Federal Judicial Center

Criminal Integrated Database (IDB): 1970 - 1995

Codebook

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Introduction

In 1982 the Research Division of the Federal Judicial Center initiated the Integrated Data Base (IDB) project. The goals of the project were (1) to document the information recorded on data tapes compiled by the Administrative Office of the United States Courts (AOUSC) on cases filed in the federal court system, (2) to gather several years of data together into a single data base to facilitate multiyear analyses, (3) to provide a common format for the data so that those analyses could be done without having to contend with record formats that changed from year to year, and (4) to provide a vehicle for linking cases from the district to the appellate level. The time period covered by the initial project was statistical year 1970 through statistical year 1983 (July 1, 1969 through June 30, 1983). These data have since been updated to include cases through statistical year 1995 (June 30, 1995). The data base includes all federal appellate and district court cases active during this time period. The data base currently is comprised of 56 data sets. There is one data set of terminated cases for each statistical year (SY) for each of the three data categories: district civil (26 data sets, SY70 – SY95), district criminal (26 data sets, SY70 – SY95), and appellate (25 data sets, SY71 – SY95). In addition, in each category there is a data set of cases still pending at the end of the time period (3 data sets, SY95). This codebook describes the format and fields of the district criminal data sets. Separate codebooks are available for the district civil and appellate data sets.

Creating the Data Base

We obtained all the raw data on computer tapes directly from the AOUSC. The problem of the varying physical structure of the data records was relatively easy to solve. A core set of data fields was identified from among all the fields occurring on the records during any time period. Although this core set is basically a union of all possible fields, some fields that were determined to be of minor importance to our research goals were excluded.

A standard format accommodating all the fields was then designed. Whenever possible, mixed alphanumeric fields were recoded as numeric-only fields and field widths were enlarged to allow for greater value ranges in the future. Each raw data file was first passed through a reformatting program to convert the data to the standard structure; fields that existed in the standard record but not in the original record were left blank.

Next, the restructured data were processed by a conversion program that checked for errors and performed all value recoding. Because the new standard record included some data items that were captured only during a limited time span[1], many fields were recoded to a "not collected" missing value. In addition, some recoding was done in an attempt to standardize values for a particular field across all years[2]. More often, however, the evolution of values did not follow a clear pattern and longitudinal consistency recoding was not possible. This means that for some fields the same coded value may have different interpretations depending on when the information was recorded[3].

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[1] For example, information regarding offense level (fields 39 and 40) was not collected prior to SY81.

[2] For example, the Middle District of Florida was represented by the district code 30 for SY70 and SY71, but the code changed to 3A for subsequent years. In the IDB, the Middle District of Florida is always represented by the code 3a; the older code was detected and recoded.

[3] For example, for the field "Fine" (field 29) the coded value 4 denotes fine amounts in the range $500-$999 for data from SY70-SY81, but since SY82 a 4 represents fine amounts in the range $1001-$5000 instead. A related

The lack of a consistent correspondence between a coded value and a single interpretation is the most serious challenge to multiyear analysis presented by the data and the researcher must be extremely careful to account for value inconsistency when doing analyses of this type. The field-by-field descriptions that are presented below are designed to help the researcher identify value changes. Unless limitations are noted, the listed correspondence between a coded value and its interpretation is consistent throughout the data base time period[4].

Original Documents

The records of the district criminal data base are derived from information routinely collected by the AOUSC on standard case status forms filed monthly by the Clerk of Court in each of the federal district courts. These forms, the JS-2 Criminal Case Opening Report and the JS-3 Criminal Case Termination Report, are part of AO 256, the standard Criminal Docket Set. Certain demographic information is also obtained for convicted defendants from Prob-3 Start of Supervision Term and Sentence.

Reference Documents

The primary reference for information collected on the JS-2, JS-3, and AO 256 is Title I "Instructions for Completing the AO Form 256 Docket Set" of the Statistical Analysis Manual, which is volume XI of the Guide to Judiciary Policies and Procedures published by the AOUSC. This manual and the periodic transmittals used to update it are the official instructions to the Clerks of Court for completing the original case forms. Information regarding the values coded on the computer record from the original documents is contained in a booklet issued periodically by the AOUSC entitled "Criminal Statistical Codes and Coding Procedures." The several versions of these documents issued over the course of our data period as well as computer tape layouts and occasional special memoranda were the sources of the field and value documentation presented below.

