparing the submitted data to your submissions from prior years). Typically, this will be accomplished within 2-4 weeks of receipt of your data. Your Abt site liaison will then contact you to review the findings. Having a thorough understanding of what data you submit is necessary in order to construct valid and reliable national NCRP datasets.

Part A (Prison Admissions) Instructions

The data file you produce for Part A should contain **one data record for each admission of a sentenced inmate to your prison system during 2015, regardless of sentence length or jurisdiction.**

NCRP defines admissions as including:

- new court commitments;
- revocations from probation, parole, or other types of post-confinement community supervision;
- transfers from other jurisdictions;
- escape or AWOL returns;
- returns from appeal or bond.

Include in Part A:

- Admissions of sentenced inmates to your prison facilities.[3]
- Admissions of sentenced inmates under your jurisdiction to county or local jails.
- Admissions of sentenced inmates under your jurisdiction to in-state private prisons, including both privately owned facilities and facilities operated by a private entity under contract to the state.

Exclude from Part A:

- Admissions of sentenced inmates to one of your prison facilities who are being transferred from another one of your prison facilities.
- Inmates re-entering a prison facility after a temporary leave of 30 days or less (e.g., for a court appearance, funeral furlough, or medical care).
- Admissions of sentenced inmates under your jurisdiction to Federal facilities, another state's facilities, or out-of-state private facilities.
- Admissions of unsentenced inmates to your prison facilities (e.g., inmates awaiting trial, civil commitments)

The variables requested in the Part A data set are listed on the next page. Most of these variables are also in the Part B and D requests. Refer to the Appendix for additional information on these variables.

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[3] Prison facilities include prisons, penitentiaries, and correctional institutions; boot camps; prison farms; reception, diagnostic, and classification centers; release centers, halfway houses, and road camps; forestry and conservation camps; vocational training facilities; prison hospitals; and drug and alcohol treatment facilities for prisoners. For inmates under home confinement, a private residence is not considered a prison facility.

The Part A (Prison Admissions) variables are listed below in the table. If you have limited resources for responding to this data request, please focus on the **core variables**. Additional information on the variables is in the Appendix.

Category	#	Name	Definition	Core Variable
Offender	2	Inmate ID Number	A unique number that identifies an offender within the agency for this admission and all subsequent admissions.	✓
	30	State ID Number	The offender's unique, fingerprint-supported state identification number	✓
	39	FBI Number	The unique identification number given by the Federal Bureau of Investigation/ Interstate Identification Index to each offender	✓
	36	First Name	The offender's first name	✓
	37	Last Name	The offender's last name	✓
	46	SSN	9-digit social security number	✓
	47	Residential Street Address	Street address of residential address prior to imprisonment	✓
	48	Residential City	City of residence prior to imprisonment	✓
	49	Residential State	State of residence prior to imprisonment	✓
	50	Residential Zip Code	Zip code of residence prior to imprisonment	✓
	3	Date of Birth	The offender's date of birth	✓
	4	Sex	The offender's biological sex	✓
	5	Race	The offender's race	✓
	6	Hispanic Origin	Is the offender of Hispanic origin?	✓
	7	Highest Grade Completed	The highest academic grade level the offender completed prior to admission to prison on the current sentence	
	40	Prior Military Service	Did the offender ever served in the U.S. Armed Forces?	✓
	41	Date of Last Military Discharge	The date the offender was discharged from the U.S. Armed Forces for the final time	✓
	42	Type of Last Military Discharge	The type of discharge the inmate received from the U.S. Armed Forces	✓

Category	#	Name	Definition	Core Variable
Sentence	1	County in Which Sentence was Imposed	The county where the court imposing the current sentence is located	✓
	11	Prior Jail Time	The length of time served in jail prior to the date of admission (Variable 8) and credited to prison service for the current sentence	✓
	12	Prior Prison Time	The length of time served in prison prior to the date of admission (Variable 8) and credited to prison service for the current sentence	
	13	Offenses	Crime(s) for which the offender was admitted to prison on the current sentence(s), including the number of counts for each offense.	✓
	14a	Offense with Longest Maximum Sentence	Of the crimes coded in Variable 13, the ONE crime for which the inmate received the longest sentence	✓
	14b	Sentence Length for Variable 14a Offense	The maximum sentence as stated by the court that the offender is required to serve for the offense listed in Variable 14a	✓
	15	Total Maximum Sentence Length	The longest length of time as stated by the court that the offender could be required to serve for all offenses specified in Variable 13 (Offenses)	✓
	31a	Indeterminate Sentence	Does the total maximum sentence (Variable 15) include an indeterminate sentence?	
	31b	Determinant Sentence	Does the total maximum sentence (Variable 15) include a determinate sentence?	
	31c	Mandatory Minimum Sentence	Does the total maximum sentence (Variable 15) include a mandatory minimum sentence?	
	31d	Truth in Sentencing Law Restriction	Is the total maximum sentence (Variable 15) restricted by a Truth in Sentencing Law mandating that a certain percentage of the court- imposed sentence be served in prison?	
	32	Length of Court-Imposed Sentence to Community Supervision	The amount of time which the court states that the offender is required to serve under community supervision after release from prison	
Prison Admission	8	Date of Admission to Prison	The most recent date the offender was admitted into the custody of the state prison system on the current sentence	✓

Category	#	Name	Definition	Core Variable
	9	Type of Admission to Prison	The reason an offender entered into the physical custody of a correctional facility on the date provided in Variable 8 (Admission Date) of the current record	✓
	10	Jurisdiction on Date of Admission	The state with the legal authority to enforce the prison sentence	✓
	17	Location where Offender is to Serve Sentence	The type of facility in which the offender will be incarcerated to serve time for his/her crime.	
Anticipated Release from Prison	33	Parole Hearing/Eligibility Date	The date the offender is eligible for review by an administrative agency such as a parole board, to determine whether he or she will be released from prison	
	34	Projected Release Date	The projected date on which the offender will be released from prison	
	35	Mandatory Release Date	The date the offender by law must be conditionally released from prison	

Part B (Prison Releases) Instructions

The data file you produce for Part B should contain **one data record for each release of a sentenced inmate from your prison system during 2015, regardless of sentence length or jurisdiction.**

NCRP defines releases as including:

- conditional releases from prison to parole, probation, or other forms of post-confinement community supervision;
- unconditional releases;
- releases or transfers to other authorities;
- deaths;
- releases on appeal or bond if credit for time served is not given while on release;
- escapes from custody.

Include in Part B:

- Releases of sentenced inmates from your prison facilities[4], regardless of jurisdiction or sentence length.
- Releases of sentenced inmates under your jurisdiction from county or local jails.
- Releases of sentenced inmates under your jurisdiction from in-state private prisons, including both privately owned facilities and facilities operated by a private entity under contract to the state.

Exclude from Part B:

- Sentenced inmates who are being transferred from one of your facilities to another one of your prison facilities.
- Temporary releases of sentenced inmates of 30 days or less (e.g., for a court appearance, funeral furlough, or medical care).
- Releases of sentenced inmates under your jurisdiction from Federal facilities, another state's facilities, or out-of-state private facilities.
- Releases of unsentenced inmates from your prison facilities (e.g., inmates awaiting trial, civil commitments)

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[4] Prison facilities include prisons, penitentiaries, and correctional institutions; boot camps; prison farms; reception, diagnostic, and classification centers; release centers, halfway houses, and road camps; forestry and conservation camps; vocational training facilities; prison hospitals; and drug and alcohol treatment facilities for prisoners. For inmates under home confinement, a private residence is not considered a prison facility.

The variables requested in the Part B data set are listed on the next page. Most of these variables are also in the Part A and D requests. Refer to the Appendix for additional information on these variables.

The Part B (Prison Releases) variables are listed below in the table. If you have limited resources for responding to this data request, please focus on the **core variables**. Additional information on the variables is in the Appendix.

Category	#	Name	Definition	Core Variable
Offender	2	Inmate ID Number	A unique number that identifies an offender within the agency for this admission and all subsequent admissions.	✓
	30	State ID Number	The offender's unique, fingerprint-supported state identification number	✓
	39	FBI Number	The unique identification number given by the Federal Bureau of Investigation/ Interstate Identification Index to each offender	✓
	36	First Name	The offender's first name	✓
	37	Last Name	The offender's last name	✓
	46	SSN	9-digit social security number	✓
	3	Date of Birth	The offender's date of birth	✓
	4	Sex	The offender's biological sex	✓
	5	Race	The offender's race	✓
	6	Hispanic Origin	Is the offender of Hispanic origin?	✓
	7	Highest Grade Completed	The highest academic grade level the offender completed prior to admission to prison on the current sentence	
	40	Prior Military Service	Did the offender ever served in the U.S. Armed Forces?	✓
	41	Date of Last Military Discharge	The date the offender was discharged from the U.S. Armed Forces for the final time	✓
	42	Type of Last Military Discharge	The type of discharge the inmate received from the U.S. Armed Forces	✓
	20	Prior Felony Incarcerations	Was the offender ever sentenced to confinement for a felony as a juvenile or adult prior to his/her current prison admission?	
Sentence	1	County in Which Sentence was Imposed	The county where the court imposing the current sentence is located	✓
	11	Prior Jail Time	The length of time served in jail prior to the date of admission (Variable 8) and credited to prison service for the current sentence	✓
	12	Prior Prison Time	The length of time served in prison prior to the date of admission (Variable 8) and credited to prison service for the current sentence	

Category	#	Name	Definition	Core Variable
	13	Offenses	Crime(s) for which the offender was admitted to prison on the current sentence(s), including the number of counts for each offense.	✓
	14a	Offense with Longest Maximum Sentence	Of the crimes coded in Variable 13, the ONE crime for which the inmate received the longest sentence	✓
	14b	Sentence Length for Variable 14a Offense	The maximum sentence as stated by the court that the offender is required to serve for the offense listed in Variable 14a	✓
	15	Total Maximum Sentence Length	The longest length of time as stated by the court that the offender could be required to serve for all offenses specified in Variable 13 (Offenses)	✓
	31a	Indeterminate Sentence	Does the total maximum sentence (Variable 15) include an indeterminate sentence?	
	31b	Determinant Sentence	Does the total maximum sentence (Variable 15) include a determinate sentence?	
	31c	Mandatory Minimum Sentence	Does the total maximum sentence (Variable 15) include a mandatory minimum sentence?	
	31d	Truth in Sentencing Law Restriction	Is the total maximum sentence (Variable 15) restricted by a Truth in Sentencing Law mandating that a certain percentage of the court- imposed sentence be served in prison?	
	32	Length of Court-Imposed Sentence to Community Supervision	The amount of time which the court states that the offender is required to serve under community supervision after release from prison	
Admission to Prison	8	Date of Admission to Prison	The most recent date the offender was admitted into the custody of the state prison system on the current sentence	✓
	9	Type of Admission to Prison	The reason an offender entered into the physical custody of a correctional facility on the date provided in Variable 8 (Admission Date) of the current record	✓
	10	Jurisdiction on Date of Admission	The state with the legal authority to enforce the prison sentence	✓

Category	#	Name	Definition	Core Variable
	17	Location where Offender is to Serve Sentence	The type of facility in which the offender will be incarcerated to serve time for his/her crime.	
Additional Sentences Since Admission	18	Additional Offenses Since Admission Date	Any additional offense imposed after the date of admission (Variable 8), regardless of the date of the crime.	
	19	Additional Sentence Time Since Admission	The maximum time the inmate may be incarcerated consecutive to the sentence length coded in Variable 15	
Release from prison	23a	Date of Release from Prison	The most recent calendar date that the state's prison custody terminated	✓
	25	Type of Release from Prison	The method of, or reason for, departure from the custody of your prison system on the reported date of release	✓
	21	AWOL or Escape	Was the offender AWOL or did (s)he escape while serving sentences?	
	22a	Community Release Prior to Prison Release	Prior to release from the custody of a prison system, was the offender concurrently under community based supervision or placement?	
	22b	Number of Days on Community Release	The number of days the inmate was on community release prior to release from prison (if Variable 22a is yes)	
	23b	Location at Time of Prison Release	The type of facility that had been used for the custody or care of the offender just prior to release	
	24	Agencies Assuming Custody at Time of Prison Release	The type and location of agency that assumes custody (physical or supervisory) over an inmate's freedom at the time of prison release	

Part D (Prison Custody) Instructions

The data file you produce for Part D should contain **one data record for each sentenced inmate under physical custody, regardless of sentence length or jurisdiction, on December 31, 2015.**

Include in Part D:

- Sentenced inmates in your prison facilities[5], regardless of jurisdiction or sentence length.
- Sentenced inmates under your jurisdiction held in county or local jails.
- Sentenced inmates under your jurisdiction held in in-state or out-of-state private prisons, including both privately owned facilities and facilities operated by a private entity under contract to the state.
- Any inmate in the above categories who was temporarily released (less than 30 days) from a facility.

Exclude from Part D:

- Sentenced inmates under your jurisdiction held in Federal facilities or another state's facilities.
- Unsentenced inmates held in your prison facilities (e.g., civil commitments, inmates awaiting trial).
- Inmates who have escaped and are not in custody.

The variables requested in the Part D data set are listed on the next page. Most of these variables are also in the Part A and B requests. Refer to the Appendix for additional information on these variables.

[5] Prison facilities include prisons, penitentiaries, and correctional institutions; boot camps; prison farms; reception, diagnostic, and classification centers; release centers, halfway houses, and road camps; forestry and conservation camps; vocational training facilities; prison hospitals; and drug and alcohol treatment facilities for prisoners. For inmates under home confinement, a private residence is not considered a prison facility.

The Part D (Prison Custody) variables are listed below in the table. If you have limited resources for responding to this data request, please focus on the **core variables**. Additional information on the variables is in the Appendix.

Category	#	Name	Definition	Core Variable
Offender	2	Inmate ID Number	A unique number that identifies an offender within the agency for this admission and all subsequent admissions.	✓
	30	State ID Number	The offender's unique, fingerprint-supported state identification number	✓
	39	FBI Number	The unique identification number given by the Federal Bureau of Investigation/ Interstate Identification Index to each offender	✓
	36	First Name	The offender's first name	✓
	37	Last Name	The offender's last name	✓
	46	SSN	9-digit social security number	✓
	3	Date of Birth	The offender's date of birth	✓
	4	Sex	The offender's biological sex	✓
	5	Race	The offender's race	✓
	6	Hispanic Origin	Is the offender of Hispanic origin?	✓
	7	Highest Grade Completed	The highest academic grade level the offender completed prior to admission to prison on the current sentence	
	40	Prior Military Service	Did the offender ever served in the U.S. Armed Forces?	✓
	41	Date of Last Military Discharge	The date the offender was discharged from the U.S. Armed Forces for the final time	✓
	42	Type of Last Military Discharge	The type of discharge the inmate received from the U.S. Armed Forces	✓
	20	Prior Felony Incarcerations	Was the offender ever sentenced to confinement for a felony as a juvenile or adult prior to his/her current prison admission?	
Sentence	1	County in Which Sentence was Imposed	The county where the court imposing the current sentence is located	✓
	11	Prior Jail Time	The length of time served in jail prior to the date of admission (Variable 8) and credited to prison service for the current sentence	✓
	12	Prior Prison Time	The length of time served in prison prior to the date of admission (Variable 8) and credited to prison service for the current sentence	

Category	#	Name	Definition	Core Variable
	13	Offenses	Crime(s) for which the offender was admitted to prison on the current sentence(s), including the number of counts for each offense.	✓
	14a	Offense with Longest Maximum Sentence	Of the crimes coded in Variable 13, the ONE crime for which the inmate received the longest sentence	✓
	14b	Sentence Length for Variable 14a Offense	The maximum sentence as stated by the court that the offender is required to serve for the offense listed in Variable 14a	✓
	15	Total Maximum Sentence Length	The longest length of time as stated by the court that the offender could be required to serve for all offenses specified in Variable 13 (Offenses)	✓
	31a	Indeterminate Sentence	Does the total maximum sentence (Variable 15) include an indeterminate sentence?	
	31b	Determinant Sentence	Does the total maximum sentence (Variable 15) include a determinate sentence?	
	31c	Mandatory Minimum Sentence	Does the total maximum sentence (Variable 15) include a mandatory minimum sentence?	
	31d	Truth in Sentencing Law Restriction	Is the total maximum sentence (Variable 15) restricted by a Truth in Sentencing Law mandating that a certain percentage of the court- imposed sentence be served in prison?	
	32	Length of Court-Imposed Sentence to Community Supervision	The amount of time which the court states that the offender is required to serve under community supervision after release from prison	
Prison Admission	8	Date of Admission to Prison	The most recent date the offender was admitted into the custody of the state prison system on the current sentence	✓
	9	Type of Admission to Prison	The reason an offender entered into the physical custody of a correctional facility on the date provided in Variable 8 (Admission Date) of the current record	✓
	10	Jurisdiction on Date of Admission	The state with the legal authority to enforce the prison sentence	✓
	51	Custodial Security Level	Level of security at which the offender is held in prison	✓

Category	#	Name	Definition	Core Variable
	17	Location where Offender is to Serve Sentence	The type of facility in which the offender will be incarcerated to serve time for his/her crime.	
Anticipated Release from Prison	33	Parole Hearing/Eligibility Date	The date the offender is eligible for review by an administrative agency such as a parole board, to determine whether he or she will be released from prison	
	34	Projected Release Date	The projected date on which the offender will be released from prison	
	35	Mandatory Release Date	The date the offender by law must be conditionally released from prison	
Facility	38	Facility Name	Name of the facility holding the offender at year-end	✓
Additional Sentences Since Admission	18	Additional Offenses Since Admission Date	Any additional offense imposed after the date of admission (Variable 8), regardless of the date of the crime.	
	19	Additional Sentence Time Since Admission	The maximum time the inmate may be incarcerated consecutive to the sentence length coded in Variable 15.	

Part E (Post Confinement Community Supervision Admissions) Instructions

The data file you produce for Part E should contain **one data record for each admission of an offender to a term of post-confinement community supervision (PCCS) to your state during 2015.** PCCS means sentenced offenders serving a period of community supervision immediately after release from prison. Only include admissions to PCCS of offenders under the legal authority of your state; do not include interstate compact cases in which only supervisory responsibility is transferred to your state but legal authority is retained by another state.

