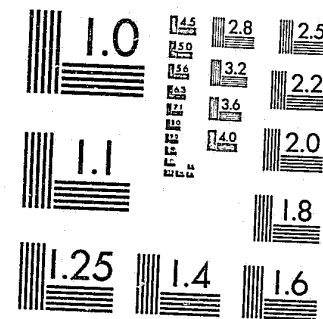


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National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

4/8/85

ICPSR

Inter-university Consortium for
Political and Social Research

**Offender Based Transaction
Statistics (OBTS), 1980 :
California, Ohio and Pennsylvania**

U.S. Dept. of Justice.

Bureau of Justice Statistics

ICPSR 8248

OFFENDER BASED TRANSACTION STATISTICS (OBTS), 1980
CALIFORNIA, OHIO, AND PENNSYLVANIA

(ICPSR 8248)

Principal Investigator

Bureau of Justice Statistics
U.S. Department of Justice

U.S. Department of Justice
National Institute of Justice

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First ICPSR Edition
Summer 1984

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Acknowledgement of Assistance

All manuscripts utilizing data made available through the Consortium should acknowledge that fact as well as identify the original collector of the data. The ICPSR Council urges all users of the ICPSR data facilities to follow some adaptation of this statement with parentheses indicating items to be filled in appropriately or deleted by the individual user.

The data (and tabulations) utilized in this (publication) were made available (in part) by the Inter-university Consortium for Political and Social Research. The data for OFFENDER BASED TRANSACTION STATISTICS (OBTS), 1980 CALIFORNIA, OHIO, AND PENNSYLVANIA were originally collected by Bureau of Justice Statistics. Neither the collector of the original data nor the Consortium bear any responsibility for the analyses or interpretations presented here.

In order to provide funding agencies with essential information about the use of archival resources and to facilitate the exchange of information about ICPSR participants' research activities, each user of the ICPSR data facilities is expected to send two copies of each completed manuscript or thesis abstract to the Consortium. Please indicate in the cover letter which data were used.

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DATA COLLECTION DESCRIPTION

The Offender Based Transaction Statistics (OBTS) consist of data which allow examination of offender characteristics and patterns of court action and case disposition. Collected by individual states from existing data, the dataset includes all cases which reached disposition during the calendar year 1980. Data were collected and submitted by California, Ohio, and Pennsylvania.

Using the individual adult offender as the unit for analysis, selected information is provided about the offender and his or her arrest, prosecution, and court disposition. Examples of variables included are: arrest and level of arrest charge, date of arrest, charge filed by the prosecutor, prosecutor or grand jury disposition, type of counsel, type of trial, court disposition, sentence type, and minimum and maximum sentence length. Dates of disposition of each stage of the process allow for tracking of time spent at each stage. In cases where the offender is charged with multiple offenses, the most serious charge and most serious outcome at each stage of the process (from the offender's point of view) are provided. Individual offenders are also given unique identification which is consistently used when they are involved in subsequent cases.

The file contains approximately 35 variables and has a logical record length of 130 characters. There are approximately 188,445 records for California, 7,953 records for Ohio, and 59,191 records for Pennsylvania.

Offender Based Transaction Statistics (OBTS)
Condensed Records for the year 1980

Produced by:

Regional Justice Information Service (REJIS)
St. Louis, Missouri 63108
April 2, 1984

For:

Bureau of Justice Statistics (BJS)
Washington, D.C. 20531

Under:

Office of Justice Assistance, Research and Statistics Grant
83-BJ-CX-K936

ABSTRACT:

Summary of Contents: The use of the OBTS records together can give a national description of the administration of adult criminal justice in terms of the flow of offenders through the system and the time intervals between various events.

An OBTS record consists of selected facts about an arrested offender, and the actions taken by the police, prosecutor, and courts.

Methodology: The data for OBTS records was compiled on a state by state basis. The compilation was done by the individual states from existing data. This data was generated in accordance to specifications similar to those in this document. The data tapes were then transported to REJIS, where they were edited and condensed. The output from the edit/condense step were then merged and forwarded to the Criminal Justice Archives at the University of Michigan.

Geographic Coverage: See Appendix A.

Descriptors: Adult offender, criminal justice system, offender based transaction statistics, flow of offenders, timing of events.

Technical Notes: See Appendix B.