Documentation materials available to the project for the period prior to 1977 are very sparse; therefore it is frequently impossible to accurately identify when a change in values or interpretation occurred. The practice used in this document is to list the statistical year in which the value is known to have been valid (primarily because documentation from the same statistical year lists the value). A value may have been valid prior to the listed date but we cannot confirm it. Conversely, the assumption is made that a value continues to have the same interpretation until a change is documented. Values that are supposedly no longer valid are sometimes found in the data as a result of coding habit or the use of an outdated form.

Published Tables

Tables based on the original data compiled by the AOUSC are published in the Annual Report of the Director of the Administrative Office of the United States Courts. The "D" tables in the appendix of "Detailed Statistical Tables" are based on the criminal data. Counts achieved with the IDB data should

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problem is value refinement; that is the practice of splitting out of one group a special category of cases to form a new group. For example, for "Sentence Type" (field 26) prior to SY84 the value 1 represented prison sentences "from 5 days to a year and a day". In SY84, however, the "year and a day" sentences were broken out of the main group and coded 14 instead, leaving only sentences of 5 days to less than 1 year in value 1.

[4] Value consistency should not be confused with value validity. Circuit values of 11 always refer to the Eleventh Circuit but are not valid prior to SY82. Fine values of 6, on the other hand, are valid throughout but assume two different interpretations.

match the published tables. If there are discrepancies, contributing factors may be: (1) the matching was done against tables reporting "case" counts rather than "defendant" counts; (2) population restrictions (for example, excluding transfers); (3) groupings employed to simplify presentation (for example, "All Other" categories); (4) statistical year skews effecting inclusion in a cohort based on calendar dates (see "Statistical Year Designation" below); and (5) any IDB processing that may have altered values (for example, out-of-range values falling into a separate "missing" category rather than part of "other").

The JS-2 and JS-3 forms are filed for each defendant in a case; no separate case specific information is filed. This means that the data sets are defendant based, and tables listing defendant counts can be matched directly. "Case" based counts can be obtained by using a single defendant record from each case (that is, docket number within a district/office combination) to represent the case. In the published tables, typically the defendant record with the most serious offense is used as the representative. For example, if any of the defendants in a case is charged with bank robbery that record will be used to characterize the case even if other defendants were charged with less serious offenses.

Some of the published tables present defendant counts that are "unduplicated." This means that among cases in the same court and in the same statistical year[5] each individual is counted only once regardless of the number of different cases in which the individual is a defendant. This procedure has the effect of leveling apparent differences among courts in the number of defendants processed that may be attributable to different policies among the U.S. attorneys regarding whether a single indictment with several offenses is filed or whether separate indictments are filed for each offense. The principal rules used to determine which defendant record to include in the counts and which to mark as the uncounted duplicate[6] are: (1) a conviction has precedence over an acquittal (which would then be marked "duplicate"); and, (2) the conviction on a more serious offense takes precedence over a conviction on a less serious offense. The exclusion of duplicate defendants from tables is not explicitly indicated in the table heading or notes. Generally, duplicate defendants are included in tables D-1, D-2, and D-3, and excluded from subsequent tables; there are some years, however, when they are excluded from table D-3 as well.

Change to Statistical Reporting Year

In 1992 the Administrative Office of the U.S. Courts changed the reporting period for statistical data. Up to 1992 the reporting period, or "statistical year", went from July through June (e.g. statistical year 1990 covered the period July 1989 through June 1990). In 1992, the statistical reporting period was changed to conform to the federal government's standard fiscal year, October through September (e.g. fiscal year 1993 covered the period October 1992 through September 1993). All of the previous data files in the Integrated Data Base conform to the old statistical year (SY70-SY91). The 1992 files cover a 15-month

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[5] For example, if an individual has two cases in the same district, only one will be counted. If the two cases are in two different districts, however, both will be counted. Similarly, if the two cases from the same district were closed in the same statistical year, only one termination would be counted, but if the closings were in different statistical years, each would be counted in its appropriate year.

[6] "Duplicate Defendant" (field 10) can be used to identify cases marked as duplicates. Unfortunately, due to errors in the IDB processing programs, this information is not accurately recorded prior to SY86.

time span (July 1991 through September 1992) to accommodate this conversion period. The 1993 and 1994 files conform to the new fiscal year (October through September) as do all subsequent files.

