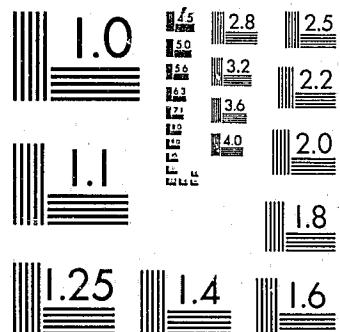


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CRIMINAL JUSTICE STATISTICS ASSOCIATION, INC.

STATUS OF  
OFFENDER BASED TRANSACTION  
STATISTICS (OBTS)  
SYSTEM DEVELOPMENT IN THE STATES

August, 1981

STATUS OF OFFENDER BASED TRANSACTION  
STATISTICS (OBTS) SYSTEM DEVELOPMENT  
IN THE STATES

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This report summarizes the results of the survey. We would appreciate any comments and/or corrections on the report's contents. OBTS systems, while simple in concept, are difficult to implement and vary greatly from state to state. As such, completion as well as compilation of the questionnaire results was extremely difficult, particularly with respect to the manner of reporting, the tracking mechanisms used, as well as the timeliness of OBTS data reporting and file updates. We apologize for any misrepresentation of your states' responses and would appreciate your letting us know of any corrections.

Finally, we wish to thank those personnel in the states where a site visit was made for taking the time to meet with the CJS project staff as well as in general all those who assisted in their states' completion of the questionnaire.

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## INTRODUCTION

In September, 1980 the Criminal Justice Statistics Association, Inc. (CJSA) administered a survey on the status of Offender Based Transaction Statistics (OBTS) system development in the states. The purpose of the survey was two-fold: (1) to assess the status of OBTS development in the states and (2) to assess the level of analysis that can realistically be expected given current and planned data availability.

In theory an OBTS system is designed to track the movement of an offender from point of initial entry (e.g., arrest) to final departure or exit from the criminal justice system. The charge(s) leveled against the offender at the point of arrest, prosecutor or court filing, final court disposition, and corrections entry may be recorded as well as the disposition of each charge. Additionally, the dates of entry and exit from the system as well as dates at which intermediate processing events (e.g., pre-trial hearing) occur may be maintained so as to provide estimates of the elapsed time between events in an offender's processing.

When assessing the status of OBTS development several issues related to the various approaches to collecting OBTS data need to be addressed. One issue concerns the tracking mechanisms being used. In order to track an offender from point of entry (e.g., arrest) to final disposition or exit from the system requires the submission of data from various agencies: law enforcement, courts, corrections. Hence a mechanism must be developed which allows the records from the various agency files which are associated with a particular offender arrest incident to be linked. This may be done through the use of a multi-part form with a unique identification number which "follows" the offender as he moves through the system. Under this system, each agency records the events related to the offender's processing which occurred while the offender was under their jurisdiction (e.g., court clerk records charge(s) at court filing and disposition of each charge) and submits the appropriate part of the form to a central agency to be recorded on a

central data base. Alternatively, each agency may maintain separate automated management information systems which record information on offender processings but which use the same unique identification number on any records associated with a particular offender arrest. Data related to each offender processing may then be extracted from the separate management information systems and linked via the unique identification number in order to form a complete picture of an offender's processing through the criminal justice system. Alternatively, a state may choose to collect OBTS data on a sample of offenders by manually extracting data from the various agency files. How successful a state is in merging or tracking offender movement from one agency to another depends in large part on the cooperation of the agencies involved, and the compatibility of the data bases or record keeping procedures used by each agency.

Another criteria which should be addressed in assessing OBTS development concerns the data base accounting unit. That is, does each record or each form represent one charge leveled against an offender at arrest (charge accounting), those charges associated with a specific criminal incident for which the offender is accused as a result of the arrest (incident accounting), or all charges resulting from an arrest (offender accounting). If data is being extracted from separate agency systems, are the record accounting units of the various systems the same or compatible?

Additionally, the charge, disposition and sentence characterization of an offender arrest needs to be determined. For example, are the offender processings being described by the most serious charge at arrest and the resulting disposition (and where convicted, the sentence) associated with this charge; the most serious charge disposed of by the court and its disposition (and where convicted, the sentence); or the most serious charge with the most serious disposition (and sentence where convicted). Does the data base from which this information is extracted retain all the charges recorded against an offender at each stage or only the most serious according to one of the above characterizations?

The specific data elements which are being included in the OBTS

data bases should also be determined. The level of detail of the data elements included typically depends on the ability or willingness of the clerks to fill out the forms related to offender arrests, the data elements included in the individual agency systems, and/or the difficulty and cost associated with extracting these data elements and as such may vary from state to state.

Finally, the quality and reliability of the OBTS data collected should be assessed. That is, how timely is OBTS data reporting (e.g., how quickly are final court dispositions reported in support of an OBTS system) and subsequent file update (e.g., once received, how quickly are fingerprints etc. entered on the system); how complete is OBTS data reporting (e.g., what portion of required arrests are actually reported, what portion of required dispositions are actually reported).

As stated previously, the second, and perhaps more important, objective of the survey was to assess the level of analysis that can realistically be expected given current and planned data availability. The primary purpose of an OBTS system would appear to be to provide a comprehensive picture of offender processing in a state so as to be able to address issues of concern (e.g., prison overcrowding). Some states may be able to generate a comprehensive picture of offender processing dispositions from two or three information systems. However, it may not be practical for the state to literally merge or track offender movement from one agency to another. Hence in order to address this objective, it was felt to be important not only to determine the status of OBTS system development according to the criteria outlined above, but also to identify the types of issues, questions which the states are interested in addressing and to determine the types of information systems (in addition to OBTS systems) and data generally available in the states which can be used to address these questions on offender processing.

### Description of Survey

Questionnaires were sent to the Statistical Analysis Center (SAC) Director in each state with a SAC (i.e. 40 states) and to the Criminal Justice Council (CJC) Director in each state without a SAC. These individuals were asked to coordinate the completion of the questionnaire with the appropriate people in their state.\*

The questionnaire consisted of eleven sections. Only the first two sections were applicable if a state was not currently operating or developing a state OBTS or did not have active plans to develop a state OBTS. States with an OBTS in the planning, design, development, implementation or operational stages were asked to complete all sections of the questionnaire.

Essentially the sections of the questionnaire corresponded to the major areas or concerns related to OBTS development discussed above, namely:

- 1) Information system overview
- 2) Offender statistics - development and use
- 3) Stage of development of offender based transaction statistics
- 4) Manner of reporting OBTS
- 5) OBTS tracking mechanism and tracking accounting unit
- 6) OBTS charge, offense and disposition information
- 7) OBTS police, courts and corrections data elements
- 8) Timeliness of OBTS data reporting and file update
- 9) Completeness of OBTS data reporting
- 10) OBTS data quality control and audits
- 11) OBTS analysis

A copy of the questionnaire is included in Appendix A.

\* In a survey conducted last fall it was found that SACs are typically involved in all phases of OBTS development in their state, and, in particular, in the planning, design, and analysis phases (see State of the States, Statistical Analysis Centers, April, 1980; Criminal Justice Statistics Assoc., Inc.). Hence it was felt appropriate that the SAC Directors coordinate completion of the survey in their states. For the most part, states without a SAC are not involved in OBTS system development and it was felt that the CJC Director would be the best person to coordinate completion of the sections related to information system development and analysis in their state.

### Survey Highlights - Status of OBTS System Development

Responses were received from forty-seven of the fifty-two states (includes District of Columbia and Puerto Rico) who received a questionnaire.\*

Some highlights of the survey results are the following:

1. Thirty-one of the forty-seven states indicated they were developing, or had developed, some type of OBTS system. Of these thirty-one states, eleven indicated that they had an operational OBTS system. However, it should be noted that operational means simply that the reporting and design of the OBTS system has been completed and data may be entered; it does not mean that accurate or complete reporting is occurring. Additionally, the data segments of a state OBTS may be at different stages of development and/or some states may have chosen to implement only certain segments based on their needs and availability of data. For example, the survey results indicated that 17 states have an operational police/fingerprint segment, 18 have an operational arrest-charge police disposition segment, 10 have an operational prosecutor segment, 17 have an operational court segment, 16 have operational state custody/parole segments, 5 have an operational local custody segment, and 9 states have an operational probation segment. The differences in the number of segments that are operational could reflect the fact that a state may be using a phased approach to implementing OBTS or that a state may have chosen not to implement (or not to link to their OBTS) a particular data segment.
2. The principal means of reporting data to the state OBTS systems would appear to be via prescribed form for the police, prosecutor and court segments, with the second most frequent means of reporting court data being as a by-product of a court management information system.

\* Nevada, Texas, Tennessee and Vermont did not return questionnaires. Puerto Rico returned a questionnaire after the results from the remaining states had been analyzed and the tables had been printed up. Since they indicated they were not developing an OBTS system, and as such, only completed the first two sections of the questionnaire, no attempt was made to include them in the general discussion of the survey results, nor in the tables or displays. Their responses to Sections I & II of the questionnaire are included in Appendix B.

3. The states are using varied types of tracking mechanisms to link the data segments of their OBTS. About half of the 31 states developing an OBTS system would appear to have a tracking mechanism whereby each component (e.g., law enforcement, courts) uses the same number to refer to an offender arrest processing. The remaining states would appear to rely on the use of several identifiers (e.g., state criminal history identification #, date of birth, date of arrest) to track the processing of an offender, or do not have an official tracking mechanism (e.g., they manually link events associated with an offender arrest).

4. The majority of the states (19 out of 31) use an offender-arrest accounting unit for their OBTS system. Under this system one reporting form (or medium) is completed which includes all the charges placed against an individual as the result of a particular arrest. The remaining states use a charge accounting system where separate forms (or mediums) are completed for each charge, an offense-incident accounting system where all the charges related to a crime incident resulting from a particular arrest are reported on the same form (or medium), or some combination of the three types of accounting units.

5. Almost half (45%) of the states with an OBTS system currently record all charges at one or more points in an offender's processing. In nine of the states only information on the most serious charge is included in their OBTS file. The remaining states indicated that they plan to include all charges at one or more points in processing in their OBTS file even though they may currently be collecting information only on the most serious charge.

Furthermore, the survey results indicated that, in general, where an OBTS file includes information on all charges associated with a given offender processing, the respective court disposition associated with each charge is reported and maintained as well, to the extent possible.

6. With respect to the types of felony offenses included, about half of the states are either currently or planning to include information only on fingerprinted felony offenses\* (which may in some instances be all

felony offenses). Similarly, about half of the states who are, or will be, including misdemeanors in their OBTS file (about 80% of the states with an OBTS) will only accept fingerprinted misdemeanor level offenses.

7. In general, the state OBTS files would appear to be designed to include most of the data elements listed in the Bureau of Justice Statistics (BJS) OBTS tape submission standards.\* Dates other than the dates of arrest and final disposition, as well as data on the type of counsel and types of trial tend to be excluded.

8. The level of reporting data to the state OBTS files would appear to vary from state to state. Twenty-five states indicated that arrest data was being reported to their OBTS file; in eleven states more than 90% of their total FY 1979 arrests (required to be reported for OBTS or CCH purposes) were reported to their state OBTS with three states indicating that 71-90% of the required arrests were reported. The survey results further indicated that reporting levels of less than 90% were, in general, due to the fact that specific jurisdictions were not reporting all or some of their arrests, or that specific jurisdictions were not yet required to report due, for example, to phased implementation of the OBTS system.

9. At the time of the survey, only about one-third of the 25 states where data is being reported and included in their state OBTS file indicated that more than 90% of the offender dispositions disposed of by their upper court in FY 1979 were reported and included on their state OBTS with approximately 12% of the 25 states estimating that 71-90% of their final upper court dispositions were reported and included in their OBTS files. Lower court dispositions would appear to be, in general, less consistently reported than upper court dispositions.\*\*

\* See Attachment A to the OBTS questionnaire included in Appendix A for a listing of the BJS OBTS tape submission standards as well as the SEARCH Technical Report #4 OBTS data elements.

\*\* In some states only felonies are required to be reported to the OBTS (or CCH if the same) system and felonies are primarily handled only at the upper court level. Additionally, some states have only one trial court. In those states with only one trial court, the estimated percentage of dispositions reported was included under the percentage of upper court dispositions reported but may refer to both felonies and misdemeanors.

\* For purposes of the survey a felony level offense was defined as an offense which carries the possibility of imprisonment for a year or more and a misdemeanor level offense as one which carries a lesser penalty.

In those states where less than 90% of the final court dispositions were reported the respondents generally indicated that the level of reporting was due primarily to the fact that specific jurisdictions were not reporting all or some required court dispositions, or were not yet required to report.

Survey Highlights - Analysis of OBTS Data

10. When asked to indicate the types of questions or concerns which their state had in regard to the processing of offenders, most respondents felt it was important to monitor the elapsed time between arrest and trial and the impact of delay in processing on court dispositions, the number of offenders processed through the various components of the system, how many people released from the system return and how far they will penetrate upon return, the cost of processing an offender through the criminal justice system, how many rearrests occur while people are active in the system, how many people are active in the various stages of the system at a given point in time, and how many offenders their state corrections department should plan for in the future.

11. Similarly the areas of analysis which would appear to provide the most utility to the states in addressing these questions (based on the number of states who have done work in the area in the past and the number who are currently doing work in the area) are providing system "offender" processing descriptions and system rates of processing followed to a lesser extent by providing trends in system processing and forecasts/projections of future processing, providing a system resource, workload and cost description as it relates to offender processing, analysis of elapsed time between events in processing and the effect on backlogs, analysis of length of offender stay in various sentencing alternatives, and analysis of offender return to the system.

12. The majority of respondents felt that an OBTS file would be useful in addressing questions on offender processing in their states, however, they also mentioned other types of data bases which would be critical to, or of assistance in, addressing the questions (e.g., state judicial management information system, corrections management information system, population/demographic data).

Furthermore, some states have performed analysis in a particular area (e.g., analysis of elapsed time between events in processing) without the aid of an OBTS system per se, by using available data on offender processing (e.g., aggregate statistics, one-time study using offender tracking data on a sample of offenders).\*

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\* These same states may currently be developing an OBTS system.

## Survey Analysis - Final Reports

This report summarizes the results of the survey. For comparative purposes, the states were grouped by type of OBTS system they are developing, if any. However, very little formal analysis of the data by state grouping is given.

Essentially Grouping 1 represents those states who extract OBTS data from a CCH (Computerized Criminal History) file and reporting to the CCH is mainly via form. States in Grouping 2 are those states where OBTS is extracted from the CCH and reporting to the CCH is via form or by direct terminal entry. Grouping 3 represents those states where OBTS is collected mainly as a by-product of management information systems (e.g., state judicial management information system, state corrections management information system). Groupings 4A and 4B represent those states who do not have active plans to develop an OBTS system with states in Grouping 4A being those states with SACs and states in Grouping 4B being those states without SACs.\* A listing of the state groupings is included in Appendix C.

This report is organized into three parts:

1. Part I is an overview of the development and use of offender processing statistics in general (e.g., with or without an OBTS system) in the states and summarizes the responses to Sections I and II of the questionnaire;
2. Part II describes the status of OBTS system development in the states and summarizes the responses to Sections III-XI of the questionnaire; and
3. Part III gives state examples of different approaches to offender processing statistics development and implementation.

More specifically, included in Part I of the report is an overview of information system development in the states as it relates to offender processing data, a summary of the major issues or questions on criminal justice offender processing which concern the

\* The classification of each state into a Grouping was made based on the survey results and in some instances the choice may not have been entirely clear-cut. A state may have indicated they currently collect OBTS data one way but plan to switch to another method or they may use a combination of methods. Additionally, the classification of states into Groupings 4A and 4B (with and without a SAC) was made based on the known current status of the SAC within the state. Louisiana and Missouri both had SACs at one time, but at the time of the survey it was not clear they were still in operation.

states (e.g., how many offenders state corrections should plan for in the future), and a description of the types of information systems which can be used to address a particular question (e.g., court system). Part I also shows the types of frameworks or structures for representing offender processing data (e.g., rates of return - recidivism) that can assist in addressing questions on criminal offender processing. Included in Part II of the report is a summary of the stage of development of OBTS by state; the manner of reporting OBTS by state; a description of the tracking mechanisms (e.g., traveling form which follows the offender from one stage to the next) and accounting units (e.g., charge, offender) being used; the types of charge, offense, and disposition information included; the timeliness of OBTS data reporting and file update; the completeness of data reporting to the state OBTS systems; the types of data quality control measures being used to insure accurate reporting; and the types of analysis done or being planned for OBTS data. Part III describes, in some detail, three state OBTS systems. The systems described were selected to represent the different approaches being used to collect OBTS data, e.g., from a CCH, as a by-product of agency management information systems.

As stated previously the two objectives of the survey were to 1) assess the status of OBTS development in the states and 2) to assess the level of analysis which can reasonably be expected given current and planned data availability. This report summarizes the overall results of the survey. A second report entitled "Analytic Plan for the Representation and Use of Offender Processing Statistics" has also been written.\* The survey results, as well as examples of work done at the state level, were used as a base of information in writing the analytic plan report.

Specifically, based on the state interest in addressing questions related to offender processing and the availability of OBTS data and aggregate offender processing data in general, as indicated by the survey results, an analytic plan for the representation and use of offender processing statistics was developed. Essentially the analytic plan report describes six structures for the representation and use of

\* The report is entitled "Analytic Plan for the Representation and Use of Offender Processing Statistics"; Criminal Justice Statistics Assoc., July, 1981.

offender processing statistics, illustrates their use at the state level, and describes data bases (e.g., OBTS/CCH) or information sources which support the structures.

The structures correspond to the major areas of analysis which the survey results indicated would appear to provide the most utility to the states. They are:

1. Offender Processing Flows and Stocks - e.g., manner and outcome of process, offender characteristics, number of offenders active in the system at given points in time or waiting to be processed.
2. Elapsed Time Between Events in Processing and Impact on Processing Stocks - e.g., number of days between events, analysis of pending population, effect of court backlog on pre-trial detainee and corrections populations.
3. Corrections Intake, Length of Sentence and Length of Stay and Its Impact on Corrections Population - e.g., impact of sentencing decisions on size of corrections population.
4. Rates of Return of the Offender to the Justice System (Recidivism) - e.g., from state custody, state supervision, rearrest.
5. Projections of Future Volume and Manner of Criminal Justice Processing - e.g., arrest projections, projections of number of offenders active at various processing points.
- \*6. Justice System Resources and Costs - e.g., cost of processing offenders, level of government services.

The report is organized into six chapters corresponding to each of the six structural areas listed above. Each chapter contains a conceptual definition of the framework (e.g., rates of return); an illustration of the use and display of the framework based primarily

on individual state work in the area; identifies issues in data collection, extraction, and aggregation related to the framework (e.g., unit of count for analysis-offender vs. charge); identifies alternative sources of data to support the framework; and finally displays data files and output reports in support of the framework.

Taken together, the two reports (i.e., this report and the analytic plan) attempt to describe the state of the art in offender-based transaction statistics tracking systems and the use of offender processing data in general. They identify issues related to the collection and aggregation of offender processing data, illustrate different state approaches to collecting and aggregating the data, and describe ways of using the information at the state level. The illustrations of the uses of offender processing data are made based on the types of data generally available and the work which has been done at the state level. Neither report is meant to provide the final word in the type of OBTS system which should be developed or the types of analysis which should be performed. Rather they are meant to illustrate different approaches which can be, and have been, used in the different states and in this way it is hoped that they can contribute to the states building a strong capacity for systemic justice analysis.

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\* This chapter of the report was not available at the time of initial distribution. It will be disseminated later as an addendum to the report.

PART I: OVERVIEW OF THE DEVELOPMENT AND USE OF OFFENDER PROCESSING  
STATISTICS IN THE STATES

SECTION I: Information System Overview

The purpose of this section was to survey the status in the states of information systems in support of offender processing statistics and the likelihood of continued development of state OBTS systems in the absence of future federal funds.

OBTS and CCH Development

Table I.1 presents an overview of OBTS development in the states as indicated by the survey results, describing the types of OBTS systems being developed and the stage of development of both OBTS and CCH (may be the same) in the states.

Specifically, thirty one\* of the 47 state respondents to the OBTS survey indicated that they were currently maintaining, in the process of developing, or presently planning to implement a statewide OBTS system. Of the 31 states, 81% indicated a combined OBTS/CCH development effort (45% of the 31 states indicated they extract OBTS from the CCH file, 26% create separate OBTS and CCH files when data is reported to the state and 10% indicated some other type of combined OBTS/CCH system).

Eleven (11) states indicated that their OBTS system was operational. However it should be noted that operational means simply that the programming and design of the OBTS (or CCH) system has been completed and data may be input, it does not mean that accurate or complete reporting is occurring.

As stated above, the information in Table I.1 is based entirely on the survey responses and as such may be subject to certain limitations (e.g. the "best" person(s) to respond for a state was not contacted, not all states responded). While it is believed that the information in Table I.1 is representative of the actual (as of September 1980) status of OBTS and CCH development in the states, for comparative purposes, results from

\*In actuality, 33 respondents indicated that they were currently maintaining, developing, or planning for an OBTS. However, only 31 of these respondents went on to give more detailed information on their OBTS system development. Hence, only the 31 respondents' answers are included in any reference to states with an OBTS.

TABLE I.1: OVERVIEW OF OBTS DEVELOPMENT IN THE STATES

States	CURRENTLY IN THE PROCESS OF, OR PLANNING A STATEWIDE OBTS		TYPE OF OBTS SYSTEM			STAGE OF DEVELOPMENT	
			COMBINED OBTS/CCH				
	YES	NO	EXTRACTED FROM CCH	SEPARATE AT ENTRY	OTHER		
1. California	X		X			OPERATIONAL	OPERATIONAL
Georgia	X			X		OPERATIONAL	IMPLEMENTATION
Illinois	X		X			OPERATIONAL	OPERATIONAL
Iowa	X			X		OPERATIONAL	IMPLEMENTATION
Michigan	X		X			OPERATIONAL	OPERATIONAL
Nebraska	X			X		OPERATIONAL	PLANNING
New Jersey	X		X			OPERATIONAL	OPERATIONAL
Ohio	X		X			OPERATIONAL	OPERATIONAL
Oregon	X		X			OPERATIONAL	OPERATIONAL
Utah	X		X			OPERATIONAL	OPERATIONAL
Virginia	X			X		OPERATIONAL	OPERATIONAL
Wisconsin	X		X			INVESTIGATION	PLANNING
Wyoming	X		X		X <sup>a</sup>	DESIGN	DESIGN
2. Arizona	X				X	OPERATIONAL	DEVELOPMENT
Colorado	X			X		OPERATIONAL	PLANNING
Connecticut	X			X		DEVELOPMENT	DEVELOPMENT
Delaware	X		X			OPERATIONAL	IMPLEMENTATION
Hawaii	X			X		OPERATIONAL	OPERATIONAL
Massachusetts	X		X			DEVELOPMENT	PLANNING
New Mexico	X		X			PLANNING	PLANNING
New York	X		X			OPERATIONAL	IMPLEMENTATION
Oklahoma	X			X		OPERATIONAL	OPERATIONAL
3. Arkansas	X				X	N/A	OPERATIONAL
DC	X			X		INVESTIGATION	INVESTIGATION
Kansas	X				X	DESIGN	PLANNING
Maine	X			X		PLANNING	PLANNING
Maryland	X				X	DEVELOPMENT	DEVELOPMENT
Minnesota	X				X	NOT PROGRESSING	IMPLEMENTATION
Pennsylvania	X				X	-	IMPLEMENTATION
Rhode Island	X			X		PLANNING	INVESTIGATION
South Carolina	X			X		-	VARIABLES BY COMPONENT
4A. Alabama	X						
Alaska	X						
Idaho	X						
Mississippi	X						
Montana	X						
Nevada	X						
New Hampshire	X	X				DESIGN	DESIGN
Washington	X					OPERATIONAL	PLANNING
4B. Florida	X					OPERATIONAL	
Indiana	X					OPERATIONAL	
Louisiana	X <sup>b</sup>					OPERATIONAL	IMPLEMENTATION
Missouri	X						
North Carolina	X						
North Dakota	X						
South Dakota	X						
West Virginia	X				X	OPERATIONAL	PLANNING

<sup>a</sup>The corrections component of the Wyoming OBTS data base will be a by-product of their corrections system.

<sup>b</sup>Louisiana was in the process of implementing an OBTS system. During the summer of 1980 activities associated with OBTS development were terminated.

SOURCE: Questionnaire on OBTS administered by the CUSA in September, 1980 (see Appendix A - Questions 1,2,&3).

a 1979 SRI International Survey Final Report entitled "An Assessment of the Status of the National Computerized Criminal History Program" is presented in Exhibits I.1 and I.2. Specifically, Exhibit I.1 summarizes criminal justice state planning agencies (SPA) responses with respect to information system development in their state, and with respect to CCH and OBTS system development in particular. Exhibit I.2 summarizes responses from state computerized criminal history agencies with respect to the current (1979) status and type of CCH system (e.g. integrated CCH/OBTS) operating or under development in their state.

#### Commitment of the States to Continue OBTS Development

A series of questions were asked about the commitment of the states toward continued OBTS development in the absence of future funds. Figure I.1A describes the estimated level of assistance needed by the states from BJS in order to assure continued OBTS development. As noted, approximately 32% of the 31 states with an OBTS indicated they needed no additional support from BJS in order to assure continued OBTS development while 35% of the states indicated the need for funds in the range of \$15,000 - \$40,000 or enough for extraction and analysis of the data. Another 19% indicated they needed at least \$100,000 and/or the continuation of current levels of grant support for system design and development.

Figure I.1B describes the estimated level of support existing in the states for OBTS development should federal assistance be severely restricted at the conclusion of any on-going funding. Specifically, approximately 61% estimated that their state would continue to support current levels of operational expenses for their OBTS system (or CCH system if the same) while 26% expected none to only minimal support from their state should federal assistance be restricted at the conclusion of on-going funding.

Figure I.2 displays the respondents' perception of the dependency of their state's progress with respect to OBTS development

FIGURE I.1A: Estimated Level of Federal Assistance Needed by the States<sup>a</sup> in Order to Assure Continued OBTS Development

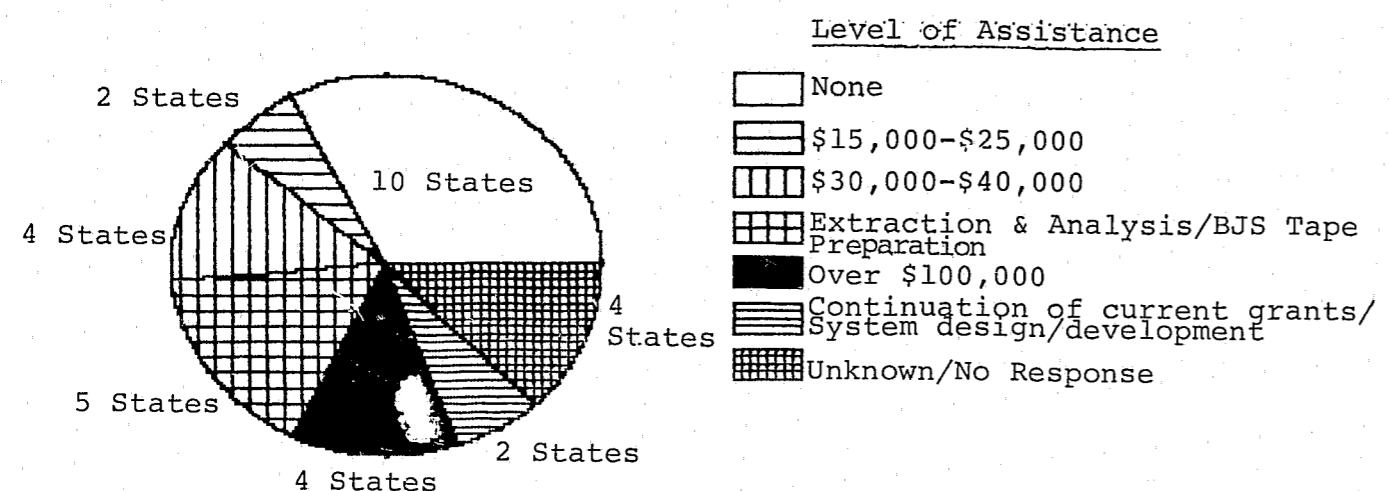
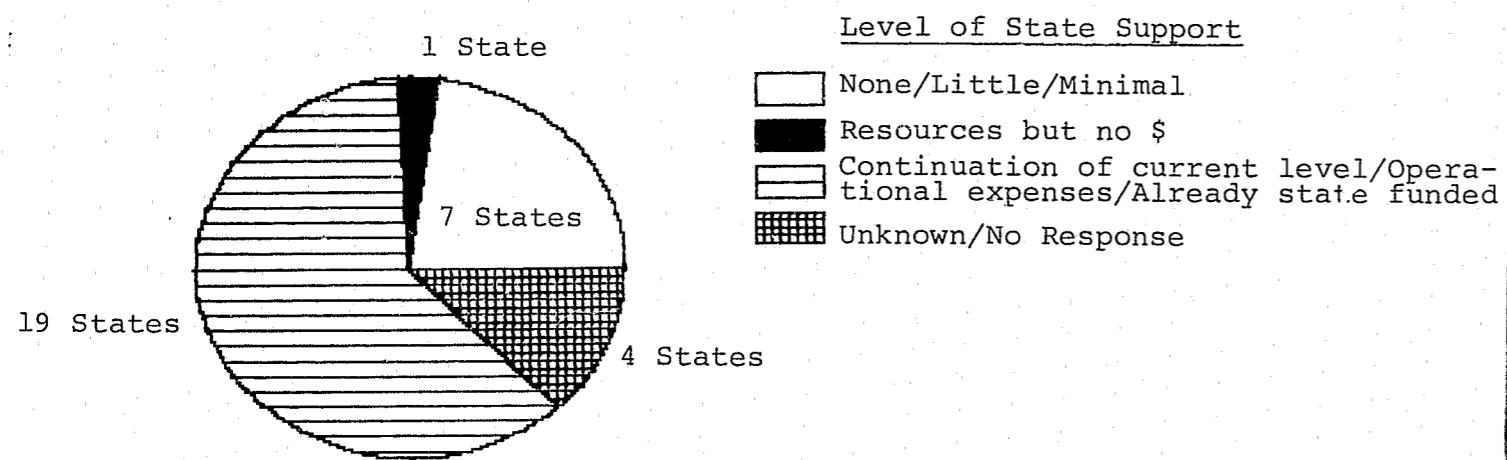


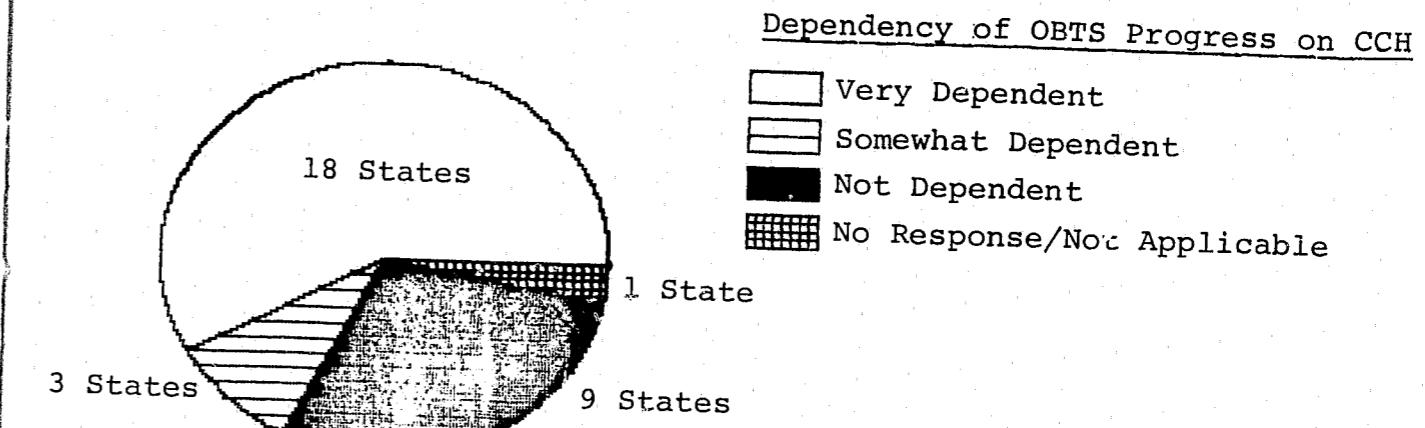
FIGURE I.1B: Estimated Level of Support Existing in States<sup>a</sup> for OBTS Development Should Federal Assistance be Restricted at the Conclusion of on-going Funding



<sup>a</sup>Based on responses from the 31 states who indicated they had, or were planning to implement a state-wide OBTS.

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - Question 2(b) & (c)).

FIGURE I.2: Dependency of States<sup>a</sup> with Respect to OBTS Development on Continued Progress with Respect to CCH Development and Implementation



<sup>a</sup>Based on responses from the 31 states who indicated that they had, or were planning to implement, an OBTS system.

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - Question 3(b)).

on continued progress with respect to CCH development and implementation. More than half (about 57%) of the 31 states developing an OBTS capability felt that OBTS development in their state was very (18 states) or somewhat (3 states) dependent on continued CCH development and implementation.

States where OBTS is in the operational stage or will be operational at the conclusion of on-going grant support were asked to comment on whether or not their states were committed to providing the resources needed to operate the OBTS system (or CCH system if the same) and the resources needed for generating OBTS output reports and analyzing and disseminating the information consistent with state needs. Twenty-two states responded to this question. Figures I.3A and I.3B display the results.

Specifically, 16 respondents felt that their states were committed to providing the resources needed to operate OBTS (or CCH if the same) while 5 states were uncertain. On the other hand, only 12 respondents felt that their states were committed to providing the resources needed for generating OBTS output reports and analyzing and disseminating the information once OBTS is operational while 10 respondents were uncertain about their state's commitment.

#### OBSCIS, SJIS, PROMIS System Status

Questions were asked in the survey on the status of OBSCIS, SJIS and PROMIS\* system development in the states, as well as on the status of other information systems either operational or under development which could contribute to offender oriented statistical development. The survey responses are summarized in Tables I.2A and I.2B.