Bibliography:

The Dictionary of Criminal Justice Data Terminology (Second Edition, 1981), published by BJS, is the official source of definitions for OBTS, except that definitions in these standards take precedence over the dictionary when there is a difference. The dictionary was designed expressly to provide common terminology for situations such as the multi-state analysis of OBTS data.

The Dictionary of Criminal Justice Data Terminology includes a complete listing of the NCIC Uniform Offense Classifications in Appendix D on pages 237-242. This listing also is obtainable from the FBI.

Project Authority: The Bureau of Justice Statistics (BJS) has a Congressional mandate to compile and disseminate statistical information concerning the operation of the criminal justice system at the Federal, state, and local levels. In accordance with that mandate, these standards have been developed for obtaining data in sufficient detail to permit assessment of the performance of the adult criminal justice systems in the states.

BJS is responsible for developing national standards which will insure the usefulness, reliability, and validity of the justice statistics developed from the accumulated data.

Archive File Description:

Unit of Analysis: The Adult Felony Offender

The individual adult offender is the unit of analysis for compiling data for multi-state and national OBTS reports. An OFFENDER is here defined as any person who is processed by the police, prosecutor, or courts regardless of whether or not there is a final determination of guilt. The definition of adult is determined by the individual state statutes. Any juvenile processed as an adult is considered an adult.

Multiple Charges

Often multiple charges pertaining to the same criminal incident will result from a single arrest. For much of the analytic work that has been done, BJS will require a condensed record that reflects only the most serious charge at each step of the criminal justice process, and the most serious outcome (from the offender's viewpoint).

The agency that supplies the data to BJS has the option of providing either a tape with condensed records or a tape with a separate record for each arrest charge. In the latter case, BJS will be responsible for editing the data to condense the records for multiple charges into a single record. The editing is done for BJS by REJIS. The specifications used to create condensed records are given in Appendix E.

OBTS Records

Each tape covers a "disposition year." This means that it contains records for each felony offender who, regardless of the date that he entered the criminal justice system, was given a final disposition (which includes sentencing of those convicted) during the calendar year covered by the tape.

The Incident Number is a number assigned to a particular record which enables the contributing state to locate the source record if records are returned for correction. In the case of multiple charges for the same person that pertain to the same criminal incident, the Incident Number must be the same for the records covering all of the charges.

The Encrypted ID Number is a number that is the same for every record that pertains to a particular person, provided that there is a positive identification. The same Encrypted ID Number has been used whenever that person is processed by the criminal justice system, and it remains the same in records that are produced in subsequent years. The Encrypted ID Number will be used in analyses of recidivism and career criminals.

In order to maintain confidentiality and privacy of data pertaining to individuals, neither the Incident Number nor the Encrypted ID Number is an identification number that was assigned by a criminal justice agency or any other number from which the offender could be identified. In many cases, Incident Numbers will be assigned sequentially. The Encrypted ID Number, however, may have been derived from some official identification number. When this was done, the number was encrypted in such a way that a person who had access to all official records could not associate it with a specific individual.

Data Format

Alphabetic and alpha-numeric data are left-justified and padded to the right with blanks. Dates are entered as year, month, day. Thus, January 25, 1977 should be entered as 770125. Numeric data is right-justified and padded to the left with zeros. Blanks are not legal characters in numeric fields. All missing, unknown, or unavailable data will be indicated by use of the missing data values listed in the Data Elements section of this document.

Validation and Conditional Checks

Each state has performed its own internal checks. In addition checking has been done for BJS by the Regional Justice Information Service, St. Louis, Missouri. At least 95 percent of the records must be free of errors. A tape with an excessive error level is returned to the submitting agency. If the error rate exceeds requirements by a moderate amount, a listing of the number and types of exceptions is returned with the tape to facilitate corrections. If the error rate is grossly excessive, the tape is simply returned as unacceptable.

Data elements are validated, individually or as part of conditional checks. Validations check that each data element is in the proper format and range. Conditional checks are made for the correctness of relationships between data elements.

Validations

Date of arrest must be at least 10 years later than date of birth.

Sex must be 1, 2, or 9.

Race must be 1-5.

Arrest date must be 6 digit numeric, and must be earlier than or equal to the disposition year covered by the tape.

Level of arrest charge must be 1-4.

Level of charged/filed offense must be 1-4 or 8.

Level of court disposed offense must be 1-4 or 8.