Due to reporting time lags, there is often a slight skew to the correspondence between calendar date and statistical/fiscal year at the borders of the statistical/fiscal year. Transactions which by date would logically fall into one statistical/fiscal year may actually be counted in a different statistical/fiscal year. For example, June 1985 filings and terminations should be counted in SY85. However, if the reports are received by the AOUSC after the statistical year data have been processed, the late-arriving transactions are counted in SY86 instead. The tables published by the AOUSC for a particular statistical/fiscal year are based on all the cases designated as belonging to that statistical/fiscal year regardless of the actual filing or termination dates.

The IDB files are organized according to statistical/fiscal year of termination based on the termination date used by the AOUSC to identify the statistical/fiscal year in which the case was counted. This organization was chosen to facilitate matching published terminations data. Because the records do not include a field that contains information regarding the date used by the AOUSC to identify the statistical/fiscal year of filing, it is particularly difficult to match published filing data. Cohorts based on actual filing and termination dates are unlikely to provide counts that can be matched with published tables.

Special Notes

In order to comply with the requirements of the Speedy Trial Act of 1974 significant changes were made in the criminal reporting system especially with regard to what cases were to be reported on, what information needed to be collected, and how time was to be tracked. Many of these changes, but particularly new rules involving superseding indictments and the reporting of misdemeanors assigned to magistrates make it extremely difficult to compare cases that were subject to the Act and those that were not. The effective date of the Act was July 1, 1976. All cases that were filed on or after that date are subject to its provisions.

In October 1975, the AOUSC issued a new version of the AO 256 Docket Set (which includes the JS-2 and JS-3 forms) that was designed to capture the new Speedy Trial information. Cases filed before this form was issued (using the older version of the JS-2) were not required to use the new JS-3 format to close the case regardless of when the termination occurred (and therefore regardless of the IDB data set in which it appears). In addition, the published tables for SY76 provide more detailed, defendant-based presentations than were provided in previous years. All of these factors combine to make SY76 a transition year in the reporting system, and make pre- and post-SY76 comparisons, particularly those intended to be matched against published data, hazardous.

The criminal data files include all defendants for whom a JS-2 form was filed. The reporting requirements for the JS-2, therefore, have an effect on the number of defendants included in the data. A JS-2 form must be filed for all defendants charged with a felony offense, or with a misdemeanor offense, other than a petty offense assigned to a U.S. magistrate judge. Petty offenses assigned to a district judge are reported. Thus comparisons over time must be done carefully to insure that perceived changes in the incidence of certain offenses are not actually reflections of changes in the law (such as the change in the definition of petty offense, raising the monetary limit from $500 to $5000, that

occurred in October 1984), or changes in court staffing or case assignment procedures (so that more or fewer petty offenses are handled by magistrate judges rather than district judges).

Fugitive Defendants

In FY93 the AOUSC changed its policy regarding reporting the counts of defendants who had been fugitive for more than one year. Beginning in FY93, at the end of the fiscal year such defendants are removed from the pending case counts for that year. Although no longer reflected in the counts, these cases are still considered open and if an individual who has been removed is apprehended, the case record will be reinserted into the normal pending data file without requiring a reopening of the case. Previously, because of the organization of the IDB, these cases would have been carried as part of the pending caseload and the records would appear in the "Pending" data file. Following this change, these cases are not reflected in either the terminated data files nor in the pending data files.

Purpose and Limitations of the Documentation

The purpose of this document is to briefly describe the data contained in the criminal IDB files: the physical structure of the records, the fields that are included, and the range of valid values that can be expected for each field (particularly in those instances where IDB processing programs have altered the value recorded in the original data). The document also points out known problems associated with using the IDB data, especially with respect to multiyear analyses. This document does not provide detailed explanations of fields or values, coding instructions for special cases, definitions of legal terms, information regarding court management or procedures, or changes in the federal rules or the law. Although information on these latter topics may be important when conducting analyses using these data, it is impossible to present that information here. The researcher may want to consult the reference materials listed above ("Reference Documents"), the federal rules of procedure, and the U.S. code for more detailed information.