Specifically, Table I.2A displays the stage of development of OBSCIS, SJIS and PROMIS in the states as indicated by the survey respondents, and indicates with an asterisk the systems that are anticipated to contribute as a by-product to OBTS development. As noted, thirty-four of the forty-seven respondents indicated that an OBSCIS (or its equivalent) system is,

\* OBSCIS = Offender Based State Corrections Information System  
SJIS = State Judicial Information System  
PROMIS = Prosecutor Management Information System

FIGURE I.3A: Commitment of States<sup>a</sup> to Providing the Resources Needed to Operate OBTS (or CCH if the Same)

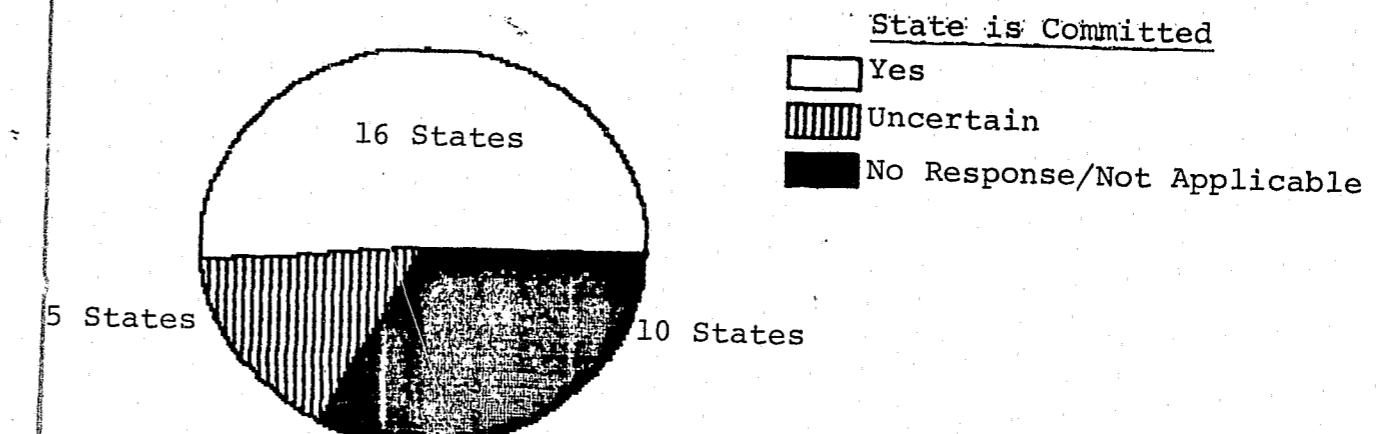
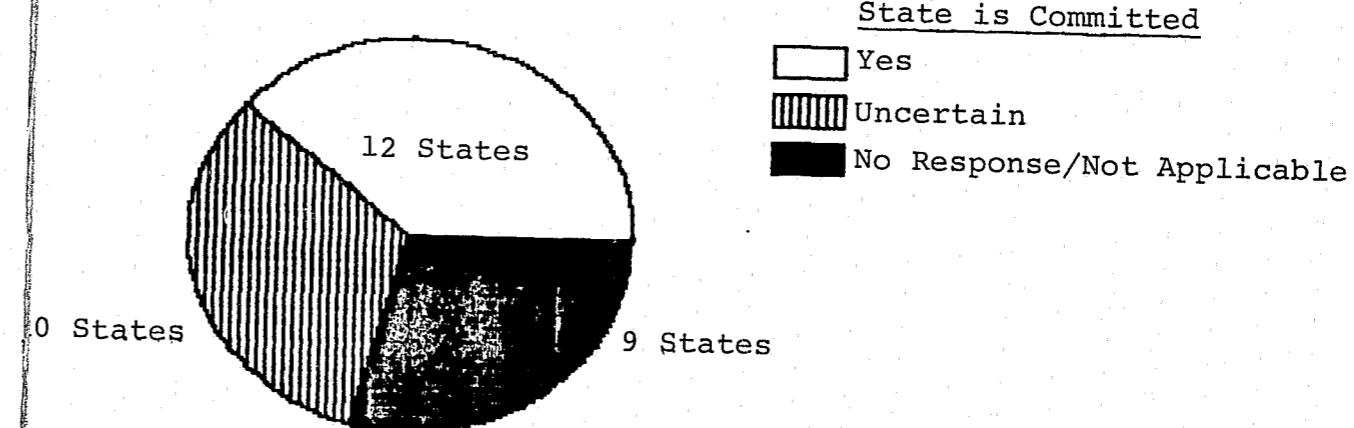


FIGURE I.3B: Commitment of States<sup>a</sup> to Providing the Resources Needed for Generating OBTS Output Reports and Analyzing and Disseminating the Information Once OBTS is Operational



<sup>a</sup>Based on responses from the 31 states who indicated they had, or were planning to implement a state-wide OBTS

TABLE I.2A: OBSCIS, SJIS, PROMIS SYSTEM STATUS<sup>a</sup>

States	STAGE OF DEVELOPMENT				
	OBSCIS	SJIS	PROMIS; 1 <sup>b</sup>	2	3
1. California	C	C	C		
Georgia					
Illinois	OPERATIONAL		*PLANNING		
Iowa	*OPERATIONAL		*PLANNING		
Michigan		IMPLEMENTATION	*DEVELOPMENT		
Nebraska					
New Jersey	DEVELOPMENT		DEVELOPMENT		
Ohio	OPERATIONAL				
Oregon					
Utah	*DEVELOPMENT	*DESIGN	*VARIES		
Virginia	*OPERATIONAL	PLANNING	DESIGN	DEVELOPMENT	
Wisconsin	DEVELOPMENT				
Wyoming					
2. Arizona	*OPERATIONAL		*INVESTIGATION		
Colorado	*OPERATIONAL	*OPERATIONAL	*OPERATIONAL (9 counties)		
Connecticut	IMPLEMENTATION	IMPLEMENTATION	PLANNING		
Delaware	*IMPLEMENTATION	*IMPLEMENTATION			
Hawaii	*IMPLEMENTATION	*IMPLEMENTATION	INVESTIGATION		
Massachusetts	DEVELOPMENT	*IMP/OP			
New Mexico	*OPERATIONAL				
New York	*OPERATIONAL		*OPERATIONAL	IMPLEMENTATION	DEVELOPMENT
Oklahoma		*PLANNING	*PLANNING		
3. Arkansas		DEVELOPMENT			
DC	*OPERATIONAL		*OPERATIONAL		
Kansas	*OPERATIONAL		*PLANNING		
Maine	DEVELOPMENT				
Maryland	*OPERATIONAL	*OPERATIONAL	OPERATIONAL	INVESTIGATION	
Minnesota	OPERATIONAL	OPERATIONAL			
Pennsylvania	DEVELOPMENT				
Rhode Island	INVESTIGATION	OPERATIONAL	OPERATIONAL		
South Carolina	OPERATIONAL		OPERATIONAL		
4A. Alabama	OPERATIONAL	IMPLEMENTATION	DEVELOPMENT	IMPLEMENTATION	OPERATIONAL
Alaska	*DEVELOPMENT		*PLANNING		
Idaho					
Mississippi					
Montana	OPERATIONAL				
Nevada	DEVELOPMENT	INVESTIGATION			
New Hampshire	*OPERATIONAL	*OPERATIONAL			
Washington	PLANNING	PLANNING	OPERATIONAL		
4B. Florida	OPERATIONAL	IMPLEMENTATION	OPERATIONAL	INVESTIGATION	
Indiana			OPERATIONAL		
Louisiana			OPERATIONAL		
Missouri	OPERATIONAL	OPERATIONAL	OPERATIONAL		
North Carolina	OPERATIONAL	IMPLEMENTATION			
North Dakota					
South Dakota	IMPLEMENTATION	OPERATIONAL	DEVELOPMENT		
West Virginia					

\*System anticipated to contribute as a by-product to OBTS development (or CCH where the same).

<sup>a</sup>It should be noted that different states may be implementing different versions (or modules) of these systems. This table is only intended to provide a broad overview of OBSCIS, SJIS, PROMIS system status in the states. More detailed information on their status is given in Exhibits I.1.-I.4.

<sup>b</sup>PROMIS is typically implemented at the local or county level and as such the respondents to the questionnaire may not be up-to-date on all PROMIS development in their state. Some state respondents did indicate more than one PROMIS system being implemented in their state, at different levels of development. These are noted in the table under the PROMIS 1, 2, and 3 columns. Exhibit I.4. gives a more detailed description of PROMIS status by state.

<sup>c</sup>Not under the jurisdiction of the California Bureau of Justice Statistics.

NOTE: A stage of development is listed only for those systems where a respondent indicated the status of the system. No response should imply that the state has never received funding for the system. (It could also mean that the respondent was unaware of the system status or chose not to respond.)

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - question 5).

TABLE I.2B: OTHER INFORMATION SYSTEMS (COUNTY/STATEWIDE) IN STATES<sup>a</sup> EITHER OPERATIONAL OR UNDER DEVELOPMENT WHICH ARE OR COULD CONTRIBUTE TO OBTS DEVELOPMENT

States	LAW ENF	COURTS	PAROLE/PROB	CORRECTIONS	OFFENDER TRACKING		JUVENILE TRACKING	OTHER
					(County Level)			
1. California								
Georgia								
Illinois	X				*X			
Iowa						*X		
Michigan	X							
Nebraska					X			
New Jersey	X							
Ohio								
Oregon							X	
Utah							X	
Virginia								
Wisconsin								
Wyoming								
2. Arizona								X
Colorado								
Connecticut								
Delaware								
Hawaii								
Massachusetts								
New Mexico								
New York	*X				*X			
Oklahoma								
3. Arkansas								
DC	*X							
Kansas	*X							
Maine								
Maryland	X							
Minnesota								
Pennsylvania	*X							
Rhode Island	X							X
South Carolina	X				X			
4A. Alabama								
Alaska	X							
Idaho	X							
Mississippi	*X							
Montana	X							
Nevada								
New Hampshire	*X							
Washington								
4B. Florida								
Indiana								
Louisiana								
Missouri	*X							
North Carolina	X							
North Dakota								
South Dakota								
West Virginia								

\*Systems anticipated to contribute as a by-product to OBTS development

<sup>a</sup>These systems may be at varying stages of development in the states. This table is only intended to provide a broad description of the types of information systems being developed in the states which are or could contribute to OBTS development.

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - questions 7&8).

or has been, funded in their state with the systems being at the following stages of development (as of 10/80): 56% of the systems are operational, 12% are being implemented, 24% are under development, and 9% are in the planning or investigation stages. Twenty-one of the 47 respondents indicated that an SJIS system (or its equivalent) is, or has been, funded in their state with 33% of the systems operational, 38% in the process of being implemented, 5% under development and 24% in the planning to design stage. Finally, 24 of the 47 respondents indicated at least one jurisdictional PROMIS system in their state with approximately 40% of the specified systems operational, 7% being implemented, 20% under development and 33% in the planning to design stages.

Of the respondents who indicated they are receiving or have received funds for an OBSCIS system, approximately 47% indicated the systems are anticipated to contribute as a by-product to OBTS. Similarly, 38% of the SJIS systems funded are anticipated to contribute as a by-product to OBTS development and 42% of the states with PROMIS systems anticipate these systems to contribute as a by-product to OBTS.

It should be noted that Tables I.2A and I.2B were compiled based entirely on the survey responses and may not be indicative of the actual status of information system development as it relates to offender oriented statistical development in the states. That is, the people who completed the questionnaire may not be completely up-to-date on the status of information system development (particularly on PROMIS development which typically occurs at the local or county levels) in their states and/or the questions as worded in the survey instrument on the status of these systems may not have been completely clear.

An attempt was made to compare the information on stage of development of OBSCIS, SJIS and PROMIS obtained as a result of the survey with information on the status of these systems obtained from the Bureau of Justice Statistics (for OBSCIS development), the National Center for State Courts (for SJIS

development) and INSLAW, Inc. (for PROMIS development). The status information maintained by the three agencies listed is very much more detailed than that requested in the survey. For comparative purposes, Exhibits I.3 - I.6 display the status of OBSCIS, SJIS and PROMIS development in the states based on information obtained from the Bureau of Justice Statistics, the National Center for State Courts and INSLAW, Inc., respectfully.\*

Specifically, Exhibit I.3 displays the status of OBSCIS by component by state as of April, 1980 based on Bureau of Justice Statistics information. Exhibits I.4 and I.5 identify the states developing automated modules as part of state-level judicial information systems as of June 30, 1980, and for those states having operational state-level judicial modules, indicates whether they are non-automated, partially automated or fully automated as of June 30, 1980, based on a survey conducted by the National Center for State Courts.

Finally, Exhibit I.6 lists the status of PROMIS development in the states and the version(s) of PROMIS being implemented, based on data maintained by INSLAW, Inc.

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\*The status of OBSCIS, SJIS, and PROMIS development listed in Exhibits I.3 - I.6 represents the status at a different point in time than that listed in Table I.2A; however, the status of each system is within six months of that referenced in Table I.2A. Additionally, the data in Exhibit I.3 reflects those states receiving federal dollars for OBSCIS development; the data in Exhibits I.4 - I.5 reflects responses from all states.

## EXHIBIT I.1

Table 2

SUMMARY OF RESPONSES TO QUESTIONNAIRE SURVEY  
FOR SPAH

	CJIS Master Plan?	Date Adopted	Date Last Update	CDS Plan?	Date Adopted	Date Last Update	State Received CDS \$7	State Received CCH \$7	Block 5 Used for CCH/UBTS	State Received SJIS \$7	State Received UHSCIS \$7	Is CCH Operational?	Is UBTS Operational?	Nonoperational CCH Status	Integ. CCH and SPA System	SPA Specialists on Staff?	SPA Involvement with CCH	
Alabama																Yes	Yes	f, h
Alaska	(yes)	1974	Yes	1977	1978	Yes	No	Yes	No	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	f, h
Arizona	Yes	1969	Nov.	Yes	1973	1975	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	e, f, g
Arkansas																		
California																		
Colorado																		
Connecticut	Yes	1976	Now	Yes	1976	1978	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes	e, f, g	
Delaware	Yes	1974	Now	Yes	1974	1979	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes	a	
Florida	Yes	1972	Now	No	1972	1974	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	a	
Georgia	Yes	1972	1974	Yes	1972	1977	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	a	
Hawaii	Yes	1976	--	Yes	1973	--	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	e, g	
Idaho																		
Illinois	Yes	1972	Now	Yes	1972	1979	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes	f, g	
Indiana																		
Iowa																		
Kansas	Yes	1976	--	Yes	1976	--	Yes	Yes	No	Yes	Yes	Yes	No	No	Yes	Yes	e, g	
Kentucky	No			No			No	No	No	No	No	Yes	Yes	Yes	Yes	Yes	a	
Louisiana	Yes	1971	1978	Yes	1971	--	Yes	Yes	No	No	No	No	Yes	Yes	Yes	Yes	b	
Maine																		
Maryland	Yes	1973	1977	Yes	1973	Now	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes	e, g	
Massachusetts	No			No			No	No	No	No	No	No	No	No	Yes	Yes	e, g	
Michigan																		
Minnesota	Yes	1977	--	Yes	1972	1976	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	e, g	
Mississippi																		
Missouri	No			Yes	1972	1976	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes	No	e, g	
Montana	Yes	1977	--	Yes	1977	--	Yes	No	No	Yes	Yes	Yes	No	No	Yes	No	e, g	
Nebraska																		
Nevada																		
New Hampshire	No			Yes	1974	Now	Yes	Yes	Yes	No	Yes	No	No	No	Yes	No	e	
New Jersey																		
New Mexico	Yes	1974	1979	Yes	1974	1979	Yes	No	No	No	Yes	Yes	No	No	Yes	Yes	e, g	
New York	Yes	1975	--	Yes	1974	--	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	e, g	
North Carolina	Yes	1974	1976	No	1974	1976	No	No	No	Yes	No	No	Yes	No	Yes	Yes	e, g	
North Dakota	No			No			No	No	No	No	No	No	No	No	No	No	a, b	
Ohio	Yes	1973	--	Yes	1973	--	Yes	Yes	No	No	Yes	Yes	Yes	Yes	Yes	Yes	e, f, g	
Oklahoma																		
Oregon	No			Yes	1972	Now	Yes	No	No	Yes	Yes	No	No	No	No	No	e	
Pennsylvania	Yes	1976	1978	Yes	1975	Now	Yes	Yes	No	Yes	Yes	No	No	No	Yes	No	e, g	
Rhode Island																		
South Carolina	Yes	1974	--	Yes	1974	--	Yes	Yes	Yes	No	Yes	Yes	No	No	Yes	Yes	e, f, g	
South Dakota	No			Yes	1976	--	Yes	No	Yes	Yes	No	No	No	No	Yes	Yes	e, f, g	
Tennessee	Yes	1975	1976	No	1975	1978	Yes	No	No	Yes	No	No	No	No	No	No	a, b	
Texas	Yes	1972	1972	Yes	1973	1978	Yes	Yes	Yes	Yes	No	No	No	No	No	No	c, d, e	
Utah	Yes	1970	Yearly	Yes	1973	Yearly	Yes	Yes	No	Yes	Yes	No	No	No	Yes	Yes	a, f, g	
Vermont	No			No			No	No	No	No	No	No	No	No	No	No		
Virginia																		
Washington																		
West Virginia																		
Wisconsin																		
Wyoming																		

Note: a = under development    f = system design  
 b = running parallel    g = multi-agency coordination  
 c = not planned    h = other  
 e = funding only

Source: SRI International, 1979

SOURCE:

"An Assessment of the Status of the National Computerized Criminal History Program"; SRI, International; Final Report, Nov., 1979.

Table 6  
SUMMARY OF RESPONSES TO QUESTIONNAIRE SURVEY FOR COMPUTERIZED CRIMINAL HISTORY AGENCIES

	<u>Current CCH Status</u>	<u>Expected Operational Date</u>	<u>CCH Available On-Line?</u>	<u>Update NCIC-CCH?</u>	<u>CCH for Inter-state</u>	<u>CCH and SIB Same Agency?</u>	<u>Own CCH Computer?</u>	<u>Number of SIDs in CCH (thousands)</u>	<u>% of Total SIDs in SID</u>	<u>Number of Arrests in CCH (thousands)</u>	<u>% of Arrests Having Dispositions</u>
Alabama	4		Yes		P	No	Yes	700	100	119	20
Alaska	4		Yes		S	Yes	Yes	273	30.2	273	0
Arizona	4		Yes		P	Yes	No				
Arkansas											
California											
Colorado											
Connecticut	2	7/1/80	Yes	No	P	Yes	No				
Delaware											
Florida	5		Yes		P	Yes	Yes	1,050	100	2,897	32
Georgia	3		Yes	No	P	Yes	No	210	33.6	40	
Hawaii	3	6/79	Yes	Yes	P	No	No	141	70	251	80-85
Idaho											
Illinois	6		Yes		P	Yes	Yes	629	45	962	22
Indiana											
Iowa	NCIC only	6/30/81	Yes	Yes	P	Yes	No				
Kansas	2		Y-Partly	Yes	P	Yes	Yes	100	20	0	0
Kentucky	2, 4		Yes	No	P	Yes	No	180	90		
Louisiana	2	1980	Yes	Yes	P	No	No				
Maine	1										
Maryland											
Massachusetts	2	12/79	Yes	No	P	No	Yes				
Michigan	5		Yes		P	Yes	Yes	354	15	1,130	55
Minnesota	5		Yes		P	Yes	No	100	100	40	
Mississippi											
Missouri	1	1981	Yes	No	P	Yes	Yes	500	100		60
Montana	6		Yes	Yes	P	Yes	Yes				
Nebraska	5		Yes		S	Yes	No	25	10		35
Nevada											
New Hampshire	1	1981	Yes	Yes	P	Yes	Yes				
New Jersey	3		Yes		P	Yes	Yes	375	38	600	80
New Mexico	1	1985	Yes	Yes	P	Yes	No				
New York	3		Yes		P	Yes	Yes	1,400	40	3,400	70
North Carolina											
North Dakota											
Ohio											
Oklahoma											
Oregon	4		Yes		P	Yes	No	183	43	552	72
Pennsylvania	6										
Rhode Island											
South Carolina	5		Yes		P	Yes	Yes	461	100	132	48
South Dakota											
Tennessee											
Texas	5		Yes	No	P	Yes	Yes	2,300	100	2,400	40
Utah	4		Yes		P	Yes	No	70	25	196	50
Vermont											
Virginia	5		Yes		P	Yes	Yes	65	14	121	78
Washington											
West Virginia											
Wisconsin											
Wyoming	2	1981	Yes		P	Yes	Yes				

Status of CCH (Column 1)

CCH As Source of Interstate Criminal History Record (Column 5)

P = Primary

S = Supplemental

- 1 = In Planning
- 2 = In Development
- 3 = Operational in State only
- 4 = Operational, includes NCIC-CCH access
- 5 = Operational, including NCIC-CCH updates
- 6 = Not Planned

**XHIBIT I.2 (cont'd)**

Page 6 - (Concluded)

SOURCE: "An Assessment of the Status of the National Computerized Criminal History Program"; SRI, International Final Report, NOV., 1979.

ee: p = *percentage*; s = *supplementary*; DO = "Day One"; approach; bx = back x number of years.

File	Conversion	Collection	System	Plan?
Data	Data	Data	Data	Data
OBTS/CCH	OBTS/CCH	OBTS/CCH	OBTS/CCH	OBTS/CCH
Gouffre	Corrections	Dissolutions	Dissolutions	Dissolutions?
OBTS/CCH	OBTS/CCH	OBTS/CCH	OBTS/CCH	OBTS/CCH
Provide	Provide	Via	Via	Via
OBTS/CCH	OBTS/CCH	OBTS/CCH	OBTS/CCH	OBTS/CCH
Compacter	Compacter	Delet	Delet	Delet
SCREBET	SCREBET	COLLECTOR?	COLLECTOR?	COLLECTOR?

**EXHIBIT I.3**

OBSCIS STATE IMPLEMENTATION AS OF APRIL 1980

OBSCIS States	Admissions	Assessment	Institution	Parole	Movement Status.	Legal Status	Management & Research	National Reporting
Alabama	O	NA	O	O	O	NA	O	O
Alaska	O	NA	O	O	O	NA	O	O
Arizona	O	P	O	O	O	NA	O	O
California	O	P	P	O	O	NA	O	O
Colorado	O	P	P	O	O	NA	O	O
Connecticut	O	P	P	O	O	NA	O	O
Delaware	O	P	P	O	O	NA	O	O
D.C.	O	P	P	O	O	NA	O	O
Florida	O	P	P	O	O	NA	O	O
Georgia	O	P	P	O	O	NA	O	O
Hawaii	O	P	P	O	O	NA	O	O
Illinois	O	P	P	O	O	NA	O	O
Iowa	O	P	P	O	O	NA	O	O
Kansas	O	P	P	O	O	NA	O	O
Maine	O	P	P	O	O	NA	O	O
Maryland	O	P	P	O	O	NA	O	O
Massachusetts	O	P	P	O	O	NA	O	O
Michigan	O	P	P	O	O	NA	O	O
Minnesota	O	P	P	O	O	NA	O	O
Missouri	O	P	P	O	O	NA	O	O
Montana	O	P	P	O	O	NA	O	O
Nevada	O	P	P	O	O	NA	O	O
New Hampshire	O	P	P	O	O	NA	O	O
New Jersey	O	P	P	O	O	NA	O	O
New Mexico	O	P	P	O	O	NA	O	O
New York	O	P	P	O	O	NA	O	O
North Carolina	O	P	P	O	O	NA	O	O
Ohio	O	P	P	O	O	NA	P	P
Pennsylvania	O	P	P	O	O	NP	P	P
South Carolina	O	P	P	O	O	NP	P	P
South Dakota	O	P	P	O	O	NP	P	P
Utah	O	P	P	O	O	NP	P	P
Virginia	O	P	P	O	O	NP	P	P
Vermont	O	P	P	O	O	NP	P	P
Wisconsin	O	P	P	O	O	NP	P	P

### O = Operational

I = Implemented and being tested

P = Planned

NP = Not planned

NA = Not Applicable

D = Design

SOURCE: Bureau of Justice Statistics

## EXHIBIT I.4

Table 4—States developing automated modules as part of state-level judicial information systems, as of June 30, 1980 \*

States	Caseload modules						Resource modules			
	Appellate		General jurisdiction		Juvenile module <sup>1</sup>	Limited jurisdiction		Financial module	Personnel module	Other <sup>2</sup>
	Civil module	Criminal module	Civil module	Criminal module		Civil module	Criminal module			
Alabama	X	X								X
California	X	X						X	X	
Connecticut	X	X	X	X				X	X	X
Delaware			X		X	X	X			
D.C.	X	X	X	X						
Florida	X	X		X				X	X	
Georgia			X	X						
Hawaii			X		X	X	X			X
Kansas				X				X	X	
Louisiana	X							X	X	X
Massachusetts			X	X						X
Michigan	-X	-X	X					X	X	
Missouri										
New Hampshire	X	X	X	X						
New Jersey			X	X	X					X
New Mexico	X	X	X	X	X	X				X
New York	X	X	X	X	X	X				X
North Carolina			X	X		X	X			
Pennsylvania	X	X								
Rhode Island			X	X	X					X
Tennessee	-X	X	X	X	X					
Utah			X	X		X	X	X	X	X
Virginia			X	X	X	X	X			X

<sup>1</sup>Juvenile cases are processed differently in individual states; some states use separate juvenile courts, other states use general jurisdiction courts, and others use limited jurisdiction courts.

<sup>2</sup>For a more complete description of "other" resource modules please refer to Tables #30, 31, 32, 33.

\*Data reflects responses from all states and is not limited to the 23 states receiving federal SJIS funds.

SOURCE: Tables appearing in SJIS State of the Art, 1980; National Center for State Courts; Williamsburg, Va.

## EXHIBIT I.5

Table 5—States having operational state-level judicial modules, and whether they are non-automated, partially automated, or fully automated, as of June 30, 1980\*

States	Caseload modules							Resource modules			Other <sup>2</sup>	
	Appellate		General jurisdiction			Limited jurisdiction	Juvenile module <sup>1</sup>	Limited jurisdiction		Financial module	Personnel module	
								Civil module	Criminal module			
Alabama	N	N					P	P	P	P	F	F
Alaska	N	N					F	F	F	F	F	F
Arizona	N	N					N	N	N	F	N	N
Arkansas	N	N					P	P	N	N	N	N
California	N	N					P	P	P	F	N	P
Colorado	N	N					F	F	P	F	F	F
Connecticut	N	N					I	P	P	--	P	F, P
Delaware	N	N					N	N	N	N	N	N
D.C.	P	P					F	F	F	P	P	F
Florida	N	N					N	N	N	N	N	N
Georgia	N	N					P	P	P	N	N	N
Hawaii	-N	-N					P	N	N	N	N	N
Idaho	F	F					P	P	P	N	F	P
Illinois	N	N					N	N	N	N	N	N
Indiana	N	N					N	N	N	N	N	N
Iowa	N	N					N	N	--	--	N	N
Kansas	N	N					P	P	N	--	--	N
Kentucky	N	N					P	P	P	P	F	N
Louisiana	P	N					P	P	P	P	N	N
Maine	N	N					P	N	--	--	P	N
Maryland	N	N					P	F, P	N	P	P	F, P
Massachusetts	N	N					F	N	P	N	P	F
Michigan	F	F					P	F	F	F	N	F, P
Minnesota	N	N					P	P	P	N	N	P
Mississippi	N	N					N	N	N	N	N	N
Missouri	F	F					F	N	N	P	P	N
Montana	N	N					F	F	N	N	N	N
Nebraska	N	N					N	N	P	P	N	N
Nevada	N	N					N	N	N	N	N	N

NOTE: Footnotes found at end of table.

## EXHIBIT I.5 (Cont'd)

Table 5—Continued

States	Caseload modules							Resource modules		
	Appellate		General jurisdiction		Juvenile module <sup>1</sup>	Limited jurisdiction		Financial module	Personnel module	Other <sup>2</sup>
	Civil module	Criminal module	Civil module	Criminal module		Civil module	Criminal module			
New Hampshire	N	N	N	N	N	N	N	N	N	N
New Jersey	F	F	P	P	P	P	P	N	N	N
New Mexico	N	N	P	P	N	N	N	N	N	P
New York	F, P	F, P	F	F, P	P	P	F, P	F	F	F, P
North Carolina	N	N	P	P	N	P	F, P	N	N	F, P
North Dakota	N	N	F	F	F	F	F	N	N	N, P
Ohio	P	P	P	P	P	P	P	N	N	N
Oklahoma	N	N	P	P	P	N	N	N	N	N
Oregon	F	F	F	F	N	F	F	N	N	N
Pennsylvania	P	P	P	P	N	P	P	F	P	N
Rhode Island	N	N	F	F	F	N	P	N	N	F
South Carolina	N	N	P	P	P	N	N	N	N	N
South Dakota	N	N	N	P	P	N	P	P	N	P
Tennessee	F	F	F	F	N	N	N	N	N	N
Texas	N	N	P	P	P	P	P	N	P	P
Utah	N	N	N	N	F	N	N	N	N	N
Vermont	N	N	N	N	N	N	N	P	N	N
Virginia	N	N	P	P	P	P	P	P	P	P
Washington	F	F	F	F	F	N	F	N	N	F
West Virginia	N	N	N	N	N	N	N	N	N	N
Wisconsin	P	P	F	F	P	N	N	N	N	N
Wyoming	N	N	N	N	N	N	N	N	N	N

N = Non-Automated—State-level judicial information is manually generated; automated data processing is not involved.

P = Partially Automated—A portion of state-level judicial information system functions is accomplished through the use of automated data processing equipment, e.g., statistical accounting of cases. Other functions, some of which could be automated, are done manually.

F = Fully Automated—The majority of all state-level judicial information system functions is accomplished through the use of automated data processing equipment, e.g., statistical accounting of cases, case tracking, day-to-day operational support, etc.

---: not applicable

<sup>1</sup>Juvenile cases are processed differently in individual states; some states use separate juvenile courts, other states use general jurisdiction courts, and others use limited jurisdiction courts.

<sup>2</sup>For a more complete description of "other" resource modules please refer to Tables #30, 31, 32, 33.

\*Data reflects responses from all states and is not limited to the 23 states receiving federal SJIS funds.

SOURCE: Tables appearing in SJIS, State of the Art, 1980; National Center for State Courts, Williamsburg, Va.

## EXHIBIT I.6

PROMIS JURISDICTIONS  
(as of March 1981)

JURISDICTION (County)	STATUS	CURRENT VERSION	PLANNED VERSION	JURISDICTION (County)	STATUS	CURRENT VERSION	PLANNED VERSION
Alabama				Florida			
4th Circuit, Selma	0*	ORIG		Court of Appeals	T		
6th Circuit, Tuscaloosa	0*	ORIG		Naples (Collier)	0		
15th Circuit, Montgomery	0*	ORIG		Orlando (Orange)	T/JIS		
20th Circuit, Dothan	0*	ORIG		Sanford (Seminole)	T		
23rd Circuit, Huntsville	0*	ORIG		1st Judicial Circuit, Pensacola	T..		
37th Circuit, Opelika	0*	ORIG		2nd Judicial Circuit, Tallahassee	0		
Alaska				3rd Judicial Circuit, Lake City	T..		
Anchorage	T..			14th Judicial Circuit, Mariana	T..		
Bethel	T..			15th Judicial Circuit			
Fairbanks	T..			(Palm Beach)			
Juneau	T..			17th Judicial Circuit, Fort Lauderdale	T..		
Kenai	T..			Georgia			
Ketchikan	T..			Marietta (Cobb)	0		
Kodiak	T..			Savannah (Chatham)	T		
Nome	T..			Guam			
Arizona				Attorney General	T		
Tucson (Pima)				Hawaii			
Tucson (Pima) Corrections	T	T/JIS		Hilo (Hawaii)	T..		
Arkansas				Honolulu (Oahu)	T..		
Little Rock (Pulaski)	0	ORIG		Wailuku (Maui)	T..		
California				Idaho			
1st District Court of Appeals	T			Caldwell (Canyon)	T		
2nd District Court of Appeals	T			Illinois			
3rd District Court of Appeals	T			Appellate Court, 1st District	T		
4th District Court of Appeals	T			Appellate Court, 4th District	T..		
5th District Court of Appeals (Los Angeles)	0	ORIG		Chicago (Cook)	T..		
Modesto (Stanislaus)	T..			Geneva (Kane)	0	ORIG	
Croville (Butte)	T..			Indiana			
Redwood City (San Mateo) (Sacramento)	T			Indianapolis (Marion)	0	ORIG	
Salinas (Monterey)	0	ORIG		Indianapolis Juvenile (Marion)	0	NB	
San Diego (San Diego)	0	ORIG		Iowa			
San Diego U.S. Attorney's Office (San Luis Obispo)	0	ORIG		7th Judicial District, Davenport	0	ORIG	
Santa Ana (Orange) (Santa Cruz)	T..	T/JIS		Des Moines (Polk)	T..		
Supreme Court (Ventura)	T			Iowa City (Johnson)	T..		
Woodland (Yolo)	T..			Mason City (Cerro Gordo)	T..		
Colorado				Nevada (Story)	T..		
1st Judicial District, Golden	0*	BUF		Kentucky			
4th Judicial District, Colorado Springs	0*	BUF		Louisville (Jefferson)	0	ORIG	
5th Judicial District, Fort Collins	0*	BUF		Louisville (Jefferson) Corrections	T/JIS		
10th Judicial District, Pueblo	0*	BUF		Louisville (Jefferson) Juvenile	T		
11th Judicial District, Canon City	0*	BUF		State Courts	T		
17th Judicial District, Brighton	0*	BUF		Louisiana			
18th Judicial District, Littleton	0*	BUF		Alexandria (Rapides)	T..		
19th Judicial District, Greeley	0*	BUF		Gretna (Jefferson)	T		
20th Judicial District, Boulder	0*	BUF		Lake Charles (Calcasieu)	T		
District of Columbia				New Orleans (Orleans)	0	ORIG	
U.S. Attorney's Office	0	ORIG		Shreveport (Caddo)	T..		
D C Court of Appeals	0	NB		Maryland			
Executive Office for U.S. Attorneys	T			Towson (Baltimore)	T..		
Federal Communications Commission	T			Rockville (Montgomery)	T..		
Land and Natural Resources Division, U.S. Department of Justice	0	BUF		Upper Marlboro (Prince George's)	0	BUF	
Occupational Safety and Health Review Commission	T	BUF		Massachusetts			
				Cambridge (Middlesex)	0	NB	
				Dedham (Norfolk)	0	NB	
				(Worcester)	0	NB	

EXHIBIT I.6 (Cont'd)

JURISDICTION (County)	STATUS	CURRENT VERSION	PLANNED VERSION	JURISDICTION (County)	STATUS	CURRENT VERSION	PLANNED VERSION
Michigan				Oregon			
Detroit (Wayne)	O*		BUF	Portland (Multnomah)	O	BUF	
Flint (Genesee)	T*		BUF	(Multnomah) Corrections	T/JIS	BUF	BUF
Grand Rapids (Kent)	T*		BUF	Pennsylvania			
(Kalamazoo)	O*	BUF	BUF	Administrative Office of	O	BUF	
Lansing (Ingham)	O*		BUF	the Courts	T	BUF	
(Marquette)	T*		BUF	Rhode Island	O*	ORIG	BUF
Mt. Clemens (Macomb)	T*		BUF	State Courts	T	BUF	BUF
(Saginaw)	T*		BUF	Attorney General - CCH			
St. Joseph (Berrien)	O*	ORIG	BUF	South Carolina			
Minnesota				Columbia (Richland)	O	ORIG	
Rochester (Olmsted)	T		BUF	Texas			
St. Paul (Ramsey)	T		BUF	Attorney General	T		BUF
Missouri				Utah			
St. Louis Circuit Court	O	ORIG	BUF	Salt Lake City (Salt Lake)	O	ORIG	BUF
(St. Louis)	T			Ogden (Weber)	T	BUF	BUF
Nevada				Provo (Utah)	T	BUF	
Las Vegas (Clark)	O	ORIG	BUF	Virginia			
New Jersey**				Hampton	T**		BUF
Atlantic City (Atlantic)	T*		BUF	Lynchburg	T**	BUF	BUF
(Camden)	O*	NB		Newport News	T**	BUF	BUF
Elizabeth (Union)	T*			Portsmouth	O	BUF	
Freehold (Monmouth)	T*			Virgin Islands			
Hackensack (Bergen)	T*			St. Thomas	T**		BUF
Jersey City (Hudson)	T*			St. Croix	T**	BUF	BUF
Jersey City (Hudson) Court	T*			Washington			
Morristown (Morris)	T*			Seattle U.S. Attorney's Office	T		BUF
Mount Holly (Burlington)	T*			Wisconsin			
Newark (Essex)	T*			Madison (Dane)	T		BUF
Newark U.S. Attorney's Office	O	BUF		(Milwaukee)	O	ORIG	BUF
New Brunswick (Middlesex)	T*			Canada			
New Brunswick (Middlesex) Corrections	T/JIS			Province of Alberta	O		BUF
Paterson (Passaic)	T*			Province of Manitoba	T		BUF
Somerville (Somerset)	T*			Province of New Brunswick	T		BUF
Trenton (Mercer)	T*			Ireland			
Toms River (Ocean)	T*			Dublin Metropolitan Court	T		BUF
New Mexico				Land Register	T		BUF
Albuquerque (Bernalillo)	T		BUF	Scotland			
State Courts	T	ORIG		Procurator Fiscal	T		BUF
New York**				Operational	54		
(Albany)	T*		BUF	In Transfer	116		
The Bronx (Bronx)	T*		ORIG	Planning	108		
Brooklyn (Kings)	T*		ORIG	Total	278		
Buffalo (Erie)	T*		BUF				
Legal Aid Society of New York	T			LEGEND			
Manhattan (New York)	O	ORIG		O — Operational			
New City (Rockland)	T*			T — In Transfer			
New York City Juvenile	T			.. — Incentive Funding			
New York State Attorney General	T**			ORIG — National Priority Program (NPP) Funding			
New York City Department of Law	T			ORIG — Based on original PROMIS. Some users have made major changes for on-line processing.			
(Queens)	T			NB — New On-line PROMIS (nonbuffered)			
Staten Island (Richmond)	T			BUF — New On-line PROMIS (buffered)			
Syracuse (Onondaga)	T*			JIS — Pilot site for On-line Booking and Jail Management system			
White Plains (Westchester)	T*						
Ohio							
Akron (Summit)	T		BUF				
Cleveland Municipal Court	T		BUF				
Oklahoma							
(Tulsa)	T	NB					

SOURCE: PROMIS Newsletter, Vol. 5, Number 2, March 1981; INSLAW, INC.

SECTION II: Offender Statistics - Development and Use

This section of the questionnaire attempts to determine the extent to which the states/SACs are using offender processing statistics in their work and the means by which the offender processing statistics are developed (e.g., aggregate statistics from agency information systems). An attempt was also made to determine questions related to criminal justice processing and the management of a criminal justice system that the states have an interest in addressing and the importance of OBTS (or offender processing statistics) in addressing the questions. Finally, this section was designed to identify the level and classes of analyses actually being performed in the states and the perceived contribution of OBTS to performing the analyses.