Include in Part E:

- Admissions to community supervision for the purpose of completing a prison term in the community. Most states refer to this as parole; your state may use other terminology. Examples include:
  - An offender is released from a prison facility by the decision of a parole board or other authority to the caseload of a community supervision authority (e.g., parole agency, probation agency, corrections department). Most states call this a discretionary prison release.
  - An offender has a mandatory release from prison to the caseload of a community supervision authority (e.g., parole agency, probation agency, corrections department).
- Admissions to community supervision resulting from a community supervision sentence that begins immediately upon release from prison. This includes what some states refer to as a split sentence or shock probation. Examples include:
  - An offender begins serving a court-imposed sentence of community supervision following release from prison.
- Re-admissions to community supervision following a revocation from community supervision and a subsequent release from prison to complete the sentence in the community.
- Admissions of offenders to community supervision in your state following a term of confinement in another state when that state transfers legal authority of the offender to your state.

Exclude from Part E:

- Admissions to community supervision that are not immediately preceded by a term of confinement.
- Admissions to prison facilities.[6]

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[6] Prison facilities include prisons, penitentiaries, and correctional institutions; boot camps; prison farms; reception, diagnostic, and classification centers; release centers, halfway houses, and road camps; forestry and conservation camps; vocational training facilities; prison hospitals; and drug and alcohol treatment facilities for prisoners.

- Inmates re-entering parole or supervised release after a leave that was NOT a revocation.
    - Example: An offender serving a term of supervision is picked up on a technical violation and sent back to prison for a "shock" term. The offender is never released from supervision and the supervising agency has jurisdiction over the offender the entire time.
- Interstate compact cases where only supervisory responsibility is transferred to your state but legal jurisdiction is retained by another state.

The variables requested in the Part E data set are listed below. Refer to the Appendix for additional information on these variables.

The Part E (Post-Confinement Community Supervision Admissions) variables are listed below in the table. If you have limited resources for responding to this data request, please focus on the **core variables**. Additional information on the variables is in the Appendix.

Category	#	Name	Definition	Core Variable
Offender	2	Inmate ID Number	A unique number that identifies an offender within the agency for this admission and all subsequent admissions.	✓
	30	State ID Number	The offender's unique, fingerprint-supported state identification number	✓
	39	FBI Number	The unique identification number given by the Federal Bureau of Investigation/ Interstate Identification Index to each offender	✓
	36	First Name	The offender's first name	✓
	37	Last Name	The offender's last name	✓
	46	SSN	9-digit social security number	✓
	47	Residential Street Address	Street address of residential address prior to imprisonment	✓
	48	Residential City	City of residence prior to imprisonment	✓
	49	Residential State	State of residence prior to imprisonment	✓
	50	Residential Zip Code	Zip code of residence prior to imprisonment	✓
	3	Date of Birth	The offender's date of birth	✓
	4	Sex	The offender's biological sex	✓
	5	Race	The offender's race	✓
	6	Hispanic Origin	Is the offender of Hispanic origin?	✓
	7	Highest Grade Completed	The highest academic grade level the offender completed prior to admission to prison on the current sentence	
	40	Prior Military Service	Did the offender ever served in the U.S. Armed Forces?	✓
	41	Date of Last Military Discharge	The date the offender was discharged from the U.S. Armed Forces for the final time	✓
	42	Type of Last Military Discharge	The type of discharge the inmate received from the U.S. Armed Forces	✓
Sentence	1	County in Which Sentence was Imposed	The county where the court imposing the current sentence is located	✓

Category	#	Name	Definition	Core Variable
	13	Offenses	Crime(s) for which the offender was admitted to prison on the current sentence(s)	✓
Release from Prison	23a	Date of Release from Prison	The most recent calendar date that the state's prison custody terminated	✓
	25	Type of Release from Prison	The method of, or reason for, departure from the custody of your prison system on the reported date of release	✓
	24	Agencies Assuming Custody at Time of Prison Release	The type and location of the agency that assumes custody (physical or supervisory) over an inmate's freedom at the time of prison release	
Admission to PCCS	43	Date of Admission to Post-Confinement Community Supervision	The date an offender entered into post-confinement community supervision	✓
	44	Type of Admission to Post-Confinement Community Supervision	The reason an offender entered into post-confinement community supervision on the date provided in Variable 43 (Date of Admission to Post-Confinement Community Supervision) of the current record	✓

Part F (Post-Confinement Community Supervision Releases) Instructions

The data file you produce for Part F should contain **one data record for each release of an offender serving a term of post-confinement community supervision (PCCS) during 2015.** PCCS means sentenced offenders serving a period of community supervision immediately after release from prison. Only include releases from PCCS of offenders under the legal jurisdiction of your state; do not include interstate compact cases in which your state only had supervisory responsibility and another state retained legal jurisdiction over the offender.

NCRP defines PCCS releases as including:

- Discharges
- Returns to prison or jail resulting from a revocation, pending revocation, or a new sentence
- Transfer of legal authority over an offender from your state to another state
- Deaths

Include in Part F:

- Releases from community supervision when the offender was completing his prison sentence. Examples include:
  - An offender is returned to prison while on parole, supervised release, mandatory supervised release, or other types of post-confinement community supervision.
  - An offender is discharged after completing parole, supervised release, mandatory supervised release, or other types of conditional release.
  - An offender is discharged after completing parole, supervised release, mandatory supervised release, or other types of conditional release, but then begins serving a court-imposed sentence of community supervision.
- Releases from community supervision that resulted from a separate sentence that began following release from prison. Examples include:
  - An offender completes a court-imposed term of probation after serving a term of incarceration.
  - An offender is returned to prison while serving a court-imposed term of probation after serving a prison term.
- Transfer of legal authority from your state to another state of an offender on community supervision following a prison term.

Exclude from Part F:

- Releases from community supervision when the offender did not serve a term of incarceration immediately preceding the term of community supervision.

- Releases from prison facilities.[7]
- Temporary revocations where the inmate is not removed from supervision, and not re-admitted into a facility.
  - Example: An offender serving a term of supervision is picked up on a technical violation and sent back to prison for a "shock" term. The offender is never released from supervision and the supervising agency has jurisdiction over the offender the entire time.
- Releases of un-sentenced inmates who are being supervised in the community but who have not served a sentenced term of incarceration.
- Interstate compact cases in which your state only had supervisory responsibility and another state retained legal jurisdiction over the offender.

The variables requested in the Part F data set are listed below. Refer to the Appendix for additional information on these variables.

[7] Prison facilities include prisons, penitentiaries, and correctional institutions; boot camps; prison farms; reception, diagnostic, and classification centers; release centers, halfway houses, and road camps; forestry and conservation camps; vocational training facilities; prison hospitals; and drug and alcohol treatment facilities for prisoners.

The Part F (Post-Confinement Community Supervision Releases) variables are listed below in the table. If you have limited resources for responding to this data request, please focus on the **core variables**. Additional information on the variables is in the Appendix.

Category	#	Name	Definition	Core Variable
Offender	2	Inmate ID Number	A unique number that identifies an offender within the agency for this admission and all subsequent admissions.	✓
	30	State ID Number	The offender's unique, fingerprint-supported state identification number	✓
	39	FBI Number	The unique identification number given by the Federal Bureau of Investigation/ Interstate Identification Index to each offender	✓
	36	First Name	The offender's first name	✓
	37	Last Name	The offender's last name	✓
	46	SSN	9-digit social security number	✓
	3	Date of Birth	The offender's date of birth	✓
	4	Sex	The offender's biological sex	✓
	5	Race	The offender's race	✓
	6	Hispanic Origin	Is the offender of Hispanic origin?	✓
	7	Highest Grade Completed	The highest academic grade level the offender completed prior to admission to prison on the current sentence	
	40	Prior Military Service	Did the offender ever served in the U.S. Armed Forces?	✓
	41	Date of Last Military Discharge	The date the offender was discharged from the U.S. Armed Forces for the final time	✓
	42	Type of Last Military Discharge	The type of discharge the inmate received from the U.S. Armed Forces	✓
Sentence	1	County in Which Sentence was Imposed	The county where the court imposing the current sentence is located	✓
	13	Offenses	Crime(s) for which the offender was admitted to prison on the current sentence(s)	✓
Release from Prison	23a	Date of Release from Prison	The most recent calendar date that the state's prison custody terminated.	✓
	25	Type of Release from Prison	The method of, or reason for, departure from the custody of your prison system on the reported date of release	✓

Category	#	Name	Definition	Core Variable
	24	Agencies Assuming Custody at Time of Prison Release	The type and location of the agency that assumes custody (physical or supervisory) over an inmate's freedom at the time of prison release	
Admission to PCCS	43	Date of Admission to Post-Confinement Community Supervision	The date an offender entered into post-confinement community supervision.	✓
	44	Type of Admission to Post-Confinement Community Supervision	The reason an offender entered into post-confinement community supervision on the date provided in Variable 43 (Date of Admission to Post-Confinement Community Supervision) of the current record	✓
Release from PCCS	26	Date of Release from Post-Confinement Community Supervision	The date of discharge or termination from post-confinement community supervision jurisdiction for any reason, including returning the offender to prison	✓
	27	Type of Release from Post-Confinement Community Supervision	The reason for the termination of post-confinement community supervision jurisdiction that occurred on the date provided in Variable 26	✓
	28	Supervision Status Just Prior to Release	The level of contact the PCCS agency had with the offender during the year prior to release from PCCS	
	45	County Where Offender was Released / County Where PCCS Office is Located	The county where the offender was released from post-confinement community supervision on the date in Variable 26. If not available, report the county where the PCCS office to which the offender reported before exit is located.	✓

Appendix. Additional Information on NCRP Variables

Variable 1: County in Which Sentence Was Imposed

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The county where the court imposing the current sentence is located. If there are multiple counties of commitment, use the one which corresponds with the offense for which the person received the longest maximum sentence.

Codes / Coding Information

- If possible, use either the name of the county or the 5-digit county FIPS code (available at http://www.itl.nist.gov/fipspubs/co-codes/states.txt).

Variable 2: Inmate ID Number

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- A unique number that identifies an offender within the state department of corrections.
- Parole or other community supervision agencies that do not have access to the department of corrections inmate identification number can provide their own agency's unique identification number for the offender.

Additional Information

- Do not use sequence numbers for identification numbers unless you can identify each inmate by the sequence number and use the same sequence number for the inmate's every movement into or out of the corrections system.

- All information that can identify individuals will be held strictly confidential by Abt Associates and the Bureau of Justice Statistics, per the requirements of Title 42, United States Code, Sections 3735 and 3789g.

Variable 3: Date of Birth

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The offender's date of birth
- Report partial dates if the day or month is not known.

Variable 4: Sex

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The offender's biological sex

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *Male*
(2) *Female*
(9) *Not known*

Variable 5: Race

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)

- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The offender's race

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *White*. A person having origins in any of the original people of Europe, North Africa, or the Middle East.
(2) *Black*. A person having origins in any of the black racial groups of Africa.
(3) *American Indian / Alaskan Native*. A person having origins in any of the original people of North America and South America (including Central America), and who maintains tribal affiliations or community attachment.
(4) *Asian*. A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
(5) *Native Hawaiian / Pacific Islander*. A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
(6) *Other categories in your information system*. Other single-race categories not listed above which are in your information system.
(7) *Two or more races*. A person who identifies with more than one racial category and/or a person who identifies as multi-racial.
(9) *Not known*. Racial category is not known.

Additional Information

- Hispanic origin is a cultural characteristic rather than racial characteristic (see Variable 6). Persons of Hispanic origin can be black, white or some other racial group. When the information is available, please code the racial characteristic of persons of Hispanic origin.
- If the inmate's race can be determined but does not fit one of the above categories, then code as "other categories in your information system."

Variable 6: Hispanic Origin

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- Whether the offender is of Hispanic origin

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *Hispanic or Latino origin*. A person of Mexican, Puerto Rican, Cuban, Central American, South American, or other Spanish culture or origin, regardless of race.
(2) *Not of Hispanic origin*.
(9) *Not known* (Hispanic origin is not known).

Variable 7: Highest Grade Completed

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The highest academic grade level completed by the offender before being admitted to prison on the current sentence.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *8th Grade or Less* (level of education did not exceed 8th grade, including having never attended school).
(2) *Some High School* (grade unspecified or grade completed is not available but it is known that the inmate entered high school or started 9th grade).
(3) *9th Grade*
(4) *10th Grade*
(5) *11th Grade*
(6) *12th Grade or GED*
(7) *Some College* (any person who attended college but did not graduate).
(8) *College Degree* (any person who completed college or had some post-graduate education).
(9) *Special/Ungraded* (including Special education, vocational education/rehabilitation, occupational education/rehabilitation, academic in an ungraded system, technical training, or education in an ungraded system).
(99) *Not known* (level of education is not known).

Additional Information

- Do not report any educational work completed during incarceration on the current sentence.
- Do not report competency level.

Variable 8: Date of Admission to Prison

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The most recent date the inmate was admitted into the custody of the state prison system on the current sentence.
- Report partial dates if the day or month is not known.

Additional Information

- Do not provide the sentencing date as the date of admission unless correctional custody began immediately after sentencing. Admission date should never be prior to the sentencing date.
- Offenders exiting from post confinement community supervision and returning to prison as violators should be included in both the Part A (prison admission) and Part F (post confinement community supervision release) files.
- Prisoner admission data should be provided for sentenced state prisoners housed in local jails. The date of admission for prison inmates housed in local jails is the date on which the prison system assumed jurisdiction, often the date of sentencing. Once you submit an admission record to NCRP for a sentenced state prisoner who is housed in a local jail, do not later report his/her transfer from jail to prison as an admission.

Examples

- A person held in a local jail is sentenced on April 3, 2009. Due to prison overcrowding, he begins serving his sentence in the local jail immediately after sentencing. The date of admission to prison is reported as April 3, 2009.
- A prisoner held in a local jail is sentenced on April 3, 2009. Due to prison overcrowding, she begins serving her sentence in a local jail immediately after sentencing. She is transferred and physically enters prison on October 28, 2009. No record of any kind is created for the October transfer. Instead, a Part A record is created with April 3, 2009 as the date of admission.
- A person was admitted originally on June 11, 2003. He was released to parole supervision in 2005 and readmitted to prison August 7, 2009 as the result of a parole revocation. For the Part A (prison admission) record, the date of admission is August 7, 2009.

Variable 9: Type of Admission to Prison

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The reason an offender entered into the physical custody of a correctional facility on the date provided in Variable 8 of the current record.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(10) *Court Commitment*. A person being admitted to prison on one or more new sentences; the person is being confined for the first time on this/these particular sentence(s) and is not being re-admitted on any previous sentences still in effect.

(20) *Returned from Appeal or Bond*. An offender's re-entry into prison after an absence on appeal bond during which his/her sentence time was not running. Do not create a new admission record upon an inmate's return if the inmate's sentence time continued to run while he/she was on appeal bond.

(30) *Transfer*. The admission of a person from the custody of another detaining authority to continue serving the same sentence.

(46) *Discretionary Release Revocation, New Sentence*. Discretionary release occurs when an inmate is conditionally released by the decision of a parole board or other authority. Revocation is the administrative action of a supervising agency removing a person from supervision status in response to a violation of conditions of supervision. If discretionary release is revoked because of a new sentence, use code 46.

(47) *Discretionary Release Revocation, No New Sentence*. Discretionary release occurs when an inmate is conditionally released by the decision of a parole board or other authority. Revocation is the administrative action of a supervising agency removing a person from supervision status in response to a violation of conditions of supervision. If discretionary release is revoked because of a technical violation, use code 47.

(49) *Discretionary Release Revocation, No Information*. Discretionary release occurs when an inmate is conditionally released by the decision of a parole board or other authority. Revocation is the administrative action of a supervising agency removing a person from supervision status in response to a violation of conditions of supervision. If discretionary release has been revoked and the reason is not known, use code 49.

(56) *Mandatory Conditional Release Revocation, New Sentence*. Mandatory conditional release occurs when an inmate must, by law, be conditionally released from prison to serve the remainder of their sentence in the community. Revocation is the administrative

action of a supervising agency removing a person from supervision status in response to a violation of conditions of supervision. This type of release may also be called "mandatory parole" or "supervised mandatory release." Use code 56 if mandatory conditional release is revoked because of a new sentence.

(57) *Mandatory Conditional Release Revocation, No New Sentence*. Mandatory conditional release occurs when an inmate must, by law, be conditionally released from prison to serve the remainder of their sentence in the community. Revocation is the administrative action of a supervising agency removing a person from supervision status in response to a violation of conditions of supervision. This type of release may also be called "mandatory parole" or "supervised mandatory release." Use code 57 if mandatory conditional is revoked because of a technical violation.

(59) *Mandatory Conditional Release Revocation, No Information*. Mandatory conditional release occurs when an inmate must, by law, be conditionally released from prison to serve the remainder of their sentence in the community. Revocation is the administrative action of a supervising agency removing a person from supervision status in response to a violation of conditions of supervision. This type of release may also be called "mandatory parole" or "supervised mandatory release. Use code 59 if mandatory conditional release is revoked and the reason is not known.

(65) *Court Commitment/Suspended Sentence Imposed*. Use this code if the admission is the result of the court's imposition of a previously suspended sentence.

(66) *Escapee/AWOL Returned, New Sentence*. Use this code if an escaped inmate is returned with a new sentence. The new sentence may be for escaping or another offense.

(67) *Escapee/AWOL Returned, No New Sentence*. Use this code if an escaped inmate is returned and it is not known if there is a new sentence.

(69) *Escapee/AWOL Returned, No Information*. Use this code if an escaped inmate is returned and it is not known if there is a new sentence.

(70) *Court Commitment/Discretionary Release Status, Pending Revocation*. Use this code if the inmate has violated the conditions of discretionary release supervision but his/her discretionary release has not been formally revoked.

(80) *Court Commitment/Mandatory Conditional Release Status, Pending Revocation*. Use this code if the inmate has violated the conditions of mandatory conditional release supervision, but his/her conditional release has not been formally revoked.

(90) *Court Commitment/Probation Status, Pending Revocation.* Use this code if the inmate has violated the conditions of probation, but his/her probation has not been formally revoked.

(86) *Probation Revocation, New Sentence*. Probation Revocation is a court order taking away a person's probationary status in response to a violation of conditions of probation. Use this code if the probation was revoked as a result of a new sentence.