Record Format

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
1	Circuit	CIRCUIT	The code of the federal judicial circuit where the case was located	N2
2	District	DISTRICT	The code of the federal judicial district where the case was located	A2
3	Office	OFFICE	The code of the district office where the case was located	A1
4	Docket Number	DOCKET	Docket number assigned by the district to the case	A7
5	Defendant Number	DEFNO	A unique number assigned to each defendant in a case	N2
6	Filing Date	FILEDATE	The date when a case was first docketed in the district court	YYYYMMDD
7	Proceeding Code	PROCCODE	A code used to identify the nature of the proceeding	N2
8	Filing Offense Code	FOFFCODE	The four digit offense code representing the most severe offense at filing	N4
9	Duplicate Defendant	DUPDEF	Indicates if the record is the second record for a defendant in the same district within a statistical year	N2
10	Termination Date	TERMDATE	The date upon which the case was closed	YYYYMMDD

11	Transfer Docket Number	TRDOCKET	The docket number originally assigned by the district from which a transfer took place	A7
12	Transfer Defendant Number	TRDEFNO	The unique number originally assigned to a defendant by the district from which a transfer took place	N2
13	Transfer Circuit	TRCIR	The code of the judicial circuit from which a transfer took place	N2
14	Transfer District	TRDIST	The code of the judicial district from which a transfer took place	A2
15	Transfer Office	TROFF	The code of the district office from which a transfer took place	A1
16	Interval	INTERVAL	The number of months from filing date to termination date	N3
17	Termination Offense Code	TOFFCODE	The four digit offense code representing the most severe offense at termination	N4
18	Major Offense Description	MAJOROFF	The code indicating the nature or type of disposition of the most severe offense	N2
19	Counsel	COUNSEL	A code indicating the type of legal	N2

			counsel assigned to a defendant	
20	Termination Judge	JUDGE	The statistical code associated with the judge who terminated the case	A4
21	Observation Code	OBSERVAT	Code indicating the title and section of the U.S. Code applicable to the offense committed which carried the highest severity	N2
22	Sentence Category	SENTCAT	Code indicating the nature of the defendant's sentence	N2
23	Statute	SENTSTAT	Code indicating the title and section of the U.S. Code applicable to the offense under which the defendant was disposed	N2
24	Sentence Type	SENTTYPE	Code indicating the length of the defendant's sentence	N2
25	Prison Term	PRISONMO	The number of months a defendant was sentenced to prison	N3
26	Probation Term	PROBMO	The number of months a defendants was sentenced to probation	N3
27	Fine	FINE	The fine imposed upon the defendant at sentencing	N2
28	Sex	SEX	Sex of the defendant	N2

29	Race	RACE	Race of the defendant	N2
30	Birth Year	BIRTHYR	Year of birth of the defendant	N2
31	Marital Status	MARITAL	Marital status of the defendant	N2
32	Education	EDUCAT	Highest level of education attained by the defendant	N2
33	Prior Record	PRIORREC	Code ranking the severity of a defendant's prior record	N2
34	Presentence Investigation	PRESENT	Type of presentence investigation	N2
35	Rule 20 Transfer	RULE20	Type of Rule 20/21 Transfer under which the case was transferred	N2
36	Defendant Name	NAME	The defendant's name as reported on the indictment, information, or other charging documents	A25
37	Filing Offense Level	MOFFLVL	A code indicating the level of offense associated with the most severe offense at filing	N2
38	Termination Offense level	TOFFLVL	A code indicating the level of offense associated with the most severe offense at termination	N2
39	Tape Year	TAPEYEAR	Statistical year ID label on data file obtained from the AOUSC which	YYYY

			represents termination year	

Detailed Field Descriptions

CIRCUIT
(CIRCUIT)

0 - District of Columbia 6 - Sixth Circuit
1 - First Circuit   7 - Seventh Circuit
2 - Second Circuit   8 - Eighth Circuit
3 - Third Circuit   9 - Ninth Circuit
4 - Fourth Circuit   10 - Tenth Circuit
5 - Fifth Circuit   11 - Eleventh Circuit (valid beginning in SY82)

-8 = Missing data

The District of Columbia was temporarily reassigned to CIRCUIT "11" in 1981.