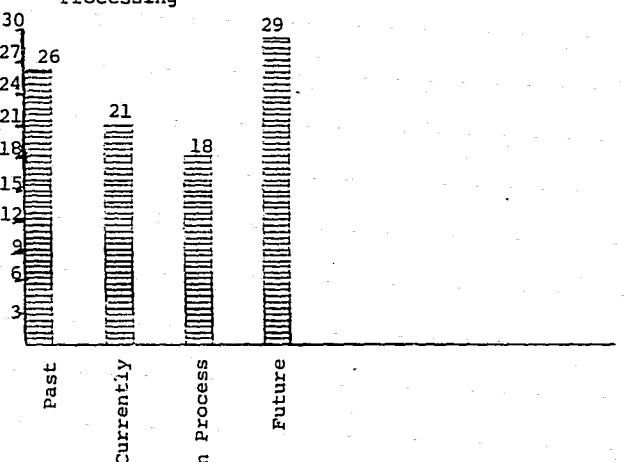
State Use of Various Methods to Generate Offender Processing Statistics - Aggregate Criminal Justice Processing Statistics, Offender Processing Statistics from Manual Files, Merging of Offender Oriented Data Bases

Figure II.1 describes the state use of offender processing statistics by method of generating the statistics (e.g., merging offender oriented data bases). Generally speaking the states use aggregate statistics from various agency information systems to provide a picture of criminal justice processing in their state but do not (at least currently) merge offender oriented data bases or generate offender processing statistics from manual files to any great extent. Specifically, the majority of the states who responded to the survey have in the past (26 states), are currently (21 states), are in the process of (18 states), or plan in the future (29 states) to prepare reports or analyses in which the aggregate statistics from agency information systems are combined to provide an overall picture of criminal justice processing. While differences in the "unit of count" may exist across the data sources, the states do not in general appear to attempt to reconcile these differences other than to discuss data inconsistencies or problems in the narrative (20 states).

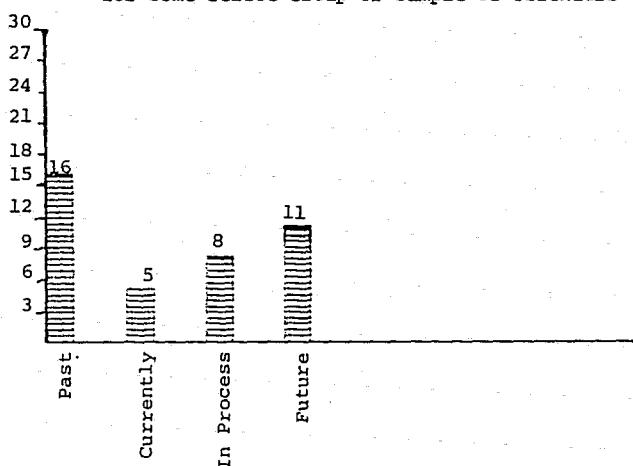
While 16 states have in the past used agency manual files to construct ex post facto "OBTS" records, only 5 are currently doing so, 8 are in the process of doing so, and only 11 plan to do so in the future.

FIGURE II.1: State Use of Offender Processing Statistics Developed by Various Means

- I. Number of States Who Prepare Reports or Analysis in Which the Aggregate Statistics from Several Agency Information Systems are Combined to Provide an Overall Picture of Criminal Justice Processing



- II. Number of States Who Use Various Agency Manual Files to Construct Ex Post Facto "OBTS" Records for Some Select Group or Sample of Offenders



- III. Number of States Who Make an Effort to Link Together The Information on the Same Offender Maintained on Various Agency or Subsystem Data Bases in Order to Create a Unique Offender Tracking Record



The major reasons for using manual files to construct "OBTS" records as indicated by the survey responses are to answer specific questions (e.g., for a special study, 9 states) or to illustrate the OBTS concept (6 states).

While only about 15% of the states who responded to the questionnaire have made any effort in the past to link together the information on the same offender maintained on the various agency or subsystem data bases in order to create a unique offender tracking record, about 21% are in the process of doing so, and 34% plan to do so in the future. The major perceived difficulty in doing so (noted by 12 states in their survey response) is the inconsistent identification numbers for a particular offender processing used by the different components of the criminal justice system.

In spite of the difficulties the states would appear (based on the responses) to find the merging of offender oriented data bases a reliable way of constructing an OBTS data base (15 reliable, 5 not currently reliable, 3 not reliable).

Table II.1 describes the development (by each of the three methods surveyed) and use of offender processing statistics in the states. The results are depicted by state grouping.

As noted, states in Groupings 1, 2 and 3 (i.e., the states who have, or are planning to implement, a statewide OBTS) all have to a

\* In ranking the states development and use of offender processing statistics, the total number of positive responses to each question (e.g., used aggregate statistics in the past, currently, in process or planned) was determined for each grouping of states and divided by the number of states in the grouping. The high (H), medium (M), and low (L) rankings were determined by looking at the range of scores across the groupings and dividing the range into three equally sized groupings (i.e., H = score of 1.49-2.23, M = score of .75-1.48, L = score of 0-.74).

TABLE II.1: Development and Use of Offender Processing Statistics  
in the States by State Grouping

State Grouping	Methods for Development and Use of Offender Processing Statistics		
	Combine Aggregate Statistics from Several Agency Information Systems to Provide an Overall Picture of Criminal Justice Processing	Use Various Agency Manual Files to Construct Ex Post Facto "OBTS" Records for Some Select Group or Sample of Offenders	Make an Effort to Link Together the Information on the Same Offender Maintained on Various Agency or Subsystem Data Bases in Order to Create a Unique Offender Tracking Record
1	H	L	M
2	H	M	M
3	H	M	M
4A	M	M	L
4B	M	L	L
Overall	H	M	M

For each method, the total number of positive responses (e.g., used in the past, currently, in process or planned) was determined for each state grouping and divided by the number of states in the grouping. The resulting weights were then divided into three equally sized categories, i.e., high (H) = score of 1.49-2.23, medium (M) = score of .75-1.48, low (L) = score of 0-.74.

high extent prepared reports or analyses using aggregate processing statistics from agency information systems. States in Grouping 4A and 4B (i.e., the states without an OBTS) have to a medium extent prepared reports or analysis which combined aggregate statistics to provide a picture of criminal justice processing.

While Groupings 1, 2 and 3 have made a medium effort to merge offender oriented data bases, Groupings 4A and 4B have made little to no effort.

Efforts to construct ex post facto "OBTS" records on some group of offenders would appear to be mixed (between the states with an OBTS and without an OBTS). Specifically, Groupings 1 (i.e., states with an OBTS) and 4B (i.e., states without an OBTS) have made little effort to construct ex post facto "OBTS" records on some group of offenders, while states in Groupings 2 and 3 (i.e., states with an OBTS) and 4A (i.e., states without an OBTS) have made a medium effort.

Generally speaking, the states in Grouping 3 (i.e. those states who are taking a by-product approach to OBTS development) have used offender processing statistics more frequently than those in the other state groupings.\* States in Groupings 1, 2, and 3 have used offender processing statistics more frequently than the states in Groupings 4A and 4B, while states in Grouping 4A have used offender processing statistics more frequently than the states in Grouping 4B. In other words, it would appear that states who currently have, or are planning to implement, a statewide OBTS have developed and used offender processing statistics more frequently than states with no plans to implement an OBTS. Of the states with plans for an OBTS, the states who have taken a by-product approach have developed and used offender processing statistics the most frequently. Finally, of the states without an OBTS, the states with a SAC have developed and used offender processing statistics more frequently than the states without a SAC.

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\* While it is not obvious in Table II.1 it would appear, based on the actual scores, that Grouping 3 has used offender processing statistics more frequently than Grouping 2.

### State Interest in Questions on Offender Processing

Table II.2 summarizes the state responses concerning questions on criminal offender processing their state would have an interest in addressing, the importance of OBTS in addressing the questions, and lists other data bases the survey respondents felt were important to addressing the questions.

Generally speaking, the questions that most respondents (more than 85%) felt their state would have an interest in addressing concerned the elapsed time between arrest and trial and the impact of delay in processing on court disposition (44 states), the number of offenders processed through the various components of the system (42 states), how many people released from the system return/how far they will penetrate upon return (41 states) and the cost of processing an offender through the criminal justice system (41 states). Additionally, more than 80% of the respondents felt that their state would be interested in knowing how many offenders corrections should plan for in the future (40 states), how many rearrests occur while persons are active in the system, and how many people are active in the various stages of the criminal justice system at a given point in time (40 states).

The respondents felt that an OBTS file would be of the most importance in addressing questions related to volumes of offenders processed (36 important, 5 somewhat important), the number of people released who subsequently return/how far they penetrate upon return (35 important, 7 somewhat important), the number of people active in the system at various stages (33 important, 7 somewhat important), the number of rearrests that occur while people are active/the stage at which they are active when rearrested (31 important, 10 somewhat important), the elapsed time between arrest and trial and the impact of delay in processing on court disposition (30 important, 11 somewhat important), where the criminal justice system should allocate new resources (27 important, 16 somewhat important) and finally how many offenders corrections should plan for in the future (28 important, 12 somewhat important).

Those questions which at least 40 states (or 85% of the state respondents) were interested in addressing are noted in Table II.2 by a circle around the number of respondents. Similarly, those questions which at least 40 states felt could be better addressed with the aid of an OBTS file (i.e., they felt an OBTS file would be important or

TABLE II.2: Summary of State Responses Concerning the Questions They Felt Their State Would Have an Interest in Addressing, the Importance of OBTS in Addressing the Question and Other Data Bases that are Important to Addressing the Question

QUESTION	Importance of OBTS in Ad- dressing the Question (# of States)	Other Data Bases Important to Addressing the Question		
		Their State Would Have an Interest in Addressing the Question		
		Important	Somewhat Important	Not Important
1. How many criminals are there in your state?	31	26	7	3
2. How many unique persons are arrested in your state in a year?	35	24	12	2
3. What percentage of total arrests are caused by what percentage of the arrestees?	38	28	7	5
4. How many people are active at various stages in the criminal justice system?	39	33	7	1
5. How many people are processed through various components of the system?	42	36	5	3
6. How many people released from various points in the system return (e.g., are subsequently arrested again) and how far do they penetrate the system upon return (e.g., acquitted, convicted and sentenced to imprisonment)?	41	35	7	1
7. How does sentencing vary from jurisdiction to jurisdiction (controlling for defendant characteristics)?	33	22	14	1
8. How many offenders should state corrections plan for in future years? State probation? Local jails?	40	28	12	6
9. How has the processing of offenders (women, youthful, serious) changed over time?	35	23	14	1
10. Where should the criminal justice system allocate new resources (e.g., jails, judgeships, prosecutors)?	42	27	16	2
11. What offenders are better risks for certain types of corrections programs (e.g., community corrections, work release, probation)?	38	25	10	6
12. How many rearrests occur while persons are active in the criminal justice system? At what stage are they active when rearrested?	40	31	10	2
13. What is the time between arrest and trial? What is the impact of delay in processing on court disposition?	44	30	11	5
14. What does it cost to process a person through the criminal justice system? For various offenses? For various dispositional alternatives?	41	18	20	5
15. What comparisons can be made between offender volumes through the system and the corresponding costs of processing?	34	12	21	3

( ) = Questions that at least 85% of the respondents felt their state would have an interest in addressing

( ) = At least 85% of the respondents felt OBTS would be important or somewhat important to addressing the question

( ) = % of respondents who felt the data base referenced was important to addressing the question

somewhat important to addressing the question) are noted in Table II.2 by a box around the number of respondents. Generally speaking, the questions the states were most interested in addressing (questions are listed above in the narrative) are the same questions the respondents felt an OBTS file would be most important to addressing.

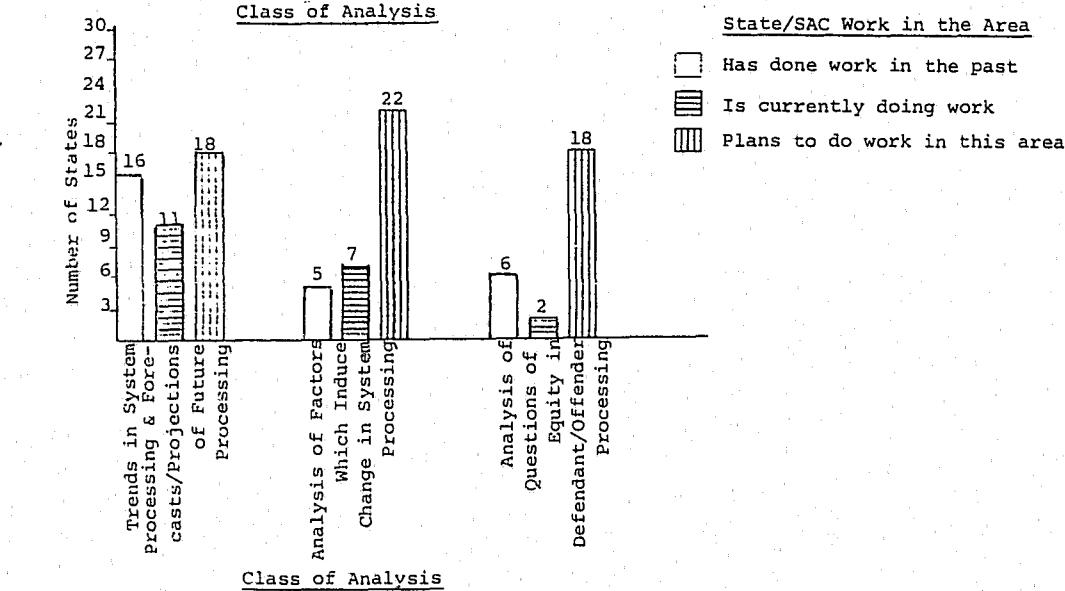
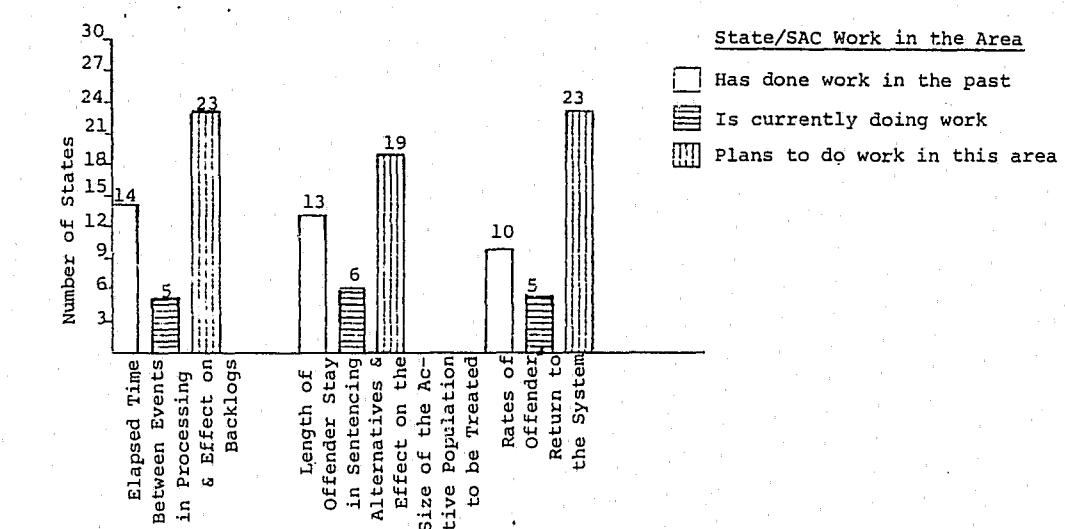
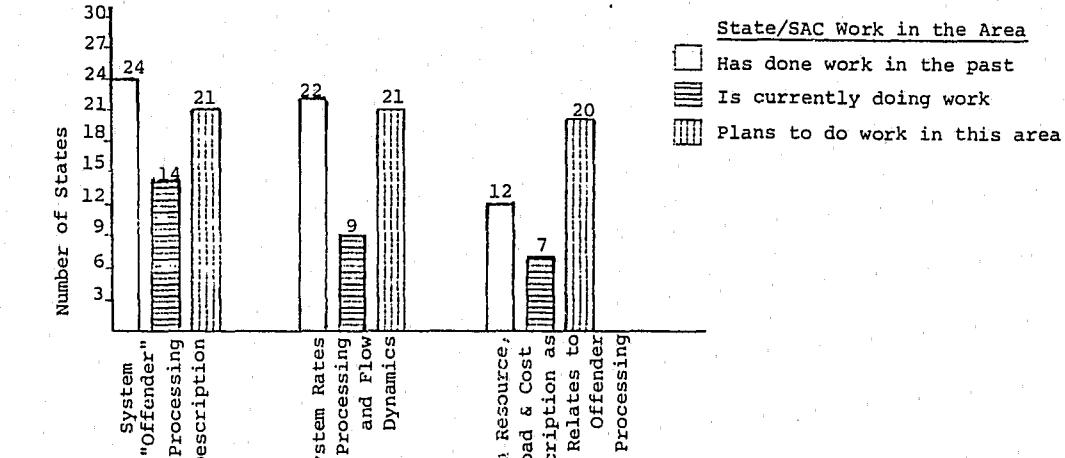
#### State Development of Capability to Perform Certain Classes of Analysis

As stated previously, this section of the survey also attempted to determine the extent to which the states are developing the capacity to perform some broad areas or classes of analysis. Figure II.2 displays the extent to which the states/SACs are performing these types of analyses. For each class of analysis, the number of states who have done work in the area in the past, the number who are currently doing work in the area, and the number of states who plan to do work in the area in the future are displayed.

Generally speaking, the areas of analysis which appear to provide the most utility to the states (based on the number of states who have done work in the area in the past and the number who are currently doing work in the area) are providing system "offender" processing descriptions (24 states have done this in the past, 14 are currently doing it) and system rates of processing (22 past, 9 currently) followed to a lesser extent by providing trends in system processing and forecasts/projections of future processing (16 past, 11 currently), providing a system resource, workload and cost description as it relates to offender processing (12 past, 7 currently), analysis of elapsed time between events in processing and the effect on backlogs (14 past, 5 currently), analysis of length of offender stay in various sentencing alternatives (13 past, 6 currently), and analysis of offender return to the system (10 past, 5 currently). The classes of analysis least looked at by the states concern analysis of factors which induce change in system processing (5 past, 7 currently) and analysis of questions of equity in defendant/offender processing (6 past, 2 currently).

In the future, the state respondents plan to analyze elapsed time between events in processing (23 states), rates of offender return to the system (23 states), and factors which induce change in system processing (22 states), as well as provide a system "offender" processing description (21 states), and a system resource, workload, and cost description as it relates to offender processing (20 states).

FIGURE II.2: Extent to Which the States/SACs are Performing, or Developing the Capacity to Perform Certain Types of Analysis



Lastly, the states plan to describe trends in system processing and forecasts/projections of future processing (18 states), analyze the length of offender stay in sentencing alternatives (19 states) and analyze questions of equity in defendant/offender processing (18 states).

Table II.3 compares the extent to which the states in different state groupings are developing the capacity to perform the above types of analyses. A weight was developed for each state grouping based on the extent to which the states in the grouping performed the type of analysis in the past, are currently performing the type of analysis, or plan in the future to do work in the area.\*

Generally speaking, states in Groupings 1, 2, and 3 (i.e., the states who are developing an OBTS capability) would appear to have done more or are developing the capacity to perform these types of analysis to a greater extent than the states in Groupings 4A and 4B (i.e., the states with no OBTS capability) with emphasis primarily being placed on providing system "offender" processing descriptions, system rates of processing and flow dynamics, rates of "offender" return to the system and trends in system processing, forecasts/projections of future processing, and analyses of elapsed time between events in processing.

Table II.4 compares the perceived impact across the state groupings that a state OBTS would have on the development of the capacity to perform certain types of analysis. In general, states in Groupings 1, 2, and 3 (i.e., states developing an OBTS capability) rated the impact that a state OBTS would have on the development of the capacity to perform certain types of analysis higher than the states without an OBTS capability (states in Groupings 4A and 4B).

\*The total number of positive responses to each question (e.g., have in the past, are currently, plan in the future) was determined for each grouping of states and divided by the number of states in the grouping. The resulting weights were then divided into three equally sized categories, i.e. high (H) = weights of 1.31-1.95, medium (M) = weights of .66-1.30, low (L) = weights of 0-.65.

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Types of Analysis by State Grouping

State Grouping	CLASS OF ANALYSIS				
	System "Offender" Processing Description	System Rates of Processing and Flow Dynamics	System Resource, Workload and Cost Description as it Relates to Offender Processing	Elapsed Time Between Events in Processing & Effect on Backlogs	Length of Offender Stay in Various Sentencing Alternatives & Effect on the Size of the Active Population to be Treated
1	H	H	M	M	M
2	H	M	M	M	M
3	M	M	M	M	M
4A	M	M	M	M	L
4B	M	M	L	L	L
TOTAL	M	M	M	M	M

For Each class of analysis, a weight of 1 was assigned to each respondent that indicated they did this in the past. Similarly, weights of 1 were assigned to each respondent that indicated they were currently doing work in the area or planned to in the future. A cumulative score was then determined for each grouping of states and divided by the number of states in the grouping. The resulting weights were then divided into three equally sized categories, i.e., high (H) = scores of 1.31-1.95, medium (M) = scores of .66-1.30, low (L) = scores of 0-.65.

TABLE II.4: Impact that a State OBTS Would Have on the Development of the Capacity to Perform Certain Types of Analyses by State Grouping

State Grouping	CLASS OF ANALYSIS								
	System "Offender" Processing Description	System Rates of Processing and Flow Dynamics	System Resource, Workload and Cost Description as it Relates to Offender Processing	Elapsed Time Between Events in Processing & Effect on Backlogs	Length of Offender Stay in Various Sentencing Alternatives & Effect on the Size of the Active Population to be Treated	Rates of "Offender" Return to the System	Trends in System Processing & Forecasting/Projections of Future Processing	Analysis of Factors Which Induce Change in System Processing	Analysis of Questions of Equity in Defendant/Offender Processing
1	H	H	M	H	M	M	M	M	M
2	M/H	H	M	M	M	M/H	M	M	M
3	H	H	M	M	M	M	M	M	M
4A	M	M	M	M	M	M	M	M	L
4B	L	M	M	M	M	M	L	M	L
TOTAL	M	M	M	M	M	M	M	M	L

A weight of 2 was assigned to a respondent that indicated that OBTS would enhance the capacity building in the state and a weight of 1 was assigned to a respondent that indicated OBTS would somewhat enhance the capacity building in the state. The cumulative score was then determined for each state grouping and divided by the number of states in the grouping. The resulting weights were then divided into three equally sized categories i.e., high (H) = weights of 1.68-2.50, medium (M) = weights of .84-1.67 and low (L) = weights of 0-.83.

#### Relationship Between Questions on Offender Processing and Classes of Analysis

Table II.5 presents some recommended frameworks for the organization and representation of offender processing statistics that can assist in addressing the questions on criminal offender processing. Essentially, the frameworks presented are the major classes of analysis discussed above (e.g., offender processing flows and stocks). For each question on criminal justice processing, the relevant frameworks for organizing and representing offender processing statistics that can assist in addressing the question are marked. For example, if one was interested in determining how many people are active at various stages in the criminal justice system it might be appropriate to consider offender processing flows and stocks, the elapsed time between events in processing and its impact on processing stocks, and the length of sentence/duration of stay of offenders in varying sentence alternatives and its impact on corrections stocks. Similarly, structured displays depicting offender processing flows and stocks, length of sentence/duration of stay of offenders in various sentencing alternatives as well as projections of future processing, could assist in estimating how many offenders a state corrections department should plan for in future years.

#### Analytic Models Useful for Display of OBTS

The types of analytic techniques the respondents felt would be of the most help in better managing OBTS data for purposes of display and use included forecasting and arrest-demographic/prison population projection techniques (6 states), simulation/queueing models (5 states) and computer graphics (3 states).

Over 90% of the state respondents felt that the degree of emphasis placed on identifying, documenting and disseminating information on specific analytic techniques or frameworks for managing and displaying OBTS and related data should be increased (74%) or remain about the same (17%).

Additionally, they felt the best method for improving the awareness of analytic techniques in support of OBTS is the preparation of specific analytic technique packages which describe the technique, the data requirements, and the outputs to be obtained (36 states high emphasis, 5 states medium emphasis) followed by documenting and preparing for dissemination information on actual computer programs that

TABLE II.5: Frameworks for the Organization and Representation of Offender Processing Statistics that can Assist in Addressing the Question

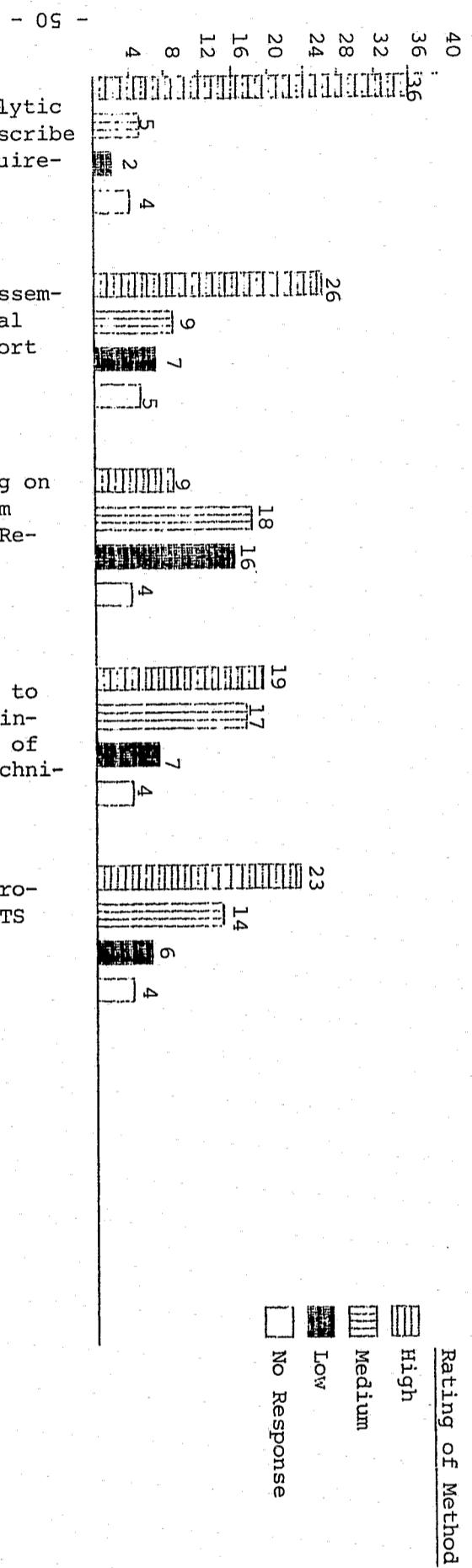
QUESTION	Frameworks for the Organization and Representation of Offender Processing Statistics in Support of Analysis					
	Offender Processing Flows and Stocks	Elapsed Time Between Events in Processing & Impact on Processing Stocks	Length of Sentence, Duration of Stay, & Impact on Corrections Stocks	System Resources & Costs Associated with Offender Processing	Rates of System Return	Projections of Future Processing
1. How many criminals are there in your state?	x		x		x	
2. How many unique persons are arrested in your state in a year?	x				x	
3. What percentage of total arrests are caused by what percentage of the arrestees?	x				x	
4. How many people are active at various stages in the criminal justice system?	x	x	x			
5. How many people are processed through various components of the system?	x					
6. How many people released from various points in the system return (e.g., are subsequently arrested again) and how far do they penetrate the system upon return (e.g., acquitted, convicted and sentenced to imprisonment)?	x				x	
7. How does sentencing vary from jurisdiction to jurisdiction (controlling for defendant characteristics)?	x		x			
8. How many offenders should state corrections plan for in future years? State probation? Local jails?	x		-	x		x
9. How has the processing of offenders (women, youthful, serious) changed over time?	x		x			
10. Where should the criminal justice system allocate new resources (e.g., jails, judgeships, prosecutors)?	x	x	x	x		x
11. What offenders are better risks for certain types of corrections programs (e.g., community corrections, work release, probation)?					x	
12. How many rearrests occur while persons are active in the criminal justice system? At what stage are they active when rearrested?	x				x	
13. What is the time between arrest and trial? What is the impact of delay in processing on court disposition?	x	x				
14. What does it cost to process a person through the criminal justice system? For various offenses? For various dispositional alternatives?	x		x	x		
15. What comparisons can be made between offender volumes through the system and the corresponding costs of processing?	x			x		

support the techniques (26 states high emphasis, 9 states medium emphasis). Next the respondents felt that seminars/training programs regarding specific OBTS analytic methodologies should be conducted (23 states high emphasis, 14 states medium emphasis). Of less interest to the respondents was the identification of and access to national resources which maintain expertise in the state of the art of OBTS analytic techniques and methodologies (19 states high emphasis, 17 states medium emphasis) and lastly having programs of interest operating on the Michigan Terminal System (e.g., unsupported file) where they can be accessed remotely via terminal (9 states high emphasis, 18 states medium emphasis, 15 states low emphasis). Figure II.3 displays these results.

#### Issues or Concerns in the States Where Offender Statistics Have Played a Role in Formulating Policy Recommendations

According to the survey responses, the major issues where offender statistics have played a role in formulating policy recommendations in a state concern prison overcrowding and/or the preparation of a corrections Master Plan (14 states), the effect and/or establishment of mandatory sentencing guidelines, plea bargaining or parole guidelines (14 states) followed by analysis of the effect of legislative changes in sentences for specific crimes and/or the establishment of a new criminal code (7 states), identification of problems, bottlenecks in criminal justice offender processing through system description (5 states), and court delay/backlog measurement/analysis of speedy trial legislation (5 states).

FIGURE II.3: State Rating of Certain Methods for Improving the Awareness of Analytic Techniques in Support of OBTS



- Preparation of Specific Analytic Technique Packages Which Describe the Technique, the Data Requirements and the Outputs
- Document and Prepare for Dissemination Information on Actual Computer Programs that Support the Technique
- Have Such Programs Operating on the Michigan Terminal System Where They can be Accessed Remotely via Terminal
- Identify and Provide Access to National Resources Which Maintain Expertise in the State of the Art of OBTS Analytic Techniques and Methodologies
- Conduct Seminars/Training Programs Regarding Specific OBTS Analytic Methodologies

Method for Improving Awareness of Analytic Techniques

PART II: OFFENDER BASED TRANSACTION STATISTICS (OBTS)

SYSTEM DEVELOPMENT IN THE STATES

The remaining sections of the questionnaire dealt specifically with the types of OBTS systems being developed and were only applicable and completed by those states with an OBTS in the planning, design, development, implementation or operational stage. Due to the "uniqueness" of most state OBTS systems and the varying stages of development both within (e.g., of the data segments of an individual OBTS) and across the states very little commentary is provided on the survey responses.

In general, the responses from each state are displayed with the states arranged according to the broad type of OBTS system being developed. The three broad types of OBTS systems used to categorize the states are as stated previously a form driven CCH with OBTS extracted from CCH (Grouping 1); OBTS data extracted from CCH with CCH data submitted both manually and by direct terminal entry (Grouping 2); OBTS as a by-product of agency management information systems (Grouping 3). Only overall summaries of the results are given, no comparisons across the state groupings are made.

It should be noted that some states may not be developing an OBTS "system" per se but are developing offender oriented data bases which will provide both operational and statistical information on offender processing. The data bases are maintained separately by the appropriate agencies (e.g., courts, corrections). If necessary, an offender can be tracked from one system to another via numbers common to each system (e.g., warrant #'s) but in general a separate data base of just offender tracking data generated from the individual component systems (e.g., state court system, state corrections system) is not maintained and updated on a regular basis. The respondents' answers for these states refer to the separate component systems being maintained.

SECTION III: Stage of Development of Offender Based Transaction Statistics (OBTS)

Table III.1 displays the stage of development of OBTS nationwide by data segment (e.g., police, courts, corrections). As indicated in the table, the data segments of a state OBTS may be at different stages of development. Additionally, it should be noted that while a state may have indicated a particular segment of their system was operational the link or tie in to OBTS may not be established.

Specifically, the survey results indicated that of the 31 states developing an OBTS capability, 17 have an operational police identification/fingerprint segment, 18 have an operational arrest-charge police disposition segment, 10 have an operational prosecutor segment, 17 have an operational court segment, 16 states indicated their state custody/parole segment was operational, 5 have an operational local custody segment and 9 states have an operational probation segment.

#### SECTION IV: Manner of Reporting OBTS

This section of the survey looks at the manner of reporting each of the OBTS data element segments (i.e., police, prosecutor, courts, corrections) across the states, as well as identifies the agencies responsible for reporting each of the data segments. The primary means of reporting are directly to the state OBTS via a prescribed form, directly via terminal entry and as a by-product of agency management information systems which support applications in addition to the state OBTS/CCH.

The manner of reporting OBTS data was, as stated previously, the means for determining the state groupings. States in Grouping 1 are those states where data is primarily reported directly to the state OBTS via a prescribed form. States in Grouping 2 are those states where data is reported to the state OBTS primarily via terminal entry. Finally, states in Grouping 3 are those states where OBTS data is primarily reported as a by-product of agency management information systems which support applications in addition to the state OBTS/CCH. Table IV.1 summarizes the manner by which each state reports OBTS data.

Generally speaking, the principal means of reporting data to the state OBTS both currently and planned, would appear to be via prescribed form for the police, prosecutor and court segments. Direct terminal entry would appear to currently be the second most frequent means of reporting police and prosecutor segment data while the second most frequent means of reporting court data is as a by-product of a court MIS. The corrections segment data and, in particular state custody/parole data, is similarly reported at the present (i.e., 8 states report state custody/parole data by form, 5 directly via terminal entry and 6 as a by-product of an agency MIS). However, more states report corrections segment data (and in particular state custody/parole data) by either direct terminal entry or as a by-product of an agency MIS more frequently than the other OBTS data block segments (i.e., police, prosecutor, courts).

TABLE III.1: STAGE OF DEVELOPMENT OF OBTS BY DATA SEGMENT

States	POLICE SEGMENT		Prosecutor	Court <sup>a</sup>	CORRECTIONS SEGMENT		
	ID/Finger-print	Arrest			State Custody/ Parole	Local Custody	Probation
1. California	Operational	Operational	Operational	Operational	Planning	Planning	Planning
Georgia	Operational	Operational	Development	Development	Development	Development	Development
Illinois	Operational	Operational	Operational	Operational	Operational	Operational	Operational
Iowa	Implementation	Implementation	Implementation	Implementation	Operational	Planning	Planning
Michigan	Operational	Design	Design	Operational	Operational	Operational	No Plans
Nebraska	Planning	Planning	Planning	Planning	No Plans	No Plans	No Plans
New Jersey	Operational	Operational	Operational	Operational	Operational	Operational	Operational
Ohio	Operational	No Plans	Operational	Operational	Operational	No Plans	Planning
Oregon	Operational	Operational	Operational	Operational	Operational	Operational	Operational
Utah	Operational	Operational	Operational	Operational	Operational	Operational	Operational
Virginia	Operational	Operational	Operational	Operational	No Plans	Operational	Operational
Wisconsin	Operational	Operational	Operational	Planning	N/A	Operational	Operational
Wyoming	Implementation	Implementation	Implementation	Implementation	Implementation	Implementation	Development
2. Arizona	Implementation	Implementation	Implementation	Implementation	Implementation	Implementation	Implementation
Colorado	Operational	Operational	Operational	Operational	Operational	Planning	Planning
Connecticut	Implementation	No Plans	Development	Implementation	N/A	Implementation	Implementation
Delaware	Operational	Development	Des/Dev	Development	N/A	Development	Development
Hawaii	Operational	Operational	Operational	Operational	Operational	Operational	Operational
Massachusetts	Planning	Planning	Planning	Planning	Planning	Planning	Planning
New Mexico	Planning	Planning	Design	Operational	Planning	Design	Design
New York	Operational	Planning	Operational	Operational	No Plans	Operational	Operational
Oklahoma	Operational	Operational	Operational	Implementation	No Plans	Planning	Planning
3. Arkansas	Operational	Planning	Operational	Operational	Operational	Design	Design
DC	Design	Design	Operational	Operational	Operational	Development	Development
Kansas	Operational	Implementation	Planning	Implementation	Planning	Planning	Planning
Maine	Planning	Planning	Planning	Development	Planning	Planning	Planning
Maryland	Design	Design	Operational	Planning	Planning	Planning	Planning
Minnesota	Operational	Operational	Operational	Operational	Operational	Operational	Operational
Pennsylvania	Planning	Planning	No Plans	Operational	Operational	Operational	Operational
Rhode Island	Design	Planning	Plan/Des	Planning	No Plans	Planning	Planning
South Carolina	Operational	Design	Des/Oper	Operational	Planning	Planning	Operational

Some states have separate data element segments for their lower and upper courts. Other states either have only one trial court or only include upper court dispositions on their OBTS file. For this table the responses on the stages of development for lower and upper court are listed under the broader category "court". If a state specified different stages of development for their lower and upper courts it is noted in the table as lower court stage of development/upper court stage of development.

SOURCE: Questionnaire on OBTS administered by the CJSB in September, 1980 (see Appendix A - Question 17).