Arrest charge must be a valid National Crime Information Center (NCIC) uniform offense classification.

Dates of dispositions must be numeric, 6 digits, and equal to or later than the arrest date.

Type of disposition must be numeric. Police disposition must be 1-4, 8, or 9. Prosecutor/grand jury disposition must be 1-5, 8, or 9. Court disposition must be 01-07, 11, 12, 88, or 99.

Sentence must be numeric, 01-15, 77, 88, or 99.

Conditional Checks

If two or more records have the same Incident Number in field 10-19, they also must have the same Encrypted ID Number in field 20-31.

If the number of arrest charges in field 47-48 is 01, the Incident Number in field 10-19 must be unique (not shared by any other record).

If the charge sequence number in field 49-50 is coded 99 (condensed record), the Incident Number in field 10-19 must be unique (not shared by any other record).

If police disposition in field 56 is 3 or 4, the disposition date in field 57-62 must be filled in (even if it is the same as the arrest date). All subsequently fields must be coded with 8's except for fields 68-69, 82-83, and 86-87.

If prosecutor/grand jury disposition in field 70 is 4 or 5, the disposition date in field 71-76 must be filled in. All subsequent fields must be coded with 8's, except for fields 82-83 and 86-87.

If court disposition in field 84-85 is not 01, then fields 98-103, 106-113, 114-121, and 122 must be coded with 8's, and field 104-105 must be either 88 or 99.

If court disposition in field 84-85 is 88, then fields 77-80, 81, 88-93, and all subsequent fields must be coded with 8's.

PRIVACY AND CONFIDENTIALITY

The data that is sent to BJS is stored and maintained by the Criminal Justice Archive and Information Network (CJAIN) at the University of Michigan. The data in the archive is readily available to private and government researchers, and so it is imperative that extreme care be taken to preserve the anonymity of the persons to whom the records pertain.

No personal identifiers have been included in the files that are submitted to BJS. Both the Incident Number and Encrypted ID Number must be different from any number that could be used to identify the individual in any official records maintained by any criminal justice agency or anywhere else. That is, it must be impossible for a person who knows both the Incident Number and the Encrypted ID Number, and who has access to all criminal justice records in the state, to determine the subject's identity.

Particular care must be taken in devising the Encrypted ID Number, since that number must follow an individual whenever he enters the criminal justice system, and must remain the same if records pertaining to the individual appear in later years on other tapes. If the Encrypted ID Number is derived by the encrypting or coding of an official identification number, the means of deriving it must be sophisticated enough to prevent the relationship from being found, even by a determined and knowledgeable investigator.

It is important to safeguard all written material pertaining to the method of deriving the Encrypted ID Number. This also applies to the Incident Number if any personal identifier is used in deriving it. The security and confidentiality of such material should be preserved in the same way that would be used for records of identifiable persons.

OFFENSE CODES

Because of differences among state statutes, there are problems in setting up offense codes for OBTS data. However, standard codes are essential for multi-state analysis. Because of this, the codes used by the National Crime Information Center (NCIC) have been selected as the codes to be used for OBTS reporting. The required offense data are the minimum necessary for analysis of OBTS.

Listed here are the numbers which bracket the NCIC codes for general categories of offenses. The NCIC codes also include four digit numbers for specific offenses within these categories. If it is feasible, it is preferable that the code for the specific offense be provided. However, it will be acceptable to show only the general category, by using the first two digits followed by either 00 or 99. (For example: The numbers 1200-1299 are for the general category of robbery. The specific offense code for residential robbery with a gun is 1207. It would be preferable to use 1207 for coding this offense, but either 1200 or 1299 would be acceptable.)

APPENDIX A Geographic Coverage

1980: California
Ohio
Pennsylvania

APPENDIX B

Tape Density: 6250 BPI
Label: Standard
Character Set: EBCIDIC Code
Record Length: 130 Bytes
Blocking Factor: 100
Block Size: 13,000

APPENDIX C

INSTRUCTIONS FOR CODING THE OBTS DATA ELEMENTS

OFFENDER

Date of Birth (Record location 1-6): Code by year/month/day. If exact day is unavailable, use 15 as the unknown day.

Sex (Location 7): Use code 1, 2, or 9 (male, female, unknown)

Race (Location 8):

1. White: A person having origins in any of the original peoples 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 or Alaskan Native: A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.
4. Asian or Pacific Islander: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands.
5. Not Known: Not able to be determined or data unavailable.