DISTRICT
(DISTRICT)

00 - Maine   48 - Ohio - Southern
01 - Massachusetts   49 - Tennessee - Eastern
02 - New Hampshire   50 - Tennessee - Middle
03 - Rhode Island   51 - Tennessee - Western
04 - Puerto Rico   52 - Illinois - Northern
05 - Connecticut   53 - Illinois - Central
06 - New York - Northern   54 - Illinois - Southern
07 - New York - Eastern   55 - Indiana - Northern
08 - New York - Southern   56 - Indiana - Southern
09 - New York - Western   57 - Wisconsin - Eastern
10 - Vermont   58 - Wisconsin - Western
11 - Delaware   60 - Arkansas - Eastern
12 - New Jersey   61 - Arkansas - Western
13 - Pennsylvania - Eastern   62 - Iowa - Northern
14 - Pennsylvania - Middle   63 - Iowa - Southern
15 - Pennsylvania - Western   64 - Minnesota
16 - Maryland   65 - Missouri - Eastern
17 - North Carolina - Eastern   66 - Missouri - Western
18 - North Carolina - Middle   67 - Nebraska
19 - North Carolina - Western   68 - North Dakota
20 - South Carolina   69 - South Dakota
22 - Virginia - Eastern   7- - Alaska
23 - Virginia - Western   70 - Arizona
24 - West Virginia - Northern   71 - California - Northern
25 - West Virginia - Southern   72 - California - Eastern
26 - Alabama - Northern   73 - California - Central
27 - Alabama - Middle   74 - California - Southern
28 - Alabama - Southern   75 - Hawaii

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29 - Florida - Northern
3A - Florida - Middle
3C - Florida - Southern
3E - Georgia - Northern
3G - Georgia - Middle
3J - Georgia - Southern
3L - Louisiana - Eastern
3N - Louisiana - Middle
36 - Louisiana - Western
37 - Mississippi - Northern
38 - Mississippi - Southern
39 - Texas - Northern
40 - Texas - Eastern
41 - Texas - Southern
42 - Texas - Western
43 - Kentucky - Eastern
44 - Kentucky – Western
45 - Michigan - Eastern
46 - Michigan - Western
47 - Ohio - Northern

76 - Idaho
77 - Montana
78 - Nevada
79 - Oregon
80 - Washington - Eastern
81 - Washington - Western
82 - Colorado
83 - Kansas
84 - New Mexico
85 - Oklahoma - Northern
86 - Oklahoma - Eastern
87 - Oklahoma - Western
88 - Utah
89 - Wyoming
90 - District of Columbia
91 - Virgin Islands
92 - Canal Zone
93 - Guam
94 - Northern Mariana Islands

-8 = Missing data

Prior to SY74, the district code "70" referred to a district that included both Arizona and Alaska. Beginning in SY74, the district code for Arizona was changed to "70", while the code for Alaska became "7-".

OFFICE
(OFFICE)

-8 or null represents missing data.

DOCKET NUMBER
(DOCKET)

The first 2 positions represent the calendar year, and the last 5 positions is the sequence number, expanded with leading zeroes if necessary.

If a case is commenced before a U.S. magistrate judge the standard format is YYNNNNM where YY is the calendar year in which the case was filed; NNNN is the sequential number from 0001 to 9999; the letter M is used to designate this as a case that commenced before a U.S. magistrate. In districts where there is more than one magistrate, letters other than M may be used to distinguish among the magistrates; the letters D, I, O and Q are never used. Prior to SY86, magistrate judge cases (that is, cases with an alpha character in the docket number) were coded to missing.

Traffic violation cases (**PROCCD** = 14) contain alphabetic characters in the first two positions of the docket number and are present beginning in SY91. This is a departure from the standard docket number format of YYNNNNN.

-8 represents missing data.

DEFENDANT NUMBER
(DEFNO)

A two-digit number assigned sequentially to multiple defendants belonging to a single docket number. If there is only one defendant for this docket number, the defendant number is 01. Numbers can range from 01 to 99, depending on the total number of defendants in the case.

-8 represents missing data.

FILING DATE
(FILEDATE)

All days are set to 01 as the AOUSC only provided filing month and filing year during this time period. 00 is substituted for missing or out-of-range month segments; 99 is substituted for missing or out-of-range year segments.