TABLE IV.1: MANNER OF REPORTING OBTS

States	DIRECTLY TO STATE OBTS VIA PRESCRIBED FORM					DIRECTLY VIA TERMINAL ENTRY					BY-PRODUCT OF AGENCY MIS WHICH SUPPORTS APPLICATIONS IN ADDITION TO STATE OBTS/CCH									
	POLICE		CORRECTIONS			POLICE		CORRECTIONS			POLICE		CORRECTIONS							
	ID/FINGER	ARREST	PROSECUTOR	COURT	STATE CUST/ PAROLE	LOCAL CUSTODY	ID/FINGER	ARREST	PROSECUTOR	COURT	STATE CUST/ PAROLE	LOCAL CUSTODY	ID/FINGER	ARREST	PROSECUTOR	COURT	STATE CUST/ PAROLE	LOCAL CUSTODY	PROBATION	
1. California	C	C	C	C	—	NA	—													
Georgia	C	C	P	I	I	I														
Illinois	C	C	C	C	C	C														
Iowa	C	C	C	C																
Michigan	C	C	P	P	C															
Nebraska	C	C	C	C	C	P	I													
New Jersey	C	C	C	C	C	C	C													
Ohio	C	C	C	C																
Oregon	C	C	C	C	C	C														
Utah	C	C	C	C																
Virginia	C	C	C	C																
Wisconsin	C	C	C	C	C	C														
Wyoming	C	C	C	C	P	I	P	P	P	P	I		C	I						
2. Arizona							I	I	I	I	I	I								
Colorado	C	C	C					I	C	P	C	C	P							
Connecticut								I	I	P	I	NA	I							
Delaware								C	C	I	I	I	I							
Hawaii			C				C	C	C	C	C	C								
Massachusetts	P	P	P	P				P	P	P	P	P	P							
New Mexico								P	P	P	P									
New York	C	C	C	C	C		P	C	C	C			P	C	P	C				
Oklahoma	C	C	C	C				C	C				C		C					
3. Arkansas													I	I	C	C	C			
DC														P	P	C	P			
Kansas			P	P	P	I														
Maine			P	P	P		P	P	P	P						P	P	P		
Maryland													P	P	C,I	P	P	P		
Minnesota	C						C	C					C	C	C	C				
Pennsylvania	P	P	NA				I	I	I	I	I	I		C	I	I	I	I		
Rhode Island <sup>b</sup>	C	C	I	C		P	C	I	I	I	I	I	I	C	C	P	C			
South Carolina																				

<sup>a</sup>Data for the corrections segment is maintained separately on a state level OBSCIS file.<sup>b</sup>Rhode Island and Maine were placed in Grouping 3 (instead of Grouping 2) since it appeared that OBTS data would eventually be derived at least in part as a by-product of agency management information systems.

C = Currently

P = Planned

I = In Process

N/A = Not Applicable

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - Question 8).

The survey results further indicated that local arresting agencies/police departments are responsible for reporting police segment data to the state OBTS (or CCH, if the same). Court clerks are generally responsible for reporting court disposition data. (In a few states, the prosecutor or state's attorney's office has the responsibility for reporting court disposition data.) Corrections segment data is generally reported by the state department of corrections and/or division of parole/probation.

## SECTION V: OBTS Tracking Mechanism and Tracking Accounting Unit

In this section of the survey the respondents were asked to briefly describe the tracking mechanism which enables the data element segments (i.e., police, prosecutor, lower court, upper court, corrections) associated with a given offender processing\* in their state to be linked together. Based on the responses, the types of tracking mechanisms used were categorized in the following manner: one form with a unique tracking number which is used by all agencies processing the offender (i.e., the form actually follows an offender through the system), several agency-specific forms which can be uniquely linked (e.g., appropriate numbers transferred from form to form), each component uses the same arrest-specific number in their files (e.g., each component has the warrant number on their files), use of the state identification number (SID number which uniquely identifies an individual but not necessarily a specific arrest associated with an individual) and/or a combination of SID number and other identifiers. In several states, no real tracking mechanism exists, in which case the available information is used to link the stages of an offender's processing and/or the responsible individuals will manually link the data segments based on available information.

The states were also asked to identify the tracking accounting unit being used on their OBTS file, or in other words, they were asked to identify the way(s) in which the charges formally alleged against an individual at arrest would be recorded on the reporting forms (or medium) used for OBTS. Table V.1 summarizes the types of OBTS tracking mechanisms and tracking accounting units being used in the states.

\*By offender processing is meant the set of related events typically starting with arrest and following through court disposition and where convicted sentence which are reported and linked together for a specific offender.

TABLE V.1: OBTS TRACKING MECHANISM AND OBTS TRACKING ACCOUNT UNIT

States	OBTS TRACKING MECHANISM					OBTS ACCOUNT UNIT			
	One Form w/ Common Tracking # Used By All Agencies <sup>a</sup>	Agency-Specific Forms w/ Ability To Link Successive Forms - e.g., #'s Transferred	Each Component Uses Same Arrest Specific #, e.g.: Warrant #	SID #/Combination of SID # and Other Identifiers	No Real Link/Use Available Information/Manually Link	Identifiers Available to Link Prior (or Future) Processing on the Same Offender	Offender-Arrest	Offense	Charge
1. California	x					Currently	x		
Georgia	x					Currently	x		
Illinois		x				Currently	x		
Iowa	x					Planned	x		
Michigan		x				Currently		x	
Nebraska	NA					Currently	x		
New Jersey	x					Currently	x	x	
Ohio		x				Currently	x		
Oregon	x					Currently	x		
Utah	x					Currently	x		
Virginia	x					Currently		x	
Wisconsin		x				Currently		x	
Wyoming	x					Currently	x		
2. Arizona		x				Planned	x		
Colorado		x				Currently	x	x	
Connecticut		x				NR	x		
Delaware		x				Currently	x	x	
Hawaii	x					Currently	x	x	
Massachusetts	x					Planned	x		
New Mexico	NA					NO	x		
New York	x					Currently	x		
Oklahoma	x					Currently		x	
3. Arkansas		x				NO		x	
DC	NA					Currently	x		
Kansas		x				Currently	x		
Maine		x				In Process		x	
Maryland		x				Currently	x	x	
Minnesota	x					NO	x		
Pennsylvania	x					Currently	x		
Rhode Island	NA					In Process	x		
South Carolina	x					Planned	x	x	x

NA = Not Applicable

NR = No Response

<sup>a</sup>May not include tracking through the state corrections component.

SOURCE: Questionnaire on OBTS administered by the CJS in September, 1980 (see Appendix A - Questions 20, 21 &amp; 23).

OBTS Tracking Mechanism

As noted in Table V.1, of the 31 states with, or planning an OBTS, only 51% (or 16 states) appear to have a tracking mechanism whereby each component uses the same number to refer to an offender-arrest processing. The means of offender tracking in these states are through the use of: a form with a unique processing number which follows the offender; a series of forms which can be linked (through transfer of appropriate identification numbers) to form a complete offender-arrest tracking; or a common number (e.g., warrant #) which is maintained by each of the agencies in their separate files and refers to a specific offender-arrest tracking. Approximately 26% of the states (i.e., 8 states) rely on either the state identification number (SID) used to identify unique offenders (but may not necessarily distinguish offender arrests) or some combination of name, date of birth, date of arrest, SID and other identifiers to aid in forming a complete offender arrest tracking. Approximately 10% of the states (i.e., 3 states) indicated there was no official mechanism that enabled the data element segments associated with a given offender processing to be linked and that linkages were primarily made on a manual basis. The remaining four states indicated that the question was not applicable or that they could not respond.

In conjunction with the above and as indicated in Figure V.1 almost half (48%) of the OBTS respondents indicated that they had experienced difficulties linking together the data element segments associated with a given offender processing. States in groupings 2 and 3 (states where OBTS is extracted from CCH and reporting to CCH is a mixture of forms, direct terminal entry, or computer to computer link (Grouping 2) and states where OBTS is a by-product of agency MIS systems (Grouping 3) appear to have experienced the most difficulty.

Table V.1 also indicates whether or not identifiers are available (or are planned) to link prior (or future) processing on the same offender. Specifically, about three-fourths of the

thirty-one states developing an OBTS capability, indicated that identifiers were currently available (or were in process) that enable a given processing for an offender to be linked to prior (or future) processings on the same offender and thus form a criminal history record. The survey results further indicated, however, that almost half (48%) of the 31 states had experienced difficulty in linking the multiple trackings associated with the same offender. Figure V.2 displays by state grouping the level of difficulty experienced by the states in linking the multiple trackings associated with the same offender.

#### OBTS Tracking Accounting Unit

The majority of the states (19 out of 31) use an offender-arrest accounting unit for their OBTS system. That is, one reporting form (or medium) would be completed which includes all the charges placed against an individual as the result of a particular arrest. The remainder of the states use a charge accounting system where separate forms (or medium) are completed for each charge (4 states); an offense-incident accounting system where all the charges related to a crime incident resulting from a particular arrest would be reported on the same form (or medium) (2 states); or a combination of offender-offense, offender-charge or offender-offense-charge accounting systems (6 states).

FIGURE V.1: Difficulty Experienced By The States In Linking Together The Data Element Segments Associated With A Given Offender Processing

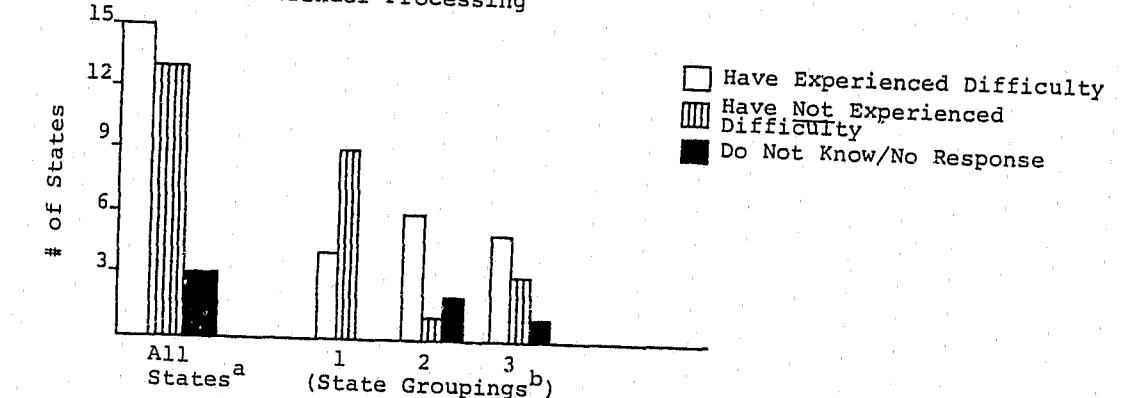
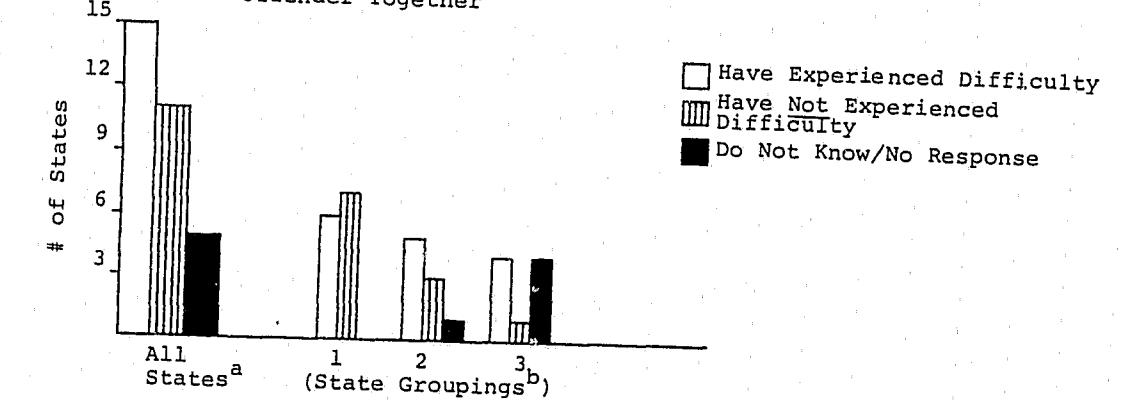


FIGURE V.2: Difficulty Experienced By The States In Linking Multiple Trackings Associated With The Same Offender Together



<sup>a</sup>Based on Responses from the 31 states who indicated they had, or were planning to implement a state-wide OBTS.

<sup>b</sup>The 31 states developing an OBTS capability were classified into groupings based on the approach they are taking to OBTS development. Grouping 1 represents those states where OBTS is being extracted from a CCH system and reporting to the CCH is via forms; Grouping 2 represents those states where reporting to the OBTS is a mixture of forms and direct terminal entry; Grouping 3 represents those states where OBTS is a by-product of agency management information systems.

SOURCE: Survey on OBTS administered by the CJSA in September, 1980  
(see Appendix A - Question 22).

## SECTION VI: OBTS Charge, Offense and Disposition Information

This section of the survey was designed to determine the level of detail of the charge and disposition information being maintained on the state OBTS files. Specifically, an attempt was made to determine if all charges at various points in processing are being reported or only the most serious charge; if the respective court dispositions are reported and maintained for each charge in those instances where all charges for a given offender processing are maintained; and the points or stages in an offender's processing at which the charge(s) are reported. Additionally, an attempt was made to determine the types of offenses included in the state OBTS files (e.g., only finger-printed felony level, all felony level) as well as the types of dispositions (e.g., police disposition, grand jury disposition of no true bill).

### Charge and Disposition Tracking

Table VI.1 describes the level of detail of the charge information (e.g., all charges) included on the state OBTS files and the stages at which the charges (or most serious charge) are reported. As noted in Table VI.1, 14 (or 45%) of the states with an OBTS currently include information on all charges at one or more points in the offender's processing in their OBTS file. In nine of the states only information on the most serious charge is included in their OBTS file because either only the most serious charge is reported (5 states) or only the most serious charge is selected for inclusion although all charges are reported (4 states). The remaining states (8 states) indicated that they plan to include all charges at one or more points in processing in their OBTS file even though they may currently be collecting information only on the most serious charge.

While not noted in Table VI.1, the survey results further indicated that in general, where an OBTS file includes information on all charges for a given offender processing, the

TABLE VI.1: OBTS CHARGE INFORMATION - CHARGE(S) INCLUDED IN FILE: STAGES AT WHICH CHARGE(S) ARE REPORTED

States	FOR A GIVEN OFFENDER PROCESSING OBTS FILE INCLUDES INFORMATION ON:			CHARGES ARE REPORTED AT THE FOLLOWING STAGES:										
	All Charges at one or more Points in an Offender's Processing	Only the Most Serious Charge at One or More Points in the Offender's Processing	Other	Arrest	Prosecutor Filing	Prosecutor Disposition	Court Filing	Final Court Disposition	Court Sentence	Other Court (e.g. Preliminary Hearing)	Corrections Entry	Other Corrections (e.g. Prison Release)	All stages till Final Disposition is Reached	Other
1. California	P	C		x				x						
Georgia	P			x			x	x		x				
Illinois	C-CCH	C-OBTS		x	x		x			x				
Iowa	C-CCH	C-OBTS		x				x						
Michigan		C		x										
Nebraska	P											x		
New Jersey	C	C		x	x	x	x							
Ohio	C			x										
Oregon	C-CCH	C-OBTS		x		x								
Utah	C			x		x	x		x					
Virginia	C			x			x							
Wisconsin	C			x			x			x				
Wyoming	C			x		x	x	x		x				
2. Arizona		P		x										
Colorado	C			x		x	x			x				
Connecticut	C			x		x								
Delaware	P	C		x		x	x	x		x				
Hawaii	C			x	x	x	x		x	x	x			
Massachusetts	P										x			
New Mexico	P									xa				
New York	C			x		x	x	x		x	x			
Oklahoma	C			x	x		x							
3. Arkansas		C										x		
DC	C													
Kansas	P			x		x	x			x				
Maine	P			x		x	x							
Maryland		C					x							
Minnesota	C					x		x						
Pennsylvania	C			x		x	x			x				
Rhode Island	P											x		
South Carolina	C													

<sup>a</sup>Only the state corrections component of the OBTS in New Mexico is currently operational.

C = Currently

P = Planned

SOURCE: Questionnaire on OBTS administered by the CJS in September, 1980. (see Appendix A - questions 24&27).

respective court disposition is reported and maintained for each charge to the extent possible.

Finally, as noted in Table VI.1, the state OBTS files in general include the charges leveled against the offender at the arrest stage (25 states), the prosecutor or court filing stage (19 states), the final disposition stage (20 states) and, to a somewhat lesser extent, the corrections entry stage (14 states).

Table VI.2 indicates whether or not the state OBTS data collection instruments include the NCIC\* code for the charge offense(s) at arrest and final court disposition. As noted in this table, approximately 68% of the state OBTS files include the NCIC\* code for the charged offenses at arrest or have a table lookup which provides a crosswalk between the state charge codes and the corresponding NCIC code. Similarly, 68% of the state OBTS files (not necessarily representative of the same states as above) include the NCIC code for the charge offenses at final court disposition or have a table lookup which provides a crosswalk.

#### Offenses Reported

Table VI.3 lists the types of offenses included in state level OBTS files as well as indicates whether or not specific types of offenses are excluded from the state OBTS files. As noted, about half of the states currently or are planning to include information only on fingerprinted felony offenses (which may in some instances be all felony level offenses) in their OBTS files. The remaining states include (or are planning to include) information on all felony level offenses via arrest and/or indictment in their OBTS files.

About 80% of the state OBTS files would appear to include some information on misdemeanors either currently or planned, with more than half of these states only accepting finger-printed misdemeanor level offenses.

Almost two-thirds of the state respondents indicated specific types of offenses were excluded from their state's

\* NCIC (National Crime Identification Code) - Standardized coding system for crime types

TABLE VI.2: INCLUSION OF NCIC CODES ON STATE OBTS FILES

States	OBTS Includes the NCIC Code for the Charge Offense(s):							
	At Arrest				At Final Court Disposition			
	Yes	No, But a Table Lookup Exists to Provide Crosswalk	No	Unknown/NR	Yes	No, But a Table Lookup Exists to Provide Crosswalk	No	Unknown/NR
1. California	X		X		X		X	
Georgia	X				X			
Illinois		X			X			
Iowa	X				X			
Michigan		X			X			
Nebraska			X			X		
New Jersey	X				X			
Ohio	X				X			
Oregon		X			X			
Utah	X				X			
Virginia	X				X			
Wisconsin	X					X		
Wyoming		X			X			
2. Arizona	X				X			
Colorado	X					X		
Connecticut				X		X		
Delaware			X	X				
Hawaii			X			X		
Massachusetts			X	X				
New Mexico			X	X				
New York	X				X			
Oklahoma		X			X			
3. Arkansas		X			X			
DC			X			X		
Kansas	X				X			
Maine				X				
Maryland			X	X				
Minnesota	X			X				
Pennsylvania		X			X			
Rhode Island	X					X		
South Carolina		X			X			

NR = No Response

SOURCE: Questionnaire on OBTS administered by the CJS in September, 1980 (see Appendix A - question 28).

TABLE VI.3: DESCRIPTION OF OFFENSE TYPES INCLUDED IN STATE LEVEL OBTS SYSTEMS

States	Offenses Included (to be Included) in State OBTS						Offenses Other Than Felony or Misdemeanors Excluded (to be Excluded) from State OBTS
	All Felony Level via Arrest	All Felony Level via Arrest or Indictment	Only Fingerprinted Felony Level	All Misdemeanor Level via Arrest	All Misdemeanor Level via Arrest/Citation or summons	Only Fingerprinted Misdemeanor Level	
1. California	C	C	P	P	P	P	
Georgia							P
Illinois		P	C	P	P	P	
Iowa	P	C	C	P	P	C	
Michigan	C	C	P	P	P	C	
Nebraska	C	C	C	C	C	P	
New Jersey			C	C	C	C	
Ohio			C	C	C	C	
Oregon			C	C	C	C	
Utah			C	C	C	C	
Virginia			C	C	C	C	
Wisconsin			C	C	C	C	
Wyoming			C	C	C	C	
2. Arizona	P	P	P	P	P	P	
Colorado		P	C	C	C	C	
Connecticut	C	C	C	C	C	C	
Delaware	C	C	C	C	C	C	
Hawaii	C	C	C	C	C	C	
Massachusetts	C	C	C	C	C	C	
New Mexico	P	P	P	P	P	P	
New York			C	C	C	C	
Oklahoma		C	C	C	C	C	
3. Arkansas	C						
DC							
Kansas	P		P			P	
Maine	P		C		P	C	
Maryland			P				
Minnesota	C	C	C	C	C	C	
Pennsylvania	C	C	C	C	C	C	
Rhode Island	P	P	C	C	C	C	N/R
South Carolina	C		P		P	C	

C = Currently

P = Planned

N/R = No Response

<sup>a</sup>Any offense submitted with fingerprints will be included<sup>b</sup>In general, the types of offenses excluded are violations of local ordinances, non felony traffic, certain low-level misdemeanors

SOURCE: Questionnaire on OBTS administered by the CJS in September, 1980 (see Appendix A-questions 29&amp;30).

OBTS files. The most common types of offenses excluded are violations of local ordinances (14 states), non-criminal traffic offenses (9 states), certain low level misdemeanors, offenses not required to be fingerprinted, offenses not required to be included on the criminal history file, and/or everything not a felony or misdemeanor (10 states).

#### Dispositions Reported

Table VI.4 identifies the states which report and maintain final police dispositions where charges are dropped and the offender is released, prosecutor dispositions of decline to prosecute and grand jury dispositions of ignored, no true bill or indictment quashed on their OBTS files. Additionally, Table VI.4 specifies whether or not certain dispositions are excluded from a state's OBTS or whether or not there are certain dispositions for which no reporting mechanism exists to collect. Specifically, 58% of the state OBTS files currently (or are in the process of being designed to) include police dispositions where the charges are dropped and the offender is released by the police, 77% of the state OBTS files currently (or are planning to) include the prosecutor disposition of decline to prosecute and 55% of the files include information on cases resulting in a grand jury disposition of ignored, no true bill, or indictment quashed. While not noted in Table VI.4, the survey results indicated that in general, where these dispositions are not included it is because the type of disposition is not applicable within a state rather than the fact that no reporting mechanism exists to collect the disposition. Finally, as noted in Table IV.4, most states do not in general, exclude specific types of dispositions from their OBTS files.\*

\* The types of dispositions which are excluded are: police releases to other agencies (1 state), appellate dispositions (2 states) and violation of probation/term of probation ended (1 state).

TABLE VI.4: SPECIAL DISPOSITIONS REPORTED TO OBTS -  
DISPOSITIONS EXCLUDED FROM OBTS

States	Dispositions Reported (or Planned to be Reported) to OBTS			Special Dispositions Excluded	
	Police Disposition Where Charges are Dropped and Offender Released by Police	Prosecutor Disposition of Decline to Prosecute	Grand Jury Disposition of Ignored, No True Bill, Indictment Quashed	Dispositions (Not Described to Left) Which are Excluded for, OBTS or for Which no Reporting Mechanism Exists to Collect	
				YES	NO
1. California	X	X	N/A	X	
Georgia	X	X	N/A		X
Illinois	X	X	X	X	
Iowa	X	X	N/A		X
Michigan	X	-	-	-	
Nebraska	X	X	N/A		X
New Jersey	N/A	X	X		X
Ohio	X	X	X		X
Oregon	N/A	X	X		X
Utah	N/A	X	X		X
Virginia	N/A	X	X		X
Wisconsin	X	X	X		X
Wyoming	X	X	N/A		X
2. Arizona	X	X	N/A		X
Colorado	N/A	X	N/A		X
Connecticut	N/A	X	X		X
Delaware	X	N/A	N/A		X
Hawaii	X	X	X		X
Massachusetts	N/A	X	X		X
New Mexico	N/A	N/A	N/A		X
New York	N/A	X	X	X	
Oklahoma	X	X	X		X
3. Arkansas	N/A	N/A	N/A		X
DC	X	X			X
Kansas	X	X	X		
Maine	X	X	X		X
Maryland	N/A	N/A	N/A		X
Minnesota	X	-	-		
Pennsylvania	N/A	N/A	X		X
Rhode Island	N/A	X	X		
South Carolina	X	X	X		

N/A = Not applicable

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - questions 31&32).

## SECTION VII: OBTS Data Elements

This section of the survey was designed to identify the individual data elements included on the state level OBTS files. In particular, questions were asked about the standards used (e.g., SEARCH Technical Report #4 or BJS), if any, in determining the data elements to be included in the state OBTS files, and the level of detail of the data elements included as compared to the recommended Search Technical Report #4 data elements. Table VII.1 summarizes the state responses.

As indicated in this table, in planning and design for OBTS, almost half of the states (48% or 15 states) indicated that they used the SEARCH Technical Report #4 OBTS data elements minimum reporting standards in determining the data elements for inclusion in their state's OBTS, 5% (or 2 states) used the BJS national OBTS tape submission data element reporting standards\* and 29% (or 9 states) used both the SEARCH Technical Report #4 and BJS national OBTS tape submission data element reporting standards. The remaining states did not use either set of standards (3 states) or did not respond to the question (2 states).

With respect to the specific data elements included, 19 of the state OBTS files contain all or most of the SEARCH Technical Report #4 data elements for the police/prosecutor segment, 19 of the state files contain all or most of the lower court data elements, 19 of the state files are designed to include all or most of the upper court data elements, and 17 of the state OBTS files include all or most of the SEARCH Technical Report #4 data elements for the corrections segment. Additionally, some state OBTS files contain other data elements for a particular data segment than the SEARCH Technical Report #4 data elements, with the remaining state files containing only some or none.

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\* Seven states indicated that the BJS national OBTS tape submission data element reporting standards were not available when their OBTS system was initially developed.

TABLE VII.1: DATA ELEMENTS INCLUDED IN STATE OBTS

States	SEARCH Technical Report #4 Standards	BJS National OBTS Tape Submission Standards	BJS Standards Not Available When OBTS Developed	Degree to Which SEARCH Technical Report #4 Data Elements <sup>a</sup> are Included in OBTS. State OBTS Includes:					
				More	All	Most	Some	None/NA	
				Police/Prosecutor Lower Ct	Police/Prosecutor Upper Ct	Police/Prosecutor Lower Ct	Police/Prosecutor Upper Ct	Police/Prosecutor Lower Ct	Police/Prosecutor Upper Ct
1. California	X			X	X				X
Georgia	X				X	X X X			
Illinois	X					X X X			
Iowa	X					X X			X
Michigan	X	X				X X X			X
Nebraska	NR	NR	NR	NR	NR	NR	NR	NR	NR
New Jersey	X				X	X X X X			
Ohio	X				X	X X			X
Oregon		X					X X X X		
Utah	X	X		X	X X				X
Virginia	X		X X X			X X X			
Wisconsin	X	X		X		X			X
Wyoming	X	X				X X X X			
2. Arizona	Did Not Use Either						X X X X		
Colorado		X				X	X X	X	
Connecticut	X					X X X X			
Delaware	X		X		X X X X				
Hawaii	X			X X X	X				
Massachusetts	X	X							
New Mexico	X	X				X X X			
New York	X		X		X X X		X X X		
Oklahoma	X	X	X X	X	X X X				
3. Arkansas	X				X X X X				
DC	X	X	X X	X		X X X X		X X	
Kansas	X	X	X			X X X X			
Maine	X		X		X X X				
Maryland	X	X			X X X X				
Minnesota	NR	NR	NR	NR	NR	NR	NR	NR	NR
Pennsylvania	X	X		X X	X X X			X	
Rhode Island	X		X		X X		X		
South Carolina	X	X		X	X X X				

NR = No Response

<sup>a</sup>A listing of the SEARCH Technical Report #4 data elements is included in Appendix A (see last page of OBTS questionnaire). The BJS National OBTS tape submission data elements are noted on the listing.

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - questions 33&34).

The types of data elements which tend to be excluded from the state files include data elements not listed in the BJS national OBTS tape submission standards as well as dates other than date of arrest and final disposition, the type of counsel and type of trial.

Questions were also asked about whether the state OBTS data bases included separate data element segments for lower criminal courts and upper criminal courts and whether the corrections data element segments of the state OBTS files provided for the ability to report and maintain information on more than one correction cycle associated with a single offender processing. In response to these questions, the survey results indicated that about 39% of the state OBTS files include (or are planning to include) separate data element segments for the lower criminal court and upper criminal court, while about 42% do not include separate data element segments when more than one trial court exists. The remaining 19% indicated that there was only one trial court in their state or that they were not yet that far along in planning to decide.

About 84% of the state respondents indicated that the corrections segment of their state OBTS currently provides (61%) or plans to provide for (23%) the ability to report and maintain information on more than one correction cycle associated with a single offender processing. It should be noted that although the corrections cycle of a state OBTS might in theory provide for the reporting and maintaining of information on more than one correction cycle associated with a single offender processing, in practice subsequent cycles (e.g., release to parole prior to final release) may not be reported. Additionally, states typically maintain data on more than one correction cycle associated with a single offender processing in their state OBSCIS (corrections) file only and these state OBSCIS or corrections files may not link to the OBTS files. Table VII.2 displays the above results.

**CONTINUED**

**1 OF 2**

TABLE VII.2: DESCRIPTION OF TYPES OF COURT SEGMENTS  
(SEPARATE-LOWER & UPPER CT, COMBINED)  
AND CORRECTIONS SEGMENTS (e.g., PROVIDE  
FOR MORE THAN ONE CYCLE) IN STATE OBTS  
DATA BASES

States	State OBTS Data Base Includes (or Plans to Include) Data Element Segments for the Lower Criminal Court and Upper Criminal Court <sup>a</sup>			Corrections Data Element Segment Provides (Plans to Provide) for Ability to Report and Maintain Information on More Than One Correction Cycle Associated With a Single Offender Processing	
	Yes	No	N/A	Yes <sup>b</sup>	No
1. California		X			X
Georgia		X		X*	
Illinois		X		X*	
Iowa			X	X*	
Michigan		X			X
Nebraska	X*				
New Jersey	X			X	
Ohio		X		X	
Oregon		X		X	
Utah	X			X*	
Virginia	X			X	
Wisconsin			X	X	
Wyoming		X		X	
2. Arizona		X		X	
Colorado		X		X	
Connecticut			X	X	
Delaware	X			X	
Hawaii	X			X	
Massachusetts	Still in planning stage.				
New Mexico	X*			X	
New York		X		X	
Oklahoma			X	X	
3. Arkansas	X			X	
DC		X		X	
Kansas			X	X	
Maine		X		X*	
Maryland	X			X*	
Minnesota		X			X
Pennsylvania	X			X*	
Rhode Island	X*			X*	
South Carolina	X			X	

\* Planned

N/A = Not applicable/only one trial court in state

states may only include the disposition and related information from the court of final disposition (either upper or lower) on their OBTS files. In other states only felony processings are included in the OBTS file. These are typically handled at the upper court level.

While the corrections component of a state OBTS may provide for the ability to report and maintain information on more than one correction cycle associated with a single offender processing, the information may not be consistently reported in practice. Additionally, some states may maintain this information separately on an OBSCIS file. Hence a response of "yes" does not necessarily imply that information on more than one corrections cycle is readily available; it simply means that the corrections component of the OBTS provides for its receipt and maintenance either directly on the OBTS or indirectly on an OBSCIS or equivalent system.

SOURCE: Questionnaire on OBTS administered by the CJSR in Sept., 1980 (see Appendix A-questions 35&36)

## SECTION VIII: Timeliness of OBTS Data Reporting and File Update

### Reporting Requirements

Table VIII.1 identifies those states which currently have (or are planning to have) requirements governing the reporting of arrest and disposition information in support of their state OBTS (or CCH if supported by the same data collection effort) and those states which have requirements governing the timeliness with which various disposition events must be reported in support of their state OBTS (or CCH). Specifically, twenty of the respondents indicated that their state had specific requirements governing the reporting of arrest and disposition information in support of their state OBTS (or CCH if supported by the same data collection effort) and 2 states are planning or in the process of drafting such requirements. Another 8 states do not have any reporting requirements, nor do they plan to have any.

Only 16 of the state respondents indicated that their state had specific requirements governing the timeliness with which various disposition events must be reported in support of their state OBTS (or CCH if supported by the same data collection effort), 1 state is planning or is in the process of drafting requirements, and 13 states do not currently or plan to have any such requirements.

Where requirements do exist in a state, either in support of reporting or the timeliness of reporting to the state OBTS (or CCH if supported by the same data collection effort), they are generally in the form of legislation (e.g., CCH legislation).

### Frequency and Timeliness of OBTS File Update

Based on the survey responses, it would appear that the majority of the states maintain both "open and closed" records on their OBTS data base. Specifically, in 9 states an offender's processing is not added (or not planned to be added) to the state OBTS data base until the final court disposition has been reported (i.e., "closed records" only are maintained on the OBTS data base). In 21 states an offender's processing is included

TABLE VIII.1: REQUIREMENTS<sup>a</sup> GOVERNING THE REPORTING OF ARREST AND DISPOSITION INFORMATION IN SUPPORT OF OBTS AND THE TIMELINESS WITH WHICH DISPOSITION EVENTS MUST BE REPORTED

States	Requirements Governing the Reporting of Arrest and Disposition Information		Requirements Governing the Timeliness With Which Disposition Events Must Be Reported to OBTS or CCH (if supported by same data collection effort)	
	Yes/Planned	No	Yes/Planned	No
1. California	x		x	
Georgia	x		x	
Illinois	x		x	
Iowa	x		x	
Michigan	x			x
Nebraska	x		x	
New Jersey		x		x
Ohio	x			x
Oregon	x			x
Utah	x		x	
Virginia	x		x	
Wisconsin	x		x	
Wyoming	x			x
2. Arizona		x		x
Colorado	x		x	
Connecticut	x		x	
Delaware	x		x	
Hawaii	x		x	
Massachusetts		x		x
New Mexico	x			x
New York		x		x
Oklahoma		x		x
3. Arkansas		x		x
DC		x		x
Kansas	x		x	
Maine	x		x	
Maryland	x		x	
Minnesota		x		x
Pennsylvania	x		x	
Rhode Island		N/R		N/R
South Carolina	x		x	

<sup>a</sup> Requirements where they exist or are planned, are typically in the form of legislation

SOURCE: Questionnaire on OBTS administered by the CJSB in September, 1980 (see Appendix A questions 37&38).

(or planned to be included) on the OBTS at the point of arrest or other entry to the system and is updated from time to time as the offender proceeds to final disposition (i.e., "open and closed" records are maintained on the OBTS data base).

The frequency of updates to the state OBTS data bases (or data bases from which OBTS is derived) varies across the states. About 40% of the states update daily, followed by weekly (10%), monthly (6%), quarterly (10%), and as data is received (10%). In the remainder of the states, updates to the OBTS data base (or the data base from which OBTS is derived) varies by component, is unknown, or not applicable (e.g., manual data collection efforts). In general, the states who update their files daily are those states where OBTS is extracted from the CCH data base and the updates are made to the CCH files. Table VIII.2 summarizes the above results.

With respect to the timeliness of the data on the OBTS data bases, almost 60% of the state OBTS respondents indicated that final court dispositions were reported to their OBTS files within three months of their occurrence, about 16% said it takes less than 6 but more than 3 months, and 6% said they would need to wait more than 6 months after the close of a year to be assured of receiving all final court dispositions on "offender trackings" that were terminated that year. The remaining 19% of the states could not currently specify the number of months delay between disposition and receipt on OBTS file.

It should be mentioned that the responses on timeliness of reporting final court dispositions may have been made based on the existence of state statutory requirements governing the timeliness of reporting data in support of the OBTS (or CCH if supported by the same data collection effort). While the time frame might be true in theory, it may not generally be true in practice.

TABLE VIII.2: FREQUENCY OF OBTS FILE UPDATE

States	Stages in Processing at Which Updates Are Made		OBTS Data Base (or Data Base from which OBTS is derived) is updated:
	Offender's Processing not added until final Court Disposition has been reported	Offender's Processing is included on OBTS at Arrest or other Entry and is updated as offender proceeds to final Disposition	
1. California	Currently		Weekly
Georgia		Planned	Monthly
Illinois		Currently	As Received
Iowa	Currently	Planned	Unknown
Michigan		Currently	Daily
Nebraska		Planned	Weekly
New Jersey		Currently	Quarterly
Ohio		Currently	Daily
Oregon		Currently	As Received
Utah		Currently	a
Virginia		Currently	Daily
Wisconsin		Currently	Daily
Wyoming		Currently	b
2. Arizona		Planned	Daily
Colorado		Planned	Quarterly
Connecticut		Currently	Daily
Delaware	Currently		Daily
Hawaii	Currently	Planned	Weekly
Massachusetts		Planned	Unknown
New Mexico		Planned	Daily
New York	Currently		Daily
Oklahoma	Currently		Daily
3. Arkansas	c	A	Bi-Yearly <sup>b</sup>
DC			Daily
Kansas		Planned	Unknown
Maine		Planned	Unknown
Maryland		Currently	Quarterly
Minnesota			Monthly
Pennsylvania		Currently	As Received
Rhode Island		Planned	Daily
South Carolina	c	A	Week/Month

<sup>a</sup>Utah is currently under backlog<sup>b</sup>Arkansas manually collects OBTS data every two years<sup>c</sup>South Carolina does not maintain an OBTS data base per se. Rather each component (e.g., courts, law enforcement) maintains their own system. If need be, an offender's processing can be tracked using the warrant # which appears on each component's file.