Ethnic Origin (Location 9):

1. Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
2. Non-Hispanic: Any person not covered by item 1 above.
3. Not Known: Not able to be determined or data unavailable.

Incident Number (Location 10-19): A number assigned to each record so that it can be identified for corrections and editing. If the records are not condensed and there are multiple arrest charges resulting from the same criminal incident, the same Incident Number shall be used for all of the records. The Incident Number must be such that it cannot be used to determine the offender's identity.

Encrypted ID Number (Location 20-31): A number which is used to show repeated processing of the same individual (recidivism) by the criminal justice system. An Encrypted ID Number is assigned to each person who has been positively identified and for whom one or more OBTS records have been created, and is the same for all records pertaining to that person, regardless of the dates of processing. The Encrypted ID Number must be such that it cannot be used to determine the offender's identity.

Code 9's if there has not been a positive identification (e.g., through fingerprints).

ARREST (OR OTHER ENTRY INTO CRIMINAL JUSTICE SYSTEM)

Arresting Agency (Location 32-40): A unique 9 character alpha-numeric code assigned by the NCIC to a criminal justice agency (designated as ORI in NCIC manual). Code 8's if entry into the criminal justice system is by a process other than arrest.

Date of Arrest or Other Entry (Location 41-46): The date of entry into the system, either the police arrest date, or the charge date if by warrant, etc. If the exact day is unavailable, use 15 as the unknown day.

Number of Arrest Charges (Location 47-48): The total number of charges that result from the same criminal event. (If the records are not condensed, this number will be equal to the number of records that share the same Incident Number.)

NOTE: If the records are not condensed, separate records (each with the same Incident Number) should be created for each arrest charge, even if some of the arrest charges are not felonies.

Sequence Number of This Charge (Location 49-50): This number is used to aid in identifying the record pertaining to each charge when there are separate records for multiple arrest charges. The numbers are assigned in any order, starting with 01, for any group of records that have the same Incident Number. Code 01 if there is only one arrest charge. Code 99 for a condensed record of two or more charges.

Arrest Charge Offense Code (Location 51-54): The NCIC code for the arrest charge. Preferably, this should be the 4-digit code for the specific offense (such as 1207), but it is acceptable to use codes for the general offense category (such as 1200 or 1299). See previous discussion of offense codes.

Level of Arrest Charge (Location 55):

1. Felony: An offense that meets the OBTS definition of a felony (punishable by imprisonment for more than one year).
2. Misdemeanor: An offense that is classified as a misdemeanor by state law and does not meet the OBTS definition of a felony.
3. Other level: An offense below the misdemeanor level (such as a "violation" or "infraction").
4. Level not specified or unknown.

Police Disposition (Location 56):

1. Transfer to other law enforcement agency: Release to Federal authorities, release to another state, etc.
2. Transfer to other agency: Includes release to probation/parole or social services agency for disposition rather than going through the courts.
3. Released: Decision by the arresting agency not to file charges.
4. Other final disposition: Final disposition not covered by the above (for example, death).
8. Not disposed of by police: Use this code when case is handled by prosecutor or courts; that is, when it passes beyond the police stage of the criminal justice process.
9. Missing or unknown data.

Date of Police Disposition (Location 57-62): Enter police disposition date even if it is the same as arrest date. If the exact day is unavailable, use 15 as the unknown day. Code 8's if not disposed of by police. Code 9's for missing or unknown data.

PROSECUTOR/GRAND JURY

Charged/Filed Offense Code (Location 63-66): The NCIC offense code for the charge by the prosecutor or grand jury. (See instructions for Arrest Charge Offense Code.) Code 8888 if offender was not charged by prosecutor or grand jury.

Level of Charged/Filed Offense (Location 67): See instructions for Level of Arrest Charge.

Number of Charged/Filed Offenses (Location 68-69): This is the total number of prosecutor/grand jury charges that result from the same criminal incident. (That is, the number of such charges whose records share the same Incident Number if the records are not condensed.) Not that this number must be the same for all records with the same Incident Number. Code 00 if there was not prosecutor/grand jury charge for any offense resulting from the same criminal incident.

Prosecutor/Grand Jury Disposition (Location 70): Code 8 if there was no disposition by prosecutor or grand jury. (In most instances, it will be because there had been a disposition by the police.)