(87) *Probation Revocation, No New Sentence*. Probation Revocation is a court order taking away a person's probationary status in response to a violation of conditions of probation. Use this code if probation is revoked due to a technical violation.

(89) *Probation Revocation, No Information*. Probation Revocation is a court order taking away a person's probationary status in response to a violation of conditions of probation. Use this code if the probation was revoked and the reason is not known.

(88) *Other*. If a unique code cannot be assigned, use code 88 and document the types of admission included in this category.

(92) *Unsentenced Commitment*.

(99) *Not Known*. Use this code if the type of admission is Not Known.

Additional Information

- For Code 10 (Court Commitment):
  - Include as a court commitment inmates sentenced to prison for brief periods of time, usually 90-180 days, after which they are either released to probation or remain in prison. If, at the end of the "shock" period, the court commits the offender to prison to continue serving sentence, do not report him/her again as an admission.
  - Exclude from the court commitment category: all revocations of probation, parole or other conditional release with or without a new sentence for a new offense; all transfers unless the inmate has completed all previous sentences and is beginning to serve time on a new sentence; and all returns from escape or unauthorized departures.
- For Code 20 (Returned from Appeal or Bond):
  - Do not create a new admission record upon an inmate's return if the inmate's sentence time continued to run while he/she was on appeal bond.
- For Code 30 (Transfer):
  - Include inmates admitted from a long term stay in a hospital, mental health facility or another state or federal prison.
  - Do not provide records for movements from prison facility to prison facility within your state.
  - Do not report the return of an inmate sent temporarily to another state to stand trial.
  - Do not include inmates who have completed a sentence in another state and are transferred to your state to begin serving a different sentence. Code them as court commitments, post-confinement community release revocations or other, as appropriate.
- Codes 46, 47, and 49 (Discretionary Release Revocation) are limited to those cases where revocation proceedings have been completed.
- Codes 56, 57, and 59 (Mandatory Conditional Release) also are only applicable to those cases where revocation proceedings have been completed.

Examples

- Court Commitment (Code 10)
  - A person is sentenced by the court for murder and transported to a state correctional institution to begin serving her sentence. The correct code is "10" court commitment.
  - A person is sentenced by the court for murder and transported to a state correctional facility to begin serving his/her sentence. This person is still on parole for a robbery he

committed four years ago but his parole revocation hearing has not been held yet. This admission is not a court commitment. Use code 70 or 80 to report admission type for this inmate.

  - A person is sentenced in 2001 to serve three years for burglary. She is conditionally released after one year and completes her time on parole. She is now being incarcerated for a burglary for which she has never served a sentence. The correct code is 10, "court commitment."
  - An offender receives a sentence of five years, the first 120 days to be served in prison, the remainder on probation. A Prison Admission record should be created and Variable 9 coded as 10, "court commitment."
- Returned from Appeal or Bond (Code 20)
  - An inmate in prison is granted an appeal and released on bond. His sentence time is not running. His guilt and sentence are later reaffirmed and he returns to prison to resume serving his sentence. The admission type is code 20, "return from appeal bond."
- Transfer (Code 30)
  - An inmate serving a prison sentence was declared insane and surrendered to the custody of the State Department of Mental Health. This movement constituted a transfer release. This year the inmate is found sane and returns to prison to resume serving the sentence. A Prison Admission record should be created and the type of admission coded as 30, "Transfer."
  - An inmate is sentenced in California to serve 5 years for burglary and enters a California prison to begin serving her sentence. During the report year, she is transferred to a Nevada prison for protective custody. This movement is a prison release type, "Transfer" for California. Nevada would report this inmate's admission as code 30, "Transfer."
  - An inmate serving a prison sentence in Rhode Island is temporarily released to Vermont to stand trial for charges in that state. The inmate is found guilty and returned one week later to Rhode Island to continue serving his/her time. No admission or release record is created by either state.
  - A Rhode Island inmate is serving a two-year sentence. After serving one year of his sentence, he is sent to Vermont to serve the balance of his sentence. The correct response for each state is as follows:
    - Rhode Island creates a prison release record - Variable 25 (type of prison release) is coded as 15, "Transfer."
    - Vermont creates a prison admission record - Variable 9 is coded 30, "Transfer."
  - In February of the report year, an inmate is admitted to a Maryland State prison to begin serving a three year sentence for armed robbery. In June of the same year, he is transferred to a county detention facility for safekeeping. An admission record is created when the inmate is admitted in February. No admission or release record is created when the inmate is transferred to the county facility because he is still serving the state sentence at the county facility and he is still in the state of Maryland.
  - A Maine inmate is transferred during the report year from the Maine Correctional Center (a state facility) to the Maine State Prison. The correct response is to create no admission or release record for inmates that are transferred among state facilities within your state.
- Discretionary Release Revocations (Codes 46, 47, 49)

  - While on discretionary release, the offender commits an armed robbery and is sentenced to serve time for that offense. His discretionary release is revoked, and he enters prison to begin serving time on the new sentence. Code 46, "discretionary release revocation, new sentence" is the correct code.
- Mandatory Conditional Release Revocations(Codes 56, 57, 59):
  - While on mandatory conditional release, an offender fails to report to his/her supervising authority. Her conditional release is revoked and she returns to prison to continue serving time on the original sentence. Code 57, "mandatory conditional release revocation, no new sentence" is the correct code to use in this instance.
- Escape/AWOL Return (Codes 66, 67, 69):
  - An inmate escaped from prison in December, last year. A release record was created for that calendar year. He was located and returned to prison in June this year with no new sentence. An admission record is created and the admission type is coded 67, "escapee returned, no new sentence."
  - An inmate escaped from prison in June. While on escape status, he commits a burglary and is arrested and placed in jail. He is found guilty of burglary, sentenced, and returned to prison in December. His admission type is code 66, "escapee returned, new sentence."
- Court Commitment/Discretionary Release Status, Pending Revocation (Code 70)
  - An offender violates the conditions of his discretionary release and is accused of committing a new offense. He is returned to prison. The new charges are pending. The discretionary release revocation hearing has not been held yet. The correct code is 70, "discretionary release status, pending revocation."

Variable 10: Jurisdiction on Date of Admission

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition:

- The state with the legal authority to enforce the prison sentence on the date of admission in Variable 8.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

- State FIPS Codes (available at http://www.itl.nist.gov/fipspubs/fip5-2.htm)

(52) Jurisdiction is shared between states
(57) Federal Prison System has jurisdiction
(60) State not known
(99) Not known

Examples

- An inmate is convicted of murder in Maryland and sentenced to a 10-year prison term. He begins serving his sentence in a Virginia prison to ensure protective custody. Maryland is the correct value.

Variable 11: Prior Jail Time

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The length of time served in jail prior to the date of admission (provided in Variable 8) and credited to prison service for the current sentence.

Additional Information

- If it is known that some prior time had been served but prior jail time cannot be distinguished from prior prison time, include all prior time in the prior prison time category (see Variable 12).

Examples

- A man was arrested and charged with burglary on January 1 of this year. He spent two months in jail awaiting trial. He was convicted on March 1 and was sentenced to serve two years in prison. The judge allows his time in jail to be credited toward his total sentence. The correct value for Variable 11 is two months.
- A man was arrested and charged with burglary on January 1 of this year. He spent two months in jail awaiting trial. He was convicted and sentenced on March 1. The judge states that his prison time begins running as of his date of sentencing. The correct code for Variable 11 is zero days, because no time in jail was credited toward his sentence.
- On July 1, 2005 an inmate was admitted to a local jail, due to overcrowding, to begin serving a 5-year sentence for drug trafficking. He was released to post-confinement community supervision (PCCS) on December 15, 2006. He is now being admitted to prison on a PCCS revocation and must serve the remainder of his drug trafficking sentence in prison. The time he served in jail for this offense, prior to his release to PCCS, counts toward his total time incarcerated on the current sentence and must be reported. The correct value to report is one year, five months, and 15 days.

Variable 12: Prior Prison Time

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The length of time served in prison prior to the date of admission (provided in Variable 8) and credited to prison service for the current sentence.

Additional Information

- If it is known that some prior time had been served but prior jail time cannot be distinguished from prior prison time, include all prior time in the prior prison time category.
- Only time spent in confinement and credited against the current sentence should be reported.

Examples

- A man is admitted to prison on June 1, 2003 to begin serving a 10-year term for armed robbery. He is paroled July 10, 2010. He violates the conditions of his parole and returns to prison this year to complete his sentence. The time he served in prison prior to his parole counts toward his total time served for this offense and must be reported. The correct value to report is 7 years, 1 month, and 10 days.
- A man is admitted to prison on June 1, 2003 to begin serving a 10-year term for armed robbery. His sentence is commuted on July 10, 2010 and he is unconditionally released. However, he commits a new offense this year and is sentenced to serve 3 years in prison. His previous sentence does not affect this new sentence in any way. The correct value to report is 0 days.

Variable 13: Offenses

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- Crime(s) for which the offender was admitted to prison on the current sentence(s).
- Include the number of counts of each offense.

Codes / Coding Information

- Use your state's own offense codes. NCRP staff will re-code your state’s offense codes into the NCRP offense codes (available at https://www.ncrp.info/SitePages/FAQs.aspx).

Additional Information

- Please submit offense code documentation along with data submission. This documentation should include all of your states' offense codes and a description of each offense.

- For persons readmitted to prison, the original crime(s) in addition to any new crime(s) resulting in the current sentence(s) should be indicated.

Variable 14a: Offense with Longest Maximum Sentence

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- Of the crimes reported in Variable 13, this is the ONE crime for which the inmate received the longest sentence.

Additional Information

- If the inmate received the same maximum sentence length for two different offenses, provide the one your state would designate as the "controlling," "driving," or "most serious" offense.

Variable 14b: Sentence Length for Variable 14a Offense

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The maximum sentence as stated by the court, that the offender is required to serve for the offense listed in Variable 14a.

Codes / Coding Information

Report a life or a death sentence using either your agency's codes or the following NCRP codes.

(99996) Maximum sentence is Life.
(99997) Maximum sentence is Death.
(99994) Maximum sentence is Life plus additional years.
(99993) Maximum sentence is Life without discretionary release.

Additional Information

- This is the maximum sentence imposed by the court for one specific offense and should not reflect any statutory or administrative sentence reductions.

- If the inmate has more than one sentence for the same type of offense, such as 2 years for one burglary (or one count of burglary) and 3 years for another burglary (on another count of burglary), the 3-year sentence would be reported for Variable 14b.
- If the offense reported in Variable 14a is one for which the inmate was previously placed on post-confinement community supervision (e.g. parole or probation), provide the original maximum sentence not the part of the sentence remaining to be served.
- Please document any other code for life or death sentences that may appear on your file.

Examples

- A man enters prison to begin serving time for three sentences. He received 5 years for burglary, 3 years for auto theft, and 1 year for a minor drug violation. The sentences are to be served consecutively and result in a TOTAL maximum sentence of 9 years. However, for Variable 14a and 14b, you need to indicate the one specific offense with the longest sentence. The correct response for Variable 14a is your state code for burglary, and for 5 years for Variable 14b.
- A man enters prison to begin serving time for two sentences. He received 5 years for burglary and 5 years for drug trafficking, both sentences to be served concurrently. In your state, burglary is considered more serious and to be the "controlling" offense. Therefore, for Variable 14a, you would provide your state code for burglary, and 5 years for Variable 14b.
- A woman enters prison to begin serving time for three counts of burglary. She received 6 years for the first count, 6 years for the second, and 4 years for the third, all to be served consecutively. In Variable 14a, would be your state code for burglary, and 6 years for Variable 14b. Each count is to be considered separately when it carries its own sentence length.

Variable 15: Total Maximum Sentence Length

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The longest length of time as stated by the court that the offender could be required to serve for all offenses.

Codes / Coding Information

Report a life or a death sentence using either your agency's codes or the following NCRP codes.

(99996) Maximum sentence is Life.
(99997) Maximum sentence is Death.
(99994) Maximum sentence is Life plus additional years.
(99993) Maximum sentence is Life without discretionary release.

Additional Information

- This is the maximum sentence imposed by the court and should not reflect any statutory or administrative sentence reductions.
- Do not subtract time credits or prior jail or prison time.
- If all or a portion of a maximum sentence has been conditionally suspended (that is, the sentenced person may in the future be required to serve the suspended sentence or only a portion under certain circumstances), set the "Maximum Sentence" to the sum of the unsuspended and suspended portions of the maximum sentence of each offense for which the inmate is currently in prison.
- Do not report unconditionally suspended sentences.
- If all or a portion of a maximum sentence has been unconditionally suspended (that is, the person cannot be required to serve the suspended sentence or any portion under any circumstances), use as the "Maximum Sentence" only the unsuspended portions of the sentences.
- For a split sentence or shock probation, set the maximum sentence to the sum of the prison and probation segments of the sentence(s).
- Provide the sum of sentences to be served consecutively. Do not add sentences to be served concurrently.

Examples

- An inmate receives a sentence of 3 years for possession of marijuana, 2 years conditionally suspended. He will be released to post-confinement community supervision after being imprisoned for one year. The correct value for Variable 15 is 3 years; that is, if his behavior is not satisfactory, he will serve 3 years in prison.
- A person receives a sentence of 5 years for burglary, one year unconditionally suspended. He will receive no supervision during the one year regardless of his behavior. The correct value for Variable 15 is 4 years.
- A person receives a 10-year sentence for armed robbery, is paroled after 3 years, but returns to prison on a technical violation 6 months later. The correct value for Variable 15 is 10 years, reflecting his original maximum sentence.
- A first offender receives a 5-year sentence for manslaughter, 90 days to be served in prison and the remainder on probation. The correct value for Variable 15 is 5 years.
- An offender enters prison to serve 6 years on a burglary conviction and 5 years on a drug conviction. The two sentences are to be served consecutively. The correct value for Variable 15 is 11 years.
- An offender enters prison to serve 6 years on a burglary conviction and 5 years on a drug conviction. The two sentences are to be served concurrently. The correct value for Variable 15 is 6 years.

(There is no Variable 16)

Variable 17: Location Where Inmate is to Serve Sentence

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The type of facility in which the offender will be incarcerated to serve time for his crime.
- The name of the facility can be provided instead. In this case, provide information in a separate file that will enable Abt Associates to re-code the name of facility into the NCRP facility type categories listed below.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *State Prison Facility*. A state administered confinement facility having custodial authority over persons sentenced to confinement.

(2) *Local Jail*. A confinement facility administered by an agency of the local government intended for adults but sometimes also houses juveniles, which holds persons detained pending adjudication and persons committed after adjudication usually with sentences of a year or less.

(3) *Other Specify*. All other facilities except those specified above which house sentenced prisoners. Provide documentation for the type of facility included in this category.

(4) *Mental Hospital*. A confinement facility for the diagnosis or treatment of mentally ill patients.

(5) *Medical Hospital*. A facility designed for the treatment of persons with illnesses other than mental disorders.

(6) *Rehabilitation Unit*. A residential treatment facility designed for the care of patients with drug or alcohol problems.

(57) *Federal Prison*. A confinement facility administered by the Federal government having custodial authority over persons sentenced to confinement.

(99) *Not Known*. Location where the inmate is to serve his/her sentence is not known.

Examples

- An offender is sentenced to serve 5 years for a possession of marijuana conviction. Due to prison overcrowding he is to be housed in the local jail. The correct code is "local jail."
- An offender is admitted to prison to serve 5 years for a possession of marijuana conviction. She is then placed in a drug treatment facility and will stay there through the completion of the program - a minimum of 1 year. The correct code is "Rehabilitation Unit."
- An offender is sentenced to serve 5 years for a possession of marijuana conviction. He is to serve his sentence in a Federal penitentiary. The correct code is "Federal Prison."

Variable 18: Additional Offenses since Admission Date

Applies To

- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- Any additional offense imposed after the date of admission (Variable 8), regardless of the date of the crime.

Codes / Coding Information

- Use your own state's offense codes

Additional Information

- If, after admission, a revocation of post-confinement community supervision (PCCS) occurred and the inmate received a sentence for violating his/her conditions of supervision, please specify your state codes for probation or parole violation offenses as appropriate.

Examples

- A parolee is readmitted to prison for violating his parole. After three months in prison he receives an additional 5 year sentence for a new burglary conviction. The correct code is your state code for burglary.

Variable 19: Additional Sentence Time since Admission

Applies To

- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The maximum time the inmate may be incarcerated consecutive to the sentence length coded in Variable 15.

Codes / Coding Information

Report a life or a death sentence using either your agency's codes or the following NCRP codes.

(99996) Additional sentence is Life.
(99997) Additional sentence is Death.
(99994) Additional sentence is Life plus additional years.
(99993) Additional sentence is Life without parole.

Examples

- An inmate assaults a guard while incarcerated and earns an additional 2 years on his remaining 7 year sentence. The correct value to report is 2 years.
- A parolee is readmitted to prison for violating her parole with 6 months remaining on her sentence. After three months in prison, she receives an additional 5 year sentence for a new burglary conviction to be served consecutive to the current sentence. The correct value to report is 5 years.
- An offender released to post-confinement community supervision is readmitted to prison for violating conditions of supervision with 5 years remaining on her sentence. After being admitted to prison, she receives an additional 5 year sentence for a new burglary conviction to be served concurrent to the current sentence. The correct value to report is 0 years.

Variable 20: Prior Felony Incarcerations

Applies To

- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- An offender who has ever been sentenced to confinement for a felony as a juvenile or adult prior to his/her current prison admission (Variable 8).

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) Yes
(2) No
(9) Don't Know

Additional Information

- Do not include detention before trial or sentencing.
- Do not report non-incarceration sentences such as probation, unless at some point prison time occurred.

Examples

- Ten years ago, a man served 3 years in prison for robbery and was released, having satisfied the conditions of his sentence. He is once again being admitted to begin serving time on a new sentence. The correct code is "Yes."

Variable 21: AWOL or Escape

Applies To

- Prison Releases (Part B)

Definition

- Was the offender AWOL (the failure to return from an authorized temporary absence) or did he escape (the unlawful departure from physical custody or flight from the custody of correctional personnel) while serving a sentence?

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) Yes
(2) No
(9) Unknown

Additional Information

- Include in this category any inmate who escaped or was AWOL while serving time on this sentence, regardless of whether they returned to prison or not.

Examples

- An offender has completed his prison term of 5 years for larceny. During the first year of his sentence, he escaped from prison and was returned soon thereafter. The correct value is code "Yes."