PROCEEDING CODE
(PROCCODE)

1   - Indictment filed/unsealed
2   - Information (misdemeanor 1 year or less imprisonment possible, all other not specified)
3   - Waiver of indictment/information (felony)
4   - Remanded from appellate court
5   - Removed from state court
6   - Reinstated or reopened
7   - Appeal from U.S. Magistrate
8   - Adult Rule 20/21 transfer
9   - FJDA cases except Rule 20/21 transfer (juvenile)
10 - Consent to trial on complaint before Magistrate (beginning in SY78)
11 - Retrial on remand from appeals court (beginning in SY80)
12 - Retrial on mistrial (beginning in SY80)
13 - FJDA Rule 20/21 transfer
14 - Violation notice (beginning in SY91)
15 - Other: contempt/show cause (beginning in SY91)
16 - Superseding indictment (reopen after dismissal on government motion) (beginning in FY92)
17 - Superseding information (reopen after dismissal on government motion) (beginning in FY92)
18 - Superseding felony information with waiver of indictment (beginning in FY92)
19 - Indictment unsealed (beginning in FY92)
20 - Reindictment
21 - Felony waiver not signed (beginning in FY94)

-8 = Missing data

FILING OFFENSE CODE
(FOFFCODE)

See Criminal Offense Codes appendix.

-8 represents missing data.

DUPLICATE DEFENDANT
(DUPDEF)

Valid through FY93. See the discussion of duplicate defendants in the section "Published Tables" above. Due to IDB programming errors, prior to SY86 this field is coded 0 in nearly every instance.

0 = Not a duplicate defendant
1 = Duplicate defendant

-8 = Missing data
-9 = Data not collected

TERMINATION DATE
(TERMDATE)

All days are set to 01 as the AOUSC only provided termination month and termination year during this time period. 00 is substituted for missing or out-of-range month segments; 99 is substituted for missing or out-of-range year segments.

TRANSFER DOCKET NUMBER
(TRDOCKET)

Rule 20/21 transfer. Typically this information is known only for transfers received.

0000000 = Missing data
-8   = Data out of range

TRANSFER DEFENDANT NUMBER
(TRDEFNO)

Rule 20/21 transfer. Typically this information is known only for transfers received.

0 = Missing data
-8 = Data out of range

TRANSFER CIRCUIT
(TRCIR)

Rule 20/21 transfer. See **CIRCUIT** for valid values.

0 = Missing data
-8 = Data out of range

TRANSFER DISTRICT
(TRDIST)

Rule 20/21 transfer. See **DISTRICT** for valid values

-8 = Missing data

TRANSFER OFFICE
(TROFF)

Rule 20/21 transfer.

0 = Missing data
-8 = Data out of range

INTERVAL
(INTERVAL)

Valid through FY93. Interval in whole months.

-8 = Missing data.
0 = Data not collected (valid in FY94 and FY95)

TERMINATION OFFENSE CODE
(TOFFCODE)

See Criminal Offense Code appendix.

-8 represents missing data.

MAJOR OFFENSE DISPOSITION
(MAJOROFF)

0   - Rule 20/21 transfers (prior to January 1982 also includes statistical dismissals, see code 16)
1   - Dismissed, motion for judgment of acquittal granted after being requested by U.S. Attorney, any disposition not covered by another code; also remanded or appeal affirmed or denied, or dismissal without prejudice
2   - Acquitted by court, after trial or if motion for judgment of acquittal has been granted after being requested by the defendant or on the court's initiative
3   - Acquitted by jury after trial
4   - Convicted, initial plea guilty, or when initial plea is not guilty or nolo and final plea is guilty and both pleas occur on the same day
5   - Convicted, initial plea nolo, or when initial plea is guilty or not guilty and final plea is nolo and both pleas occur on the same day
6   - Convicted, final plea guilty and initial plea not guilty, or when final plea is guilty and was changed from the initial plea of nolo on a day different from that on which the initial plea was made
7   - Convicted, final plea nolo and initial plea not guilty, or when final plea is nolo and was changed from the initial plea of guilty on a day different from that on which the initial plea was made
8   - Convicted, by court after trial

9 - Convicted by jury after trial
10 - NARA Title I and III, 28:2902(a), (b)
11 - Nolle Prosequi (Prior to January 7, 1976, this disposition was coded "1")
12 - Pretrial Diversion (Deferred prosecution prior to January 7, 1976)
13 - Mistrial (since August 1979)
14 - Dismissed statistically
15 - Dismissed without prejudice
16 - Not guilty by reason of insanity (prior to July 1, 1983, coded as "3")
17 - Guilty but insane (18:4244(d)), effective October 12, 1984. By court distinction beginning in FY92
18 - Not guilty but insane (by jury) (beginning in FY92)
19 - Guilty but insane (by jury) (beginning in FY92)
20 - Dismissal on superseding indictment (beginning in FY92)
21 - Reassigned from district judge to magistrate (beginning in FY92)