NOTE: Code 4 (prosecution declined - nolle prosequi) whenever the prosecutor makes the decision not to prosecute, regardless of any ancillary factors such as the assignment of probation under the prosecutor's supervision. Do not code 4 in jurisdictions where the decision not to prosecute is made by the court rather than the prosecutor. (See instructions for Court Disposition, location 84-85.)

Date of Prosecutor/Grand Jury Disposition (Location 71-76): If the exact day is unavailable, use 15 as the unknown day.

COURT DISPOSITION

Court Disposed Offense Code (Location 77-80): The NCIC offense code for the offense disposed of by the court. See instructions for Arrest Charge Offense Code.

Level of Court Disposed Offense (Location 81): See instructions for Level of Arrest Charge.

Number of Court Disposed Offenses (Location 82-83): This is the total number of court dispositions resulting from the same criminal incident. This number should be the same in all records that share the same Incident Number. Include felonies and lesser offenses. Code 00 if no offense resulted in a court disposition.

Court Disposition (Location 84-85): Code 11 (nolle prosequi) only in jurisdictions where the decision not to prosecute is made by the court rather than the prosecutor. Code 07 where the case is removed from the court calendar without adjudication.

Number of Convicted Offenses (Location 86-87): The total number of convictions resulting from the same criminal incident. This number should be the same in all records that share the same Incident Number. Include felonies and lesser offenses. Code 00 if there were no convictions.

Date of Final Court Disposition (Location 88-93): The date of adjudication. If the exact day is unavailable, use 15 as the unknown day.

Type of Court (Location 94): This is the court at final disposition. If the state has a single court system rather than upper and lower courts, code 2 (the code for upper court).

Type of Trial (Location 95):

1. Non-jury: A trial in which there is no jury and the judge decides all issues.
2. Jury
3. Transcript: Decided by the judge on the basis of transcript of preliminary hearing.
4. Other
8. Not a court disposition
9. Missing or unknown data

Type of Counsel (Location 96):

1. Private attorney
2. Assigned counsel - An attorney, not regularly employed by a government agency, assigned by the court.
3. Self
4. Public defender - An attorney employed by a government agency whose duty is to represent defendants unable to hire private counsel.
5. Other
8. Not a court disposition.
9. Missing or unknown data.

Final Pleading (Location 97): The plea entered by the defendant at the final disposition court action.

SENTENCING

Sentencing Date (Location 98-103): Date that sentence was imposed. If the exact day is unavailable, use 15 as the unknown day.

Sentence (Location 104-105): Code 77 if disposed of by court but not convicted. Code 88 if not disposed of by court. Code 99 for missing or unknown data.

NOTE: If not all of the components of a sentence are known, code according to the information that is available. For example, if there was a jail sentence, but it is not known whether or not restitution also was part of the sentence, code 04 (not 99).

Sentence Minimum (Location 106-113): Years/months/days. Code 6's for life sentence. Code 7's for indeterminate sentence. Code 8's if not sentenced to incarceration. Code 9's for missing or unknown data.

Sentence Maximum (Location 114-121): Years/months/days. Code 6's for life sentence. Code 7's for indeterminate sentence. Code 8's if not sentenced to incarceration. Code 9's for missing or unknown data. If sentence is for a fixed term, enter as both minimum and maximum.

NOTE: In a condensed record for multiple charges, if there were two or more sentences of incarceration, the minimum and maximum sentences should be coded as the total sentence length, taking into account whether the sentences were to run concurrently or consecutively.

Multiple Incarceration Sentences (Location 122): Code 8 if there was no sentence of incarceration for any offense associated with the criminal incident. (That is, in any record that shares the same Incident Number.) Note that there is no sentence of incarceration if either there was no prosecution, there was a trial but no conviction, or there was a conviction with no prison or jail sentence. Code 1 if there was a single prison or jail sentence for one of the offenses that resulted from the criminal incident. Code 2 if there were two or more sentences to run concurrently. Code 3 if there were two or more sentences to run consecutively. Code 9 for missing or unknown data. Note that the code should be the same for all records that have the same Incident Number.

Record Identification (Location 123-126): The first two characters indicate the state where the record was created. The second two characters represent the year that the data comes from. Example CA80 is a California record from 1980.