Variable 22a: Community Release Prior to Prison Release

Applies To

- Prison Releases (Part B)

Definition

- Prior to release from the custody of a prison system, was the inmate concurrently under community based supervision or placement? This includes programs such as halfway houses, work furloughs, etc.

Examples

- An inmate is admitted from prison to the state work release program on February 1st of the reporting year. He continues to serve his sentence while working in the community. On March 1st of the same year, he is returned to prison in order to be released. The correct value for Variable 22a is "Yes."

Variable 22b: Number of Days on Community Release

Applies To

- Prison Releases (Part B)

Definition

- The number of days the inmate was on community release prior to release from prison, if the inmate was concurrently under community based supervision or placement prior to release from the custody of a prison system.

Examples

- An inmate is admitted from prison to the state work release program on February 1st of the reporting year. He continues to serve his sentence while working in the community. On March 1st of the same year, he is returned to prison in order to be released. The correct value for Variable 22a is "Yes." In Variable 22b, the correct value is 28 days, the number of days on community release prior to prison release.

Variable 23a: Date of Release from Prison

Applies To

- Prison Releases (Part B)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The most recent calendar date that the state's prison custody terminated.
- Report partial dates if the day or month is not known.

Additional Information

- On post confinement community supervision release (Part F) records, "Date of Release from Prison" is the most recent prison release date prior to the post confinement community supervision release date.

Variable 23b: Location at Time of Prison Release

Applies To

- Prison Releases (Part B)

Definition

- The type of facility that had been used for the custody or care of the offender just prior to release.
- The name of the facility can be provided instead. In this case, provide information in a separate file that will enable Abt Associates to re-code the name of facility into the NCRP facility type categories listed below.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *State Prison Facility*. A confinement facility administered by the state with custodial authority over adults sentenced to confinement.

(2) *Local Jail*. A confinement facility administered by an agency of the local government, intended for adults but sometimes also containing juveniles (holds persons detained pending adjudication and/or persons committed after adjudication, usually with sentences of a year or less).

(3) *Other – Specify*. All facilities except those listed above which house sentenced prisoners. Provide documentation for the types of facilities you include in this category.

(4) *Halfway House*. A long-term residential facility in which residents are allowed extensive contact with the community (e.g., attending school).

(5) *Community Work Center or Work Release*. A residential facility in which residents are employed and allowed extensive contact with the community.

(6) *Pre-release Center*. A residential facility in which inmates may be placed in order to seek employment, housing, etc.

(12) *Federal Prison*. A confinement facility administered by the Federal government with custodial authority over persons sentenced to confinement.

(99) *Unknown*. Information on the facility from which the inmate is released is not known.

Examples

- An offender served a 2-year prison term for burglary in the local jail due to overcrowding at the state penitentiary. This would be coded as Local Jail.
- An offender was sentenced to 18 months for a drug offense. The first 12 months were served in a drug rehabilitation program in a county hospital. The offender then served the rest of his sentence in prison. This would be coded as State Prison Facility.

Variable 24: Agencies Assuming Custody at Time of Prison Release

Applies To

- Prison Releases (Part B)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- Type and location of the agency/agencies that assumes custody (physical or supervisory) over an inmate at the time of prison release.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(00) None
(01) Other Prison Outside of State
(02) Other Prison - Federal System
(03) Parole Within State (Include Parole Agencies in DOC)
(04) Parole Outside State
(05) Parole - Federal System
(06) Probation within State
(07) Probation Outside State
(08) Probation Federal System
(09) Mental/Medical Facility within State
(10) Mental/Medical Facility Outside of State
(11) Mental/Medical Facility - Federal
(12) Other Within State – Specify
(13) Other Outside State – Specify
(14) Other - Federal – Specify
(99) Not Known

Examples

- An inmate is released from a state prison to a detainer from Federal authorities. He is transported to a Federal prison in another state. "Other Prison, Federal" is the correct value to report.
- After serving two-thirds of his sentence, an offender is required by law to be placed on mandatory conditional release. He will be supervised by the paroling authority of that state. "Parole, Within State" is the correct value to report.

Variable 25: Type of Release From Prison

Applies To

- Prison Releases (Part B)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- Method of or reason for departure from the custody of your prison system on the reported date of release (in Variable 23a of the current record).

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(01) *Discretionary Release Decision*. A conditional release granted by a parole board or other agency that has the authority to release adult prisoners to post-confinement community supervision, to revoke PCCS, and to discharge an offender from PCCS.

(02) *Mandatory Conditional Release*. A conditional release from prison which is mandated by law rather than granted by a discretionary authority.

(03) *Probation Release*. A conditional release to court supervision or supervision by a probation authority after the inmate is confined usually for a brief period in a prison facility. These cases are often called "Split Sentences" or "Shock Probation."

(04) *Other Conditional Releases – Specify*. All other conditional releases not covered by the preceding categories. Always describe the nature of the release in your documentation.

(05) *Expiration of Sentence*. The termination of the period of time an offender has been required to serve in a state prison.

(06) *Commutation/Pardon*. A reduction of the term of confinement or an executive order excusing the remainder of the sentence and pardon resulting in immediate unconditional release.

(07) *Release to Custody, Detainer, or Warrant*. Unconditionally releasing an inmate to custody of another authority. The original prison authority relinquishes all claims upon the inmate.

(08) *Other Unconditional Release – Specify*. All unconditional releases not covered by the preceding three categories. Always document the nature of the release.

(09) *Death by Natural Causes*. Death due to illness, old age, AIDS, etc.

(10) *Death by Suicide*.

(11) *Death by Homicide by Another Inmate*.

(12) *Death by Other Homicide*. The death of an inmate caused by a person who is not an inmate that is not legally justifiable.

(13) *Death by Execution*

(14) *Death by Other – Specify*. All deaths not covered by the preceding six categories. Always document the manner of death. Use code 14 "Other" to report an inmate's death which is due to accidental injury caused by another person (whether the other person is an inmate or not).

(27) *Death by Accidental Injury to Self*. Death caused by the inmate accidentally injuring himself.

(15) *Transfer*. The movement of a person from the custody of your state's correctional system to the custody of another authority while serving the same sentence. Transfers are permanent or indefinite releases for such purposes as long-term mental health commitment, safekeeping in another state, or housing in a Federal facility.

(16) *Release on Appeal or Bond*. An offender is released to seek or participate in an appeal of his case and is not receiving credit on his sentence while out of confinement. If the inmate is being given credit on the remainder of his time while out of confinement or bond, or appealing his case, do not report a release.

(25) *AWOL/Escape*. An inmate who is absent from your state's custody without leave or has escaped from state prison. If your state reports AWOLs and Escapes as releases, you must report their recapture as admissions.

(17) *Other – Specify*. All other releases not specifically defined in the above categories. Specify in your documentation the type of releases included in this category.

(99) *Not Known*. The type of release from prison is not known.

Additional Information

- Verify that all releases included in the Other category are releases from the custody of this prison system and releases of sentenced persons.
- For Code 16 do not include temporary movements to court (e.g., to testify or appear at a brief hearing).
- Do include transfers to other states to continue serving a sentence.
- Do not include movements from prison facility to prison facility within your state.
- Do not include movements of state prisoners to local jails because the prison is crowded or for such reasons as overcrowding, safekeeping, etc.
- State inmates housed in local jails are to be considered as state prison inmates.
- Do not include temporary absences for such reasons as court appearances, training or medical care.
- A detainer is an official notice from one authority agency to another authority agency requesting that a person wanted by them, but subject to the other agency's jurisdiction, not be released or discharged without notification to the authority agency requesting the person.
- The placing of a detainer is often, but not always, prior to the issuing of a warrant. Typical reasons for the detainer are that the person is wanted for trial in the requesting jurisdiction or is wanted to serve a sentence.
- Conditional Release is the release from a federal or state correctional facility of a prisoner who has not completed his/her sentence, and whose freedom is contingent upon obeying specified rules of behavior while in the community. The offender can be re-incarcerated on current sentence(s).
- Persons on mandatory supervised release are usually subject to the same conditions as offenders released to post-confinement community supervision via discretionary release, and can be returned to prison for technical violations of release conditions. However, the difference is that the release is not a discretionary decision of a parole board or other authority.
- If you need to report a type of release not defined by one of the codes provided, assign a unique code and define it in your documentation.

Examples

- For Code 01 (Discretionary Release Decision),
  - An inmate is granted a release by the Parole Board after serving 3 years of a 10 year sentence. Use code "Discretionary Release Decision."
- For Code 02 (Mandatory Conditional Release),

  - An inmate received a 3 year sentence for heroin possession. The law requires that the inmate be released to post-confinement community supervision after serving a year. Use code "Mandatory Conditional Release."
- For Code 03 (Probation Release),
  - An offender serves 180 days in prison and returns to court for a hearing. The judge allows him to serve the remainder of his sentence on probation. The correct code is "Probation Release."
- For Code 05 (Expiration of Sentence),
  - A person given a maximum sentence of 5 years for robbery is released, without parole supervision, after serving 5 years. His release is code 05, "Expiration of Sentence."
  - A person given a maximum sentence of 5 years for robbery is released without parole supervision, after serving 3 1/2 years and receiving 1 1/2 years of irrevocable "Good Time." His release is "Expiration of Sentence."
- For Code 06 (Commutation/Pardon),
  - After the legislature reduced marijuana offenses from felonies to misdemeanors, the 15 year sentence of a person is reduced by the Governor to actual time served, 2 1/2 years, and the inmate is unconditionally released. The correct code is "Commutation/Pardon."
- For Code 07 (Release to Custody, Detainer, or Warrant),
  - A man is serving three years for armed robbery in Maine. Extradition papers from Texas on another armed robbery charge await him, however, so he is released to Texas custody. The correct code is "Release to Custody, Detainer, or Warrant."
- For Code 15 (Transfer),
  - An inmate is threatened by other inmates. He is transferred to the custody of another state to complete his sentence. Use code "Transfer."
  - On June 10th of the report year, a Texas inmate is sent from the state prison to the Department of Corrections training school. On June 24th of the report year, the training is completed and the inmate is sent back to the state prison. No admission or release movement should be reported.
  - Due to crowding, a Maine inmate is transferred on June 6th of the report year from the Maine State Correctional Center to the Maine State Prison. No admission or release movement should be reported.
  - An inmate is admitted to a Rhode Island prison on February 1st of the report year, to begin serving a three year sentence for armed robbery. On June 5th of the report year, the inmate is transferred to a county detention facility for safekeeping. No admission or release movement should be reported.

Variable 26: Date of Release from Post Confinement Community Supervision

Applies To

- Post Confinement Community Supervision Releases (Part F)

Definition

- The date of discharge or termination from post-confinement community supervision for any reason, including returning the offender to prison.

- Report partial dates if the day or month is not known.

Examples

- An offender is discharged after completing his term of post-confinement community supervision (PCCS) on August 1, 2008. The date of release from PCCS is August 1, 2008.
- While on parole, an offender commits an armed robbery and is sentenced to serve time for that offense. His parole is revoked, and he enters prison to begin serving time on the new sentence on March 20, 2010. The date of release from PCCS is March 20, 2010.

Variable 27: Type of Release from Post Confinement Community Supervision

Applies To

- Post Confinement Community Supervision Releases (Part F)

Definition

- The reason for the termination of post-confinement community supervision that occurred on the date provided in Variable 26.

Codes/Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(01) *Discharged, Completion of Term*. The release of offenders on Post Confinement Community Supervision (PCCS) who have served full-term sentences or who have been released early due to a discretionary decision, commutation or pardon.

(02) *Discharged, Absconder*. The release of offenders on PCCS while known to be on absconder status, regardless of whether a warrant has been issued.

(03) *Discharged to Custody, Detainer or Warrant*. Your state supervising authority or agency relinquishes its jurisdiction over the offender on PCCS. Another agency or authority (in or out of your state) assumes jurisdiction and perhaps custody over the person. The agency that assumes jurisdiction or jurisdiction and custody may be a non-correctional agency, e.g., a mental hospital.

(04) *Returned to Prison or Jail, New Sentence*. The re-admission of an offender on PCCS into a prison or jail after receiving a sentence for a new offense(s). If PCCS has been revoked and the person is admitted to prison or jail with a new sentence, the type of release is code 04, "Returned to Prison or Jail, New Sentence."

(05) *Returned to Prison or Jail, PCCS Revocation*. The re-admission of an offender on PCCS into a prison or jail due to the violation of the conditions of supervision, and the PCCS has been revoked.

(06) *Returned to Prison or Jail, PCCS Revocation Pending*. The re-admission of an offender on PCCS into a prison or jail for the alleged violation of the conditions of supervision. A revocation hearing will be held in the future and a decision to revoke or not revoke the person's PCCS will be made.

(07) *Returned to Prison or Jail, Charges Pending*. The re-admission of an offender on PCCS into a prison or jail for an alleged new offense, pending trial, conviction, or sentence.

(08) *Transferred to Another Jurisdiction*. Jurisdiction over the offender on PCCS is transferred to another state from your authority.

(09) *Death*

(10) *Other – Specify*. For any other removal from PCCS not covered in the previous categories, code as 10. Please provide documentation for all PCCS exits included in this category.

(99) *Not Known*. Information on type of release from PCCS is not available.

Additional Information

- Do not include those interstate compact cases where only supervisory responsibility is transferred but legal jurisdiction is retained by your state parole authority, i.e., parole termination is still determined by your state.
- Code 02 should be used only if the offender has been formally discharged by the supervising agency or if PCCS jurisdiction has been relinquished.
- If the supervising agency changes the absconder from active to inactive status without relinquishing jurisdiction over the person, a PCCS release should not be reported.
- A detainer is an official notice from one authority agency to another authority agency requesting that a person wanted by them, but subject to the other agency's jurisdiction, not be released or discharged without notification to the authority agency requesting the person.
- The placing of a detainer is often, but not always, prior to the issuance of a warrant. Typical reasons for detainers are that the offender is wanted for trial in the requesting jurisdiction.
- If an offender on PCCS has had his supervision status revoked because he violated conditions of supervision but was not sentenced for another crime, code as 05, "Returned to Prison or Jail, PCCS Revocation."
- Count persons returned to prison or jail with revocation pending only if termination of PCCS jurisdiction is pending in your state.
- Use one of the codes 04-07 for absconders who have been released from PCCS because he was returned to jail or prison.
- For parolees who have already received new sentences at the time of release from PCCS, code as 04, "Returned to Prison or Jail, New Sentence."
- Count persons returned to prison or jail with charges pending.

Examples

- For Code 01 (Discharged, Completion of Term),
  - A parolee, released from prison, is required to serve three years on parole. He finishes the three years and is discharged by the Adult Parole Authority. Use code 01, "Discharged, Completion of Term."

  - An offender, released from prison, is required to serve three years on mandatory conditional release. He finishes two years and receives an early discharge by the supervising agency. Use code 01, "Discharged, Completion of Term."
- For Code 02 (Discharged, Absconder),
  - Wyoming parolee moved to New Mexico last year without the permission of the Wyoming Board of Parole. After six months, the Wyoming Parole Board relinquished jurisdiction. Use code 02, "Discharged, Absconder."
  - An offender on post-confinement community supervision in Nevada moved to New Mexico last year without permission of the Nevada supervising agency. As of December 31 of the report year, the Nevada supervising agency had not relinquished jurisdiction. Do not submit a PCCS exit record for this offender.
- For Code 03 (Discharged to Custody, Detainer or Warrant),
  - A Wisconsin probationer is discharged as a result of an extradition request from Texas. He is released to Texas custody on a warrant. Use code 03, "Discharged to Custody, Detainer or Warrant."
- For Code 04 (Returned to Prison or Jail, New Sentence),
  - While out on supervised release, an offender commits a crime and is sentenced to serve two years in prison. PCCS is revoked. Use code 04, "Returned to Prison or Jail, New Sentence."
- For Code 05 (Returned to Prison or Jail, PCCS Revocation),
  - A probationer in Wisconsin violates the conditions of his probation. The supervising agency formally revokes his probation and the offender is returned to the county jail to continue serving his sentence. Use code 05, "Returned to Prison or Jail, PCCS Revocation."
- For Code 06 (Returned to Prison or Jail, Revocation Pending),
  - A parolee is accused of violating conditions of his parole. He is sent to the state prison to await a decision from the Parole Authority concerning possible revocation. Use code 06, "Returned to Prison or Jail, Revocation Pending."
- For Code 07 (Returned to Prison or Jail, Charges Pending),
  - An offender on supervised release is charged with committing a new offense. He is held in the local jail to await trial on the new charge. Use code 07, "Returned to prison or jail, charges pending."
- For Code 08 (Transferred to Another Jurisdiction),
  - A parolee in Mississippi finds a new job in Alabama. The Mississippi Parole Board arranges for the parolee to be supervised in Alabama through an interstate compact agreement. Your state parole authority has not relinquished jurisdiction; therefore no parole exit has occurred.
  - An offender on PCCS in Mississippi finds a new job in Alabama. The Alabama Board of Pardons and Paroles agrees to assume jurisdiction over the parolee; Mississippi then terminates jurisdiction. Use code 08, "Transferred to Another Jurisdiction."

Variable 28: Supervision Status Just Prior to Release

Applies To

- Post Confinement Community Supervision Releases (Part F)

Definition

- Level of contact during the year prior to release from post confinement community supervision.

Codes/Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(01) *Active*. Include persons required to make contact (in person, by mail, or telephone) with the supervising authority at least once a month during the last year of post confinement community supervision (PCCS).

(02) *Inactive*. All offenders on PCCS who were excused from reporting on a regular basis during the last year of PCCS supervision but were held accountable and remained under your agency's jurisdiction.

(03) *Absconded*. Any offender on PCCS who has not been discharged but fails to report to the supervising authority, as was instructed, or who leaves the geographical area of supervision without permission.

(04) *Supervised Out of State*. Any offender whose PCCS is supervised by a state other than yours but your state retains jurisdiction of the offender.

(05) *Other – Specify*. For any offender on PCCS who had a supervision status just prior to release not covered by the above categories, code as 05. Please document the nature of their supervision status.

(06) *Only have financial obligations remaining*.

Additional Information

- Include both active and inactive cases as defined above.