-8 = Missing data

COUNSEL
(COUNSEL)

0 - Type of counsel not reported
1 - Criminal Justice Act (CJA) appointment
2 - Private counsel/retained
3 - Waived (through SY90); self/pro-se (after SY90)
4 - Self/other (prior to SY83); self (beginning in SY83)
5 - None (prior to SY83); none/other (beginning in SY83)
6 - Public defender/community defendant (through September 1975); public defender (beginning in October 1975)
7 - Community defender (beginning October 1975)

-8 = Missing data

TERMINATION JUDGE
(JUDGE)

Blank on public use files.

OBSERVATION CODE
(OBSERVAT)

Discontinued in SY91. First digit of what is known as the 'OSST' (Observation-Sentence-Statute-Type) code. Each code indicates a specific title and section of the U.S. Code under which the defendant is charged.

0 - None
1 - 18:4244, 4245, 4246 prior to 10/12/86; 18:4241, 4242 (Mental incompetency)
2 - 18:5037(c) (FJDA)
3 - 18:5010(e) (YCA and YO) (repealed 10/12/84)
4 - 18:4208(b)(c) prior to 5/14/76; 18:4205(c),(d) (Adult indeterminate)

5 - 18:4252 (NARA - 30 days examination)
6 - 28:2902(a),(b) Title I NARA

-8 = Missing data (through SY90)
-9 = Missing data (beginning in SY91)

SENTENCE CATEGORY
(SENTCAT)

Discontinued in SY91. Second digit of the 'OSST' (Observation-Sentence-Statute-Type) code. Each code indicates the nature of the sentence based upon imprisonment, probation, length, concurrence, or consecutiveness.

1 - Prison only, or probation only, or probation and/or fine only or one to four days prison followed by probation - except DAPCA (see code 6)
2 - Five days through six months of prison followed by probation (split sentence) - except DAPCA (see code 4)
3 - Over six months of prison followed by probation (mixed sentence) - except DAPCA (see code 7)
 4 - Same as 2 except this applies to DAPCA only
 5 - Prison and/or probation concurrent with a federal, state, or local sentence or consecutive to a state or local sentence already in effect
6 - Same as 1 except this applies to DAPCA only
7 - Same as 3 except this applies to DAPCA only
 8 - Prison and/or probation consecutive to another federal sentence
 9 - Prison and/or probation on a revocation of probation without any new indictment

-8 = Missing data (through SY90)
-9 = Missing data (beginning in SY91)

Note: codes 2 and 3 take precedence over codes 1 and 5.

STATUTE
(SENTSTAT)

Discontinued in SY91. Third digit of the 'OSST' (Observation-Sentence-Statute-Type) code representing the title and section of the U.S. Code under which the defendant is disposed.

0 - None (regular parole, probation or fine)
1 - 18:4208 (a)(1)) prior to May 14, 1976; 18:4205 (b) (1) - where a maximum sentence is specified and the minimum sentence specified is less than one-third of the maximum sentence specified
2 - 18:4208 (a)(2) prior to May 14, 1976; 18:4205 (b) (2) - where the sentence imposed exceeds one year and a maximum sentence is specified, but no minimum is specified
3 - 18:4216 repealed 11/10/86; 18:5010 (a) - YCA - sentence to probation (effective 8/78); title 18:5010 (b) - YCA - where the sentence is indeterminate or not to exceed six years; imprisonment reported as 048 months
4 - 18:4216 repealed 11/10/86; 18:5010 (c) - YCA - where the amount of sentence is specified and is in excess of six years; imprisonment reported showing two years less than full term
5 - 18:5031-5042 - FJDA (values 9 or 13 in PROCEEDING CODE (field 8))

6 - 18:4253 (a) - NARA - indeterminate sentence not to exceed ten years or the maximum sentence that could have been imposed if the conviction offense is not a drug related offense

7 - 18:4253 (b) - NARA - regular sentence (not to be used where 1 through 5 above is applicable because of a determination made by the Surgeon General that NARA is not to be used for some reason such as non-response to program treatment

8 - 21:801-966 - DAPCA - (Not to be used where 1 through 5 above is applicable. DAPCA does not supersede these statutes)

9 - 28:2903 - NARA - reopened after TITLE I or III civil commitment

10 - 18:4205 (f) - Court Designated Parole. This statute permits release as if on parole after service of one third of sentence; sentence must be at least six months but not more than one year

11 - 18:3575 - Increased sentence for dangerous special offenders

-8 = Missing data (through SY90)
-9 = Missing data (beginning in SY91)

SENTENCE TYPE
(SENTTYPE)

Discontinued in SY91. Fourth digit of the 'OSST' (Observation-Sentence-Statute-Type) code and classifies sentences by length of imprisonment or type of probation.