APPENDIX D
DATA ELEMENTS

OFFENDER	Length	Type	Location
Date of Birth	6	N	1-6
Sex	1	N	7
1 Male			
2 Female			
9 Unknown			
Race	1	N	8
1 White			
2 Black			
3 American Indian or Alaskan Native			
4 Asian or Pacific Islander			
5 Not known			
Ethnic Origin	1	N	9
1 Hispanic			
2 Non-Hispanic			
3 Not known			
Incident Number	10	AN	10-19

If records are not condensed and there are multiple charges resulting from the same criminal incident, there will be a separate record for each charge, but each record will use the same Incident Number.

Encrypted ID Number 12 AN 20-31

This number will be the same for all records that pertain to the same offender, whenever he is processed by the criminal justice system, provided that he has been positively identified.

Code 9's if there is not positive identification.

ARREST (OR OTHER ENTRY INTO CRIMINAL JUSTICE SYSTEM)

Arresting Agency (NCIC Code)	9	AN	32-40
Code 8's for entry other than arrest.			
Code 9's for missing or unknown data.			
Date of Arrest or Other Entry	6	N	41-46
Number of Arrest Charges	2	N	47-48
Code 9's for missing or unknown data.			
Sequence Number of This Charge	2	N	49-50
Code 01 if there is only one arrest charge.			
Code 99 if this is a condensed record for multiple charges.			
Arrest Charge Offense Code	4	N	51-54
Code 9's for missing or unknown data.			
Level of Arrest Charge	1	N	55
1 Felony level			
2 Misdemeanor level			
3 Other level			
4 Level not specified			
Police Disposition	1	N	56
1 Transfer to other law enforcement agency			
2 Transfer to other agency			
3 Released			
4 Other final disposition			
8 Not disposed of by police			
9 Missing or unknown data			
Date of Police Disposition	6	N	57-62
Code 8's if not disposed of by police.			
Code 9's for missing or unknown data.			

PROSECUTOR/GRAND JURY

Charged/Filed Offense Code	4	N	63-66
8888 Inapplicable, not charged			
9999 Missing or unknown data			
Level of Charged/Filed Offense	1	N	67
1 Felony Level			
2 Misdemeanor Level			
3 Other Level			
4 Level not specified			
8 Inapplicable, not charged			
Number of Charged/Filed Offenses	2	N	68-69
Code 9's for missing or unknown data.			
Prosecutor/Grand Jury Disposition	1	N	70
1 Prosecution felony charge			
2 Prosecution misdemeanor charge			
3 Prosecution other charge			
4 Prosecution declined (nolle pros.)			
5 No true bill			
8 Not disposed of by prosecutor or grand jury			
9 Missing or unknown data			
Date of Prosecutor/Grand Jury Disp.	6	N	71-76
Code 8's if not disposed of by prosecutor/grand jury.			
Code 9's for missing or unknown data.			

COURT DISPOSITION

Court Disposed Offense Code	4	N	77-80
8888 Not a court disposition			
9999 Missing or unknown data			
Level of Court Disposed Offense	1	N	81
1 Felony			
2 Misdemeanor			
3 Other			
4 Level not specified			
8 Not a court disposition			
Number of Court Disposed Offenses	2	N	82-83
Include felonies and lessor offenses.			
Code 9's for missing or unknown data.			
Court Disposition	2	N	84-85
01 Convicted			
02 Probation without verdict			
03 Not guilty by reason of insanity			
04 Acquitted			
05 Dismissed			
06 Civil procedure			
07 Off calendar			
11 Nolle prosequi			
12 Other			
88 Not disposed of by court			
99 Missing or unknown data			
Number of Convicted Offenses	2	N	86-87
Include felonies and lessor offenses.			
Code 9's for missing or unknown data.			
Date of Final Court Disposition	6	N	88-93
Code 8's if not disposed of by court.			
Code 9's for missing or unknown data.			

Type of Court (Final Disposition)	1	N	94
1 Lower			
2 Upper			
3 Other Court			
8 Not a court disposition			
9 Missing or unknown data			
Type of Trial	1	N	95
1 Non-jury			
2 Jury			
3 Transcript			
4 Other			
8 Not a court disposition			
9 Missing or unknown data			
Type of Counsel (at disposition)	1	N	96
1 Private			
2 Assigned counsel			
3 Self			
4 Public Defender			
5 Other			
8 Not a court disposition			
9 Missing or unknown data			
Final Pleading	1	N	97
1 Not guilty			
2 Not guilty by reason of insanity			
3 Guilty			
4 Nolo contendere			
5 Other			
8 Not a court disposition			
9 Missing or unknown data			

SENTENCING

Sentencing Date	6	N	98-103
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Code 8's if not convicted.
Code 9's for missing or unknown data.