Examples

- A parolee visits his parole officer the first Friday of every month. Use code 01, "Active."
- A probationer receives a form once a month in the mail from his probation officer. He completes it and sends it back. Use code 01, "Active."
- An offender has been on supervised release for five years. After three years of active supervision, no active contact is required. Use code 02, "Inactive."
- A Wyoming parolee moves to New Mexico without the permission of the Wyoming Parole Board. Parole jurisdiction is soon relinquished. Use code 03, "Absconded." If Wyoming does not relinquish jurisdiction, no parole exit should be reported to NCRP.
- An Arizona offender on post-confinement community supervision finds a new job in Texas. The Texas Board of Pardons and Parole agrees to monitor his supervision although the Arizona supervising agency does not relinquish jurisdiction. Supervision is terminated by Texas when Arizona terminates the offender supervision. This PCCS release should be reported by Arizona as code 04, "Supervised Out of State."

(There is no Variable 29)

Variable 30: Inmate State ID Number

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The inmate's unique, fingerprint-supported State Identification (SID) Number assigned by the state's criminal history repository.

Additional Information

- All information that can identify individuals will be held strictly confidential by Abt Associates and the Bureau of Justice Statistics as required by Title 42, United States Code, Sections 3735 and 3789g.

Variable 31a: Indeterminate Sentence

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- Is any part of the total maximum sentence reported in Variable 15 an indeterminate sentence (a sentence in which the judge specifies a minimum and maximum prison term)?

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) Yes
(2) No
(9) Don't Know

Examples

- An offender is serving a 10-year determinate sentence for robbery under a truth in sentencing law, and a 5-year sentence for drug trafficking under a mandatory minimum law.
  - "No" for variable 31a (indeterminate sentence),
  - "Yes" for variable 31b (determinate sentence),
  - "Yes" for Variable 31c (mandatory minimum sentence), and
  - "Yes" for variable 31d (restricted by a truth in sentencing law).
- An offender is serving a 10 to 15-year indeterminate sentence for vehicular homicide, a 5-year determinate sentence for reckless endangerment, and a 3-year determinate sentence for driving under the influence of drugs. The 10 to 15-year indeterminate sentence for vehicular homicide is restricted by a truth in sentencing law. The vehicular homicide sentence is not a mandatory minimum, nor is the 5-year sentence for reckless endangerment. It is not known whether the 3-year sentence for driving under the influence of drugs is a mandatory minimum sentence. The correct entry is:
  - Variable 31a (indeterminate sentence) –Yes.
  - Variable 31b (determinate sentence) –Yes.
  - Variable 31c (mandatory minimum) – Not Known.
  - Variable 31d (truth in sentencing) – Yes.

Variable 31b: Determinate Sentence

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- Is any part of the total maximum sentence reported in variable 15 a determinate sentence (a sentence in which the judge sets a fixed prison term)? The sentence may be reduced by good time credits or earned time.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) Yes
(2) No
(9) Don't Know

Examples (see Variable 31a)

Variable 31c: Mandatory Minimum Sentence

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- Is any part of the total maximum sentence reported in variable 15 a mandatory minimum sentence (a minimum sentence specified by statute for a particular crime)?

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) Yes
(2) No
(9) Don't Know

Examples (see Variable 31a)

Variable 31d: Truth in Sentencing Restriction

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- Is any part of the total maximum sentence reported in Variable 15 restricted by a Truth in Sentencing Law (a statute which mandates that a certain percentage of the court-imposed sentence be served in prison)?

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) Yes
(2) No
(9) Don't Know

Examples (see Variable 31a)

Variable 32: Length of Court-Imposed Sentence to Community Supervision

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)

Definition

- The amount of time which the court states that the offender is required to serve under community supervision after release from prison.

Additional Information

- This variable is applicable only if the court imposed a sentence to community supervision that is separate from the sentence to prison.
- The sentence to post-incarceration community supervision may be in the form of parole, probation, or other supervision in the community, as ordered by the court.

Examples

- The offender is sentenced by the court to serve a 5-year fixed prison term and an additional 2-year term on community supervision after release from prison. The correct value to report is 2 years.
- The offender is sentenced by the court to serve a 2 to 10-year sentence in prison. The court did not sentence the offender to a separate term of community supervision. The term of community supervision will be determined by an administrative agency, such as a parole board, when the offender is approved for release from prison. The correct value to report is "not applicable."

Variable 33: Parole Hearing / Eligibility Date

Applies To

- Prison Admissions (Part A)
- Prison Custody (Part D)

Definition

- The date the offender is eligible for review by an administrative agency such as a parole board, to determine whether he or she will be released from prison.
- Report partial dates if the day or month is not known.

Additional Information

- This variable is applicable only if the decision to release an offender is controlled by an administrative agency such as a parole board.

- The parole hearing eligibility date should be calculated from the total maximum sentence (variable 15) for all offenses. For the year-end custody record, report the next date the inmate will be eligible for a parole hearing.

Examples

- An offender was admitted to prison on January 1, 1999, with a 15 years to life sentence for second degree murder. The law states the offender is eligible for parole board release after serving 85% of the minimum 15-year sentence (or 12 years 9 months). The parole eligibility date is calculated by adding 12 years 9 months to the date of admission. The offender will be eligible for parole board release on October 1, 2011.
- A judge sentences an offender to serve 2 to 4 years in prison for theft. The offender is eligible for parole board release after the minimum 2-year sentence has been served. The offender was admitted to prison on January 1, 2010, with 6 months in jail time credits. The parole eligibility date is calculated by adding two years to the date of admission, and subtracting six months for credited jail time. The parole eligibility date is July 1, 2010.
- An offender is admitted to prison on January 1, 2005, with a 10-year sentence for aggravated robbery. The law requires violent offenders to serve 50% of the sentence before they are eligible for parole board release. Good time credits may be accrued only after 50% of the sentence has been served. The parole eligibility date is 5 years from the date of admission, or January 1, 2010.
- While on parole, an offender is arrested for aggravated assault and is sentenced to a 10-year prison term for the new offense. At sentencing, the offender's parole is revoked with 2 years remaining on a previous robbery sentence. The offender is admitted to prison on January 1, 2004 as a parole violator, with a 12-year total maximum sentence for both convictions. Good time credits may be accrued only after 50% of the sentence has been served. The parole eligibility date is 6 years from the date of admission, or January 1, 2010.

Variable 34: Projected Release Date

Applies To

- Prison Admissions (Part A)
- Prison Custody (Part D)

Definition

- The projected date on which the offender will be released from prison.
- Report partial dates if the day or month is not known.

Additional Information

- Statutory requirements, good time credits, jail time credit, and any other factors which might modify the prison release date should be included in this calculation.
- If an offender is serving time for more than one offense, the projected release date should be calculated from the total maximum sentence (variable 15) for all offenses.

Examples

- An offender enters prison on January 1, 2002, with a 10-year sentence for armed robbery. At sentencing, the offender received 6 months credit for time served in jail prior to being admitted to prison. While in prison, the State allows inmate to earn one day work credit for every 3 days served, not to exceed 15% of the sentence. The projected release date is calculated by subtracting the 6 months jail credit and the 1 ½ years of available work credit from the 10-year prison sentence. The offender's projected release date is 8 years from the date of admission or January 1, 2010.
- A judge sentences an offender to serve 10 years in prison for armed robbery. The offender is admitted to prison on January 1, 2002, and is required by State law to serve 6/7 of the 10-year sentence (8.57 years, or 8 years 6 months and 26 days). The offender's projected release date is 8 years 6 months and 26 days from the date of admission or July 26, 2010.
- A judge sentences an offender to serve 2 to 6 years in prison for theft. The offender is admitted to prison on January 1, 2007, and is given 3 years of good time credit (one-half the maximum sentence). Assuming the offender does not lose any good time while incarcerated, he or she is projected to be released after serving the remaining 3 years of the maximum sentence. The projected release date is calculated as January 1, 2010.
- A judge sentences an offender to serve 5 to 10 years in prison for aggravated robbery. The offender is admitted to prison on January 1, 2000, and given 5 years of good time credit (one-half the maximum sentence). After serving 8 years the offender has lost all good time credits due to disciplinary actions. The offender is expected to expire the sentence, or serve the entire 10-year maximum sentence, and release unconditionally from prison. The projected release date is 10 years from the date of admission or January 1, 2010.
- While on parole, an offender is arrested and convicted for armed robbery and sentenced to a 10-year prison term for the new offense. The offender's parole is revoked with 2 years remaining on a pervious robbery sentence. The offender is admitted to prison on January 1, 2004 as a parole violator, with a 12-year total maximum sentence for both robbery convictions. The offender is given 6 years of good time credit at admission (one-half the total maximum sentence). The projected release date is 6 years from the date of admission, or January 1, 2010.

Variable 35: Mandatory Release Date

Applies To

- Prison Admissions (Part A)
- Prison Custody (Part D)

Definition

- The date the offender by law must be conditionally released from prison.
- Report partial dates if the day or month is not known.

Additional Information

- This date should reflect jail time credits and any statutory or administrative sentence reductions, including good time.

- The mandatory release date should be calculated from the total maximum sentence (variable 15) for all offenses.
- This variable is intended to capture mandatory conditional release policies structured around good time and other administrative sentence reductions.
- Do not set to the date the offender's sentence will expire (serve the entire sentence and be released unconditionally from prison).

Examples

- An offender is admitted to prison on January 1, 2006, with a 5 to 10-year prison sentence for fraud. The law requires mandatory release for non-violent offenders when good time credits plus actual time served in prison equals the maximum sentence. The offender is allowed to earn a maximum of 45 days good time credit for every 30 days served. The mandatory release date is calculated by determining the date the offender's actual time served plus good time will equal the maximum sentence. After serving 4 years, the offender will have earned a maximum of 6 years in good time credit. The mandatory release date is 4 years from the date of admission, or January 1, 2010.

Variable 36: First Name

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The first name of the offender.

Additional Information

- All information that can identify individuals will be held strictly confidential by Abt Associates and the Bureau of Justice Statistics, in accordance with Title 42, United States Code, Sections 3735 and 3789g.

Variable 37: Last Name

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The last name of the offender.

Additional Information

- All information that can identify individuals will be held strictly confidential by Abt Associates and the Bureau of Justice Statistics, in accordance with Title 42, United States Code, Sections 3735 and 3789g.
-

Variable 38: Facility Name

Applies To

- Prison Custody (Part D)

Definition

- Name of the facility in which the prisoner will be incarcerated at yearend.

Variable 39: FBI Number

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The unique identification number given by the Federal Bureau of Investigation/ Interstate Identification Index to each offender.

Codes / Coding Information

- All information that can identify individuals will be held strictly confidential by Abt Associates and the Bureau of Justice Statistics as required by Title 42, United States Code, Sections 3735 and 3789g.

Variable 40: Prior Military Service

Applies To

- Prison Admissions (Part A)

- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- Did the inmate ever serve in the U.S. Armed Forces?

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *Yes*. Does not require that the inmate receive veterans' benefits, nor that the inmate served in a conflict situation. Includes all branches of the military, including the Coast Guard.
(2) *No*
(9) *Don't Know*

Variable 41: Date of Last Military Discharge

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The date the inmate was discharge from the U.S. Armed Forces for the final time.
- Report partial dates if the day or month is not known.

Variable 42: Type of Last Military Discharge

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The type of discharge the offender received from the U.S. Armed Forces on the date in Variable 41.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *Honorable.* Offender received a rating from good to excellent for their service.
(2) *General (honorable conditions).* Offender's military performance was satisfactory.
(3) *General (not honorable conditions).* Offender's military performance was satisfactory but marked by a considerable departure in duty performance and conduct expected of military members.
(4) *Other than honorable.* Offender's military performance was a serious departure from the conduct and performance expected of all military members.
(5) *Bad conduct*. Only given by a court martial.
(6) *Dishonorable*. May be rendered only by conviction at a general court-martial for serious offenses that call for dishonorable discharge as part of the sentence.
(7) *Other*.
(9) *Not Known*.

Variable 43: Date of Admission to Post Confinement Community Supervision

Applies To

- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The date the offender was most recently admitted to post-confinement community supervision on the current sentence.
- Report partial dates if the day or month is not known.

Variable 44: Type of Admission to Post Confinement Community Supervision

Applies To

- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The reason an offender entered into post-confinement community supervision on the date provided in Variable 43 (Date of Admission to Post-Confinement Community Supervision) of the current record.

- As necessary, provide information in a separate file that will enable Abt Associates to re-code your agency's PCCS admission type codes into the NCRP PCCS admission type categories listed below.

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *Discretionary release from prison*. An offender being admitted to PCCS based on the decision of the Governor, the department of correction, or parole board, or commutation of sentence.
(2) *Mandatory conditional release from prison*. An offender being admitted to PCCS based on a determinate sentencing statute or good-time provision
(3) *Reinstatement of PCCS*. Offenders returned to PCCS status, including discharged absconders whose cases were reopened, revocations with immediate reinstatement, and offenders re-admitted to PCCS at any time under the same sentence.
(4) *Court-imposed sentence to PCCS that begins upon release from prison.* An offender being admitted to PCCS based on a judicial sentence of a period of incarceration immediately followed by a period of PCCS.
(5) *Transferred from another jurisdiction.* An offender admitted following a term of confinement or community supervision in another state when that state transfers legal authority of the offender to your state.
(6) *Other*.
(9) *Not known*.

Variable 45: County Where Offender was Released / County Where PCCS Office is Located

Applies To

- Post Confinement Community Supervision Releases (Part F)

Definition

- The county where the offender was released from post-confinement community supervision on the date in Variable 26.
- If this information is not available, please report the county where the post-confinement community supervision (PCCS) office to which the offender reported before exit is located.

Codes / Coding Information

- If possible, use either the name of the county or the 5-digit county FIPS code (available at http://www.itl.nist.gov/fipspubs/co-codes/states.txt).

Variable 46: Social Security Number

Applies To

- Prison Admissions (Part A)
- Prison Releases (Part B)
- Prison Custody (Part D)
- Post Confinement Community Supervision Admissions (Part E)
- Post Confinement Community Supervision Releases (Part F)

Definition

- The 9-digit number assigned by the U.S. Social Security Administration to indicate a unique individual.
- If this information is not available or your state does not allow the reporting of full 9-digit SSN, please report the last 4 digits of SSN.

Codes / Coding Information

- Please do not include dashes.

Variable 47: Street Address of Residence Prior to Imprisonment

Applies To

- Prison Admissions (Part A)
- Post Confinement Community Supervision Admissions (Part E)

Definition

- Text field allowing for as much of the recorded street address as available for an offender's last known residence prior to imprisonment

Codes / Coding Information

- Please include all street numbers, apartment numbers, housing units, etc. if possible.

Variable 48: City of Residence Prior to Imprisonment

Applies To

- Prison Admissions (Part A)
- Post Confinement Community Supervision Admissions (Part E)

Definition

- City of an offender's last known residence prior to imprisonment

Variable 49: State of Residence Prior to Imprisonment

Applies To

- Prison Admissions (Part A)
- Post Confinement Community Supervision Admissions (Part E)

Definition

- State of an offender's last known residence prior to imprisonment

Variable 50: Zip Code of Residence Prior to Imprisonment

Applies To

- Prison Admissions (Part A)
- Post Confinement Community Supervision Admissions (Part E)

Definition

- 5-digit zip code of an offender's last known residence prior to imprisonment

Codes / Coding Information

- Please do not include dashes

Variable 51: Custodial Security Level

Applies To

- Prison Custody (Part D)

Definition

- Security level at which an offender is held during imprisonment

Codes / Coding Information

Use either your agency's codes or the following NCRP codes for this variable.

(1) *Maximum/close/high custody* - assigned to prisoners requiring the highest degree of supervision because they pose a danger to others and to the institution; or because their well-

being would be in jeopardy if they refused protective custody. These prisoners cannot participate in activities requiring outside movement, and their inside movement is closely observed.

(2) *Medium custody* - assigned to prisoners needing more than minimal supervision. Their inside movement and call-outs require passes and/or supervision. Their outside movement requires restraints except for work or program assignments.

(3) *Minimum/low custody* - assigned to prisoners posing the least threat to the institution and public safety. They include inmates assigned to community service centers and halfway houses and those who participate in work, education, and other activities in the community. They are generally permitted to move unescorted for program and work assignments.

(4) *Not classified/other* – Inmates are unsentenced or sentenced and awaiting classification

(5) *Unknown*.

Appendix I

NCRP frequently asked questions fact sheet

National Corrections Reporting Program (NCRP) FAQs

January 2015

What is the National Corrections Reporting Program (NCRP)?

NCRP compiles offender-level data on admissions to and releases from prisons and post-confinement community supervision programs. The Bureau of Justice Statistics (BJS) has administered the NCRP since 1983. State departments of correction and community supervision provide these data, which are used at the federal and state levels to monitor correctional populations and address policy questions related to recidivism, prisoner reentry, and trends in demographic characteristics of the incarcerated and paroled populations.

What is the Bureau of Justice Statistics?

The Bureau of Justice Statistics (BJS), a component of the Office of Justice Programs in the U.S. Department of Justice, is the United States' primary source for criminal justice statistics. Its mission is to collect, analyze, publish, and disseminate information on crime, criminal offenders, victims of crime, and the operation of justice systems at all levels of government. These data are critical to federal, state, and local policymakers in combating crime and ensuring that justice is both efficient and evenhanded.

How many states participate in NCRP?

Last year 48 states submitted NCRP data. Our goal is 100% participation.

What is Abt Associates' role in NCRP?

Abt Associates was awarded a grant in October 2010 by the Bureau of Justice Statistics to direct the NCRP. (Prior to that date, the U.S. Census Bureau was the NCRP data collection agent.) Abt is responsible for collecting, processing and analyzing data submitted by state departments of corrections and community supervision. Working with BJS, Abt will also implement BJS's vision of an enhanced and expanded NCRP system that provides timely and useful information to federal and state policymakers.

What is Abt Associates?

Abt Associates is a global leader in research and program implementation in the fields of social and economic policy, health, and international development. Abt Associates has 40 years of experience working for the U.S. Department of Justice and criminal justice agencies across the country. Known for its rigorous approach to solving complex challenges, Abt Associates is regularly ranked as one of the top 20 global research firms. The employee-owned company has multiple offices in the U.S. and program offices in nearly 40 countries.

What data is collected under NCRP?