SOURCE: Questionnaire on OBTS administered by the CJSI in September, 1980 (see Appendix A - questions 39&amp;40).

## SECTION IX: Completeness of OBTS Data Reporting

This section of the survey attempted to identify the current level of reporting of arrest and final court dispositions to the state OBTS files and the reason(s) for the current reporting levels. Specifically, the states were asked to specify the percentage of their total FY 1979 arrests which were reported and included on their OBTS files and the percentage of offenders disposed of by their courts in FY 1979 for which final court dispositions had been reported and included on their OBTS files.

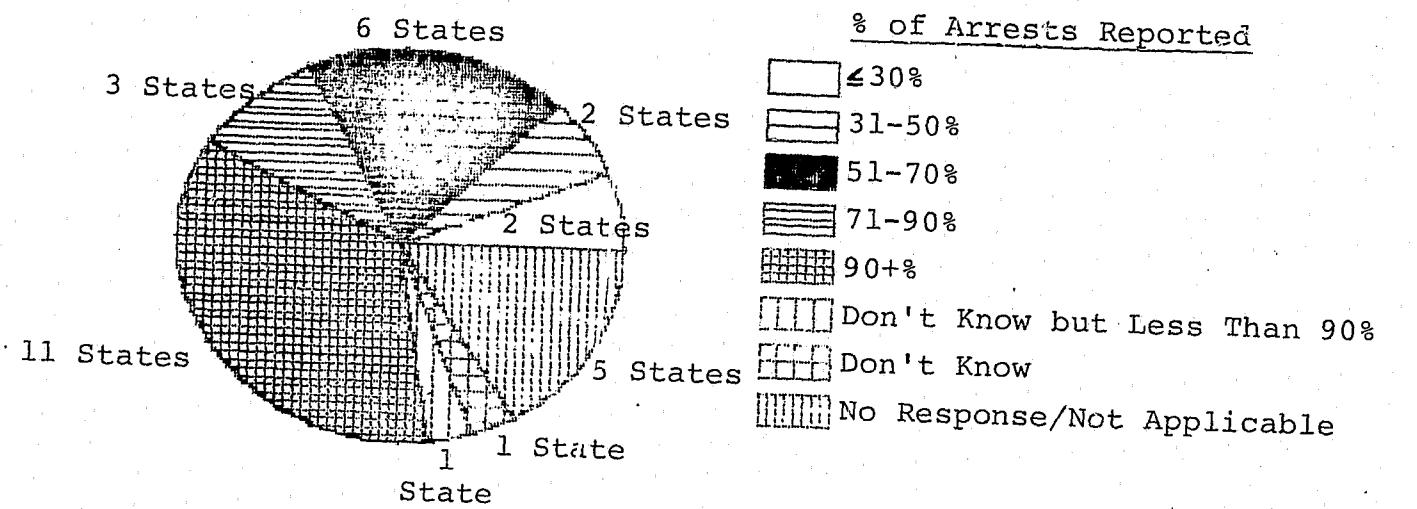
Reporting of Arrests

Figure IX.1 displays the estimated level of reporting of arrest data to the state OBTS files. As indicated in this figure, only 11 of the 31 states developing an OBTS capability had more than 90% of their total FY 1979 arrests (required to be reported for OBTS or CCH purposes) reported to their state OBTS; 3 of the states indicated that 71-90% of the required arrests were reported, and 6 states indicated that 51-70% of the required arrests were reported. The remaining states indicated that less than 50% of the required arrests were reported (4 states), that they did not know but it was less than 90% (1 state), that they did not know (1 state), or that they were not sufficiently far along in their state's OBTS development to specify or that the question did not apply (5 states).

Of the 25 states who specified some level of arrest reporting to their OBTS file, about two-thirds made their estimate based on a comparison of the number of known arrests received to other state arrest figures or based on the percentage of arrests which were expected to be received (e.g., from reporting jurisdictions, from arrestees expected to be fingerprinted). The remaining one-third simply gave their best guess.

Finally, the survey results indicated that in general reporting levels of less than 90% were due to the fact that specific jurisdictions were not reporting all or some of their arrests or specific jurisdictions were not yet required to report due, for example, to phased implementation of the OBTS system.

FIGURE IX.1: Estimated Level of Reporting of Arrest Data to State OBTS Files<sup>a</sup>



<sup>a</sup>Based on responses from the 31 states who indicated they had, or were developing, an OBTS system.

SOURCE: Questionnaire on OBTS administered by the CJS in September, 1980 (see Appendix A - Question 42).

Table IX.1 summarizes the above results for each state.

#### Reporting of Court Dispositions - Upper Court

Figure IX.2A displays the estimated level of reporting final upper court dispositions to the state OBTS files.

As indicated in this figure, only about one-third of the 25 states where data is being reported and included on the state OBTS (or CCH if appropriate) files, indicated that more than 90% of the final upper court dispositions\* in their state were reported. Approximately 12% of the 25 states who indicated that data was being reported and included on their OBTS files estimated that 71-90% of their final upper court dispositions were reported and included while 12% estimated 51-70% were reported and included on their OBTS files. The remaining states estimated that less than 50% of their upper court dispositions which should have been reported in support of OBTS (e.g., the associated arrest was required to be reported and was included on the OBTS file) were actually reported or indicated that they just did not know.

Primarily the estimates were the best guesses of the respondents (8 states), or were made based on an analysis of the number of arrest records for which sufficient time had elapsed and no court disposition was received (7 states), or were made by comparing the number of dispositions received to some other independent data source (2 states).

In those states where less than 90% of the final upper court dispositions were reported the respondents generally indicated that the level of reporting was due primarily to the fact that specific jurisdictions were not reporting all or some required court dispositions or were not yet required to report.

#### Reporting of Court Dispositions - Lower Court

Figure IX.2B displays the estimated level of reporting lower court dispositions to state OBTS files. As displayed in this figure,

\*In those states with only one trial court, the estimated percentage of dispositions reported was included under the percentage of upper court dispositions reported but may refer to both felonies and misdemeanors.

States	% of Arrests Reported					Basis for Estimate	Reason for Reporting Level
	30%	31-50%	51-70%	71-90%	90+%		
1. California	X					X	X
Georgia		X				X	X
Illinois		X				X	
Iowa	X					X	X
Michigan	X					X	
Nebraska	X					X	
New Jersey		X				X	
Ohio	X					X	
Oregon		X				X	
Utah		X				X	
Virginia		X				X	
Wisconsin	X					X	
Wyoming	X					X	
2. Arizona	X					X <sup>a</sup>	
Colorado		X				X	
Connecticut		X				X	
Delaware		X				X	
Hawaii		X				X	
Massachusetts	NA					NA	
New Mexico	NA					NA	
New York	X					X	
Oklahoma	X					X	
3. Arkansas		X				X	
DC		NA				NA	
Kansas	X					X	
Maine		NA				NA	
Maryland			X			X	
Minnesota	X					X <sup>b</sup>	
Pennsylvania	X					X	
Rhode Island		NA				NA	
South Carolina		X				X	

<sup>a</sup>Arrest data is not yet being reported/OBTS still in the planning or design stage

<sup>b</sup>Only felonies are included on the OBTS data base

SOURCE: Questionnaire administered by the CJSA in September, 1980 (See Appendix A-questions 4:

FIGURE IX.2A: Estimated Level of Reporting of Final Upper Court Dispositions to State OBTS Files<sup>a</sup>

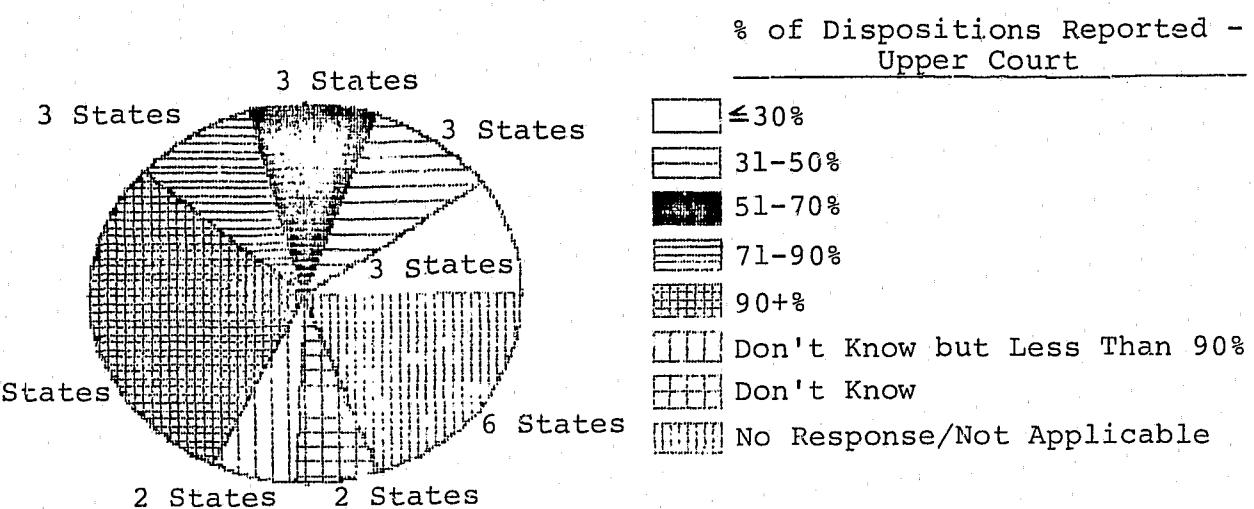
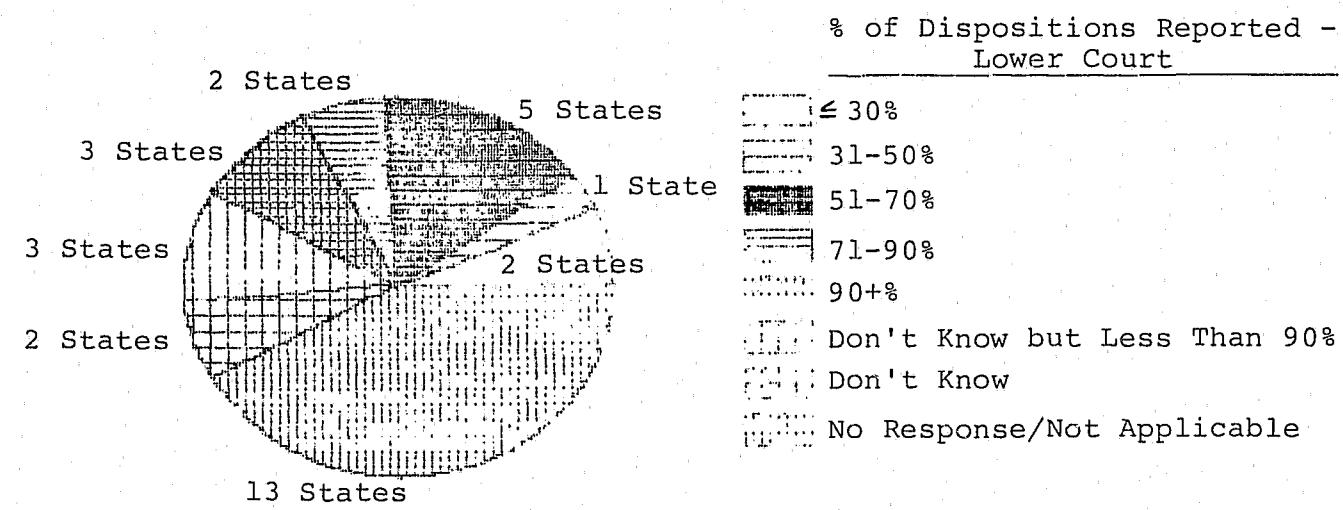


FIGURE IX.2B: Estimated Level of Reporting of Final Lower Court Dispositions to State OBTS Files<sup>a</sup>



<sup>a</sup>Based on responses from the 31 states who indicated they had, or were developing, an OBTS system.

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - Question 44).

eighteen states indicated FY 1979 lower court dispositions were being reported and included on their state OBTS.\*\* Of the eighteen states, only 17% estimated that more than 90% of their lower court dispositions were reported, 11% estimated 71-90% were reported, 28% estimated 51-70% were reported, 17% estimated less than 50% of their lower court dispositions were reported, 17% did not know, but felt it was less than 90%, and 17% simply did not know.

The estimates of the level of FY 1979 lower court disposition reporting (e.g., 51-70% of FY 1979 final lower court dispositions) were primarily the best guesses of the respondents or were made based on an analysis of the number of arrest records for which sufficient time had elapsed and no court disposition was received.

Finally, the respondents indicated that the level of reporting was due primarily to the fact that specific jurisdictions were not reporting all or some required court dispositions or were not yet required to report.

Table IX.2 summarizes the above results for each state.

\*\* In some states only felonies are required to be reported to OBTS (or CCH if the same) and felonies are primarily handled only at the upper court level. Additionally, some states have only one trial court. As noted in the previous footnote, in those states with only one trial court, the estimated percentage of dispositions reported was included under the percentage of upper court dispositions reported but may refer to both felonies and misdemeanors.

TABLE IX.2: ESTIMATED LEVEL OF DISPOSITIONS REPORTED TO STATE OBTS

States	% of Dispositions Reported							Basis for Estimate	Reason for Reporting Level
	< 30%		31-50%	51-70%	71-90%	Over 90%	Don't Know But < 90%		
	Lower Ct	Upper Ct	Lower Ct	Upper Ct	Lower Ct	Upper Ct	Lower Ct		
1. California				x	x			x	
Georgia		x x						x x	x x
Illinois	x x							x x	x x
Iowa	x							x	x
Michigan		x						x	x
Nebraska					x x			x x	x x
New Jersey			x x			x x		x x	x x
Ohio	x					x		x	x x
Oregon		x			x			x x	x x
Utah	x x					x x		x x	x x
Virginia					x x	x x	x x	x x	x x
Wisconsin			x		x	x	x	x x	x x
Wyoming	x x					x x		x x	x x
2. Arizona	x x							x x	x x
Colorado			x			x			x x
Connecticut			x x	(Planned)					
Delaware				x x		x x	x x	x x	x x
Hawaii			x x		x x	x x	x x	x x	x x
Massachusetts									
New Mexico									
New York	x x			x		x	x x	x x	x x
Oklahoma			x		x	x	x	x x	x x
3. Arkansas					x x				
DC									
Kansas	x x							x x x x	x x x x
Maine									
Maryland					x x				
Minnesota			x		x		x		x
Pennsylvania			x x			x x	x x	x x	x x
Rhode Island			x		x		x	x	x
South Carolina								x	x

L = Lower Court

U = Upper Court

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - questions 44&45).

#### SECTION X: OBTS Data Quality Control and Audits

Section X of the survey was designed to identify the types of quality control measures the states are using with respect to their OBTS data files. Specifically, questions were asked about the type of edits the states perform on the data elements reported to the state in support of OBTS, the types of management/exception reports which are produced to assist in assuring more accurate, complete and timely reporting of OBTS, and about whether or not field staff are available to go out and assist the reporting agencies.

Table X.1 describes the state responses to this series of questions.

##### Data Quality Control

As indicated in Table X.1, fifty-eight percent of the states developing an OBTS capability currently perform edits (e.g., check format, coding structure) on their OBTS input records, 42% perform linkage edits (e.g., check that if court disposition information is reported there is matching arrest information) on the data elements reported to the state in support of the OBTS (or CCH where combined) data base, and 42% perform tracking record reasonableness edits (e.g., make sure arrest date not after disposition date).

Only 52% of the 31 states developing an OBTS capability currently produce any types of management/exception reports to assist in assuring more accurate, complete and timely reporting of OBTS. Specifically, 9 states produce reports on the volume of arrests and court dispositions received, 13 states currently produce reports on the number of arrest records where no court disposition has been received and so much time has elapsed from the date of arrest, and 4 states produce some other types of management/exception reports (e.g., audit report).

##### Field Staff

Nineteen of the states currently have field staff present who can go out and assist reporting agencies in more accurate, complete and timely reporting. In general, the field staff are

TABLE X.1: DESCRIPTION OF OBTS DATA QUALITY CONTROL PROCEDURES BY COMPONENT

States	TYPES OF EDITS PERFORMED ON DATA ELEMENTS REPORTED TO OBTS				TYPES OF MANAGEMENT/EXCEPTION REPORTS PRODUCED			FIELD STAFF ARE PRESENT TO ASSIST REPORTING AGENCIES				
	None	Edits on Input Record	Linkage Edits	Tracking Record Reasonableness Edits	Other	None	Reports on Volume of Arrests & Court Dispositions Received	Reports on # of Arrest Records for Which no Court Disposition has Been Received & Sufficient Time has Elapsed	Other	Yes, Currently	Planned	No
1. California	C	C	C			C	C			X		
Georgia	C	C	C			P	C			X		
Illinois	C	C	C			C	C			X		
Iowa	C					P	P			X		
Michigan	C				C		C			X		
Nebraska		C					P			X		
New Jersey	C	C	C			C				X		
Ohio	C		C			C	C	C	X			
Oregon	C	C	C			C	C				X <sup>a</sup>	
Utah	C		C			C	C			X		
Virginia		C					C				X	
Wisconsin	C		C			C	C			X		
Wyoming	C	C				P	C			X		
2. Arizona	P			P				C			X	
Colorado	C	P	P	P		C	P	P			X	
Connecticut		P					P	P		X		
Delaware	P	P				P					X	
Hawaii	C	C	C			C	C			X		
Massachusetts												
New Mexico			P				P					
New York	C	C	C	C		C	C	C	X			
Oklahoma	C	C	C	C		C	C	C	X			
3. Arkansas	C					NA					X	
DC	P	P	P			P	P					
Kansas	C	C	C		C					X		
Maine												
Maryland	P	P	P			P	P			X		
Minnesota	C	C	C							X		
Pennsylvania	P	P	P		C	P	P			X		
Rhode Island	P		P			P						
South Carolina	C	P	P			C	C		X			

C = Currently

P = Planned

NA = Not Applicable

<sup>a</sup>While no field staff exist per se, a staff member may assist an agency upon request.

SOURCE: Questionnaire on OBTS administered by the CJSA in September, 1980 (see Appendix A - Questions 46-48).

located within the state identification or law enforcement bureau and may assist in UCR reporting as well. They typically will contact all criminal justice agencies as needed.

#### Audits

Questions were also asked about whether or not annual audits had ever been conducted (or were planned) of state CCH and OBTS systems and if so, the types of audits performed. In response, 3 states indicated that an annual audit of their state OBTS had been conducted; in two of the 3 states it was the same as the CCH audit. In the three states where an OBTS audit has been conducted, a sample of records was traced back to the source documents to determine the accuracy and completeness of the records. Finally, the audits were performed internally by data center staff.

Only three of the respondents said that their state would be supportive of the establishment of an independent audit capability for state OBTS, six said their states might be supportive, four said their states would not be supportive of an independent audit capability, and the rest either did not know or did not respond.

## SECTION XI: OBTS Analysis

This section of the survey was designed to identify both the uses and users of state OBTS data. The results indicated the following (see Table XI.1).

### OBTS Computerized Output Reports

Only 10 of the thirty-one states with an OBTS have identified or thought about the set of automated output reports that are (or would be) generated from their state OBTS data base for statistical and analytical purposes, 12 states are in the process of identifying output reports and 6 states indicated that they have not identified any output reports (the remaining 3 states did not respond).

In general, the types of statistical and analytical output reports that the states have identified include: offender flow charts, elapsed time between arrest and disposition tables, and summary aggregate statistics on offender processing by charge and disposition.

Table XI.1 also describes the types of software packages the states use (plan to use) for analysis and display of OBTS data, and the type of automated output reports that are (planned) generated from state OBTS files.

### OBTS Data Users

Generally speaking, the state respondents felt that the criminal justice agencies/planners (25 respondents) within their state would be the biggest users of OBTS data followed by the legislature and executive branch agencies (e.g., budget) (17 respondents) and to a lesser extent private researchers/universities (6 respondents).

In general, the types of training the states employ (or plan to employ) to make users and potential users aware of the OBTS data base and the range of outputs that can be generated and issues that can be addressed include: distribution of publications/pamphlets which describe system and potential uses (9 states),

TABLE XI.1: DESCRIPTION OF SOFTWARE PACKAGES TO BE USED IN ANALYSIS AND DISPLAY  
OF OBTS/TYPES OF REPORTS TO BE GENERATED FROM OBTS DATA

States	Data Base Management/ Statistical Software Packages Used/Plan to Use in Analysis & Display of OBTS	Automated Output Reports That are (Would be) Generated From State OBTS	
		Identified/ Thought About	Types of Reports
1. California	parameter based system for re- ports by jurisdiction offense age, race, sex, prior status, etc.	Yes	Disposition trees, tables
Georgia	Yes, if provided	Yes	Pleas by chrg/disp; Confinement Matrix; Flow/Time analysis
Illinois	Easytrieve	Yes	
Iowa	Data Base Management/SPSS	No	
Michigan	Not yet developed	In Process	
Nebraska	Mark IV, TPL	In Process	
New Jersey	SCSS	In Process	
Ohio	Easytrieve	Yes	Offender flow chart/analysis Summary by chrg & disp; Elapsed time arrest-disp
Oregon	Easytrieve	Yes	Identified about 10 types; Not yet generated
Utah	SPSS, SAS	Yes	
Virginia	Mark IV, SPSS	Yes	Flow chart/Elapsed time
Wisconsin	Burroughs DMS II	In Process	
Wyoming	Data Base Management/SPSS	In Process	
2. Arizona	ADABASE, SPSS	-	
Colorado	SPSS/MIDAS/BMD/STATPAC	In Process	
Connecticut	SAS	No	
Delaware	ADABAS, TRS-80 Stat Packages	In Process	
Hawaii	ADABAS	Yes	Law Enf Caseload analysis/pro- secutor analysis/arrest w/ disp offense/offender flow
Massachusetts		No	
New Mexico	SAS, SPSS, DBMS	Yes	
New York	SPSS, DMS	In Process	
Oklahoma	SAS, SYMAY, SYMVU, CALFORM	Yes	varied Utility (e.g., pending cases) statistical (e.g., elapsed time, defen- dant analysis) reports
3. Arkansas	Use own analysis programs	-	
DC	Undecided	No	
Kansas	SPSS/SAS	No	
Maine	SPSS/SAS Probably	In Process	
Maryland	TPL, SPSS, Other	In Process	Most serious chrg w/ disp & Most Serious Disp w/ chrg by Filing Document
Minnesota	SPSS	-	
Pennsylvania	SPSS	No	
Rhode Island	To be determined	In Process	
South Carolina	Planned	In Process	

SOURCE: Questionnaire on OBTS administered by the CJS in September, 1980 (see Appendix A - Questions 52653).

conducting user's group meetings with representatives from all criminal justice component agencies (9 states), and using field staff (1 state). The remaining states have not yet determined the types of training (10 states) or did not respond to the question (2 states).

#### OBTS Analytic Reports

Only 9 of the 31 states with, or planning for an OBTS, have prepared (or are in the process of preparing) any OBTS output reports. The types of reports prepared include: tracking descriptions of statewide felony processing/annual OBTS analysis (7 states), sentencing variation/guidelines study and/or recidivism analysis (2 states). Six states have prepared OBTS reports or analyses using only a sample of the population of OBTS records on the data base.

The types of ad hoc inquiries or analysis which the states perform (or plan to perform) using the OBTS data base include: special requests for the governor/legislature (3 states), questions related to offender flows (2 states), analysis of sentencing disparity/conviction rates (4 states), analysis of recidivism (2 states), other special studies/estimates of future needs/arson analysis (3 states).

PART III: STATE EXAMPLES OF DIFFERENT APPROACHES TO OFFENDER PROCESSING STATISTICS DEVELOPMENT AND IMPLEMENTATION

This section of the report describes several different state approaches to OBTS development and implementation. As noted in Part II of the report, the states are using varied approaches to collecting OBTS data. An attempt was made to simplify the summary descriptions of the different approaches to collecting OBTS data by breaking the states up into three groups: states where OBTS is extracted from a CCH system and reporting to the CCH is mainly via form; states where OBTS is, in general, extracted from the CCH and reporting to the CCH is via form or direct terminal entry; and states where OBTS data is collected as a by-product of several agency management information systems. As noted previously, the classification of the states in this manner is not perfect; some states may be currently using one method, but are planning to switch to another; some were not sufficiently far along in implementation to be sure exactly how they planned to collect the data; some approaches could not really be so simply described (but were described so nonetheless).

In selecting the state examples for this section, an attempt was made to pick states which would be fairly representative of the three groupings and which had in essence an "operational" OBTS system. By "operational" OBTS system it was assumed that the offender processing data collected was representative of, and included most of, the final dispositions in the state, and that the system was at a point where the data could be analyzed. Additionally, it was desired that the states selected be states where a site visit had been made by the CJSA staff in order to assure getting a more complete picture of the approach they are taking.

Based on the above criteria, the following three states were selected for example: Oregon (Grouping 1), New York (Grouping 2), and Pennsylvania (Grouping 3).

In reading over the descriptions, differences will be noted in the methods used to collect offender processing data, with the differences in the methods and types of systems which are being

used to support offender processing statistics reflected in the data elements themselves. That is, it would appear that states where OBTS data is extracted from a CCH do not have available all the information that is available in states where OBTS is collected as a by-product of several agency management information systems. (A court information system, for example, may have data elements related to each court transaction, e.g., preliminary hearing, lower court processing, upper court processing, whereas a CCH may have available only data related to the arrest and final disposition of the case. In each case, however, the data elements available would support operational decisions within the respective agency, e.g., court, law enforcement agency.) What is important in any approach, however, is not so much the wealth of data elements available, but the accuracy and completeness of what is collected; in particular, the completeness of the dispositions reported, and the degree to which the information can assist in addressing issues or questions of importance in the state.

Additionally, it should be noticed that in any OBTS data collection effort several decisions need to be made related to the summary and analysis of the data. In most instances, an offender tracking will involve multiple charges at the arrest stage, court filing, and disposition stages, and the charge(s) at the various stages may not be the same. OBTS systems may include all the charges leveled at each stage (e.g., arrest, court filing, and disposition) and the corresponding dispositions and sentences of the charges; alternatively, some states may only collect the charges at arrest and their disposition, and, if a conviction occurs, the corresponding charge and sentence. Since summarizing the data in this form would be unwieldy at best, and of no real advantage (since despite the practice of multiple charging the system is still in essence dealing with an individual), a decision needs to be made concerning which charges to select at the various transaction stages so as to best depict what is happening to the individual. Most frequently this is done by selecting the most serious charge at arrest and

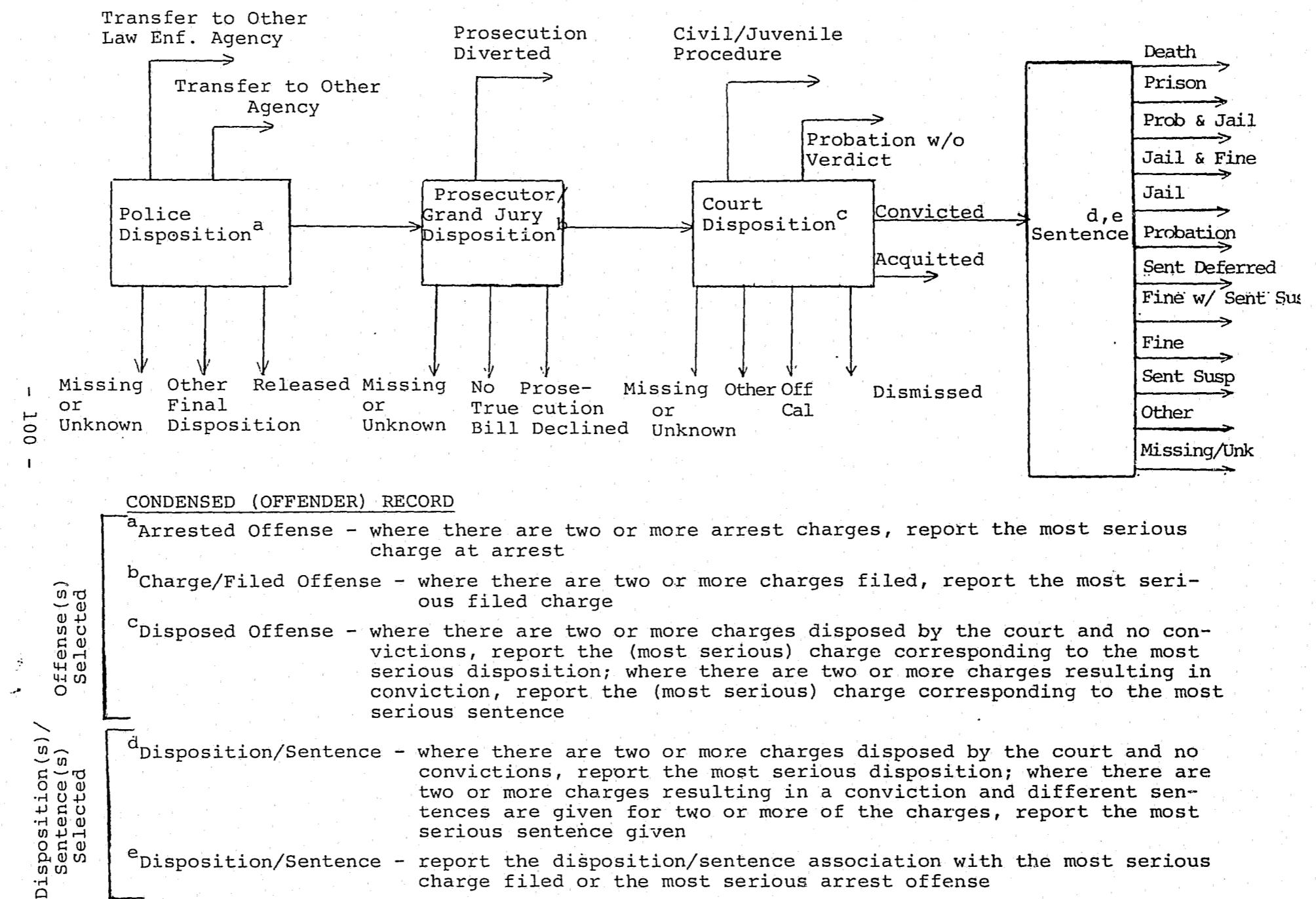
the charge at conviction, or disposition if no conviction resulted, which has potentially (according to the state statute) the most severe penalty or sentence associated with it, along with its disposition and sentence, where convicted. In this way, the charge at arrest can be compared to the charge at final disposition. In the states which do not collect the final disposition charge unless a conviction resulted, no comparison can be made between the arrest charge and final court charge, and it cannot be determined whether an acquittal was given on the same, or a lesser charge.\*

Figure 0.1 depicts a simplified flow diagram of how an offender might be disposed from the system beginning with the police disposition stage and ending with conviction and sentence. Also included in the figure is a selection criteria for building a condensed offender record containing the offense(s) and final disposition(s)/sentence(s) associated with the offender processing which would provide a picture of what is happening. In essence, the selection criteria is similar to that described above with the exception that the disposition offense selected is the (most serious) offense corresponding to the most serious sentence actually leveled if there is a conviction on two or more offenses, or the (most serious) charge corresponding to the most serious disposition actually found, if there is no conviction. (The disposition ranking order would follow the sentences in descending order from top to bottom and then court, prosecution, and law enforcement dispositions in descending order from right to left.) Additionally, the disposition/sentence associated with the most serious arrest offense is reported.

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\* It could be argued that this is not a real drawback since if guilt cannot be established on the lesser charge, it can certainly not be established on the more serious charge, and that acquittal on the more serious charge, in effect, constitutes acquittal on all lesser included offenses.

FIGURE 0.1: Sample OBTS Charge and Disposition Selection Criteria



It should be noted that the choice of which charge to use at the various stages, or how to summarize the data, is dependent on the questions being asked and/or the analysis being performed. The above selection criteria could typically be used when simply describing what happens to offenders after arrest, for problem identification, forecasting, etc. To answer specific questions (e.g., what happens to offenders arrested for a specific drug related offense, where the drug offense is not the most serious) it may be necessary to develop other selection criteria.

The above discussion mentions several different approaches to collecting OBTS and some of the issues which need to be addressed before analyzing the data. Ultimately what is decided is dependent on several factors including: state need, the ability to get access to the data for statistical purposes, and the degree of difficulty (including the cost) in creating and maintaining the record structure and output program(s) which will support the needed statistics.

The following briefly summarizes three different state approaches to collecting OBTS data. In summarizing the approaches, attention is given to the manner of reporting or collecting the data, the reliability (e.g., in terms of completeness) of the data, the OBTS record structure, and charge and disposition information included, and to whether or not the state could (or has) participated in the National OBTS reporting effort.\*

\*Last year ten states participated in the national OBTS reporting effort, sending tapes of OBTS data to the Bureau of Justice Statistics (BJS) for analysis. The data elements which were required for submission are noted on the last page of the sample questionnaire included in Appendix A. The reporting standards and requirements for participation have since been modified. Under the new approach, emphasis is placed on assuring that the data submitted has been analyzed at the state level. In this way it is hoped that more reliable data will be submitted and that issues such as those noted in the narrative above will have been previously addressed.

A. OREGON: OBTS Extracted From a CCH/Reporting to the CCH is Via Form

Overview

The Oregon Computerized Criminal History (CCH) system is administered by the Oregon State Police with the computerized file maintained by the Law Enforcement Data System (LEDS). It consists of an on-line computerized file of individuals' arrest, disposition and custody records. All arresting agencies in Oregon are required to file a CCH fingerprint card for any person arrested for a felony or misdemeanor involving a drug or sex offense. The CCH was initiated in 1975 by converting old "rap sheets" to a computerized format, with 1977 the first year of relatively complete data.

A series of computer programs are used to extract and transform CCH records for all arrests in a given time period into a form more conducive to analysis. The CCH file was not originally designed for the compilation of statistics, hence it is necessary to transform the records so that statistical analysis of the data can be performed. Once the data is restructured and refined, a separate OBTS file is maintained on-line by the Oregon Statistical Analysis Center (SAC)\*.

From the first extraction and restructuring of the CCH records, a picture of how offenders arrested for Part I felony crimes in CY1977 were handled by the system was compiled, and the results summarized in a report entitled "What Happens After Arrest in Oregon." Oregon is now working on an update to this report using all records associated with individuals' arrests for Part I felonies occurring in CY1979 as their base of information. They hope to update and enhance the report on a periodic basis (e.g., annually) using comparable formats so that they will have a reliable historical picture of how offenders are processed. From this base of information, they hope to be able to, at a minimum, evaluate programs and practices, assess the impact changes in the law might have on the system, and predict future workloads and correctional populations.

\*Oregon currently has an OBTS file corresponding to Part I felony arrests made in CY1977 on-line.

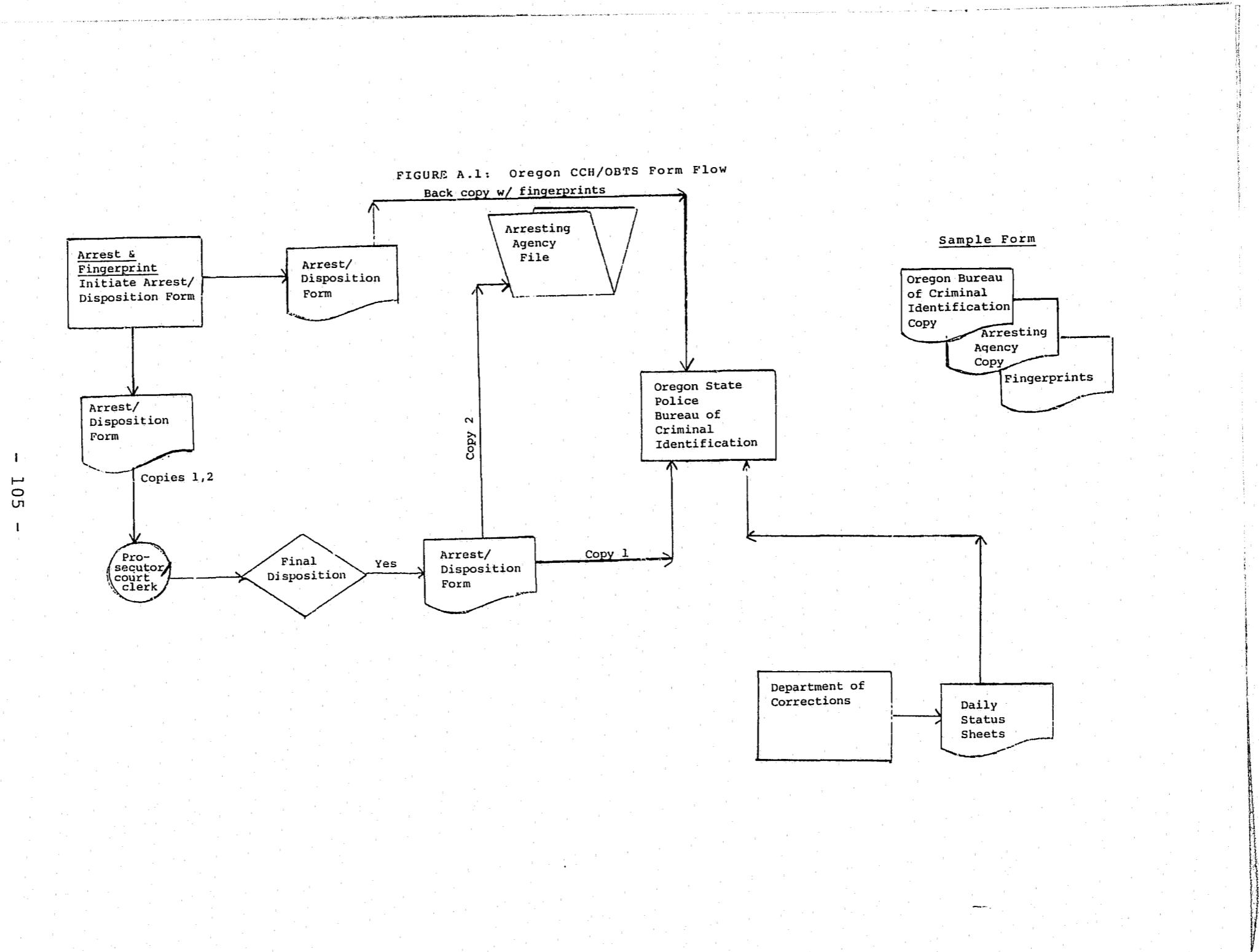
The following discussion briefly summarizes first, the manner of reporting to, and file structure of, the Oregon CCH system; and secondly, the overall process used to extract and transform the CCH data in order to provide a comprehensive picture of offender processing in Oregon.