NOTE: Either the final disposition date or sentencing date must be provided.

Sentence	2	N	104-105
----------	---	---	---------

01 Death
02 Prison (with or without fine)
03 Prison and restitution (with or without fine)
04 Jail (with or without fine or probation)
05 Jail and restitution (with or without fine or probation)
06 Probation with prison or jail sentence suspended (with or without fine)
07 Probation (with or without fine)
08 Probation and restitution (with or without fine)
09 Fine with prison or jail sentence suspended
10 Fine
11 Fine and restitution
12 Restitution only
13 Other
14 Sentencing deferred
15 Entire sentence suspended
77 Not convicted, no sentence
88 Not disposed of by court
99 Missing or unknown data

Sentence Minimum	8	N	106-113
------------------	---	---	---------

YY/MM/DDD
Code 6's for life sentence.
Code 7's if indeterminate.
Code 8's if not sentenced to incarceration.
Code 9's for missing or unknown data.

Sentence Maximum
YYY/MM/DDD
Code 6's for life sentence.
Code 7's for indeterminate.
Code 8's if not sentenced to incarceration.
Code 9's for missing or unknown data.

NOTE: If sentence is for a fixed term, enter as both minimum and maximum.

Multiple Incarceration Sentences	1	N	122
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1 One prison or jail sentence
2 Two or more concurrent sentences
3 Two or more consecutive sentences
8 No prison or jail sentence
9 Missing or unknown data

APPENDIX E

CONDENSED RECORDS FOR MULTIPLE CHARGES

When the records for multiple charges that result from the same criminal incident are condensed, the separate records pertaining to each charge are replaced by a single record. This condensed record shows the most serious offense and the most serious outcome at each stage of the criminal justice process.

The relative seriousness of offenses and outcomes should be ranked in accordance with the listings in this appendix.

PROCEDURE FOR CONDENSING RECORDS

1. Use the Offender segment (locations 1-31) from any record. (This segment is the same for all of the records that pertain to the criminal incident.)
2. Use the Arrest segment (locations 32-62) from the record with the most serious Arrest Offense in locations 51-54 and 55. Change the Charge Sequence Number in location 49-50 to 99, which indicates a condensed record.
3. Use the Prosecutor/Grand Jury segment (locations 63-76) from the record with the most serious Prosecutor/Grand Jury Disposition in location 70. If the most serious disposition is common to two or more of the records, select the one with the most serious Charged/Filed Offense in locations 63-66 and 67.
4. Use the Court Disposition segment (locations 77-97) from the record with the most serious Court Disposition in location 84-85. If the most serious Court Disposition is common to two or more of the records, select the one with the most serious Court Disposed Offense in locations 77-80 and 81.
5. Use the Sentencing segment (locations 98-122) from the record with the most severe Sentence in location 104-105. If the most severe Sentence involves incarceration in prison or jail and is common to two or more of the records, select the one with the longest Sentence Minimum in location 106-113. If the Sentence Minimum is the same, select the one with the longest Sentence Maximum in location 114-121.

There is an additional step if there are two or more sentences of incarceration to run consecutively. (That is, if the Multiple Incarceration code in location 122 is 3.) In this case, the Sentence Minimum in location 106-113 and the Sentence Maximum in location 114-121 are changed, respectively, to the sum of the minimum sentences and the sum of the maximum sentences in all of the records. See example (c) below.

NOTE: In selecting record segments for condensing in accordance with the foregoing procedure, if there is a tie among two or more records for the most serious offense and/or outcome, select any one of the tied records. For example:

(a) The most serious Arrest Offense is aggravated assault and there are three records that show this as the Arrest Offense. Use the Arrest segment from any of these records.

(b) The most serious Court Disposition is conviction, the most serious Court Disposed Offense that resulted in a conviction is robbery, and there are two records that show convictions for robbery. Use the Court Disposition segment from either of these records.