- State departments of correction are asked to submit three data files:
  - Prison Admissions (Part A): one record for each *admission* of a sentenced offender to the state's prison system.
  - Prison Releases (Part B): one record for each *release* of a sentenced offender from the state's prison system.
  - Prison Custody (Part D): one record for each sentenced offender in the physical custody of the state's prison system at year end.
- State agencies responsible for supervising offenders on a term of community supervision immediately after release from prison are asked to submit two data files:
  - Post Confinement Community Supervision Admissions (Part E): one record for each *admission* to a post-confinement community supervision program.
  - Post Confinement Community Supervision Releases (Part F): one record for each *release* from a post-confinement community supervision program.

- Most states submit these data these data annually, with the submissions containing admissions and releases from the previous calendar year.

What data elements are requested in these files?

- The data elements differ somewhat across the five data files, but generally include:
  - Offender characteristics (e.g., unique agency identifier, name, date of birth, race, sex, veteran status)
  - Sentence characteristics (e.g., county where sentence imposed, offenses, sentence length)
  - Date and type of admission to prison
  - Date and type of release from prison
  - Date and type of admission to post-confinement community supervision
  - Date and type of release from post-confinement community supervision
- The NCRP data request documentation contains complete information on all the requested data elements.

What if we are unable to provide all of these data elements?

If your agency does not collect one or more of the requested data elements or providing them would be an excessive burden (or is not allowed under agency policy), those data elements do not have to be included in the data submission. The data request documentation also highlights the "core" data elements that are most important to NCRP.

How long will it take us to respond to this data request?

The amount of time depends on the characteristics of your agency's offender information system, the type of data extraction tools available for that system, and the level of expertise agency staff have in using those tools. The largest time commitment is in the first year of participation, when data extract procedures must be developed. BJS estimates the time needed to develop computer programs to extract data and to prepare a response to be 24 hours, on average, per type of database containing the information needed, for the first year of participation, and 8 hours, per type of database, during the second and subsequent years. Feedback during data processing and review is estimated to take 2 hours. Send comments regarding this burden estimate or any other aspects of the collection of this information, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531, and to the Office of Management and Budget, OMB number 1121-0065, Washington, DC 20503. For more information on the NCRP reporting burden (OMB No. 1121-0065 Exp. 10/31/2015), see the NCRP's OMB submission.[1]

When is the data submission due?

The target date for submitting NCRP data is March 31 of each year, but we understand that agency constraints in many states preclude meeting that target date. The Abt NCRP site liaison assigned to your state will work with you to set a realistic target date.

Is there a specific format or coding scheme for the data?

There is no required format or coding scheme for the data you submit.

[1] http://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=201208-1121-005

How do we submit the NCRP data?

The preferred method for submitting data to Abt Associates is via the NCRP data transfer site (transfer.abtassoc.com). This site is compliant with FIPS (Federal Information Processing Standard) 140-2 and meets all the requirements of the Federal Information Security Management Act (FISMA) and the Privacy Act. The data are automatically encrypted during transit.

How can we be assured that data we submit is secure?

BJS and Abt are bound by federal law (42 USC 3789g) which provides that, "No officer or employee of the Federal Government, and no recipient of assistance under the provisions of this chapter shall use or reveal any research or statistical information furnished under this chapter by any person and identifiable to any specific private person for any purpose other than the purpose for which it was obtained in accordance with this chapter. Such information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings." Abt further recognizes that it is bound by the Privacy Act and the Federal Information Security Management Act (FISMA) regarding how NCRP data are received, processed, and released.

What happens after we submit data?

Abt will verify the contents of the data files and conduct a series of validity checks on the data, including comparing the submitted data to your submissions from prior years. Typically, this will be accomplished within 2-4 weeks of receipt of your data. Your Abt site liaison will then contact you to review our findings. Having a thorough understanding of what data you submit is necessary in order to construct valid and reliable national NCRP datasets.

How will the data be used?

NCRP data are intended to be used at the federal and state levels to address policy questions related to recidivism, prisoner reentry, and trends in demographic characteristics of correctional and community supervision populations. BJS uses NCRP data to monitor these issues at the national level. Abt Associates actively solicits ideas from state NCRP contacts on how NCRP data can be used in their state. Researchers at universities and other institutions can access NCRP data – minus offender unique identifiers and names – at the National Archive of Criminal Justice Data (http://www.icpsr.umich.edu/icpsrweb/NACJD/), following a review by an Institutional Review Board (IRB).

Who do we contact for more information?

- **Tom Rich** (Abt Associates Project Director and site liaison) – tom_rich@abtassoc.com or 617-349-2753
- **Michael Shively** (Abt Associates site liaison) – michael_shively@abtassoc.com or 617-520-3562
- **Ann Carson** (BJS Program Manager) – elizabeth.carson@ojp.usdoj.gov or 202-616-3496
- Or, visit www.ncrp.info

Appendix J

Examples of follow-up emails to 5 states seeking clarification on NCRP data submitted

Carson, Elizabeth

From: Tom Rich <Tom_Rich@abtassoc.com>
Sent: Thursday, April 16, 2015 3:54 PM
To: Carson, Elizabeth
Subject: questions for North Carolina

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

-----Original Message-----
From: Tom Rich
Sent: Tuesday, April 07, 2015 11:29 AM
To: 'Stevens, Cara'
Subject: RE: 2014 NCRP data request

Hi Cara,

I hope you enjoyed the conference. Good seeing you again.

Thanks again for submitting the 2014 NCRP data. We've processed the data and have a few questions for you, to make sure we're understanding the data correctly.

1. Education (variable 7) is a value from 0 to 20. Does that correspond to the number of grades completed?
2. The jurisdiction on date of admission (variable 10) is missing in 99% of cases. In previous years this variable has been almost entirely "North Carolina". This year should we treat missing as "North Carolina"?
3. We see lots of offenses listed in the records. Should we treat the first one in the record as the most serious / controlling offense?
4. Many of the offenses are listed more than once in a particular record. Should we assume that the offense count is equal to the number of occurrences of a particular offense code within a record?
5. In the type of admission to parole variable (variable 44), what does "North Carolina case" mean?
6. In the type of release from parole variable (variable 27), what does "unsupervised" mean?
7. In the type of release from parole variable (variable 27), does "unsatisfactory termination" mean they were revoked back to prison?
8. Are the variables MSCMTMAX, PLMAXSNT, and CMTRMPRB in the form YYYMMDD?
9. The variable "prior felony" (variable 20) is "No" in all but 2 of the Part D (custody) records. In 2013, it was 54% yes and 46% no. For this year, should we treat this variable as missing?

Let me know if you need more clarification on these questions.

Thanks,
Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

-----Original Message-----
From: Stevens, Cara [mailto:cara.stevens@ncdps.gov]
Sent: Monday, March 30, 2015 9:55 AM
To: Tom Rich
Subject: RE: 2014 NCRP data request

Thanks Tom.

Cara Stevens, M.A.
Correctional Research & Evaluation Analyst Rehabilitative Programs & Services Division of Adult Correction and Juvenile Justice North Carolina Department of Public Safety
Phone: (919) 324-6488
Fax: (919) 715-7754
cara.stevens@ncdps.gov
www.ncdps.gov

-----Original Message-----
From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
Sent: Monday, March 30, 2015 9:26 AM
To: Stevens, Cara
Cc: Edwards, David
Subject: Re: 2014 NCRP data request

Thanks Cara! We received all the files. We'll process the files in the next few days and let you know if we have any questions.

Tom

Tom Rich
Abt Associates Inc.
617-349-2753

> On Mar 30, 2015, at 9:22 AM, Stevens, Cara <cara.stevens@ncdps.gov> wrote:
>
> Tom,
>
> I uploaded the North Carolina datasets this morning.
>
> Thanks,
> -Cara
>
> Cara Stevens, M.A.
> Correctional Research & Evaluation Analyst Rehabilitative Programs &
> Services Division of Adult Correction and Juvenile Justice North
> Carolina Department of Public Safety
> Phone: (919) 324-6488
> Fax: (919) 715-7754
> cara.stevens@ncdps.gov<mailto:cara.stevens@ncdps.gov>
> www.ncdps.gov<http://www.ncdps.gov>
>
>

> From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
> Sent: Wednesday, March 25, 2015 9:09 AM
> To: Edwards, David
> Subject: RE: 2014 NCRP data request
>
> David,
>
> Great news that the data are ready! Thanks very much.
>
> I'm in the process of getting you login credentials for the NCRP file transfer site. I'll call you (hopefully this morning; if not, Friday afternoon) once I have them. In the meantime, I've attached the general instructions for using the site.
>
> Talk to you soon.
>
> Thanks,
> Tom
>
> Tom Rich | Senior Associate | Abt Associates
> 55 Wheeler St. | Cambridge, MA 02138
> O: 617.349.2753 | F: 617.492.5219 |
> www.abtassociates.com<http://www.abtassociates.com>
>
> From: Edwards, David [mailto:David.Edwards@ncdps.gov]
> Sent: Tuesday, March 24, 2015 6:09 PM
> To: Tom Rich
> Subject: RE: 2014 NCRP data request
>
> Hi Tom: I believe we are ready to upload the data. If you would like to give me a call at your convenience tomorrow before 1:00 with the log-in information, I'll be available. Otherwise, I'll be in the office on Friday after 1:00 as well. Thanks, David.
>
> David Edwards, MRP
> Policy Development Analyst
> Rehabilitative Programs & Services
> Division of Adult Correction & Juvenile Justice NC Department of
> Public Safety Mail Service Center 4221
> 3040 Hammond Business Place
> Raleigh, NC 27699-4221
> Phone 919.324.6480
> Fax 919.715.7754
> david.edwards@ncdps.gov<mailto:david.edwards@ncdps.gov>
> www.ncdps.gov<http://www.ncdps.gov/>
>
> From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
> Sent: Tuesday, March 24, 2015 10:18 AM
> To: Edwards, David
> Subject: 2014 NCRP data request
>
> David,
>

> I just wanted to check back with you on the NCRP data request. Do you think you'll be able to submit the data within the next couple weeks? Our informal deadline is March 31st, and your agency has always been able to meet that date in the past.
>
> Thanks,
> Tom
>
> Tom Rich | Senior Associate | Abt Associates
> 55 Wheeler St. | Cambridge, MA 02138
> O: 617.349.2753 | F: 617.492.5219 |
> www.abtassociates.com<http://www.abtassociates.com>
>
> From: Tom Rich
> Sent: Monday, January 12, 2015 9:24 AM
> To: Edwards, David
> (David.Edwards@ncdps.gov<mailto:David.Edwards@ncdps.gov>)
> Subject: 2014 NCRP data request
>
> Hello David,
>
> I've attached the official request for 2014 NCRP data, as well as the instructions and an FAQ.
>
> I know this is your first year as point of contact for NCRP, so please contact me if you have any questions. I'm assuming Pam left solid documentation on how to run the extract programs that she developed. You'll be glad to hear that there aren't any changes to the data request from last year.
>
> On behalf of BJS, thank you very much for your support of NCRP.
>
> Tom
>
> Tom Rich | Senior Associate | Abt Associates
> 55 Wheeler St. | Cambridge, MA 02138
> O: 617.349.2753 | F: 617.492.5219 |
> www.abtassociates.com<http://www.abtassociates.com>
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> This message may contain privileged and confidential information intended solely for the addressee. Please do not read, disseminate or copy it unless you are the intended recipient. If this message has been received in error, we kindly ask that you notify the sender immediately by return email and delete all copies of the message from your system.
> <How to Upload NCRP Data via the Abt Transfer Portal.pdf>

Carson, Elizabeth

From: Tom Rich <Tom_Rich@abtassoc.com>
Sent: Thursday, April 16, 2015 3:57 PM
To: Carson, Elizabeth
Subject: Kentucky questions (first round, anyway).

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Tom Rich
Sent: Tuesday, February 10, 2015 2:34 PM
To: 'Hall, Johnathan (DOC)'
Cc: 'Moore, Beth (DOC)'
Subject: RE: 2014 NCRP data request

John,

It has taken us a long time to get to your 2014 NCRP, but we finally got to it today. The Part A records are the same ones submitted with the 2013 data last year. Looks like your 'year' parameter was updated for all the Parts except Part A.

Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Hall, Johnathan (DOC) [mailto:Johnathan.Hall@ky.gov]
Sent: Monday, January 12, 2015 4:14 PM
To: Tom Rich
Subject: RE: 2014 NCRP data request

You are quick - I didn't even have time to finish an email telling you they had been uploaded!

Please let us know if you need anything further.

Thanks,
John

From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
Sent: Monday, January 12, 2015 4:13 PM
To: Hall, Johnathan (DOC)
Subject: RE: 2014 NCRP data request

John,

I see all 5 files there. Many thanks!

We are in the middle of preparing our annual data submission to BJS, so we probably won't be able to review these files for a week or two. But I will get back to you and Beth if we have any questions on the files.

Thanks again,
Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Hall, Johnathan (DOC) [mailto:Johnathan.Hall@ky.gov]
Sent: Monday, January 12, 2015 4:08 PM
To: Tom Rich
Subject: RE: 2014 NCRP data request

As sure and I am typing this email, I just tried the exact same credentials as I did earlier (several times) and they worked. I am in now.

Sorry for the trouble!

From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
Sent: Monday, January 12, 2015 4:06 PM
To: Hall, Johnathan (DOC)
Subject: RE: 2014 NCRP data request

I was just able to log in with those credentials. Double check that you entered colemanc for the user name. All lower case, although I don't think case matters on the user name. Ampersand is &. Also, just to make sure, the pound sign is #.

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Hall, Johnathan (DOC) [mailto:Johnathan.Hall@ky.gov]
Sent: Monday, January 12, 2015 4:02 PM
To: Tom Rich
Subject: RE: 2014 NCRP data request

Tom –

I attempted to log on with the user name 'colemanc' and the password you provided. The site is giving me the following message "Invalid username/password or not allowed to sign on from this location."

Just to make sure I am correct – when you referred to the ampersand you meant the "&" symbol, correct? After there any letters in the username that should be capitalized?

From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
Sent: Monday, January 12, 2015 3:52 PM
To: Hall, Johnathan (DOC)
Subject: RE: 2014 NCRP data request

John,

Let me know if you have any trouble uploading. I get a notification when the files land, so I'll let you know when they're all here.

Thanks.

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Hall, Johnathan (DOC) [mailto:Johnathan.Hall@ky.gov]
Sent: Monday, January 12, 2015 3:47 PM
To: Tom Rich
Cc: Moore, Beth (DOC)
Subject: RE: 2014 NCRP data request

Tom –

I don't mind at all to use Cedric's account. Please call me at (502) 782-2257.

Thanks,
John

From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
Sent: Monday, January 12, 2015 2:31 PM
To: Hall, Johnathan (DOC)
Cc: Moore, Beth (DOC)
Subject: RE: 2014 NCRP data request

John,

Wow – you guys are fast!

The upload instructions are attached. We have an account under Cedric Coleman's name – user name colemanc. The password is one that I created so I'm ok with your using that account, if you're ok with it. Otherwise I'll create an account for you or Beth.

Let me know what you'd prefer. Either way, I have to tell you the password over the phone, so also let me know a number to reach you at.

Thanks,
Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138

O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Hall, Johnathan (DOC) [mailto:Johnathan.Hall@ky.gov]
Sent: Monday, January 12, 2015 2:23 PM
To: Tom Rich
Cc: Moore, Beth (DOC)
Subject: RE: 2014 NCRP data request

Hi Tom –

I hope you are doing well.

As you probably gathered from her out of office message, Beth is on vacation this week. In her absence, I have prepared the data extract for you and all five files are ready for submission. However, I do not have any credentials or information about how to access your FTP site. If you wouldn't care to provide that information I will be happy to upload the files for you.

Thanks!
John

From: Tom Rich [mailto:Tom_Rich@abtassoc.com]
Sent: Monday, January 12, 2015 10:39 AM
To: Hall, Johnathan (DOC)
Cc: Moore, Beth (DOC)
Subject: 2014 NCRP data request

Hi Johnathan,

I hope you are doing well, and that the new year is off to a good start.

It's that time of the year when we contact states to request NCRP data for the prior year (2014). I have attached the data request letter, a letter of support from BJS, the instructions, and an FAQ. You and Beth will be glad to hear that there aren't any changes to the data request from last year.

I hope we will see you at the NCRP meeting in Colorado in a couple months.

Thanks,
Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

Carson, Elizabeth

From: Tom Rich <Tom_Rich@abtassoc.com>
Sent: Thursday, April 16, 2015 3:55 PM
To: Carson, Elizabeth
Subject: questions for Nevada DOC

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Tom Rich
Sent: Tuesday, March 17, 2015 9:43 AM
To: 'Alejandra Livingston'
Subject: RE: 2014 File Upload

Hi Alejandra,

Thank you again for submitting the 2014 NCRP file. We've reviewed the file, and had a couple questions for you.

1. What do the offense codes 00A007, 00A008, 00A009, and 00A010 mean? The offense description for these codes is "Aggregate".

2. Based on our discussions in January, we were expecting to see the new ID field we requested last year (the NDOC number) at the end of each record. But we didn't see a new field at the end of each record. Was the NDOC number included in the files? We see an ID field in each record, but we assume that was the inmate ID that you've been providing for the past several years.

Thanks,

Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Alejandra Livingston [mailto:alivingston@doc.nv.gov]
Sent: Friday, March 06, 2015 10:55 AM
To: Tom Rich
Cc: Andrea Franko; Dwayne Deal
Subject: 2014 File Upload

Good morning Tom, this message is to advise you that Nevada has submitted the 2014 NCRP files via the file transfer wizard provided by your firm.

Feel free to contact me should you have any questions.

Regards,

Alejandra C. Livingston, MS
Research, Planning, & Statistics
Nevada Department of Corrections
P.O. Box 7011
Carson City, NV 89702

Ph: (775) 887-3357
Fax:(775) 887-3243

(Please note that my fax number has changed)

Carson, Elizabeth

From: Tom Rich <Tom_Rich@abtassoc.com>
Sent: Thursday, April 16, 2015 3:54 PM
To: Carson, Elizabeth
Subject: questions for Pennsylvania parole

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Tom Rich
Sent: Thursday, March 05, 2015 11:30 AM
To: wimoser@pa.gov
Cc: Klunk, Frederick (fklunk@pa.gov)
Subject: NCRP 2000-2014 EFG files

Bill,

Many thanks again for uploading the 2000-2014 EFG files. We really appreciate your willingness to go back that far. We have a few questions for you below, to make sure we understand the data.