#### Manner of Reporting

Figure A.1 describes the overall CCH form flow in Oregon. In general, the arresting agency will initiate the arrest/disposition reporting form. A copy of the form is included as Exhibit A.1. The arresting agency fingerprints the individual, fills in the identifying information at the top of the form, and lists the arrest charges. If there are more than three arrest charges, the contributing agency is instructed to include the excess charges on the back of the form. The back copy of the form (i.e., the fingerprint card) is then sent to the State Police Bureau of Identification for classification and insertion into the CCH file. At this time, it is determined whether or not the individual arrested has a prior criminal record. If so, the state identification number (SID) previously assigned to the individual is included on the form; if not, a new SID is assigned the individual. This number would then be used in any subsequent arrests.

The remaining two copies of the form will be forwarded to the appropriate agency until final disposition occurs. At that time, the charges and disposition/sentence of each charge will be noted, one copy forwarded to the State Police, and one copy back to the arresting agency.

Additionally, the Oregon Department of Corrections forwards daily status sheets listing the movements of offenders within state corrections. The status sheets list intake and departures of offenders under custody, e.g., incarcerated, on parole, or under supervision. This status information can be linked to the other previous transactions related to a particular offender's arrest by means of the SID, and by the date of arrest.



The above describes the general procedure whereby records are included on the Oregon CCH. The system does not, in general, include the capability to handle offender processings where entry into the system is not via law enforcement arrest. This could occur, for example, in those cases where a person is summoned into court via a bench warrant. If the person is convicted, they will be fingerprinted and the transaction will be entered on the CCH file; if they are not convicted, the transaction will not be included on the file since there is no mechanism available to fingerprint the individual and only fingerprinted offenses (i.e., felonies and sex and drug related misdemeanors) may be included on the file.

#### Data Reliability

Oregon estimates that over 90% of the offenses which are required by law to be fingerprinted and reported to the CCH are actually reported. Additionally, approximately 70-80% of the final court dispositions of the associated cases are actually reported; over 90% of the final dispositions associated with Part I felony offenses are reported.\*

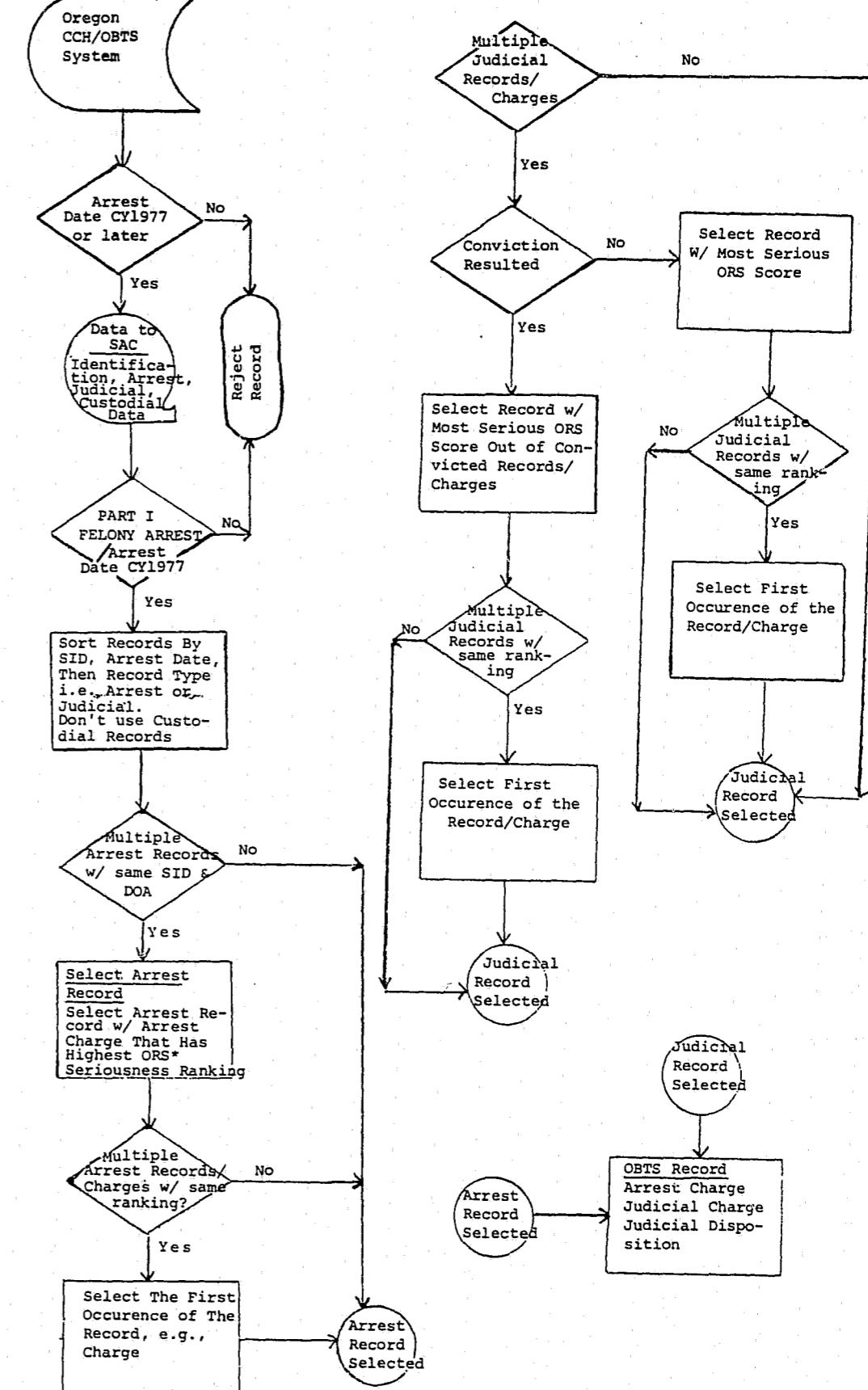
#### OBTS Record and Charge and Disposition Information Included

Figure A.2 describes the overall process used to extract records from the CCH file and transform them into OBTS records. The figure uses as an example the extraction and transformation process used to construct OBTS records with an arrest date in CY1977.

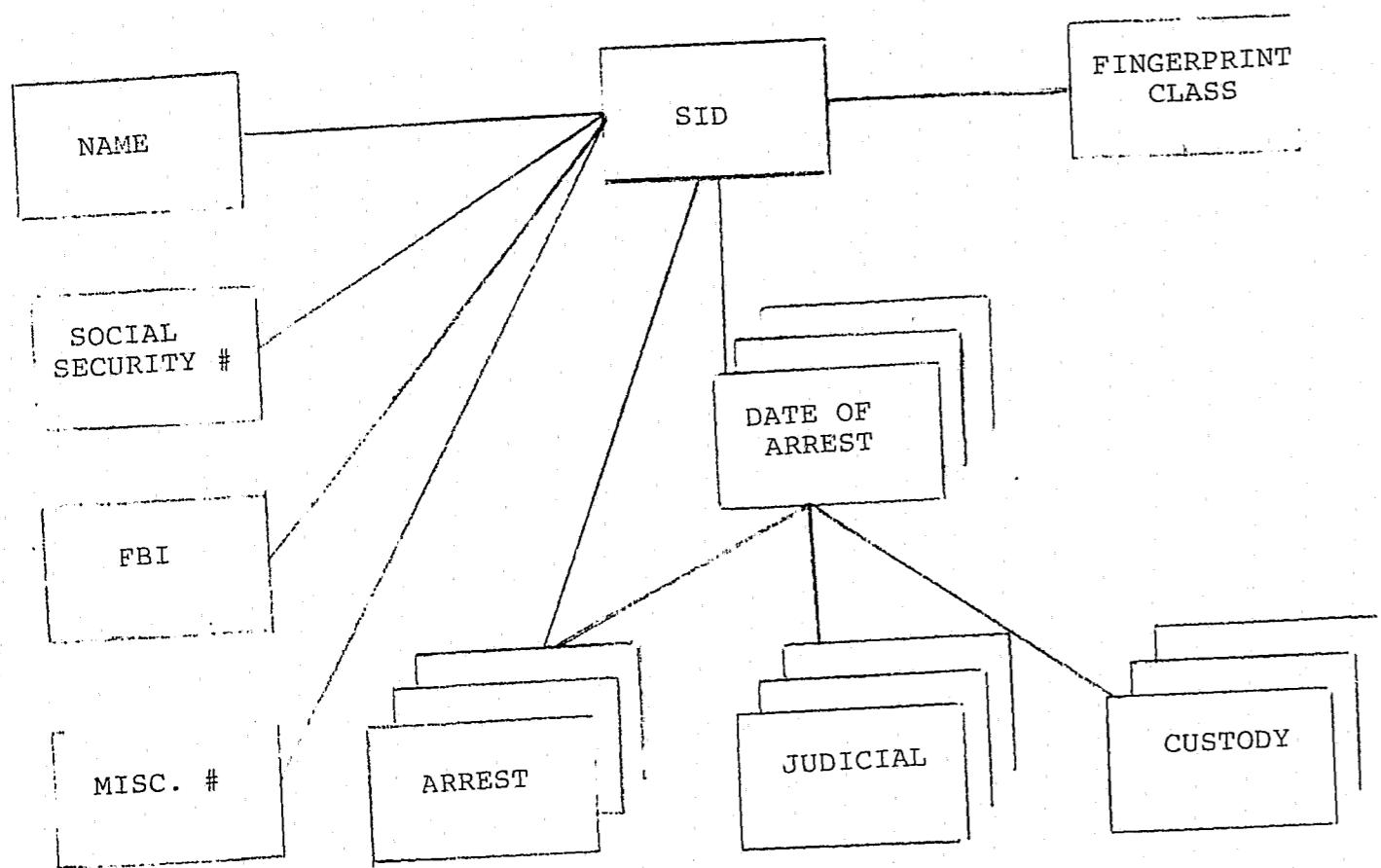
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\* Oregon has passed legislation which requires the reporting of arrests and dispositions associated with all Part I felonies and sex and drug related misdemeanors; they do not have any requirements governing the timeliness with which disposition events must be reported into the CCH after their occurrence.

FIGURE A.2: Example of Selection of OBTS Record and Charge and Disposition - Oregon



Oregon's CCH data base consists of a series of separate files which are structured similarly to the following:



Pointers are available to link an individual's identifying information (e.g., name, social security #, FBI #, Misc. #, SID, fingerprint class) with arrest-incident specific information (e.g., date of arrest, arrest charge, judicial charge, and disposition).

As noted in Figure A.2 LEDS will extract data pertaining to arrests with an arrest date later than or in a particular year (e.g., all records with an arrest date later than or equal to 1977) and forward a tape with the selected data to the SAC for analysis. Four different record types are used in the extraction to store the

information related to a particular arrest-incident. The four record types are: PDR (identifying data), arrest, judicial, and custodial. Upon receipt of the tape, the SAC will then use their own selection programs to further refine and restructure the data (e.g., they select and reformat those records associated with a Part I felony arrest made in CY1977).\*

Since a single arrest incident may involve several arrestees, several arrest charges, as well as several judicial charges, which may or may not conform to the arrest charges, a method needs to be determined to statistically summarize the information so as to reflect what is actually happening to the individual being processed. While multiple charges may be leveled against the individual, the system nonetheless is really dealing with the individual rather than with each charge. As such, in analyzing the data, Oregon used only one arrest charge and one judicial charge per individual per arrest. The OBTS file maintained by the SAC includes a single record per individual arrest incident; the charges for each record were selected in the following manner.

The arrest charge selected was the one with the highest seriousness score on a seriousness scale derived from the Oregon Parole Board matrix. The judicial charge selected was the most serious charge which resulted in a conviction or in the case of nonconviction, the most serious charge filed. The Oregon Parole Board matrix was again used in determining seriousness. In essence, this method chooses the charge which has potentially the most severe sentence associated with it.

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\* Since Oregon does not require final dispositions to be reported to the CCH within a fixed time limit after their occurrence, the SAC will usually allow a year to elapse before extracting the CCH records for that year. In this way they feel confident they are receiving most of the final dispositions which should be reported. Additionally, the State Police generates a report listing all arrest records over 270 days old for which no disposition has been received in order to insure receipt of the disposition.

## EXHIBIT A.1

## SAMPLE OBTS DATA COLLECTION FORM - OREGON

In summarizing the charge information in this manner, the judicial charge selected should be the charge which brings the individual the furthest into the system. As noted above, in the case of a conviction, Oregon will select the most serious of the charges resulting in a conviction, and its corresponding sentence. In most instances, the sentence selected will be the most severe sentence (e.g., incarceration vs. fine) actually received. That is, in Oregon, while multiple charges may be leveled against an individual, and conviction may occur on several charges, the charges are typically combined for sentencing purposes. Should separate sentences be given for different charges, the most severe sentence would typically be given for the most serious charge. Should this not be the case in a state, it may be necessary to derive a seriousness scale for sentences so as to choose the disposition/sentence (and corresponding charge) which is actually the most severe sentence received by the individual.

National OBTS Reporting Effort

To date, Oregon has not submitted a tape with OBTS data to the Bureau of Justice Statistics (BJS) in support of the national OBTS reporting effort. They can meet the BJS reporting standards with the exception of the following data elements: prosecutor charge data, sentence charge date, final pleadings, type of trial, and type of counsel. They do hope in the future to be able to send a tape to BJS in support of the national reporting effort.

		<input type="checkbox"/> If more than three arrest charges -- place excess on back of fingerprint card only If added space needed on SMT, AKA place on back of fingerprint card only		PRINTED BY THE STANDARD REGISTER COMPANY, U.S.A.	
SD	FBI	CONTRIBUTOR		NAME USED: LAST, FIRST MIDDLE	
ORI				NAM	AKA
DOA		SEX	RAC	HGT	WGT
LAN		OCA		SOC	POB
ADD		SMT			
ARREST CHARGES		ORS			
1				Enter Court Identification here Use Standard Abbreviation or ORI	
2					
3					
COURT CHARGES		ORS	COURT CASE NO.	DETERMINATION	COURT DATE
1					
2					
3					
4					
5					
6					
SENTENCE: SHOW EACH COURT CHARGE SEPARATELY		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY			

Form #86

B. NEW YORK: OBTS is Extracted from the CCH and Reporting to the CCH is Via Form, or by Direct Terminal Entry (and Computer to Computer Link)

Overview

New York has a combined CCH/OBTS system which has essentially been operational since late 1979. Prior to that, they had an operational CCH system which they updated to include an expanded set of data elements. The update included redesign and implementation of several agency systems specifically to support the new OBTS data collection effort. The system is maintained by the New York State Division of Criminal Justice Services (DCJS).

Reporting to the CCH/OBTS is via form, direct terminal entry, and computer to computer link. The arresting agencies submit fingerprint cards to DCJS, courts report to the state office of Court Administration which has direct computer link with DCJS, probation and parole submit their data by direct terminal entry to DCJS, and corrections data are submitted both by form and by terminal entry to DCJS.

The Statistical Analysis Center (SAC) which is also located within the Division of Criminal Justice Services has just recently (March 1981) produced a report which analyzes the 1978 felony offender dispositions from the CCH/OBTS data base; the report is the first analysis of the state's OBTS data.\*

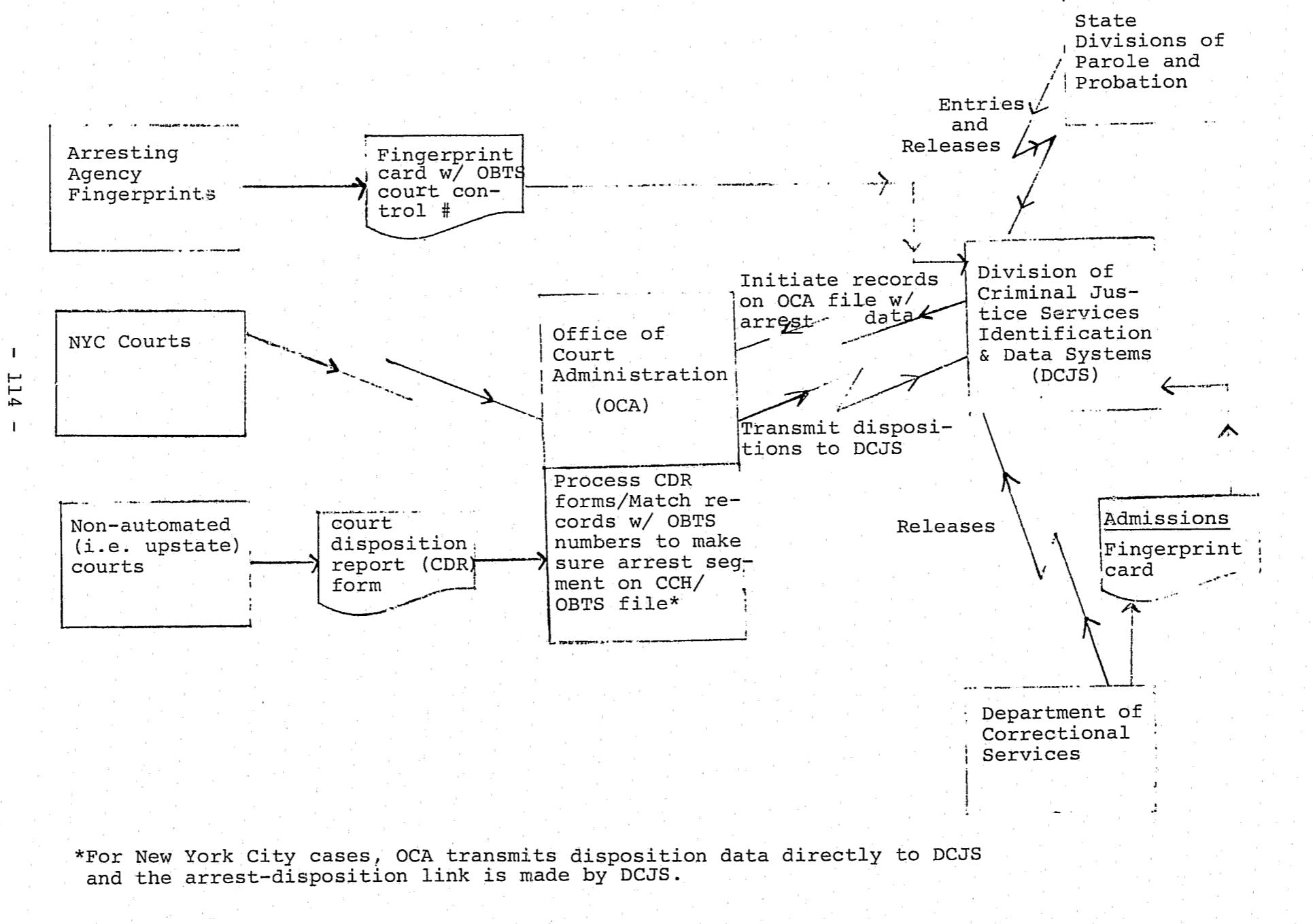
Manner of Reporting

Figure B.1 summarizes the manner of reporting data in support of the state CCH/OBTS system. Only arrests for fingerprintable offenses (i.e., all felonies, all misdemeanors and selected violations in the New York State Penal Law and selected misdemeanors from other laws, such as the Vehicle and Traffic Law or Tax Law) are included in the system.

A record is initiated upon receipt by DCJS of the arrest/fingerprint card (see Exhibit B.1) from the local arresting agency. Court segment data are submitted by the Office of Court Administration

\* Report is entitled New York State Criminal Justice Processing, Felony Offenses Disposed in 1978, An OBTS Report; March 1, 1981; Statistical Analysis Center, Division of Criminal Justice Services

FIGURE B.1: New York OBTS/CCH Form Flow



(OCA) on-line via computer to computer links. OCA receives its data from the courts in two different ways.

Courts of criminal jurisdiction in New York City have direct terminal access to the OCA computer. Disposition entries are made at the time of the final court action. This system of direct access to OCA will be expanded to the major upstate metropolitan jurisdictions in the near future.

For most upstate jurisdictions, disposition information is reported to OCA via a criminal disposition report (CDR) form. A copy of this form is included as Exhibit B.2. The form is a four-part document, the top copy of which is completed and mailed to OCA at each successive reporting stage until a final disposition occurs. The applicable reporting stages are arraignment, interim disposition (e.g., mistrial, transfer to another jurisdiction), disposition, sentence, or sealing. The data from these forms are entered into the OCA data base by OCA staff.

Dispositions thus transmitted to OCA are linked to their appropriate arrest events as follows: for non New York City arrests, DCJS transmits to OCA on a direct computer link all arrests entered onto the CCH/OBTS data base. These arrest records initiate the defendant case file to which the subsequent disposition information maintained by OCA is matched. When a match is effected, the information is transmitted directly to DCJS and is included on the CCH/OBTS data base. For New York City cases, OCA transmits disposition data directly to DCJS and the arrest-disposition link is made by DCJS.\*

The state Divisions of Probation and Parole each report entries and releases directly via terminal entry to the DCJS. The Department of Correctional Services transmits fingerprint records to DCJS for all its commitments; they report releases via terminal connected directly to the DCJS computer.

The above discusses the general procedure whereby records are entered onto the CCH/OBTS data base and may not include differences in reporting to allow for special cases.

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\*This matching is facilitated by use of the OBTS/Court Control number from the bottom portion of the fingerprint card (see Exhibit B.1). A "tear-off" section of the card with this number is submitted to the initial court of arraignment and is then available for all further court transactions.

#### Data Reliability

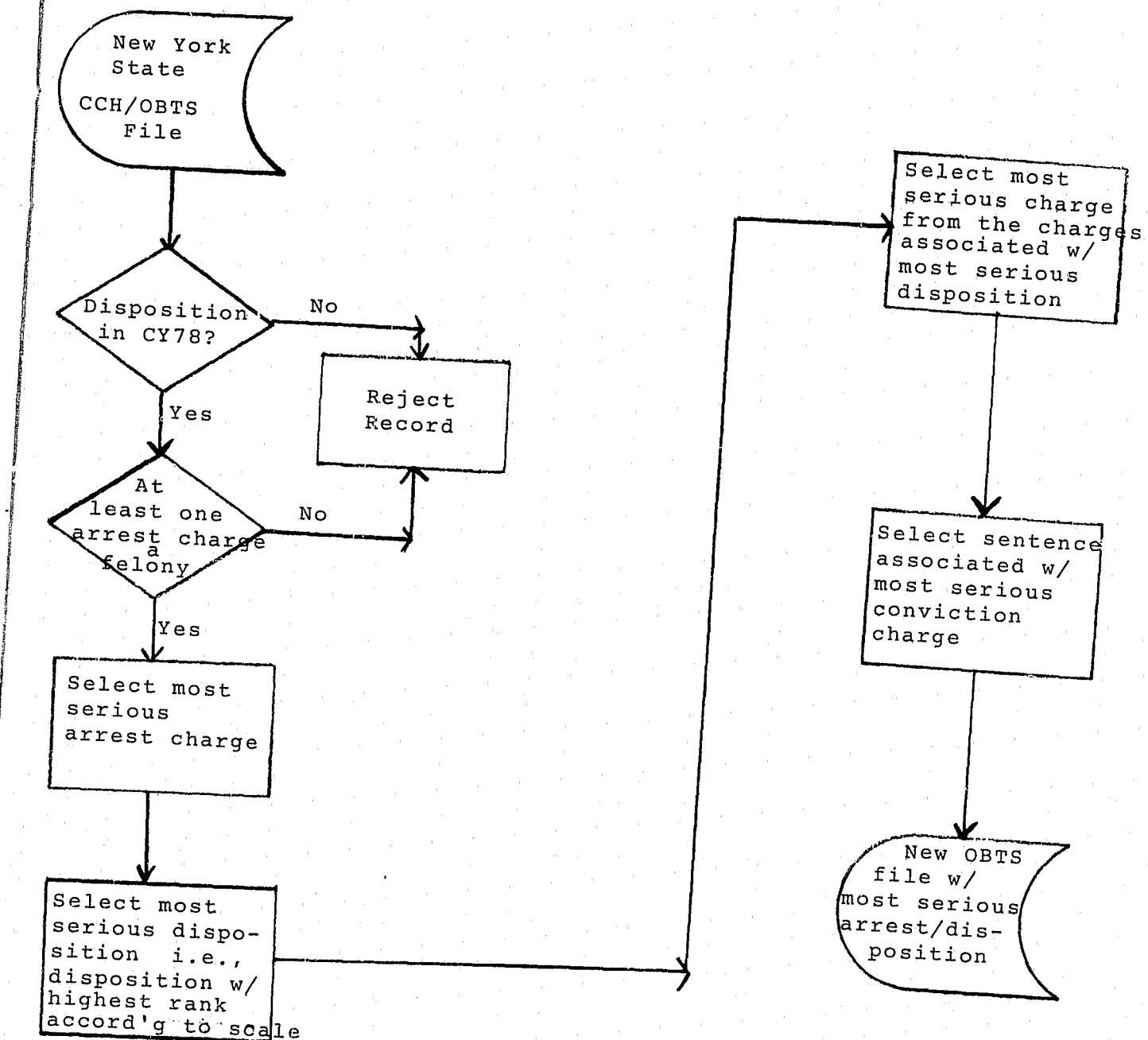
Based on the results of the analysis included in the recent report on felony offenders disposed in 1978 referenced above, the data would appear to be fairly reliable with no substantial bias evident. Disposition reporting is the most complete for New York City which represents approximately 82% of the total statewide dispositions. (In the survey administered by the CJS in September, 1980, New York State estimated that they were receiving 71-90% of all their upper court dispositions.)

#### OBTS Record and Charge and Disposition Information Included

As stated above, New York has a combined CCH/OBTS system which contains the following data elements associated with each arrest event: name, address, date of birth, arrest charges, disposition charges, disposition (e.g., dismissed, acquitted, convicted), sentence (e.g., probation, fine, commitment, conditional release), dates of admission to and release from corrections, dates of release to and discharge from parole. Records are initiated for all arrests for fingerprinted offenses (e.g., felonies, misdemeanors in New York State Penal Law, other selected misdemeanors).

As mentioned previously, New York has produced a report describing the processing of felony offenders in their state. The data used in preparing the report was extracted from the combined CCH/OBTS system. Figure B.2 describes the general procedure used to extract and reconstruct the OBTS records.

FIGURE B.2: Example of Selection of OBTS Record and Charge and Disposition Information - New York



## EXHIBIT B.1

## SAMPLE ARREST/FINGERPRINT CARD - NEW YORK

1. NYSID No.	2. Name (Last, First, Middle)		3. OBTs/Court Control No. 6170280N	4. Classification (Leave Blank)								
5. Street No.	6. Street Name	7. City/State Address/Zip	8.									
9. Alias or Maiden Name		10. Place of Birth (State or Country)	11.	12. Facsimile Control No.								
13. Date of Birth (M/D/Y)	14. Age	15. Sex	16. Race	17. Skin	18. Hair	19. Eye	20. Height Ft. In.	21. Weight				
22. Arrest Officer ID. No.	23. Arresting Agency Name		24.	25. Pct. & Arrest No.								
27. Date of Arrest	28. Place of Arrest (City & State)		29.	30. Time of Arrest								
31. Date of Crime	32. Place of Crime (City, County & State)		33.	34. Type of Arrest								
36. Law C H A R G E (S)	Section No.	Sub Div	Cls	Off Crt	Att Cd	Degr	Name of Offense	Cs	NCIC Code	Victim 1 37A. Age 38. Sex	39. Property Invoice No.	40.
41. Social Security No. 42. FBI Number												
43. Printed Name of Arrestee												
44. Arrest Agency Case No.		45. No. of Offenders		46. No. of Victims		X						
1. Right Thumb	2. Right Index	3. Right Middle	4. Right Ring	5. Right Little								
6. Left Thumb	7. Left Index	8. Left Middle	9. Left Ring	10. Left Little								
Left Four Fingers Taken Simultaneously					Left Thumb	Right Thumb	Right Four Fingers Taken Simultaneously					

INITIAL COURT REPORT OF CRIMINAL CASES  
Arresting Officer:  
(NYC) Submit to ADA  
outside NYC) Submit to Initial Court of Arraignment

▲ Tear off on dotted line ▲		JC-501 (REV. 7/79)	Court Case Number(s) (For Court Use)		
See back for full instructions - Please print or type Always complete items in Section 1					
Court Control No. 6170280 N		Pct. & Arrest No.			
1 Date of Birth (M/D/Y)	County & Name of Court		Date of Arrest		
Facsimile Control No.		Date of Arraignment			
For ADA Use — Dismissals Prior To Arraignment <input type="checkbox"/> All charges against this defendant on this arrest dismissed by ADA prior to arraignment.		Date of Dismissal	Initials		
For Court Use — Dismissals At Arraignment <input type="checkbox"/> All charges against this defendant on this arrest dismissed by Judge at arraignment.		Judge (First Initial, Last Name)			
3 Counsel	<input checked="" type="checkbox"/> Retained	<input checked="" type="checkbox"/> Assigned	<input type="checkbox"/> Legal Aid	<input type="checkbox"/> Public Defender	<input type="checkbox"/> No Counsel

EXHIBIT B.1 (Cont'd)  
FINGERPRINT CARD INSTRUCTIONS - NEW YORK

DCJS - 2 (7/79) ARREST											
STATE OF NEW YORK DIVISION OF CRIMINAL JUSTICE SERVICES IDENTIFICATION & DATA SYSTEMS ALBANY, NEW YORK 12203											
36A. Law C H A R G E (S)	Section No.	Sub Div	Cls	Off Crt	Att Cd	Degr	Name of Offense	Cs	NCIC Code	Victim 1 37A. Age 38. Sex	39. Property Invoice No.
40. Date Fingerprinted 41. Signature of Person Taking Fingerprints 42. Physical Marks and Oddities											
43. Description of Crime 44. Additional Information											
45. Arresting Officer's Name 46. Command											
INSTRUCTIONS — Leave shaded areas blank. Enter all dates as Mo.- Day-Yr., e.g. 07-28-48											
1. NYSID NUMBER - Formerly NYSIS Number. Enter if known.											
9. ALIAS AND/OR MAIDEN NAME - An alias is a complete name in which the given and/or surname is different than those entered in item 2.											
10. PLACE OF BIRTH - Enter either state or country only. If U.S.A., enter state. If not U.S.A., enter country.											
12. FACSIMILE CONTROL NO. - Enter on front and back when facsimile transmission is used.											
15. SEX - Enter "M" for Male, "F" for Female, and "U" for Unknown.											
16. RACE/ETHNICITY - Enter the racial appearance code which best describes the person's appearance.											
C - Chinese H - Hispanic (Puerto Ricans, Mexicans, etc.) I - American Indian J - Japanese N - Negro											
W - White O - Other: Includes Asian Indian, Eskimos, Filipinos, Indonesian, Koreans, Polynesians, and other non whites											
17. SKIN - Enter the skin tone code for the category which best describes the person's appearance in relation to his racial appearance, e.g. dark skinned white person, light skinned Negro.											
L - Light M - Medium D - Dark											
18. HAIR - Enter hair color code which best describes the person's hair color											
BAL - Bald RED - Red or Auburn BLK - Black SDY - Sandy BLN - Blonde or Strawberry XXX - Unknown BRO - Brown WHI - White GRY - Gray or Partially Gray OTR - Other											
*Bold (BAL) is to be used when subject has lost most of the hair on his head or is hairless.											
19. EYES - Enter the eye color codes which best describes the person's eye color.											
BLK - Black HAZ - Hazel BLU - Blue MAR - Maroon BRO - Brown PNK - Pink GRY - Gray XXX - Unknown GRN - Green OTH - Other											
22. ARRESTING OFFICER ID. # - Unique permanent number used by your agency to identify the arresting officer.											
25. PRECINCT AND ARREST NO. OR AGENCY ID. - Number assigned to identify the individual arrested by the arresting agency.											
30. TIME OF ARREST - Use military time such as 0300 for 3 A.M., 1330 for 1:30 P.M. and 23:20 for 11:20 P.M., etc.											
37/38. VICTIM'S AGE AND SEX - Enter the age and sex of the oldest victim on the line used to record charges involving this oldest victim. Leave the victim age and sex boxes blank on any line where the charge entered does not involve the oldest victim or where the charge involves a law enforcement officer. When eldest victims are the same age but different sex, enter the letter "D".											
39. PROPERTY INVOICE NO. - Enter when applicable.											
44. CASE NUMBER - Enter the number assigned by your agency to the file folder used to hold the information about all victims and offenders involved in this case.											
46. NUMBER OF VICTIMS - Enter the total number of persons victimized by the offenders in this case.											
49. PHYSICAL MARKS & ODDITIES - Enter any amputations, deformities, visible scars, marks or lumps.											
51. ADDITIONAL INFORMATION - Enter any miscellaneous information which may be helpful. If used for additional space for another item, please indicate the item number to which you are referring.											

## INSTRUCTIONS FOR INITIAL COURT REPORT OF CRIMINAL CASES

Complete Section 1. Prepare an "Initial Court Report of Criminal Cases" for each DCJS-2 arrest record completed (defendant finger-printed or arrested), regardless of whether a charge subsequently is reduced, dropped, or changed. The JC-501 should be immediately attached to and remain with the accusatory instrument.

If all charges against the defendant on this arrest are dismissed by an ADA prior to arraignment, check the box in Section 2, enter the date of dismissal, initial, and mail the form to the address below.

When this form is submitted by the arresting officer or an ADA, check it for completeness. If all arrest charges are not dismissed or arraigned, complete the form, attach it to the OCA-540 or 540A, Criminal Disposition Report and forward both to the address below. If all charges against this defendant on this arrest are dismissed by a judge at arraignment, check the box in Section 3. Complete all additional information in that section, initial, and mail the form to the address below. (A Criminal Disposition Report will not be necessary.)