(c) The most severe Sentence is prison and three of the records show prison sentences. In two of the records the sentences are each 5 to 10 years. The third record shows a sentence of 2 to 5 years. Use the Sentencing segment from either of the records that shows a 5 to 10 year sentence. If the sentences are to run consecutively (Multiple Incarceration code in location 122 is 3), change the Sentence Minimum to 12 years and the Sentence Maximum to 25 years.

RELATIVE SERIOUSNESS OF OFFENSES

This hierarchy of seriousness applies to each of the following:

Arrest Offense (offense code in location 51-54; level of offense in location 55).

Charged/Filed Offense (offense code in location 63-66; level of offense in location 67).

Court Disposed Offense (offense code in location 77-80; level of offense in location 81).

A. Felonies

A felony is more serious than any non-felony. The OBTS definition of a felony applies: an offenses that is punishable by imprisonment for more than one year (or by death), regardless of the classifications used in the state's statutes. For a felony, the offense level will be coded as 1 in location 55, 67, or 81. The relative seriousness ranking of different felony offenses is in accordance with the list that follows.

B. Misdemeanors

A misdemeanor is less serious than a felony, but more serious than any other category of offense. A misdemeanor is defined here as an offense that is classified as a misdemeanor by state law, provided that it does not meet the OBTS definition of a felony. For a misdemeanor, the offense level will be coded as 2 in location 55, 67, or 81. The relative seriousness ranking of different misdemeanor offenses is in accordance with the list that follows.

C. Other Offenses

This category includes any offense that is less serious than a misdemeanor such as a "violation" or "infraction." Such offenses will be coded as 3 in location 55, 67, or 81. All offenses in this category have equal seriousness ranking.

The following list shows offenses in order of decreasing seriousness. Offenses with equal seriousness ranking are bracketed together.

<u>Offense</u>	<u>Offense Code</u> (location 51-54, 63-66, or 77-80)
Willful homicide	0900=0999 inclusive, except 0909 and 0910
Involuntary manslaughter	0909, 0910
Kidnapping	1000-1099 inclusive
Forcible rape	1101, 1102, 1103
Other violent sex offenses	1100-1199 inclusive, except 1101, 1102, 1103, and 1116
Robbery	1200-1299 inclusive
Assault	1300-1399 inclusive
Burglary	2200-2299 inclusive
Larceny	2300-2399 inclusive
Motor vehicle theft	2400-2499 inclusive
Arson	2000-2099 inclusive
Dangerous drugs	3500-3599 inclusive
Fraud	2600-2699 inclusive
Embezzlement	2700-2799 inclusive
Statutory rape	1116
Non-violent sex offenses	3600-3699 inclusive
Weapons offenses	5200-5299 inclusive
Any other offense	Any other offense code

RELATIVE SERIOUSNESS OF PROSECUTOR/GRAND JURY DISPOSITIONS
(location 70)

List is in order of decreasing seriousness. Dispositions with equal seriousness ranking are bracketed together.

<u>Disposition</u>	<u>Code</u>
Prosecution felony charge	1
Prosecution misdemeanor charge	2
Prosecution other charge	3
Prosecution declined (nolle pros.)	4
No true bill	5
Not disposed of by prosecutor or grand jury	8
Missing or unknown data	9

RELATIVE SERIOUSNESS OF COURT DISPOSITIONS (location 84-85)

List is in order of decreasing seriousness - Dispositions with equal seriousness ranking are bracketed together.

<u>Disposition</u>	<u>Code</u>
Convicted	01
Probation without verdict	02
Not guilty by reason of insanity	03
Acquitted	04
Dismissed	05
Civil procedure	06
Off calendar	07
Nolle prosecui	11
Other	12
Not disposed of by court	88
Missing or unknown data	99

RELATIVE SEVERITY OF SENTENCES (location 104-105)

List is in order of decreasing severity. Sentences with equal severity ranking are bracketed together.

<u>Sentence</u>	<u>Code</u>
Death	01
Prison (with or without fine)	02
Prison and restitution (with or without fine)	03
Jail (with or without fine or probation)	04
Jail and restitution (with or without fine or probation)	05
Probation with prison or jail sentence suspended (with or without fine)	06
Probation (with or without fine)	07
Probation and restitution (with or without fine)	08
Fine with prison or jail sentence suspended	09
Fine	10
Fine and restitution	11
Restitution only	12
Other	13
Sentencing deferred	14
Entire sentence suspended	15
Not convicted, no sentence	77
Not disposed of by court	88
Missing or unknown data	99

END