1. Does the variable CountyResidence refer to the county where the offender is living while on parole? where he was living when the sentence was imposed? where the court that sentenced the offender is located?

2. There are a few records that have a date of admission to parole in the year 3209. Should we set these values to "missing"?

3. There are a few race codes that appear infrequently in the data that we don't know the meaning of (as necessary, we can set these to "missing"):

- 0
- C
- P
- S
- M

4. What does EntryCode 4A mean?

5. There are a few codes for Sex that we don't know the meaning of:

- 0
- 7
- B
- E
- U

6. There are a few StatusCode that we don't know the meaning of:
40

41
42
43
44
45

7. There are about 65 offense codes that we don't know the meaning of (as necessary, we can set these to 'unknown – these codes are rarely used)

05
25
28
140
213
215
216
219
226
235
236
239
246
253
255
262
270
272
277
282
283
284
285
288
290
293
441
853
863
942
20M
51I
55I
6OO
96O
A46
A91
A99
Aid
All

B15
B19
B22
COR
Cre
Dea
Dis
DRI
Fle
GRA
I.D
Inv
Man
Par
PIC
Pos
Pro
PWI
R.E
REC
Sim
STA
Sto
Str
TER
Una

Thanks again,
Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

Carson, Elizabeth

From: Tom Rich <Tom_Rich@abtassoc.com>
Sent: Thursday, April 16, 2015 3:55 PM
To: Carson, Elizabeth
Subject: questions for Pennsylvania DOC

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

From: Tom Rich
Sent: Tuesday, April 14, 2015 2:13 PM
To: Flaherty, Robert (rflaherty@pa.gov)
Subject: 2014 NCRP files

Hi Bob,

(Now on to our other survey….). Thanks again for submitting the 2014 NCRP files. We've reviewed the files and have a couple questions for you:

1. We noticed that the total maximum sentence length is a date. I just wanted to confirm that to calculate the maximum sentence length in years and month, we should subtract the date of admission to prison from the maximum sentence length date in the files.

2. There are a few offense codes that we don't know the meaning of. Here they are (if it's easier to send us a more recent offense code table, please do so):

7533091
185112A
184303A
187613A
184955A2
187615A4
236311A
342522A
424137A1
7533001A1
425947F
CC00010
CC182714
CC25007D
CC2603A
CC2701A4

CC2709A6
CC2906
CC3125A5
CC3307A1
CC4303
CC4955
CC551121
CC5511H3
CC5516
CC6141
CPV
HIGH
LOW
JC4134
JC9712.1
PC43002
TCV
TPV
VC3736A
VOIP

Thanks,
Tom

Tom Rich | Senior Associate | Abt Associates
55 Wheeler St. | Cambridge, MA 02138
O: 617.349.2753 | F: 617.492.5219 | www.abtassociates.com

Appendix K

Whitepaper on estimating the proportion of the prison population that will serve long sentences using NCRP data

"Estimating Prison Stays Among Current Prison Populations"

Jeremy Luallen, Ph.D., Abt Associates, Inc.
Gerry Gaes, Ph.D., Florida State University
Chris Cutler, M.A., Abt Associates, Inc.

DRAFT: PLEASE DO NOT CITE WITHOUT PERMISSION FROM THE AUTHORS

February 23, 2015

This work was supported by Grant No. 2010-BJ-CX-K067 awarded by the Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice. For this work, Thomas Rich served as Project Director along with Principal Investigators William Rhodes and Gerry Gaes. Points of view in this document are those of the authors and do not represent the official position of the U.S. Department of Justice. The authors are responsible for any errors in the paper.

Abstract

A recent report by the Pew Center describes the impact of increasingly longer prison terms on the costs of corrections over the past two decades. In that report, the author's forecast the expected length of stay for the current prison population based on prison exit rates (i.e., prison stock divided by exits in a single year) and use a common "release cohort" approach to estimate the average length of stay. While these approaches can provide reasonable estimates of prison stays lengths, they have drawbacks in application. This paper proposes an alternative method for estimating the length of stay among prison populations using a survival model with left truncation. Its express intent is to forecast the number of short-stay, medium-stay and long-stay prisoners in the current population. We argue that this approach offers several advantages which make it a better tool for corrections officials to forecast the number of short-stay, medium-stay and long-stay prisoners. Prison authorities can use this forecast to allocate resources more efficiently.

Introduction

Measuring length of stay in prison is an important metric for criminal justice researchers.[1] It is used to explain changes in prison populations over time and describe variations in punishment across jurisdictions. It is also used to measure equity and proportionality in sentencing across individuals. Traditionally, estimates of time-served focus on the fundamental question: "What is the average time an offender serves in prison?" However, there are practical benefits to knowing the proportion of the population that will remain in prison for short terms as compared to long terms. This suggests an alternative question: "Of all the offenders currently in prison, how many are expected to serve sentences of specified lengths?" This alternative question has been raised by researchers (Pew, 2012) and government agencies (the Bureau of Justice Statistics) and expresses a different empirical objective – measuring the number offenders by length of stay. Though the answer to this question also appears to be important, it has been historically underemphasized in the literature, likely because strong assumptions are required to produce reasonable estimates.

At present, methods appearing in the literature for estimating prison stays in current prison populations are limited. Estimates based on aggregate prison stocks and flows describe the average expected stay, but do not describe the distribution. Estimates based on release cohorts describe the distribution, but are highly variable, require additional data about sentencing and do not provide confidence intervals. Moreover, they require strong assumptions about the flow of prisoners both into and out of prison over time. In light of these limitations, we discuss a new method for estimating the expected length of stay of current prison populations. Specifically we propose an estimator that uses a survival model with left truncation and right-hand censoring to estimate the distribution of projected length of stay and then use these estimates to quantify the size of short, medium, and long term offender groups. While this survival method also requires some strong assumptions, it has advantages in application that make it a superior choice for estimation.

We test the robustness of our proposed estimator using data from the National Corrections Reporting Program (NCRP). Overall we find that estimates derived through our alternative approach are an improvement over estimates obtained from release cohorts. Estimates of short-stay offenders, where variability matters least, show comparability between methods. Estimates of long-stay offenders, where variability matters most, show notably less volatile but otherwise reasonable estimates using a survival-based approach. In addition, estimates using our approach require fewer assumptions and no special treatment of offenders with life sentences. Ultimately we argue that a survival-based approach to estimation offers a better tool for forecasting the number of short-stay, medium-stay and long-stay prisoners. The remainder of this paper is organized as follows. First we motivate our method by describing its importance to practitioners.

[1] This is, of course, distinct from the sentence an offender receives. Actual time served can be quite different from the associated sentence, especially in jurisdictions without sentencing guideline procedures

Second we describe the competing methods: the release cohort method and the survival method. Next we describe the data we use for our estimations, followed by a comparison of results using each method. Finally, we offer some concluding remarks.

Motivation

From a practical perspective, knowing the sizes of current offender populations by projected length of stay is a benefit to corrections administrators and practitioners. The reason is that decisions made by corrections officials about the day-to-day administration of corrections are directly impacted by prisoner composition according to stay length. Consider, for example, differences in prisoner socialization and prison culture that occur with the balance of long-stay and short-stay inmates. Some ethnographies of prisoner life discuss the cultural tone set by lifers who "just want to do their time" versus inmates who have relatively short duration terms (Clemmer, 1940; Irwin, 2009; Sykes, 2007). While there has not been a great deal of research on the inmate composition with respect to length of stay, Toch and Adams (1989) found that inmates with long lengths of stay were less likely to commit misconduct than those with short lengths of stay. They also found that misconduct was more likely to occur at the beginning of a term and the probability declined over time. Other research has described aspects of "prisonization" for long-term inmates that include changes in socialization and thought patterns (Wilson & Vito, 1988). To the extent that the mix of prisoner types is a predictor of prisoner behavior, knowing this mix helps decision makers to optimize correctional staff allocation, implement routines that maximize prison stability and introduce policies that promote correctional objectives.

Alternatively, knowing the number of long-stay (vs. short-stay) inmates promotes the effective allocation of prison budgets. For example, current and planned allocation of prison health care dollars may depend on the size and distribution of long-stay inmates. Many long-stay inmates are naturally older, placing greater fiscal strain on corrections budgets (Wilson & Vito, 1988; Chettiar, Bunting & Schotter 2012; Fellner & Vinck 2012). Similarly, to the extent that the programming and treatment needs of long-stay prisoners are different from short and medium-stay prisoners, optimal allocation of those dollars may vary with the mix of prisoner types. As the proportion of long-stay prisoners grows, administrators may wish to devote more resources to the promotion of coping strategies and related activities for which long-stay inmates are receptive, or to offering more intensive and targeted pre-release preparation (Adams, 1992; Wilson & Vito, 1988).

Setting aside their practical benefits, the motivation for these estimates is also partly driven by the same normative considerations that lead policymakers and researchers to measure time served in the first place. To the extent that measuring average length of stay is seen as useful, measuring the number of offenders should be equally useful. Both measures serve to improve the public's understanding and help public officials to make informed policy decisions – goals

unto themselves. Given the objective, our method leads to better estimates of length of stay and improves the utility of this measure.

Data

For this exercise we use data from the National Corrections Reporting Program (NCRP), operated by the Bureau of Justice Statistics. The design of this dataset has important implications for our proposed model, so we describe it in some detail here. Moreover, the NCRP data are the same data used by Pew in their earlier report (2012).

The NCRP is a longitudinal file that tracks individual offenders within prison populations over time. The time frame covered for this longitudinal file in many states is 2000 to 2013. Over this time frame, the NCRP records information about (a) every offender admitted to prison regardless of when they were released, (b) every offender released from prison regardless of when they were admitted, and (c) every offender appearing in prison at some point regardless of when they were admitted. The implication of this design is that we can observe outflows for offenders admitted decades in the past and covering selected windows of time. It is this abundance of longitudinal data that makes the NCRP a rich source of data for analysis of this type. Moreover it is a public-use dataset, providing a platform for others to conduct similar analysis.

In addition to offender-level data on prison admissions, releases and stocks, the NCRP also collects other important data elements including sex, date of birth, race, offense, and sentence length. While we do not exploit these additional data elements for this paper, they offer potential multivariate extensions to the survival modeling we propose here. We restrict our dataset to 38 states in all. In these states, data have been transformed into a longitudinal format, are known to have been tested and certified for reliability and extend to December 31, 2013.

Methods

As described earlier, the Pew report (2012) estimates expected length of stay using a stock-flow ratio. Expected time-served is computed as the ratio of the prison stock to the flow of releases during the year. Such an approach is known to the field (Blumstein and Beck 1999; Blumstein and Beck, 2005; Patterson and Preston, 2008) and has appeal in that it is a simple computation with minimal data requirements. A disadvantage of this estimator is that it leads to an estimate of the mean but does not estimate the distribution of prisoners by length of stay. Where the objective is to forecast the size of groups by length of stay, more extensive use of release cohorts is required. In the following text, we describe an approach for estimating counts using release cohorts, followed by a description of our proposed survival method.

Release Cohort Method

The logic behind using release cohorts to forecast the distribution of stay length is straightforward and requires two assumptions. The first is that prisoners with length of stay S are

admitted and released at a constant rate. That is to say that offenders admitted in year 1 are released in year (1 + *S*), offenders admitted in year 2 are released in year (2 + *S*), and so on. This method must also assume that admission groups are of equal size. With these assumptions, the size of a group (with stay *S*) can be directly estimated based upon the observed releases in any given year, since the number of releases (i.e., admissions) will be constant over time. The estimate is multiplicative to the number of releases in a given year with stay length *S.* For example, the estimated number of offenders with stay, *S* = 3 in a given population is just 3 times the number of released offenders of *S* = 3 in a given year.

Equations [1] and [2] below generalize this condition. Let N_T^S be the estimated stock population of offenders with stay length *S* in year *T*. Also let R_T^S be the number of offenders with observed length of stay *S* released in year *T,* such that the estimated stock is:

$$[1] N_T^S = S * R_T^S$$

By simple extension, the estimated overall stock population (in year *T*) is just the summation of N_T^S over every *S*:

$$[2] N_T = \sum_{i=0}^{S} S * R_T^S$$

There some notable features of this model that limit its utility. First, because estimated stocks are built entirely from release cohorts, they ignore observable information about the current prison population. To the extent that admission rates in fact vary over time, estimated stocks need not resemble observed stocks. As an illustration, consider an extreme example where a state admits enough offenders during the last year so that their population doubles. Because the majority of new offenders will not have been released by the end of the year, their presence in any release cohort is not yet observed. The influx of new offenders is unaccounted for and estimates will understate the number of offenders in the stock by close to half. This complication drives the need for the steady-state assumption about admissions.

Second, significant variability is driven by sentences that are both very long and very rare. The reason is that small groups of offenders are represented at a rate that is multiplicative to their stay length. Consider for example a release cohort that includes one offender released after 35 years. By its construction, this formula implies that there are 1*35 = 35 similar offenders in the stock. However, if by chance this release cohort contained two such offenders, now the estimate number of similar offenders doubles to 2*35 = 70. The result is that lumpiness in release cohort groupings drives noisiness in stock estimates.

Third, the model does not by itself provide a formal confidence interval for estimated stocks. It appears the only way to assess variability would be through repeated estimation across multiple release cohorts, provided data are sufficient. Finally, the model does a poor job of handling life sentences in many cases. There are two reasons. First, the use of life sentences has not been uniform over time, accelerating over the past few decades (citations). Second, these increased

admissions are largely not (yet) observed in most release cohorts. Together, these factors invalidate the steady-state assumption and, without a correction, make estimates for the longest stays unreliable. A reasonable solution is to identify offenders with life sentences from the current stock, then supplement estimates with these offenders as a group with a predefined length of stay, e.g., > 20 years. This trumps the need to estimate the length of stay for these offenders and still allows the analyst to classify an offender as being in a long term length of stay group. This is the solution we adopt for this paper. To do so requires additional data, some of which is not available for some states. More importantly, a method using survival modeling can handle all of these issues.

Proposed Survival Method

In this paper, we propose to use a survival function to estimate the distribution of the length of stay for a given prison population and describe expected group membership. A survival function is especially useful because estimates at each interval are conditional on time. It can therefore easily be applied to a selected prison stock where time already served is known. It also has the advantages that confidence intervals are obtained directly from the estimation, and that life sentences are naturally handled by the model. Moreover, estimates can be made less sensitive to chance variations in the longest stays by setting an upper bound on the estimation. For example, offenders with sufficiently long stays (e.g. stays of 20 years or more) can be collapsed into a single, larger group for estimation. The release cohort method does not allow for this collapsing because it relies on the exact stay length to draw inferences.

There are two main issues to consider for estimating and applying the survival function in this context. The first concerns the existence of time trends in survival estimates (i.e., trends in time-served). As a practical matter, the existence of time trends in survival estimates make it impossible to construct reasonable estimates of the future; too much uncertainty exists. This is equally true with both release cohort and survival methods. As such, our model must assume survival estimates are time invariant. The assumption is strong, but the data provide a test. Unlike the release cohort method, there is no additional need to assume constant admission rates. The estimated survival function only uses information for offenders at risk, at the time they are at risk. No assumptions need be made about the number of admissions, and so the survival function itself can be applied to any number of prisoners. Because estimates are applied to the stock population itself, projected estimates will exactly equal the number of known offenders.

The second consideration for this model is that the data are both left truncated and right-hand censored. Censoring exists because some offenders remain in prison past the end of the observation window (Dec. 31, 2013). Truncation occurs because offenders admitted prior to the start of the data collection window (i.e., 2000) are only observed if they are still in prison beginning in 2000; offenders both admitted and released before 2000 are never observed. Truncation implies that admission cohorts before 2000 only provide partial information about the regions of the underlying survival function they represent. For example, a 1996 admission

cohort does not provide information about survival rates in year 1, year 2, year 3 or year 4 by its construction, but does provide information about survival rates in year 5, conditional on survival up to that point. In fact, estimates for this cohort are identified for up to a 12-year span, from year 5 to year 17. Estimates beyond year 17 are not supported because of censoring. Most importantly, the presence of both censoring and truncation does not preclude reliable estimates. Parametric and nonparametric survival models can be reliably estimated in these circumstances, provided risk sets are appropriately constructed and sufficiently sized and other assumptions are met (Kaplan & Meier, 1958; Woodroofe, 1985; Tsai, 1987; Chao & Lo, 1988; Gijbels & Wang, 1993).

Survival estimates for this paper are derived from a nonparametric maximum likelihood estimator (Kaplan and Meier, 1958), shown in equation [3] below. We use a nonparametric estimator for simplicity, though parametric estimators can also be used.

$$[3]\ \hat{S}(t) = \prod_{j|t_j \le t} \left(\frac{n_j^k - d_j^k}{n_j^k} \right)$$

Equation [3] expresses the standard nonparametric (KM) estimator proposed by Kaplan and Meier (1958), with one notational difference. As with the standard KM estimator, the subscript j associated with risk sets n and losses d indicate events recorded as of time t_j. In addition, the superscript k indicates the data come from a subset of admission cohorts (A). The steady-state assumption is important to the construction of this estimator and implies no adverse effects result from the use of late entrants. Offenders across admission cohorts can be thought of as random selections from an underlying distribution of time-served.

The construction of this k subset depends on j and can be defined in a variety of ways. The simplest construction of k is to use only the most recent admission cohort with available data, i.e., $k \in \{A_{2014\text{-}j}\}$. In that case, estimates for year 1 survival (the interval $0 \le t < 1$) are derived from the 2013 admission cohort, estimates for year 2 survival ($1 \le t < 2$) are derived from the 2012 admission cohort, and so on. This is the construction we use for estimation in this paper, although our definitions are not limiting. This construction allows us to capitalize on the most recent data available for a given survival period. Others may wish to expand the cohorts used in estimation, where survival estimates are identified; however we argue that restricting estimates to use the most recent data (i.e., the last identified cohort) provide the strongest guard against possible trends in time-served.