## MAIL TO:

Criminal Disposition Reporting Unit

State of New York

Office of Court Administration

270 Broadway

New York, New York 10007

EXHIBIT B.2  
SAMPLE COURT DISPOSITION REPORTING FORM - NEW YORK

LOCAL COURT CRIMINAL DISPOSITION REPORT						OCA-540 10/79
<b>1</b>	SERIAL #	DOCKET/CASE #	DEFENDANT'S NAME (LAST, FIRST, M.I.)			
<b>C</b>	COURT CODE, NAME OF COURT (NAME OF T/J, V/J)			ALIAS (AKA)	D.O.B. or AGE	
<b>A</b>	NYSID #	ARREST DATE	FOR OCA USE	RELEASE STATUS	BAIL AT ARRAIGNMENT	
<b>S</b>					CASH/S	BOND
<b>D</b>	COURT CONTROL # (FROM JC-501 CARD)	ARRAIGNMENT DATE	COUNSEL TYPE	DATE TRIAL BEGAN	TRIAL TYPE	
<b>T</b>	DISPOSITION JUDGE (IF DIFFERENT)	ADA'S NAME	ARRESTING AGENCY			
<b>O</b>	ADJOURNED TO	REASON	DEFENSE ATTORNEY	ARRESTING OFFICER/COMPLAINANT		
<b>P</b>	MO/DAY		PHONE #	ADDRESS		
<b>L</b>	MO/DAY		CODEFENDANTS	PHONE #		
<b>I</b>	MO/DAY					
<b>O</b>	MO/DAY					
<b>N</b>	MO/DAY					
<b>U</b>	MO/DAY					
<b>A</b>	MO/DAY					
<b>2 INTERIM DISPOSITION</b>		BW - BENCH WARRANT ISSUED	MIST	MISTRIAL/HUNG JURY	TRANS - CASE TRANSFERRED (SPECIFY COURT)	
		ROW - RETURNED ON WARRANT	T730	TEMPORARY ORDER OF OBSERVATION - CPL 1730 4(1)		
DISPOSITION DATE	DISPOSITION CODE	TRANSFER TO COURT	DISPOSITION DATE	DISPOSITION CODE	DISPOSITION DATE	DISPOSITION CODE
<b>3 ARRAIGNMENT CHARGE # 1</b>						
LAW CODE	SECTION #	SUBSECTION *	ATTEMPT (PL ART. 110)	# OF COUNTS		
DESCRIPTION						
<b>3 ARRAIGNMENT CHARGE # 2</b>						
LAW CODE	SECTION #	SUBSECTION *	ATTEMPT (PL ART. 110)	# OF COUNTS		
DESCRIPTION						
<b>4 FINAL DISPOSITION ON CHARGE # 1</b>						
LAW CODE	SECTION #	SUBSECTION *	ATTEMPT (PL ART. 110)	# OF COUNTS		
DESCRIPTION						
DISPOSITION DATE	DISPOSITION CODE	ALL OTHER COUNTS OF ABOVE ARRAIGNMENT				
ACD DEEMED DISMISSED DATE	COVERED BY CASE #	CHARGE DISMISSED			<input type="checkbox"/>	
<b>5 SENTENCE ON CHARGE # 1</b>						
SENTENCE DATE	SENTENCE CODE					
FINE AMOUNT	PROBATION TIME					
\$	<input type="checkbox"/> 1 YEAR <input type="checkbox"/> 3 YEARS					
CUSTODY TIME	INSTITUTION	CONCURRENT	CONSECUTIVE	INTERMITTENT		
ADJUDICATED Y.O. (CPL § 720.20)	CERTIFIED ADDICT	DRIVER'S LICENSE SUSPENDED OR REVOKED				
<b>6 COMPLETED BY</b>		<b>7 SEAL ORDER (UNDER CPL § 160.50 ONLY)</b>		<b>8 REMARKS</b>		
WHITE COPY	RETURN PRINTS AND PHOTOS TO:					
YELLOW COPY	NAME					
PINK COPY	ADDRESS					
GOLD COPY	CITY, STATE, ZIP					
MAIL TO CDR UNIT OFFICE OF COURT ADMINISTRATION 270 BROADWAY	(USE RUBBER STAMP BELOW)					

C. PENNSYLVANIA - OBTS Collected as a By-Product of Agency Management Information Systems

Overview

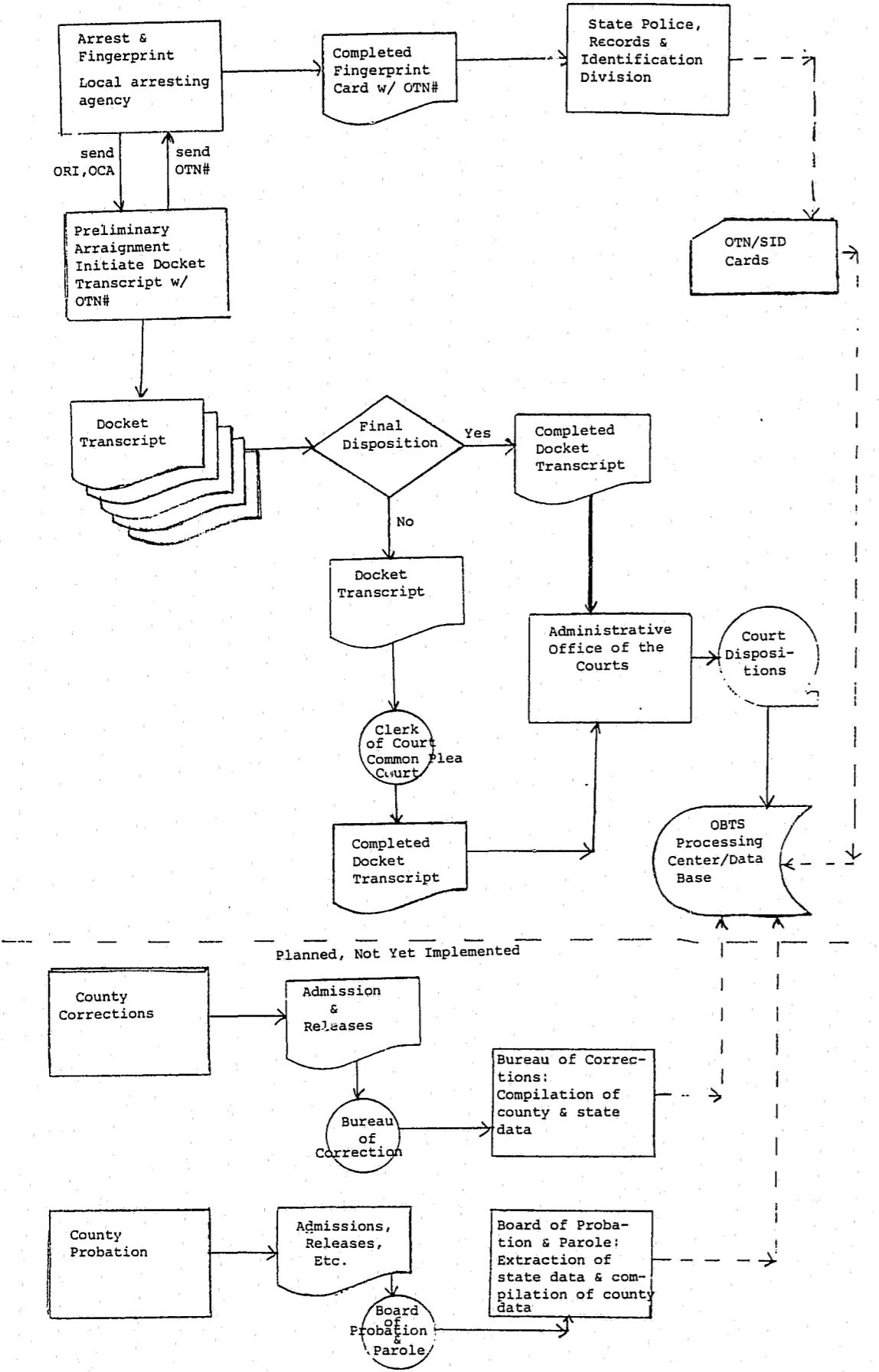
The Pennsylvania State Police functions as the service bureau for processing OBTS data. The OBTS data itself is collected as a by-product of agency management information systems, with the following agencies currently submitting tapes to the State Police: the Administrative Office of Pennsylvania Courts, the Bureau of Corrections, and the Board of Probation and Parole. The Pennsylvania State Police is in the process of building an automated name identification index (AMNI); they do not currently have an automated CCH. This segment (i.e., AMNI) will contain identifying information related to each offender's arrest and will be added to the OBTS file once it is operational. The SAC is responsible for the OBTS system and the distribution of OBTS data.

Essentially, reporting to the OBTS system commenced January 1, 1981 and a target date of October, 1981 has been set to have AMNI fully operational. However, reporting by the contributing agencies/systems (e.g., courts, corrections) has been going on for a period of time.

Manner of Reporting

Figure C.1 describes the overall process by which OBTS data is collected in Pennsylvania. At the time of arrest, the arresting agency will fill out a fingerprint card for each case classified as a felony, misdemeanor, or an escalating summary offense. Each case is required by law to appear before the district magistrate for arraignment within six hours after arrest. The district magistrate at the lower court preliminary arraignment initiates a docket transcript for the case. The docket transcript has a pre-printed number called the offense tracking number (OTN) which is the basis for linking all the charges leveled against an offender as the result of a particular arrest. The lower court furnishes the arresting agency with the OTN for inclusion on the fingerprint

FIGURE C.1: Pennsylvania OBTS Form Flow (Current & Proposed)



card and the completed card is then submitted to the State Police Records and Identification Section. The State Police will return any fingerprint card without OTN to the submitting agency. Once the fingerprints are classified, a state identification number (SID) is assigned to the case. A new SID is assigned if it is the first occurrence of the prints in the file; otherwise, the SID previously assigned to the individual is used for the case. Finally, the SID is obtained by the court clerks and entered on the docket transcript.

The docket transcript is used to record all the court events associated with the offender's case, both at the lower and upper court level. The lower court disposition is entered on the docket transcript. If this is the final disposition, the transcript is sent to the Administrative Office of the Pennsylvania Courts (AOPC); if not, it is so noted and the transcript is sent to the Clerk of Courts for the Common Pleas Court (upper court). Once a final disposition is received, the docket is completed and sent to the AOPC for processing.

A copy of the docket transcript with OTN is included in Exhibits C.1A (lower court arraignment) and C.1B (upper court); the docket transcript is a 6-part form. As noted on the transcript, each charge, and the disposition of each charge, is included on the form as well as the sentence, if any, received. The AOPC processes all the completed docket transcripts for their own use and also submits a tape once a month to the State Police Computer Center for inclusion on the OBTS data base.

Pennsylvania does not currently have an arrest segment on their OBTS file; receipt of the court records from the AOPC initiates the court segment of the OBTS file. Once the name-identification index file (AMNI) at the State Police becomes automated, receipt of the fingerprint card will initiate the arrest segment of the OBTS file.

County prisons and jails report admission and release data to the Bureau of Correction on a manual basis. The Bureau processes this data for their own internal use and also submits it to the SAC for inclusion on the OBTS data base once a month. Additionally, the Bureau reports admissions to, and releases from, state institutions to the SAC once a month. Finally, the county probation offices report additions and closures to the Board of

Parole and Probation on a manual basis. The Board, in turn, reports this data as well as additions and closures of clients under its jurisdiction obtained from its automated management information system to the SAC for inclusion on the OBTS data base.

The mechanism for linking the supervision and custody data with the court processing data is the OTN. The OTN is furnished to the supervision or custody agency by the court clerk via standard commitment forms; the forms or data bases being used by the various supervision or custody agencies were modified to include the OTN.

#### Data Reliability

At the time of the survey (Fall, 1980), it was estimated that only 50-75% of arrests for felonies, misdemeanors and escalating summaries were being reported.\* This would appear to have been mainly due to the fact that only about 60% of all such offender arrests had fingerprint cards, and legislation passed in January, 1980 required fingerprint submission for all felonies, misdemeanors, and escalating summaries. This situation is improving as many of the smaller police departments who were not previously doing so are beginning to fill out fingerprint cards.

On the other hand, it is estimated that the SAC is receiving final court dispositions for over 90% of the arrests which go to court, and that the information collected via the docket transcript is relatively complete.

#### OBTS Record and Charge and Disposition Information Included

Pennsylvania's OBTS is designed so that a record represents one charge leveled against the offender as the result of an arrest. The major data elements included on the file at this time are those elements extracted from the docket transcript which is depicted in Exhibits C.1A and C.1B. As indicated by the docket transcript, there

\*Refers to reporting in support of the arrest segment which is not yet operational.

is a separate section for upper and lower court on the OBTS file. Additionally, admissions and releases from corrections and parole and probation are noted on the records. The records related to a particular arrest incident can be linked via the OTN. The records associated with all arrests related to an individual or, in other words, the criminal history of an individual, can be linked via the SID.

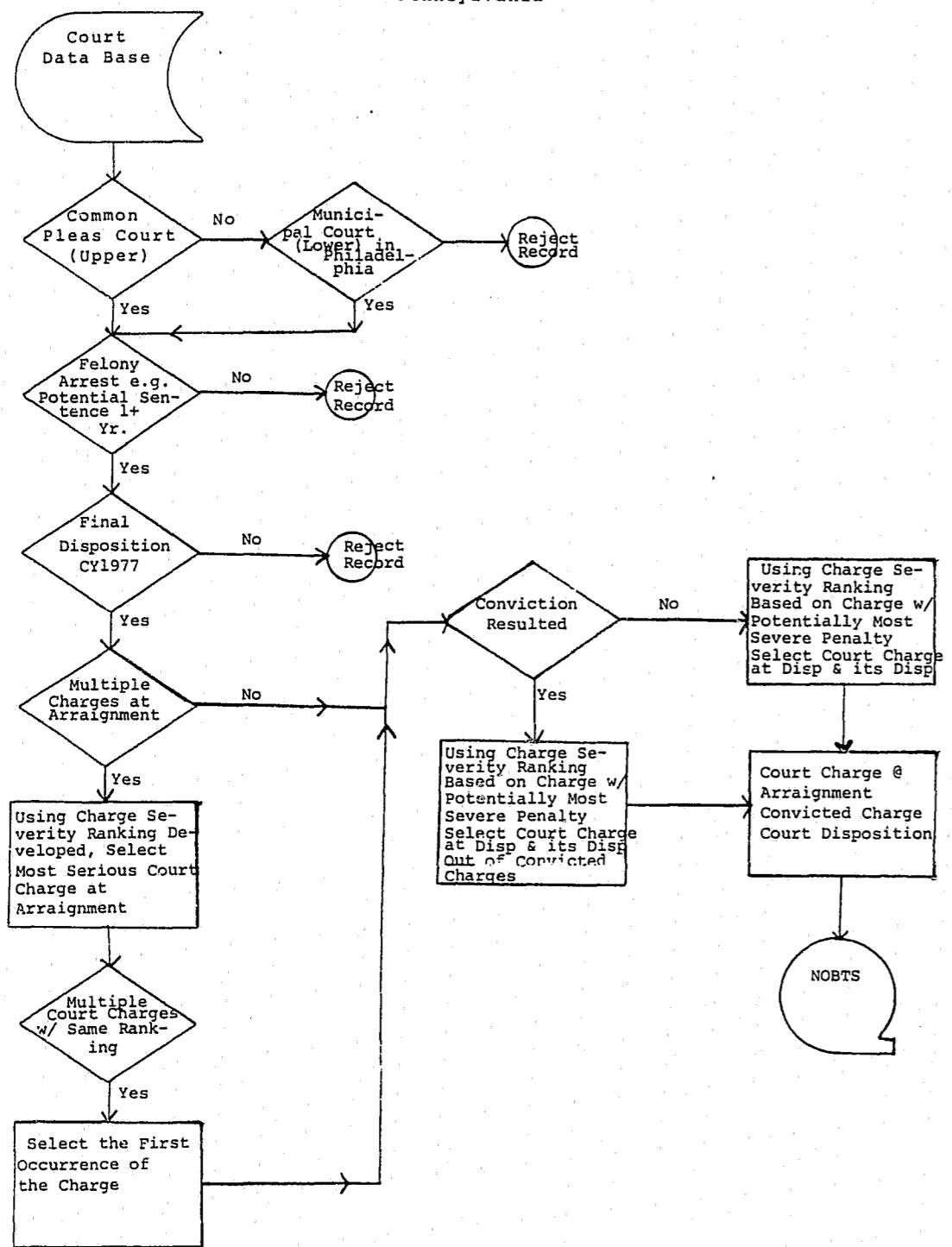
As stated previously there is currently no arrest segment on the Pennsylvania OBTS. A record is initiated with receipt of the court record (or a custody or supervision record). Since in Pennsylvania, the police can not dispose of a case, and since all cases must appear before the district magistrate for a preliminary hearing within six hours of arrest, the arrest charges and court filing charges are almost always the same. Hence, even at this point, the OBTS is in essence covering the processing of offenders from arrest to disposition.

#### National OBTS Reporting Effort

Pennsylvania was one of the ten states who sent in a tape of offender processing data to the Bureau of Justice Statistics last year in support of the National OBTS reporting effort. The process they used to select the records and the charge and disposition data is outlined in Figure C.2.

Only records which had a final disposition occurring in CY1977 at the upper court level (i.e., the Common Pleas Court) were selected. These records represented most of the felony case dispositions occurring in CY1977. The selecting of the most serious charge at arraignment and the most serious disposition were made in the same way as in Oregon. That is, a charge severity ranking scale was used to select the most serious charge at arraignment. The charge at conviction was selected by use of a charge severity ranking scale based on charges with potentially the most severe penalty. That is, out of the convicted charges, the charge with potentially the most severe penalty, according to this scale, was selected, along

FIGURE C.2: Selection of OBTS Records & Charge & Disposition  
(From Court Data Base) For NOBTS Tape Submission\* -  
Pennsylvania



with its disposition and sentence.\*

As noted in Oregon's summary, this method of selecting the most serious charge at conviction and its sentence, could, in some cases, miss the most severe sentence actually imposed and the associated charge. However, in most instances, the charge with potentially the most serious sentence according to the scale will be the charge which actually has the most severe sentence associated with it.

\*Process used to extract FY1977 data in support of the 1980 National OBTS reporting effort.

\*The BJS reporting standards only required the submission of the most serious arrest and most serious conviction charge.

## EXHIBIT C.1A

SAMPLE DOCKET TRANSCRIPT  
LOWER COURT ARRAIGNMENT - PENNSYLVANIA

4. NAME AND ADDRESS (LAST NAME FIRST)		7. DATE OF TRANSFER	16. DOCKET NO. OF INITIAL ISSUING AUTHORITY
		MM DD YY	MM DD YY
8. AFFIANT WHO SIGNED COMPLAINT (NAME AND ADDRESS)			
10. DATE OF BIRTH		11. SEX	12. MARITAL STATUS
MM DD YY			
13. OPERATOR LICENSE NUMBER		14. STATE	15. ORI
MM DD YY		MM DD YY	MM DD YY
16. DATE OF ARREST		17. DATE COMPLAINT FILED	18. DATE WARRANT ISSUED
MM DD YY		MM DD YY	MM DD YY
19. DATE ISSUED		20. WARRANT NUMBER	21. DATE RETURNED
MM DD YY		MM DD YY	MM DD YY
22. DATE PRELIMINARY ARR AIGNT		23. DATE WAIVED TO COU	24. TIME
MM DD YY		MM DD YY	MM DD YY
25. ADDRESS OF PRELIMINARY HEARING / SUMMARY TRIAL			
MM DD YY		26. DATE SET FOR PRELIMINARY HEARING	27. CON.
MM DD YY		MM DD YY	
28. DESCRIPTION OF CHARGES			
MM DD YY		29. OFFENSE DATE	30. SECTION AND SUB-SECTION
MM DD YY		MM DD YY	MM DD YY
31. DISPOSITION		MM DD YY	
32. DATE SET FOR WITNESS FOR COMPLAINANT			
MM DD YY		33. PUBLIC DEFENDER	34. APPLICATION PROVIDED FOR APPOINTMENT OF PUBLIC DEFENDER
YES NO		YES NO	YES NO
35. CODEFENDANT(S) NAME			
36. OTN		37. OTN	38. OTN
A.		B.	C.
D.		E.	F.
39. ENTER "C" FOR WITNESS FOR COMPLAINANT ENTER "D" FOR WITNESS FOR DEFENDANT			
40. WITNESSES NAMES AND ADDRESSES AND NAMES AND ADDRESSES OF PERSONS (NOT MORE THAN 2), DEFENDANT WISHES TO BE NOTIFIED FOR TRIAL			
41. SWORN TESTIFIED		42. DEFENSE TO BE NOTIFIED	43. MM DD YY
ATTORNEY'S NAME AND ADDRESS FOR:			
44. I.D. NO.			
45. COMMONWEALTH:			
46. COMPLAINANT:			
47. DEFENDANT: PRIVATE OTHER			
48. DATE OF DECISION		49. AMOUNT	50. COSTS
MM DD YY		\$ MM DD YY	\$ MM DD YY
51. JUDGEMENT OF SENTENCE			
52. NAME AND ADDRESS OF CORPORATE SURETY AND AGENT OR INDIVIDUAL SURETY - PRELIMINARY ARR AIGNT			
53. DATE BAIL POSTED			
54. TYPE		55. AMOUNT	56. DATE SET
57. TYPE		58. AMOUNT	59. DATE SET
60. NAME AND ADDRESS OF CORPORATE SURETY AND AGENT OR INDIVIDUAL SURETY - PRELIMINARY HEARING			
61. DATE BAIL POSTED			
62. COMMITTED DATE		63. PLACE OF COMMITMENT	
MM DD YY			
Certified this day of , 19			
65. CERTIFICATION COMMISSIONER SEAL			

I, THE ABOVE-NAMED ISSUING AUTHORITY CERTIFY THAT THIS TRANSCRIPT IS A TRUE AND CORRECT TRANSCRIPT OF THE DOCKET.

## EXHIBIT C.1B

## SAMPLE DOCKET TRANSCRIPT COURT DISPOSITION - PENNSYLVANIA

1. NAME AND ADDRESS (LAST NAME FIRST)		7. DATE OF TRANSFER	8. DOCKET NO. OF INITIAL ISSUING AUTHORITY
		MM DD YY	MM DD YY
9. REPORT OF JUDICIAL CRIMINAL PROCEEDINGS			
ATTN: CLERK OF COURTS: THIS PORTION OF THIS FORM (COMMENCING WITH BLOCK 9) IS TO BE COMPLETED BY YOU OR YOUR APPROPRIATE DESIGNEE			
10. DATE OF PLEA			
11. DATE OF BIRTH			
12. DATE COMPLAINT FILED			
13. DATE WARRANT ISSUED			
14. OPERATOR LICENSE NUMBER			
15. STATE			
16. DATE OF ARREST			
17. DATE COMPLAINT FILED			
18. DATE WARRANT ISSUED			
19. DATE BAIL SET			
20. EXPLANATION OF BAIL CODES			
1-MONTH 2-NONE 3-CASH 4-PERCENTAGE CASH 5-SURETY 6-DEATH 7-DEFAULT 8-COMMITTED WITHOUT BAIL			
21. AMOUNT			
22. DATE POSTED			
23. FINAL CHARGES			
IF INITIAL CHARGE IS CHANGED INDICATE LETTER OF LINE(S) ON WHICH NEW CHARGE(S) APPEAR			
ALL ENTRIES MUST BE LEGIBLE			
24. DATE OF DISPOSITION			
25. SECTION AND SUB-SECTION			
26. DISPOSITION			
27. DESCRIPTION OF CHARGES			
28. DATE OF DISPOSITION			
29. TYPE OF DISPOSITION			
(101) GUILTY PLEA			
(102) GUILTY PLEA TO LESSER OFFENSE			
(103) NOLO CONTENDERE			
(201) NOLE PROSED/WITHDRAWN			
(202) QUASHED/DISMISSED/DEMURRER SUSTAINED			
(203) OTHER (SPECIFY)			
(204) DISMISSAL UNDER PA. R. CRIM. P. 1100			
(301) JURY			
(302) COURT			
(311) NOT GUILTY			
(312) GUILTY			
(313) GUILTY OF LESSER CHARGE			
(401) ARD COUNTY			
(402) ARD STATE			
(403) DISPOSITION IN LIEU OF TRIAL			
30. TYPE OF SENTENCE			
(501) DIAGNOSTIC CLASSIFICATION CENTER			
(502) REGIONAL CORRECTIONAL FACILITY			
(503) COUNTY JAIL			
(511) STATE (PBPP) REGULAR PROBATION			
(512) STATE (PBPP) PROBATION W/O VERDICT			
(513) COUNTY-REGULAR PROBATION			
(514) COUNTY-PROBATION W/O VERDICT			
(521) FINES-TOTAL AMOUNT ONLY ..... \$			
(522) COSTS-TOTAL AMOUNT ONLY ..... \$			
(523) FINES AND COSTS SUSPENDED			
(531) DEATH PENALTY			
(532) MENTAL HOSPITAL			
(533) OTHER (SPECIFY)			
31. I.D. NO.			
32. TRIAL COMMENCED DATE			
33. NO. TRIAL-DAYS			
34. DISPOSITION DATE			
35. SENTENCE DATE			
36. EFFECTIVE DATE OF SENTENCE			
37. FUGITIVE YES			
38. DEFENSE COUNSEL			
A. PUBLIC DEFENDER			
B. PRIVATELY RETAINED			
C. COURT APPOINTED			
D. SELF REPRESENTED			
39. DEFENSE COUNSEL NAME			
40. I.D. NO.			
41. PRESIDING JUDGE (LAST NAME FIRST)			
42. COUNTY			
43. CASE NUMBER			
44. NAME OF PERSON REPORTING			
45. WHEN SENTENCE CONCURRENT ENTER CHARGE CODE			
46. WHEN SENTENCE CONSECUTIVE ENTER CHARGE CODE			
AFTER DISPOSITION OF CASE, MAIL THIS FORM TO: ADMINISTRATIVE OFFICE OF PENNSYLVANIA COURTS STATISTICAL UNIT 1414 THREE PENN CENTER PLAZA PHILADELPHIA, PENNSYLVANIA 19102 (215) - 567-3071 / (215) - 568-3578			
USE REVERSE SIDE FOR REMARKS			

## APPENDIX A

### CRIMINAL JUSTICE STATISTICS ASSOCIATION

### QUESTIONNAIRE ON OFFENDER BASED TRANSACTION STATISTICS

Name of Principal Respondent: \_\_\_\_\_

Title: \_\_\_\_\_

Agency: \_\_\_\_\_ Phone Number: \_\_\_\_\_

#### Other Persons Assisting in Questionnaire's Completion:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Agency: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Agency: \_\_\_\_\_ Phone Number: \_\_\_\_\_

#### Survey Instrument Purpose

This questionnaire is designed to survey the development in the various states of systems in support of Offender Based Transaction Statistics (OBTS). The survey results will be used to determine the status of OBTS development in the states and to assess the level of data analysis that can realistically be expected given current and planned data availability.

This study is authorized by law (42USC§3701). While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

Deadline for response is September 30, 1980.

The survey results are essential to the overall CJSA/OBTS project objectives to: better define the OBTS concept and its utility; make recommendations regarding improved OBTS data collection techniques; make recommendations regarding the SAC role in OBTS development, operation, and analysis; and develop a comprehensive plan for the analysis of OBTS data.

#### Survey Instrument Terminology

Unless stated otherwise, the definitions for words (e.g., charge, offense, arrest, summons, court disposition, trial) used in this survey instrument are those found in the Dictionary of Criminal Justice Data Terminology, First Edition, 1976.

As used in this survey instrument, "offender" refers to either an adult convicted of a criminal offense or charged with a specific offense but not convicted or not yet tried.

Throughout this survey instrument questions are asked about whether or not your state has done in the past, is currently doing, is in the process of doing, or is planning in the future to perform some particular activity. When responding to this type of question, the following definitions should be used:

In the Past - refers to some activity that was completed over a year ago.  
Currently - refers to an activity that was completed during the last year including those activities that are on-going.

In Process - refers to an activity that is not completed but is being worked on at the present.

Planned - refers to an activity that is anticipated for the future but has not been formally initiated.

#### Survey Instrument Outline

Listed below are the sections of the questionnaire. Only the first two sections are applicable if your state is not currently operating or developing a state OBTS or does not have active plans to develop a state OBTS. Where your state's OBTS is in the planning, design, development, implementation, or operational stage, sections III - XI are to be completed in addition to sections I and II.

SECTION	Page
SECTION I: Information System Overview	1
SECTION II: Offender Statistics - Development and Use	2
SECTION III: Stage of Development of Offender Based Transaction Statistics (OBTS)	7
SECTION IV: Manner of Reporting OBTS	7
SECTION V: OBTS Tracking Mechanism and Tracking Accounting Unit	8
SECTION VI: OBTS Charge, Offense, and Disposition Information	9
SECTION VII: OBTS Police, Courts, and Corrections Data Elements	11
SECTION VIII: Timeliness of OBTS Data Reporting and File Update	12
SECTION IX: Completeness of OBTS Data Reporting	13
SECTION X: OBTS Data Quality Control and Audits	14
SECTION XI: OBTS Analysis	15

## SECTION I: Information System Overview

### OBTS and CCH Development

1. Is your state currently maintaining, in the process of developing, or presently planning to implement a statewide Offender Based Transaction Statistics (OBTS) system?

Yes  No

If the answer is no, skip to page 2, question 5, and complete all questions through page 7, question 16, before returning this questionnaire.

2. a. Indicate the current stage of CCH and OBTS development in your state. (Check Appropriate Stage):

	Planning/ Preliminary Study	Detailed System Investigation and Analysis	Detailed Design (Outputs, Inputs, Files, Processing, Controls)	Development (Scheduling, System Programming, Imple- mentation Testing)	System Operational
CCH	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OBTS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- b. In light of the presidential and congressional recommendation to eliminate LEAA's grant-in-aid program from the 1981 budget, what is the minimal type and level of assistance you would have to seek (wish to seek) from BJS in order to assure continued OBTS development?

- c. What support would you anticipate existing in your state for OBTS development should federal assistance be severely restricted at the conclusion of any on-going funding?

3. a. Is your state's OBTS system a combined OBTS/CCH system?

Yes OBTS extracted from CCH file  
 Separate OBTS and CCH files created when data reported to state  
 Other, explain:

No, explain how OBTS is being developed:

- b. How dependent is your state's progress with respect to OBTS development on continued progress with respect to CCH development and implementation? (Circle Appropriate Response)

VERY DEPENDENT      SOMEWHAT DEPENDENT      NOT DEPENDENT

4. This question pertains to those states where OBTS is in the operational stage or anticipates being operational at the conclusion of on-going grant support:

- a. Is your state committed to providing the resources to operate the OBTS system (or CCH system if the same)?

Yes  No  Uncertain

- b. Is your state committed (or anticipated to be committed) to providing the resources needed for generating OBTS output reports and analyzing and disseminating this information consistent with identified state needs once OBTS is operational?

Yes No Uncertain

OBSCIS, SJIS, PROMIS System Status

5. Where the following systems are or have in the past been funded in your state, what is their current stage of development? (Check appropriate stage.)

	Planning/ Preliminary Study	Detailed System Inves- tigation and Analysis	Detailed Design (Outputs, Inputs, Files, Processing, Controls)	System Develop- ment (Scheduling, Programming, Testing)	System Imple- mentation	System Opera- tional
OBSCIS	—	—	—	—	—	—
SJIS	—	—	—	—	—	—
PROMIS:	—	—	—	—	—	—
1.	—	—	—	—	—	—
2.	—	—	—	—	—	—
3.	—	—	—	—	—	—
4.	—	—	—	—	—	—
5.	—	—	—	—	—	—

6. Indicate by an asterisk (\*) in the left hand margin those systems listed above that are anticipated to contribute as a by-product to OBTS development (or CCH where the same).

Other Information System Status

7. List below any other information systems in your state either operational or under development (and not specifically mentioned above) which are or could contribute to OBTS or offender oriented statistical development in your state. For the systems listed provide the following information:

System Name	Geographic Area System Serving	Stage of Development <sup>t</sup>	Principal Purpose of System
-------------	-----------------------------------	--------------------------------------	-----------------------------

1.

2.

3.

4.

5.

<sup>t</sup>Planning, Design, Development, Implementation, Operational

8. Indicate by an asterisk (\*) in the left hand margin those systems listed above that are anticipated to contribute as a by-product to OBTS development (or CCH where the same)

SECTION II: Offender Statistics - Development and Use

Aggregate Criminal Justice Processing Statistics

9. Does your SAC prepare any reports or analyses in which the aggregate statistics from several agency information systems (e.g., UCR arrest, state court information system, state corrections information system) are combined to provide an overall picture of criminal justice processing?

YES	NO
In the Past	—
Currently	—
In Process	—
Planned	—

-2-

If yes, list the most recent report giving the title and year prepared:

---



---



---

What efforts, if any, are made to reconcile differences in the "unit of count" (e.g., charge, arrest, case, offender) when looking at the aggregate statistics of one agency compared to another?

---



---



---

Offender Tracking Statistics from Manual Files

10. a. Does your state use (plan to use) various agency manual files to construct ex post facto "OBTS" records for some select group or sample of offenders?

YES NO

In the Past	—
Currently	—
In Process	—
Planned	—

If yes, describe the most recent work (e.g., number of records, period of time, sampling procedure, geographic area covered) and list any report(s) produced:

---



---



---

- b. What was the principal reason for the use of this method to construct an "OBTS" data base (e.g., to illustrate the OBTS concept, to justify expanded OBTS development, to answer some specific issue or question, to minimize cost):

---



---



---

Merging of Offender Oriented Data Bases

11. a. Does your state make any effort to link together the information on the same offender maintained on various agency or subsystem data bases in order to create a unique offender tracking record?

YES NO

In the Past	—
Currently	—
In Process	—
Planned	—

If yes, briefly describe the most recent effort and list any report(s) produced:

---



---



---

- b. What difficulties are encountered in trying to identify and link together the various components of an offender's processing across the system components (e.g., arrest, lower court, upper court)? How was this done?

---



---



---

- c. Based on your experience, is this a reliable way of constructing an OBTS data base? Yes Not Currently No

-3-

Statistical Analysis Questions and Issues

12. Listed below are a series of questions. Indicate by a check in the left hand column if it is a question you feel your state would have an interest in addressing. If so, indicate how important an OBTS file would be to addressing the question in whole or in part. Also, indicate other data bases in your state that would be needed to aid in addressing the question:

Importance of OBTS in Addressing the Question I-Important S-Somewhat Important N-Not Important (Circle One)	Other Data Bases in Your State Important to Addressing the Question
---	---

(✓) Check Question:	I S N
How many criminals are there in your state?	I S N _____
How many unique persons are arrested in your state in a year?	I S N _____
What percentage of total arrests are caused by what percentage of the arrestees?	I S N _____
How many people are active at various stages in the criminal justice system?	I S N _____
How many people are processed through various components of the system?	I S N _____
How many people released from various points in the system return (e.g., are subsequently arrested again) and how far do they penetrate the system upon return (e.g., acquitted, convicted and sentenced to imprisonment)?	I S N _____
How does sentencing vary from jurisdiction to jurisdiction (controlling for defendant characteristics)?	I S N _____
How many offenders should state corrections plan for in future years? State probation? Local jails?	I S N _____
How has the processing of offenders (women, youthful, serious) changed over time?	I S N _____
Where should the criminal justice system allocate new resources (e.g., jails, judgeships, prosecutors)?	I S N _____
What offenders are better risks for certain types of corrections programs (e.g., community corrections, work release, probation)?	I S N _____

Importance of OBTS in Addressing the Question I-Important S-Somewhat Important N-Not Important (Circle One)	Other Data Bases in Your State Important to Addressing the Question
---	---

(✓) Check Question	I S N
How many rearrests occur while persons are active in the criminal justice system? At what stage are they active when rearrested?	I S N _____
What is the time between arrest and trial? What is the impact of delay in processing on court disposition?	I S N _____
What does it cost to process a person through the criminal justice system? For various offenses? For various dispositional alternatives?	I S N _____
What comparisons can be made between offender volumes through the system and the corresponding costs of processing?	I S N _____

13. Listed below are some broad areas or classes of analysis that should be helpful in addressing the types of questions listed above. Indicate the extent to which your State is developing the capacity to perform these types of analyses. Also indicate the impact that a state OBTS would have on the development of the capacity to perform these types of analyses.

Class of Analysis	State/SAC has done work in this area	State/SAC currently doing work in this area	State/SAC plans to do work in this area	Role OBTS would play in Capacity Building E-Enhanced S-Somewhat Enhanced N-Not Enhanced (Circle One)
System "Offender" Processing Description (e.g., by system component, crime type breakdown, geographic areas)	_____	_____	_____	E S N
System Rates of Processing (e.g., conviction rates, active as a percent of total intake) and Flow Dynamics (e.g., how many exit at different decision points)	_____	_____	_____	E S N
System Resource, Workload, & Cost description as it relates to offender processing	_____	_____	_____	E S N
Elapsed Time Between Events in Processing and Effect on Backlogs (e.g., court cases awaiting disposition)	_____	_____	_____	E S N
Length of Offender Stay in Various Sentencing Alternatives and Effect on the Size of the Active Population to be Treated (e.g., Probation Population, Imprisonment Population)	_____	_____	_____	E S N

<u>Class of Analysis</u>	<u>State/SAC has done work in this area</u>	<u>State/SAC currently doing work in this area</u>	<u>State/SAC plans to do work in this area</u>	<u>Role OBTS would play in Capacity Building</u>
				E-Enhanced S-Somewhat Enhanced N-Not Enhanced (Circle One)

Rates of "Offender" Return to the System (as measured by point of release, point of return and subsequent system penetration, elapsed time between release and return, offender characteristics or attributes)

E S N

Trends in System Processing and Forecasts/Projections of Future Processing

E S N

Analysis of Factors Which Induce Change in System Processing (external forces; legislative, executive, judicial policy and funding)

E S N

Analysis of Questions of Equity in Defendant/Offender Processing

E S N

14. Are there any specific analytic techniques or frameworks (e.g., simulation models, queueing models, forecasting techniques) which you feel would be helpful in better managing OBTS data for purposes of display and use?

Describe or list:

---



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15. a. What degree of emphasis should be placed on identifying, documenting, and disseminating information on specific analytic techniques or frameworks for managing and displaying OBTS and related data? Circle one:

INCREASED      ABOUT THE SAME      DECREASED

- b. If you feel emphasis should be increased or remain the same, how would you rate each of the following methods for improving the awareness of analytic techniques in support of OBTS?