Estimates of the survival curve derived from [3] above are used to estimate current stocks according to equation [4], shown below:

$$[4]\ N \mid T \ge T^* = \sum_{i=0}^{T} \mathrm{G}^{\mathrm{i}} \left(\prod_{j=i}^{T} \hat{S}_j \right)$$

where $\hat{S}_j$ is defined such that: $\begin{cases} \hat{S}_j = \hat{S}(t_j) & \text{for } j < T^* \\ \hat{S}_j = 1 & \text{for } j \geq T^* \end{cases}$

In this equation $N \mid T \geq T^*$ is the estimated number of offenders in prison for at least T^* years. The term G^i denotes the observe stock of offenders already incarcerated for i years. The term $\hat{S}_j$ denotes the relevant portion of the survival curve applied to offender stocks G^i. Simply put, survival estimates are applied on the range from i to T^*, not including T^*. All offenders projected to be remaining in prison as of T^* are simply pooled together and added to the total. This paper treats T^* as 20 years, though others may wish to apply different cutoffs.

Results

We compare estimates from our survival method to those derived from the release cohort method using data from 38 states. Results are reported in Table 1. We stratify estimates according to three offender groupings: short-stay, medium-stay and long-stay offenders. Short stays are defined as prison stays of less than 5 years. Medium stays are defined as prison stays between 5 and 19 years. Long stays are defined as prison stays of 20 years or more. This stratification is arbitrary; analysts can choose strata suitable to their requirements.

This table shows several important results. First, it shows that estimates for short-stay offenders are extremely close between methods. In 33 of the 38 states, predicted differences are 10% or less. In 18 states the absolute difference in predicted group sizes is less than 500 offenders, and in 29 states this difference is less than 1,000. Estimates for medium-stay offenders are similarly comparable, with a clear exception of estimates in California. In California, estimates based on release cohorts dramatically overstate the prison population by over 24,000 offenders (roughly 150% of the estimated population according to the survival method). The difference is attributable to the Realignment reforms recently adopted in California, which have dramatically reduced admissions and subsequent stock in California prisons, but which are not accounted for by the release cohort estimates. The result highlights the weakness of the release cohort in instances where admission rates are significantly changing over time.

Table 1 also shows estimates for long-stay offenders between methods are generally close, though the disparity of estimates varies substantially by state. In general, it appears that smaller states have notably larger estimates of long-stay offenders using the survival method relative to the release cohort method. Given the greater sensitivity of release cohort estimates to changes among smaller populations, we argue that survival estimates provide a better prediction. Figure 1 illustrates this point. It shows the distribution of states (on the y-axis) according to the predicted proportion of the population that is long-stay (on the x-axis). The figure compares methods by showing the predicted distribution from the survival methods on the left, and the same distribution for the release cohort method on the right. It shows that results from the

survival method are normally distributed, while the results for the release cohort method appear significantly more variable. Given that these same distributions among short and medium-stays tend toward the normal distribution for *both* the survival and release cohort methods, the result on the left is arguably more credible.

Finally, we offer three figures which summarize the information from Table 1 as simple-to-read graphics. All figures summarize estimates between methods. Figure 2 shows estimates for short-stay offenders, Figure 3 for medium-stay, and Figure 4 for long-stay offenders. Readers should note that the ranges of the y-axes vary between graphics.

Conclusion

The future is of course uncertain. Nevertheless, forecasting the future is important because it enables public administrators to make decisions based upon current knowledge. In corrections, administrators that can effectively project the sizes and attributes of their offender populations can foresee budgetary pressures more easily and make more informed decisions about current resource allocation. With that goal in mind, this paper proposes a method that is more reliable than release cohort estimates of the number of inmates classified by length of stay in prison. Using data from 38 states, we show that offender groups can be reliably estimated with a survival model that has several advantages in application over estimation performed through release cohorts. Overall, we argue this approach offers a better tool for forecasting.

The method we describe here is a general approach and applicable to a wide variety of correctional settings. However, there may be specific circumstances where forecasts are better achieved through other means. Consider, for example, states that have adopted determinate sentencing laws. There should be much less ambiguity in these states about how long most offenders will remain in prison. The exercise may be as simple as counting up the number of prisoners with already known length of stays. More likely, the exercise would involve some mixture of counting and estimation. In some states, even with determinate sentencing guideline procedures, there is variability in length of stay because of judges' ability to depart from guidelines and because some states have generous good time credits. In any case, our method provides new flexibility in how projections can be achieved.

We recognize certain limitations to the proposed method. For one, we make no distinction between offenders serving a revocation term and a new court commitment. For the purposes of allocating resources, this make no difference even though there is intense interest in this distinction among criminologists and policy administrators (National Research Council, 2014). We have also found a great deal of ambiguity in making this distinction between new court commitments and revocations in many states that contribute to NCRP. Second, while we have focused on the length of stay estimates without covariates, certain jurisdictions will want to use a parametric estimation method to provide insight into the drivers associated with length of stay. We used the Kaplan-Meier (KM) survival estimator because it requires the fewest assumptions

and given the density of the NCRP data, it provides a reasonable estimate of the survival function. In some instances, simply stratifying the sample and applying the KM estimator will provide sufficient insight of the effect of some limited set of covariates.

Finally, while acknowledging that the KM estimator is less sensitive to changes in length of stay over time than the release cohort method, we acknowledge there will be jurisdictions where unanticipated dramatic changes in length of stay will occur. Many times a policy change will be incremental as it was in the federal system where implementation of sentencing guidelines occurred gradually because it only applied to offenders whose crimes occurred after the date of implementation (Gaes, Simon, and Rhodes, 1992). There will be unusual cases such as the one that occurred in the California prison system where the shock was the result of a federal court intervention forcing the state to send prisoners to local jails who previously had been incarcerated in the state prison system. No method can anticipate such shocks.

Prison length of stay has implications for many elements of criminal justice investigations, both practical and theoretical. We argue that using a left truncated right censored survival estimator gives us the best result.

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Tables

Table 1: Estimated Current State Prison Populations, by Stay and Method

	Short-Stays			Medium-Stays			Long-Stays		
	Survival	Release Cohort	Diff.	Survival	Release Cohort	Diff.	Survival	Release Cohort	Diff.
AL	13,163	13,281	-118	8,260	6,020	2,241	6,506	6,413	93
CA	55,071	52,707	2,364	43,148	67,269	-24,121	34,701	35,651	-950
CO	11,125	11,910	-786	6,061	9,189	-3,128	2,235	4,159	-1,924
DE	3,302	3,229	73	1,330	1,429	-99	750	70	680
FL	49,026	48,189	837	33,554	33,196	357	18,243	17,920	324
GA	28,935	28,731	204	16,697	16,251	447	8,037	10,522	-2,485
IN	18,862	17,428	1,434	7,762	6,457	1,304	2,853	1,700	1,153
IA	5,701	5,416	285	1,594	2,262	-668	911	75	836
KS	5,133	4,886	246	2,724	2,481	243	1,699	199	1,500
KY	15,216	16,803	-1,586	4,504	5,212	-708	1,747	1,211	535
ME	1,382	1,281	102	468	335	133	294	107	186
MA	4,521	5,140	-618	3,040	3,593	-553	1,866	629	1,238
MI	17,551	16,490	1,062	16,410	18,169	-1,759	9,291	9,647	-355
MN	6,856	6,877	-21	1,708	2,785	-1,078	622	590	33
MS	11,993	12,002	-8	6,866	5,539	1,327	3,173	2,348	825
MO	18,645	17,749	897	8,094	9,225	-1,131	4,693	3,953	740
MT	1,570	1,680	-111	577	680	-104	283	24	260
NE	3,229	2,730	499	1,275	1,158	117	496	598	-102
NV	6,951	6,338	612	3,867	3,151	716	1,923	3,133	-1,209
NH	1,663	1,600	63	690	817	-127	288	23	266
NJ	14,056	15,428	-1,373	5,660	8,490	-2,830	2,354	4,120	-1,766
NM	4,241	4,075	166	1,858	1,427	431	733	54	679
NY	28,900	26,773	2,126	15,380	16,563	-1,183	8,364	11,917	-3,553
NC	17,910	17,473	436	13,155	16,201	-3,045	5,592	4,299	1,293
ND	1,220	1,220	1	249	178	71	100	61	39
OH	28,183	27,990	193	14,190	14,627	-436	10,280	7,817	2,464
OK	13,087	11,930	1,158	8,957	8,161	797	4,516	3,762	754
OR	7,392	6,891	501	6,143	7,064	-920	1,435	3,833	-2,398
PA	29,646	26,266	3,380	13,353	15,019	-1,666	8,460	7,766	694
RI	1,828	1,656	172	528	415	113	288	235	53
SC	9,640	9,128	512	7,912	8,982	-1,071	4,314	2,641	1,673
TN	16,668	15,836	832	8,840	7,721	1,119	7,209	3,213	3,997
TX	81,490	72,400	9,090	50,198	55,546	-5,347	21,706	21,869	-162
UT	4,171	3,653	517	2,669	798	1,871	2	-	2
WA	9,894	9,195	699	5,345	5,210	134	2,426	2,698	-272
WV	4,430	4,712	-282	1,701	1,712	-11	785	303	483
WI	12,333	11,937	396	5,649	6,755	-1,106	4,175	1,573	2,602
WY	1,498	1,415	83	668	347	321	143	82	61
Total	**566,484**	**542,446**	**24,037**	**331,084**	**370,433**	**-39,349**	**183,497**	**175,211**	**8,285**

Figures

Figure 1: Distribution of States According to the Estimated Proportion of Long-Stay Prisoners

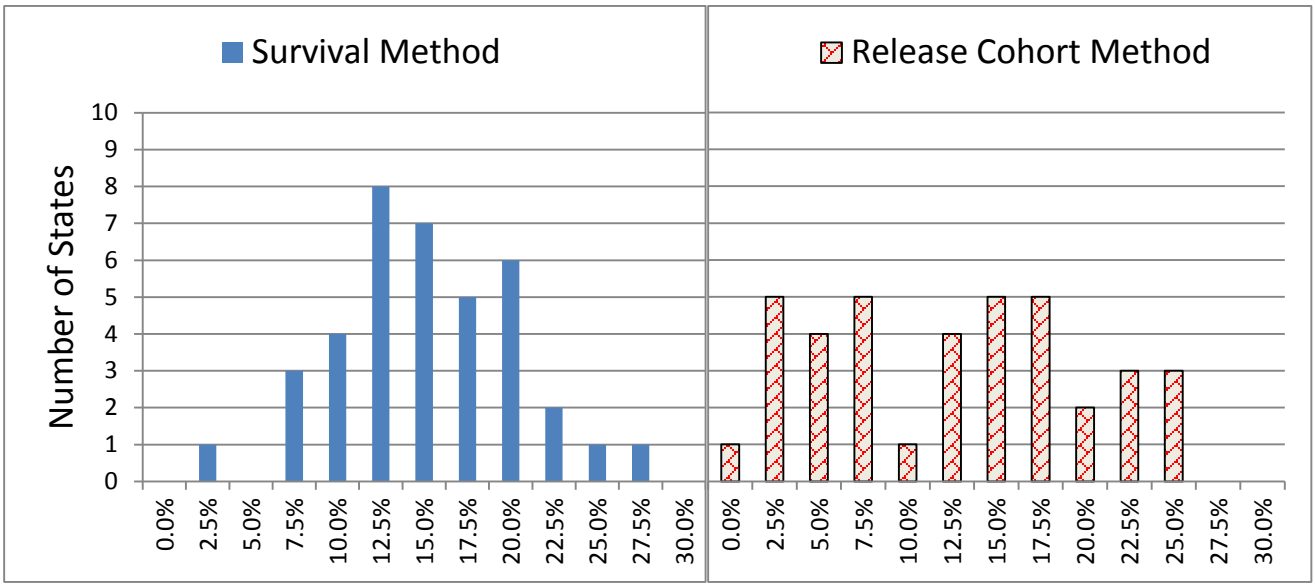

Figure 2: Estimated Number of Current Short-Stay Prisoners

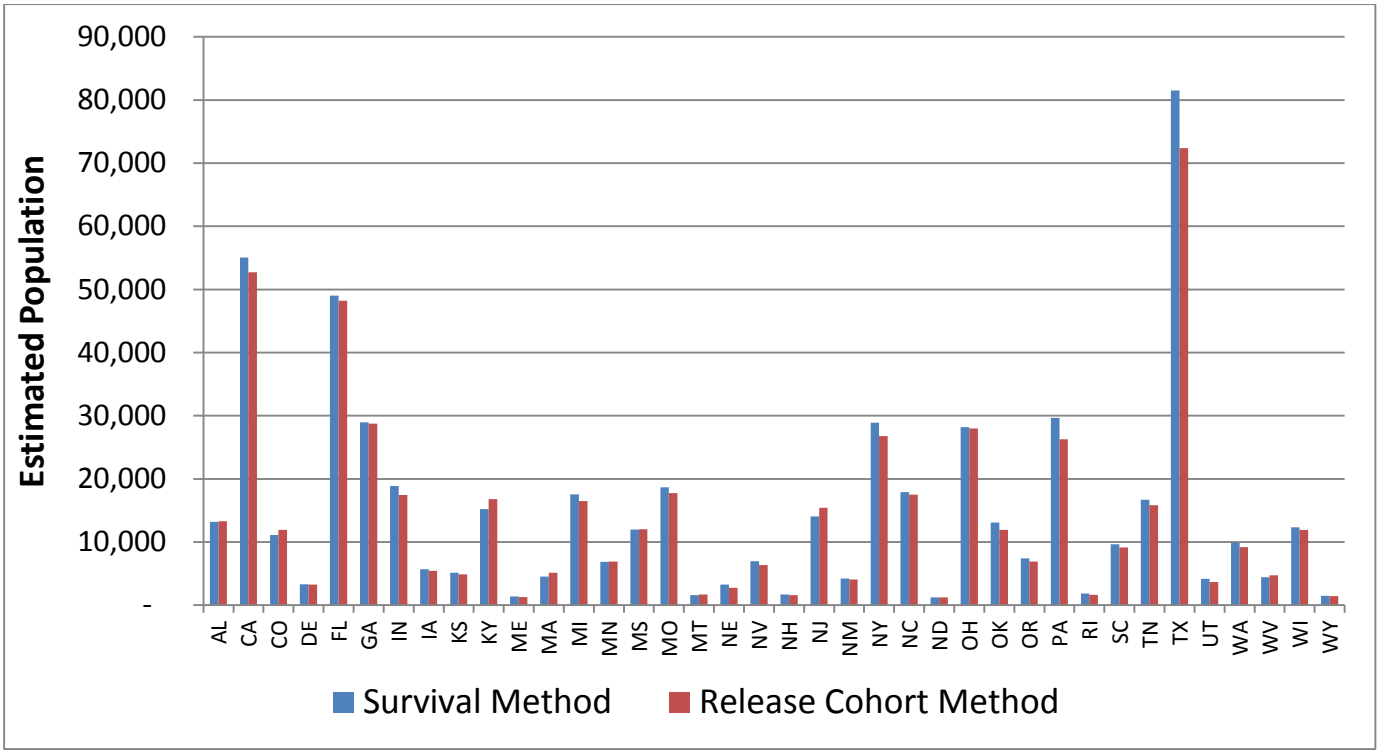

Figure 3: Estimated Number of Current Medium-Stay Prisoners

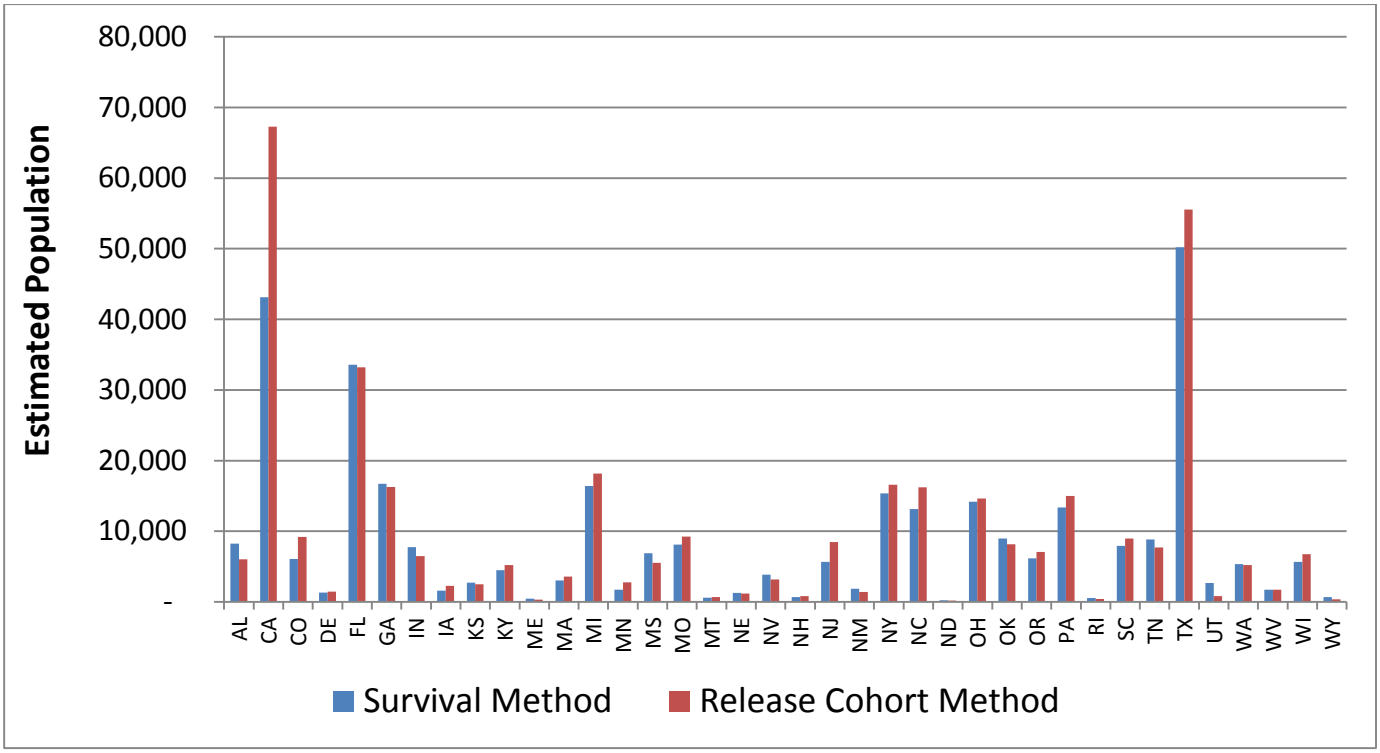

Figure 4: Estimated Number of Current Long-Stay Prisoners