H - High      M - Medium      L - Low

- Preparation of specific analytic technique packages which describe the technique, the data requirements, the outputs to be obtained.
  - In addition to the above, where applicable document and prepare for dissemination information on actual computer programs that support the technique.
  - In addition to the above, have such programs operating on the Michigan Terminal System (e.g., unsupported file) where they can be accessed remotely via terminal.
  - Identify and provide access to national resources which maintain expertise in the State of the Art of OBTS analytic techniques and methodologies.
  - Conduct seminars/training programs regarding specific OBTS analytical methodologies
  - Other, explain:
- 

16. List up to three issues or concerns in your state where offender statistics generated from the various agency data bases have played an important role in formulating policy recommendations. (Issues or concerns would include, for example, prison overcrowding, reducing court delay, assessment of legislative impact of mandatory sentencing.)
- 
- 
- 

NOTE: If your state is not currently operating or developing a state OBTS or does not have active plans to develop a state OBTS then do not proceed and simply return the first two sections of the questionnaire. Otherwise, proceed to answer the questions in Sections III-XI to the extent possible.

#### SECTION III: Stage of Development of Offender Based Transaction Statistics (OBTS)

17. For each of the data segments of your state OBTS (e.g., police, courts, corrections) indicate the current stage of development:

OBTS Data Segment	No Plans to Implement This Segment	System Design	System Development	System Programming	System Implementation	System Operational (Date Commenced)
Police Segment: Identification/ Fingerprint	_____	_____	_____	_____	_____	_____
Arrest (Charge/ Police Disposi- tion)	_____	_____	_____	_____	_____	_____
Prosecutor Segment (if applicable)	_____	_____	_____	_____	_____	_____
Lower Court Segment	_____	_____	_____	_____	_____	_____
Upper Court Segment	_____	_____	_____	_____	_____	_____
Corrections Segment: State Custody/Parole	_____	_____	_____	_____	_____	_____
Local Custody	_____	_____	_____	_____	_____	_____
Probation	_____	_____	_____	_____	_____	_____

#### SECTION IV: Manner of Reporting OBTS

18. For each of the major OBTS data element segments (i.e., police, prosecutor, courts, corrections) indicate the manner by which the data is reported or planned to be reported on the table which appears on the next page. Circle the "C" if it is currently reported that way; the "I" if it is in the process of being designed, developed, or implemented to report that way; and circle the "P" if it is planned to be reported that way. More than one manner of reporting can be circled per row where appropriate.

<u>OBTS Data Block Segment:</u>	<u>Directly to State OBTS Via Prescribed Form</u>	<u>Directly via Terminal Entry</u>	<u>By-Product of Agency MIS Which Supports Applications in Addition to State OBTS/CCH</u>
---------------------------------	---	------------------------------------	---

<u>Police Segment:</u>	C I P	C I P	C I P
Identification	C I P	C I P	C I P
Arrest (Charge/Disposition)	C I P	C I P	C I P
Prosecutor Segment	C I P	C I P	C I P
Lower Court Segment	C I P	C I P	C I P
Upper Court Segment	C I P	C I P	C I P
<u>Corrections Segment:</u>	C I P	C I P	C I P
State Custody/Parole	C I P	C I P	C I P
Local Custody	C I P	C I P	C I P
Probation	C I P	C I P	C I P

19. Agencies Responsible for Reporting

What agencies in your state are responsible (will be responsible) for reporting?

Police Data: \_\_\_\_\_

Courts Data: \_\_\_\_\_

Corrections Data: \_\_\_\_\_

SECTION V: OBTS Tracking Mechanism and Tracking Accounting Unit

Tracking Mechanism

20. Briefly describe (or attach documentation which describes) the tracking mechanism which enables the data element segments (i.e., police, prosecutor, lower court, upper court, corrections) associated with a given offender processing to be linked together. Note: By offender processing is meant the set of related events, typically starting with arrest and following through court disposition and where convicted sentence which are reported and linked together for a specific offender.

\_\_\_\_\_

21. Are identifiers available (planned to be available) that enable a given processing for an offender to be linked to prior (or future) processing on the same offender (i.e., the multiple processings would constitute the offender's criminal history record and would support recidivism analysis for example)?

Currently Yes No  
In Process Yes No  
Planned Yes No

22. Have difficulties or problems been encountered with:

Linking together the data element segments (e.g., police lower court, upper court, corrections) associated with a given offender processing?

Yes No Know

<u>Linking multiple trackings associated with the same offender together (i.e., the linking of multiple trackings would constitute in some sense the offender's criminal history record?)</u>	<u>Yes</u>	<u>No</u>	<u>Do Not Know</u>
---	------------	-----------	--------------------

Tracking Accounting Unit

23. Example A: Person is arrested and charged with three separate offenses of armed robbery and two lesser included charges of aggravated assault and carrying a deadly weapon corresponding to each offense of armed robbery (i.e., nine charges in all, three charges associated with each offense of armed robbery).

For the example given above, which of the following descriptions best categorizes the way in which the charges formally alleged against the offender at arrest would be recorded on the reporting forms (or medium) used for OBTS. If more than one is appropriate check (✓) all that are applicable.

"Offender Accounting" \_\_\_\_\_ One reporting form would be completed which would include all the charges against the offender as a result of the arrest. Example: The nine charges are all placed on the one reporting form.

"Offense Accounting" \_\_\_\_\_ A separate reporting form would be created for the charges against the offender associated with each criminal offense for which the offender is accused as a result of the arrest. Example: the nine charges are placed on three separate reporting forms. Each reporting form contains a robbery charge and its corresponding aggravated assault and weapons charge.

"Charge Accounting" \_\_\_\_\_ A separate reporting form would be created for each charge against the offender as the result of the arrest. Example: The nine charges are placed on nine separate reporting forms.

Other, explain: \_\_\_\_\_

SECTION VI: OBTS Charge, Offense, and Disposition Information

Charge and Disposition Tracking

24. For a given offender processing, does your state's OBTS file include information on:

Currently, In Process Planned

\_\_\_\_\_ All charge at one or more points (e.g., arrest, final court disposition) in the offender's processing  
\_\_\_\_\_ Only the most serious charge at one or more points in the offender's processing  
Other, explain: \_\_\_\_\_

25. Where only the most serious charge is recorded for a given offender processing is this because:

Currently,  
In Process Planned

Only the most serious charge is recorded and reported  
All charges are reported, but for OBTS purposes  
only the most serious is selected  
Other, explain: \_\_\_\_\_

26. Where all charges for a given offender processing are maintained on your state OBTS file is the respective court disposition (includes sentence where convicted) reported and maintained for each charge?

Currently, In Process  
Planned  
No, explain: \_\_\_\_\_

27. At what points or stages in an offender's processing are the charges, or most serious charge reported (or planned to be reported)? Stages in processing would include for example: arrest, lower court filing, lower court disposition, upper court filing, upper court disposition, sentencing, corrections entry.

List stages: \_\_\_\_\_

28. Does your state OBTS data collection instrument include the NCIC code for the charge offense(s) at arrest and final court disposition?

Arrest Final Court  
Disposition

Yes  
\_\_\_\_\_  
No, but a table lookup exists to provide a crosswalk between the state charge codes and the corresponding NCIC code.  
No  
\_\_\_\_\_

Offenses Reported

29. What offenses\* are included (plan to be included) in your state's OBTS? Check all appropriate responses.

Currently,  
In Process Planned

All felony level\* via arrest  
All felony level\* via arrest or indictment  
Only fingerprinted felony level  
All misdemeanor level via arrest  
All misdemeanor level via arrest/citation/or summons  
Only fingerprinted misdemeanor level  
Other level than felony or misdemeanor, explain: \_\_\_\_\_

\*For purposes of this question, a felony level offense carries the possibility of imprisonment for a year or more and a misdemeanor level carries a lesser penalty. The other level is provided where a state treats certain offenses at a level below misdemeanor.

30. Are there specific types of offenses (e.g., local ordinances, traffic, natural resources) or levels of offense (e.g., summary offenses) specifically excluded from your state's OBTS system and not described above?

Currently, In Process: Yes No  
Planned: Yes No  
If yes, excluded offenses include: \_\_\_\_\_

Dispositions Reported

31. Which of the following dispositions are (plan to be) reported to the state OBTS:

Not Applicable Currently,  
In Process Planned

Police Disposition where charges are dropped and offender is released by the police.  
Prosecutor Disposition of decline to prosecute  
Grand Jury Disposition of ignored, no true bill, indictment quashed

32. a. Are there other dispositions not described above which are specifically excluded from your state's OBTS system or for which no reporting mechanism exists to collect?

Currently, In Process: Yes No  
Planned: Yes No

b. If yes, list dispositions: \_\_\_\_\_

SECTION VII: OBTS Data Elements

33. In planning and design for OBTS, did your state use the SEARCH Technical Report #4 OBTS data elements minimum reporting standards or the BJS national OBTS tape submission data element reporting standards in determining the data elements for inclusion on your state OBTS? (Check all applicable.)

SEARCH Technical Report #4 Standards Yes No Somewhat  
BJS National OBTS Tape Submission Data Element Standards Yes No Somewhat  
Not available when OBTS initially developed

34. For each of the areas listed below, indicate by a check (✓) the degree to which your state OBTS includes the SEARCH Technical Report #4 data elements (other than the data elements related to charge and disposition previously discussed). For your reference and as an aid in answering the question, a listing of the SEARCH Technical Report #4 data elements is included as Attachment A.

State OBTS Includes: SEARCH Data  
More All Most Some None/Not Applicable Elements Not Included on State OBTS \*

Police/Prosecution \_\_\_\_\_  
Lower Court \_\_\_\_\_  
Upper Court \_\_\_\_\_  
Corrections \_\_\_\_\_

\*Specify reference numbers, e.g., 2c using the Attachment A listing of OBTS data elements.

35. Does your state OBTS data base include separate data element segments for the lower criminal court and upper criminal court?

Currently Yes No Not applicable/only one trial court in state  
In Process Yes No  
Planned Yes No

36. Does the correction data element segment of your state OBTS provide (plan to provide) for the ability to report and maintain information on more than one correction cycle associated with a single offender processing (e.g., where the offender is initially incarcerated (one cycle) and then released to parole (second cycle) prior to final release)?

Currently:  Yes  No  
In Process:  Yes  No  
Planned:  Yes  No

#### SECTION VIII: Timeliness of OBTS Data Reporting and File Update

##### Reporting Requirements

37. Does your state have specific requirements (e.g., statutory) governing the reporting of arrest and disposition information in support of the state OBTS (or CCH if supported by the same data collection effort)?  
 Yes  No  In Process or Planned

If yes, specify form of requirements (e.g., legislation): \_\_\_\_\_

38. Does your state have specific requirements (e.g., statutory) governing the timeliness with which various disposition events must be reported in support of the state OBTS (or CCH if supported by the same data collection effort)?  Yes  No  In Process or Planned

If yes, specify form of requirement (e.g., legislation): \_\_\_\_\_

##### Frequency and Timeliness of OBTS File Update

39. At what stage(s) in offender processing are updates made to the state OBTS file?

Currently,  
 In Process  Planned

An offender's processing is not added to the state OBTS data base until the final court disposition has been reported (i.e., "closed records" only are maintained on the OBTS data base).

An offender's processing is included on the OBTS at the point of arrest or other entry to the system and is updated from time to time as the offender proceeds to final disposition (i.e., "open and closed" records are maintained on the OBTS data base).

Other, explain: \_\_\_\_\_

40. How frequently is the OBTS data base (or the data base from which OBTS is derived) updated, e.g., daily, weekly, monthly, quarterly, annually)?

41. If you were interested in analyzing as your OBTS data base all "offender tracking" for which final court disposition had been made during the previous calendar year, how long after the conclusion of the calendar year would you have to wait before you could be confident that court dispositions for that year had been reported and entered on the OBTS data base? \_\_\_\_\_ (number of months)

If over six months, explain reason for delay: \_\_\_\_\_

#### SECTION IX: Completeness of OBTS Data Reporting

##### Reporting of Arrests

42. a. What percentage of total arrests in your state in FY 1979 are reported and included on your state OBTS (or CCH if the same)? In making this estimate base the percentage on only those arrests in your state which are required to be reported for OBTS or CCH purposes.

less than 30%  
 31-50%  
 51-70%  
 71-90%  
 over 90%  
 don't know, but less than 90%  
 don't know

b. On what basis was the above estimate made?

Best guess  
 Comparison of number of known arrests received to other state arrest figures.  
 Other, explain: \_\_\_\_\_

43. To what extent is the current level of reporting of arrests due to the fact that (check all appropriate):

Specific jurisdictions are not reporting all or some of their arrests.  
 Specific jurisdictions are not yet required to report due, for example, to phased implementation of the OBTS system.  
 Other, explain: \_\_\_\_\_

##### Reporting of Court Dispositions

44. a. For what percentage of offenders disposed of by the courts in FY 1979 are final court dispositions reported and included on your state OBTS?

<u>Lower Court</u>	<u>Upper Court</u>
<input type="checkbox"/> less than 30%	<input type="checkbox"/> less than 30%
<input type="checkbox"/> 31-50%	<input type="checkbox"/> 31-50%
<input type="checkbox"/> 51-70%	<input type="checkbox"/> 51-70%
<input type="checkbox"/> 71-90%	<input type="checkbox"/> 71-90%
<input type="checkbox"/> over 90%	<input type="checkbox"/> over 90%
<input type="checkbox"/> don't know, but less than 90%	<input type="checkbox"/> don't know, but less than 90%
<input type="checkbox"/> don't know	<input type="checkbox"/> don't know

b. On what basis was the above estimate made?

<u>Lower Court</u>	<u>Upper Court</u>
<input type="checkbox"/> Best guess	<input type="checkbox"/> Based on analysis of number of arrest records for which sufficient time has elapsed and no court disposition has been received
<input type="checkbox"/> Comparison of number of dispositions received to some other independent data source	<input type="checkbox"/> Comparison of number of dispositions received to some other independent data source
<input type="checkbox"/> Other, explain: _____	<input type="checkbox"/> Other, explain: _____

45. To what extent is the current level of reporting of court dispositions due to the fact that (check (/) all appropriate):

<u>Lower Court</u>	<u>Upper Court</u>
<input type="checkbox"/> Specific jurisdictions are not reporting all or some required court dispositions.	<input type="checkbox"/> Specific jurisdictions are not reporting all or some required court dispositions.
<input type="checkbox"/> Specific jurisdictions are not yet required to report due, for example, to phased implementation of the OBTS system.	<input type="checkbox"/> Specific jurisdictions are not yet required to report due, for example, to phased implementation of the OBTS system.

Lower CourtUpper Court

Reporting of arrests is so recent that the arrest charges have yet to be disposed of by the courts.  
Other, explain:

---



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SECTION X: OBTS Data Quality Control and AuditsData Quality Control

46. What types of edits are performed on the data elements reported to the state in support of the OBTS (or CCH where combined) data base?

Currently,  
In Process Planned

None  
Edits on input record - e.g., format, coding structures, required data elements, logical event sequence.  
Linkage Edits - e.g., court disposition information reported but no matching arrest information; missing tracking number  
Tracking Record Reasonableness Edits - e.g., court disposition or correction information logically and sequentially links up with remainder of the offender's record; internal consistency across the date fields within a record (e.g., arrest date not after disposition date)  
Other, explain:

---

47. What types of management/exception reports are produced to assist in assuring more accurate, complete, and timely reporting of OBTS (or CCH where combined)?

Currently,  
In Process Planned

None  
Reports on volume of arrests and court dispositions received (with breakdowns, for example, by reporting agency or jurisdiction; year-to-date and prior year comparisons)  
Reports on number of arrest records where no court disposition has been received and so much time has elapsed from date of arrest (with breakdowns, for example, by agency and jurisdiction)  
Other, specify:

---

48. a. Are state level field staff present who can go out and assist reporting agencies in more accurate, complete, and timely reporting?

Yes      No

Currently,  
In Process

Planned

- b. If currently available where is the field staffing located organizationally? What is the size of the staff? What types of agencies do they contact via site visits (e.g., law enforcement, courts, corrections)?
- 
- 
- 

Audits

49. a. Has an annual audit been conducted of:

CCH:  Yes  No  In Process  Planned  
OBTS:  Yes  No  In Process  Planned

- b. If an OBTS audit has been conducted or is in process, is it the same as the CCH audit?  Yes  No

- c. Date last audit completed: \_\_\_\_\_  
(projected to be completed)

50. Where an audit of OBTS (or CCH where the same) has been conducted:

- a. Was a sample of records actually traced back to the source documents to determine the accuracy and completeness of the records?  
 Yes  No

- b. Who performed the audit(s)? \_\_\_\_\_

- c. Is a report on the results of the audit available?  
 Yes  In Process of Development  No

51. Would your state be supportive of the establishment of an independent audit capability for state OBTS (e.g., similar to the IACP UCR audit)?  
 Yes  Maybe  Do Not Know  No

SECTION XI: OBTS AnalysisOBTS Computerized Output Reports

52. Describe whether or not you are using (plan to use) any data base management or statistical software packages to aid in the processing and generation of statistical output reports from your OBTS data base:
- 
- 

53. Have you identified (or thought about) the set of automated output reports that are (would be) generated from your state OBTS data base for statistical and analytical purposes?  
 Yes  In Process  No

If yes, list the principal output reports or attach illustrative examples:

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OBTS Data Users

54. Who are the users and potential users of OBTS data in your state?
- 
- 

55. What kind of training are you employing (plan to employ) to make users and potential users aware of the OBTS data base and the range of outputs that can be generated and issues that can be addressed?
- 
-

OBTS Analytic Reports

56. a. List any OBTS reports (not simply computer printouts) your state has prepared (plans to prepare) distinguishing between one time analyses) and reports that are produced periodically:

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- b. Have any OBTS reports or analyses been prepared using only a sample of the population of OBTS records on the data base?

Yes  No

If yes, briefly describe the sample and analysis performed:

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57. List the type of ad hoc inquiries or analyses you perform (plan to perform) using the OBTS data base and for whom they would be performed:

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ATTACHMENT A

SEARCH Technical Report #4 OBTS Data Elements<sup>a</sup>

1. Police/Prosecutor Data Elements

- \*1a. State ID #
- 1b. FBI #
- \*1c. Arresting agency (NCIC code - agency, county)
- \*1d. Date-arrest
- \*1e. Birthdate
- \*1f. Sex
- \*1g. Race

2. Lower Criminal Court Data Elements

- 2a. Court ID #
- 2b. Date-Initial appearance
- 2c. Release action (e.g., own recognition, bail)
- 2d. Date-Release action
- \*2e. Date-Lower court disposition
- \*2f. Type of trial
- \*2g. Plea (final)
- \*2h. Date of sentence (may be same as court disposition)
- \*2i. Type of sentence (e.g., prison, probation, jail)
- 2j. Imprisonment sentence (days/month)
- 2k. Probation sentence (months)
- \*2l. Type of counsel (at trial)

3. Upper Criminal Court Data Elements

- 3a. Court ID#
- 3b. Date-Filing
- 3c. Type of filing (e.g., information, grand jury, other)
- 3d. Felony filing procedure (e.g., indictment/accusation, no bill, refer to lower court, dismissed, information)
- 3e. Date-arraignment
- 3f. Initial Plea
- \*3g. Final Plea
- 3h. Date-trial commences
- \*3i. Type of trial
- \*3j. Date-trial ends/disposition
- 3k. Release action (e.g., own recognition, bail, committed to default, committed without bail, other)
- 3l. Date-release action
- \*3m. Date-sentencing
- \*3n. Sentence type (e.g., prison)
- 3o. Prison (years) (min. & max)
- 3p. Jail (days/months)
- 3q. Probation (months)
- 3r. Type of counsel (at trial)

<sup>a</sup>Does not include data elements related to the type of charge and disposition.

\*BJS national OBTS tape submission data elements

Note: The BJS tape submission standards require reporting of court information for only the court where final disposition occurs. A "Type of Court (Final Disposition)" data element is included to distinguish between lower, felony, or other court.

**APPENDIX B**  
**RESPONSE OF PUERTO RICO**  
**TO OBTS QUESTIONNAIRE**

**APPENDIX B**

**CRIMINAL JUSTICE STATISTICS ASSOCIATION**

**QUESTIONNAIRE ON OFFENDER BASED TRANSACTION STATISTICS**

Name of Principal Respondent: Ana Leticia Jiménez Jiménez

Title: Statistician

Agency: Criminal Justice Information System Phone Number: \_\_\_\_\_

Other Persons Assisting in Questionnaire's Completion:

Name: Ing. Alfonso Góderos Vega Title: Director

Agency: Criminal Justice Information System Phone Number: 783-7306

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Agency: \_\_\_\_\_ Phone Number: \_\_\_\_\_

**Survey Instrument Purpose**

This questionnaire is designed to survey the development in the various states of systems in support of Offender Based Transaction Statistics (OBTS). The survey results will be used to determine the status of OBTS development in the states and to assess the level of data analysis that can realistically be expected given current and planned data availability.

This study is authorized by law (42 USC § 3701). While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate, and timely.

Deadline for response is September 30, 1980.

The survey results are essential to the overall CJS/OBTS project objectives to: better define the OBTS concept and its utility; make recommendations regarding improved OBTS data collection techniques; make recommendations regarding the SAC role in OBTS development, operation, and analysis; and develop a comprehensive plan for the analysis of OBTS data.

**Survey Instrument Terminology**

Unless stated otherwise, the definitions for words (e.g., charge, offense, arrest, summons, court disposition, trial) used in this survey instrument are those found in the Dictionary of Criminal Justice Data Terminology, First Edition, 1976.

As used in this survey instrument, "offender" refers to either an adult convicted of a criminal offense or charged with a specific offense but not convicted or not yet tried.

Throughout this survey instrument questions are asked about whether or not your state has done in the past, is currently doing, is in the process of doing, or is planning in the future to perform some particular activity. When responding to this type of question, the following definitions should be used:

In the Past - refers to some activity that was completed over a year ago.

Currently - refers to an activity that was completed during the last year including those activities that are on-going.

In Process - refers to an activity that is not completed but is being worked on at the present.

Planned - refers to an activity that is anticipated for the future but has not been formally initiated.

**Survey Instrument Outline**

Listed below are the sections of the questionnaire. Only the first two sections are applicable if your state is not currently operating or developing a state OBTS or does not have active plans to develop a state OBTS. Where your state's OBTS is in the planning, design, development, implementation, or operational stage, sections III - XI are to be completed in addition to sections I and II.

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SECTION I: Information System Overview

OBTS and CCH Development

1. Is your state currently maintaining, in the process of developing, or presently planning to implement a statewide Offender Based Transaction Statistics (OBTS) system?

Yes  No

If the answer is no, skip to page 2, question 5, and complete all questions through page 7, question 16, before returning this questionnaire.

2. a. Indicate the current stage of CCH and OBTS development in your state. (Check Appropriate Stage):

	Planning/ Preliminary Study	Detailed Investigation and Analysis	Detailed Design (Outputs, Inputs, Files, Processing, Testing)	Development (Scheduling, System Programming, Imple- mentation)	System Operational
CCH	_____	_____	_____	_____	_____
OBTS	_____	_____	_____	_____	_____

- b. In light of the presidential and congressional recommendation to eliminate LEAA's grant-in-aid program from the 1981 budget, what is the minimal type and level of assistance you would have to seek (wish to seek) from BJS in order to assure continued OBTS development?

- c. What support would you anticipate existing in your state for OBTS development should federal assistance be severely restricted at the conclusion of any on-going funding?

3. a. Is your state's OBTS system a combined OBTS/CCH system?

Yes \_\_\_\_\_ OBTS extracted from CCH file  
Separate OBTS and CCH files created when data reported  
to state  
Other, explain: \_\_\_\_\_

No, explain how OBTS is being developed: \_\_\_\_\_

- b. How dependent is your state's progress with respect to OBTS development on continued progress with respect to CCH development and implementation? (Circle Appropriate Response)

VERY DEPENDENT      SOMEWHAT DEPENDENT      NOT DEPENDENT

4. This question pertains to those states where OBTS is in the operational stage or anticipates being operational at the conclusion of on-going grant support:

- a. Is your state committed to providing the resources to operate the OBTS system (or CCH system if the same)?

Yes \_\_\_\_\_ No \_\_\_\_\_ Uncertain

- b. Is your state committed (or anticipated to be committed) to providing the resources needed for generating OBTS output reports and analyzing and disseminating this information consistent with identified state needs once OBTS is operational?

Yes \_\_\_\_\_ No \_\_\_\_\_ Uncertain

OBSCIS, SJIS, PROMIS System Status

5. Where the following systems are or have in the past been funded in your state, what is their current stage of development? (Check appropriate stage.)

	Planning/ Preliminary Study	Detailed Investigation and Analysis	Detailed Design (Outputs, Inputs, Files, Processing, Testing)	System Develop- ment (Scheduling, System Programming, Imple- mentation)	System Operational
--	-----------------------------------	---	--	--	-----------------------

OBSCIS

SJIS

PROMIS:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

X

6. Indicate by an asterisk (\*) in the left hand margin those systems listed above that are anticipated to contribute as a by-product to OBTS development (or CCH where the same).

Other Information System Status

7. List below any other information systems in your state either operational or under development (and not specifically mentioned above) which are or could contribute to OBTS or offender oriented statistical development in your state. For the systems listed provide the following information:

System Name	Geographic Area System Serving	Stage of Development	Principal Purpose of System
-------------	-----------------------------------	-------------------------	-----------------------------

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

\*Planning, Design, Development, Implementation, Operational

8. Indicate by an asterisk (\*) in the left hand margin those systems listed above that are anticipated to contribute as a by-product to OBTS development (or CCH where the same).

SECTION II: Offender Statistics - Development and Use

Aggregate Criminal Justice Processing Statistics

9. Does your SAC prepare any reports or analyses in which the aggregate statistics from several agency information systems (e.g., UCR arrest, state court information system, state corrections information system) are combined to provide an overall picture of criminal justice processing?

	YES	NO
In the Past	_____	_____
Currently	_____	_____
In Process	_____	_____
Planned	X	_____

If yes, list the most recent report giving the title and year prepared:

\_\_\_\_\_

What efforts, if any, are made to reconcile differences in the "unit of count" (e.g., charge, arrest, case, offender) when looking at the aggregate statistics of one agency compared to another?

\_\_\_\_\_

Offender Tracking Statistics from Manual Files

10. a. Does your state use (plan to use) various agency manual files to construct ex post facto "OBTS" records for some select group or sample of offenders?

YES	NO
In the Past	<input checked="" type="checkbox"/>
Currently	—
In Process	—
Planned	—

If yes, describe the most recent work (e.g., number of records, period of time, sampling procedure, geographic area covered) and list any report(s) produced: Sample on 602 Offender reported to the Police in the Capital City to determine the feasibility of establishing an OBTS

\_\_\_\_\_

- b. What was the principal reason for the use of this method to construct an "OBTS" data base (e.g., to illustrate the OBTS concept, to justify expanded OBTS development, to answer some specific issue or question, to minimize cost): To verify if the method that we used on the sample was applicable to the Universe.
- \_\_\_\_\_

Merging of Offender Oriented Data Bases

11. a. Does your state make any effort to link together the information on the same offender maintained on various agency or subsystem data bases in order to create a unique offender tracking record?

YES	NO
In the Past	<input checked="" type="checkbox"/>
Currently	—
In Process	—
Planned	—

If yes, briefly describe the most recent effort and list any report(s) produced: Quarterly Reports to the Governor of Puerto Rico on Crime Conditions in Puerto Rico

\_\_\_\_\_

- b. What difficulties are encountered in trying to identify and link together the various components of an offender's processing across the system components (e.g., arrest, lower court, upper court)? How was this done? The sample was taken manually but we hope that the process can be improved as soon as the data is automated
- \_\_\_\_\_

- c. Based on your experience, is this a reliable way of constructing an OBTS data base? Yes \_\_\_\_\_ Not Currently \_\_\_\_\_ No \_\_\_\_\_

Statistical Analysis Questions and Issues

12. Listed below are a series of questions. Indicate by a check in the left hand column if it is a question you feel your state would have an interest in addressing. If so, indicate how important an OBTS file would be to addressing the question in whole or in part. Also, indicate other data bases in your state that would be needed to aid in addressing the question:

Importance of OBTS  
in Addressing the  
Question  
I-Important  
S-Somewhat Important  
N-Not Important  
(Circle One)

Other Data Bases  
in Your State  
Important to  
Addressing the  
Question

- ( Check) Question: How many criminals are there in your state? (I) S N \_\_\_\_\_
- How many unique persons are arrested in your state in a year? (I) S N \_\_\_\_\_
- What percentage of total arrests are caused by what percentage of the arrestees? (I) S N \_\_\_\_\_
- How many people are active at various stages in the criminal justice system? (I) S N \_\_\_\_\_
- How many people are processed through various components of the system? (I) S N \_\_\_\_\_
- How many people released from various points in the system return (e.g., are subsequently arrested again) and how far do they penetrate the system upon return (e.g., acquitted, convicted and sentenced to imprisonment)? (I) S N \_\_\_\_\_
- How does sentencing vary from jurisdiction to jurisdiction (controlling for defendant characteristics)? (I) S N \_\_\_\_\_
- How many offenders should state corrections plan for in future years? State probation? Local jails? (I) S N \_\_\_\_\_
- How has the processing of offenders (men, youthful, serious) changed over time? (I) S N \_\_\_\_\_
- Where should the criminal justice system allocate new resources (e.g., jails, judgeships, prosecutors)? (I) S N \_\_\_\_\_
- What offenders are better risks for certain types of corrections programs (e.g., community corrections, work release, probation)? (I) S N \_\_\_\_\_

<input checked="" type="checkbox"/> Check	Question	Importance of OBTS in Addressing the Question I-Important S-Somewhat Important N-Not Important (Circle One)	Other Data Bases in Your State Important to Addressing the Question
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- How many rearrests occur while persons are active in the criminal justice system? At what stage are they active when rearrested? (I) S N \_\_\_\_\_
- What is the time between arrest and trial? What is the impact of delay in processing on court disposition? (I) S N \_\_\_\_\_
- What does it cost to process a person through the criminal justice system? For various offenses? For various dispositional alternatives? (I) S N \_\_\_\_\_
- What comparisons can be made between offender volumes through the system and the corresponding costs of processing? (I) S N \_\_\_\_\_

13. Listed below are some broad areas or classes of analysis that should be helpful in addressing the types of questions listed above. Indicate the extent to which your State is developing the capacity to perform these types of analyses. Also indicate the impact that a state OBTS would have on the development of the capacity to perform these types of analyses.

Class of Analysis	Role OBTS would play in Capacity Building E-Enhanced S-Somewhat Enhanced N-Not Enhanced (Circle One)	State/SAC has done work in this area	State/SAC currently doing work in this area	State/SAC plans to do work in this area
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System "Offender" Processing Description (e.g., by system component, crime type breakdown, geographic areas) X \_\_\_\_\_ E S ( N )

System Rates of Processing (e.g., conviction rates, active as a percent of total intake) and Flow Dynamics (e.g., how many exit at different decision points) X \_\_\_\_\_ E S ( N )

System Resource, Workload, & Cost description as it relates to offender processing X \_\_\_\_\_ E S ( N )

Elapsed Time Between Events in Processing and Effect on Backlogs (e.g., court cases awaiting disposition) X \_\_\_\_\_ E S ( N )

Length of Offender Stay in Various Sentencing Alternatives and Effect on the Size of the Active Population to be Treated (e.g., Probation Population, Imprisonment Population) X \_\_\_\_\_ E S ( N )

Class of Analysis	State/SAC has done work in this area	State/SAC currently doing work in this area	State/SAC plans to do work in this area	Role OBTS would play in Capacity Building E-Enhanced S-Somewhat Enhanced N-Not Enhanced (Circle One)
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Rates of "Offender" Return to the System (as measured by point of release, point of return and subsequent system penetration, elapsed time between release and return, offender characteristics or attributes) X \_\_\_\_\_ E S ( N )

Trends in System Processing and Forecasts/Projections of Future Processing X \_\_\_\_\_ E S ( N )

Analysis of Factors Which Induce Change in System Processing (external forces, legislative, executive, judicial policy and funding) X \_\_\_\_\_ E S ( N )

Analysis of Questions of Equity in Defendant/Offender Processing X \_\_\_\_\_ E S ( N )

14. Are there any specific analytic techniques or frameworks (e.g., simulation models, queuing models, forecasting techniques) which you feel would be helpful in better managing OBTS data for purposes of display and use?

Describe or list: Forecasting

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

15. a. What degree of emphasis should be placed on identifying, documenting, and disseminating information on specific analytic techniques or frameworks for managing and displaying OBTS and related data? Circle one:

INCREASED (ABOUT THE SAME) DECREASED

b. If you feel emphasis should be increased or remain the same, how would you rate each of the following methods for improving the awareness of analytic techniques in support of OBTS?

H - High M - Medium L - Low

H Preparation of specific analytic technique packages which describe the technique, the data requirements, the outputs to be obtained.

H In addition to the above, where applicable document and prepare for dissemination information on actual computer programs that support the technique.

In addition to the above, have such programs operating on the Michigan Terminal System (e.g., unsupported file) where they can be accessed remotely via terminal.

H Identify and provide access to national resources which maintain expertise in the State of the Art of OBTS analytic techniques and methodologies.

H Conduct seminars/training programs regarding specific OBTS analytical methodologies

Other, explain: \_\_\_\_\_

16. List up to three issues or concerns in your state where offender statistics generated from the various agency data bases have played an important role in formulating policy recommendations. (Issues or concerns would include, for example, prison overcrowding, reducing court delay, assessment of legislative impact of mandatory sentencing.)

1- Research Project on Weapons

2- Reports to the Governor

3- Research Project on Bails

NOTE: If your state is not currently operating or developing a state OBTS or does not have active plans to develop a state OBTS then do not proceed and simply return the first two sections of the questionnaire. Otherwise, proceed to answer the questions in Sections III-XI to the extent possible.

SECTION III: Stage of Development of Offender Based Transaction Statistics (OBTS)

17. For each of the data segments of your state OBTS (e.g., police, courts, corrections) indicate the current stage of development:

OBTS Data Segment	No Plans to Implement	System Planning/ Study	System Design (Outputs, Inputs, Files, Process- ing, Controls)	System Development (Scheduling, Programming, Testing)	System Implementation	System Operational (Date Commenced)
Police Segment: Identification/ Fingerprint	_____	_____	_____	_____	_____	_____
Arrest(Charge/ Police Disposi- tion)	_____	_____	_____	_____	_____	_____
Prosecutor Segment (if applicable)	_____	_____	_____	_____	_____	_____
Lower Court Segment	_____	_____	_____	_____	_____	_____
Upper Court Segment	_____	_____	_____	_____	_____	_____
Corrections Segment: State Custody/Parole	_____	_____	_____	_____	_____	_____
Local Custody	_____	_____	_____	_____	_____	_____
Probation	_____	_____	_____	_____	_____	_____

SECTION IV: Manner of Reporting OBTS

18. For each of the major OBTS data element segments (i.e., police, prosecutor, courts, corrections) indicate the manner by which the data is reported or planned to be reported on the table which appears on the next page. Circle the "C" if it is currently reported that way; the "I" if it is in the process of being designed, developed, or implemented to report that way; and circle the "P" if it is planned to be reported that way. More than one manner of reporting can be circled per row where appropriate.

**APPENDIX C**

**LISTING OF STATE GROUPINGS**

APPENDIX C

LISTING OF STATE GROUPINGS\*

1. States where OBTS is primarily extracted from a CCH (Computerized Criminal History) file and reporting to the CCH is mainly via form:

California	Ohio
Georgia	Oregon
Illinois	Utah
Iowa	Virginia
Michigan	Wisconsin
Nebraska	Wyoming
New Jersey	

2. States where OBTS is primarily extracted from the CCH and reporting to the CCH is via form or by direct terminal entry:

Arizona	Massachusetts
Colorado	New Mexico
Connecticut	New York
Delaware	Oklahoma
Hawaii	

3. States where OBTS is collected mainly as a by-product of management information systems (e.g., state judicial management information system, state corrections management information system):

Arkansas	Minnesota
District of Columbia	Pennsylvania
Kansas	Rhode Island
Maine	South Carolina
Maryland	

- 4A. States with no active plans to develop an OBTS system, but who do have a Statistical Analysis Center (SAC):

Alabama	Montana
Alaska	Nevada
Idaho	New Hampshire
Mississippi	Washington

- 4B. States with no active plans to develop an OBTS system and who do not have a SAC:

Florida	North Carolina
Indiana	North Dakota
Louisiana	South Dakota
Missouri	West Virginia

\*The classification of each state was made based on the survey results and in some instances the choice may not have been entirely clear-cut. A state may have indicated they currently collect OBTS data one way, but plan to switch to another method, or they may use a combination of methods. Additionally, the classification of states into Groupings 4A and 4B (with and without a SAC) was made based on known current status of the SAC within the state. Louisiana and Missouri both had SACs at one time but at the time of the survey it was not clear they were still in operation.

END