0 - In any district - sentence suspended, imposition of sentence suspended, or imprisonment four days or less; or sentence consists of time already served, or sentence was fine only and was remitted or suspended; prior to SY87 this code also included deportation or probation without supervision in the 5 immigration districts only (Texas Southern (0541), Texas Western (0542), Arizona (0970), California Southern (0974), New Mexico (1084)); see code 6

1 - Prison 5 days through 12 months; prior to 7/83 this code also included sentences of 1 year and 1 day; see code 14

2 - Prison 12 months and 2 days through 35 months

3 - Prison 36 through 59 months and all instances where **SENTSTAT** = 3, except probation (18:5010(a))

4 - Prison 60 months and over and all instances where **SENTSTAT** = 4

5 - Probation direct from court and supervised

6 - Probation direct from court and unsupervised (includes firms and corporations), or deportation, or release to military service and probation terminates; prior to SY87 this code excluded deportation in the five immigration districts; see code 0

7 - Probation following prison on split or mixed sentences (**SENTCAT** = 2, 3, 4, or7), or probation following under another sentence to probation or probation following another state or local sentence to probation or prison

8 - Probation to begin on release from military service hospital, or special custody (no jail involved), or the defendant was released to a detainer, or released on bond pending appeal

9 - A fine was imposed and remains to be paid, i.e., not remitted or suspended

10 - Death; imprisonment coded 000 months (since 7/73)

11 - Life imprisonment (with parole possible); imprisonment coded 540 months (since 7/73)

12 - Natural life imprisonment (with no parole possible); imprisonment coded 000 months (since 7/73)

13 - Split sentence with special orders (i.e., serve prison sentence on weekends or sometime during probation period other than at the beginning) (since 10/76)

14 - Prison 1 year and 1 day (prior to 7/83 coded as 1)

-8 = Missing data (through SY90)
-9 = Missing data (beginning in SY91)

PRISON TERM
(PRISONMO)

This can be either the number of months of imprisonment imposed, or one of the codes below:

Valid values beginning in SY91:

000 - Sentences of 4 days or less; no time imposed; imposition of sentence suspended; credit for time served; sealed sentence; guilty – no sentence
888 - Life imprisonment
998 - Numeric sentences of 998 months or more
999 - Death sentence

Valid values prior to SY91:

000 - Death or no sentence; imprisonment of 4 days or less (prior to January 1982, the value was 15 days or less); deported; imposition of sentence suspended
048 - Minority FJDA (unless time can be computed), or when **SENTSTAT** = 3).
072 - When **SENTSTAT** = 4.
540 - Life imprisonment.
999 - 999 or more months.
001-998 - All others as appropriate (not including death or life imprisonment).

-8 = Missing data

PROBATION TERM
(PROBMO)

This can be either the number of months of probation imposed, or one of the codes below:

000 - No probation, probation of 4 days or less (prior to January 1982, the value was 15 days or less), or deported
999 - 999 or more months
001-998 - Probation of 1 to 998 months

-8 = Missing data

FINE
(FINE)

Valid through SY90. Codes for dollar amount ranges when a fine is part of the sentence.

Prior to SY82:   Beginning in SY82:

0 - None   0 - None

1 - $1 thru $99	1 - $1 thru $100
2 - $100 thru $249	2 - $101 thru $500
3 - $250 thru $499	3 - $501 thru $1,000
4 - $500 thru $999	4 - $1,001 thru $5,000
5 - $1,000 thru $2,499	5 - $5,001 thru $10,000
6 - $2,500 thru $4,999	6 - $10,001 thru $20,000
7 - $5,000 thru $9,999	7 - $20,001 thru $50,000
8 - $10,000 thru $49,999	8 - $50,001 thru $99,999
9 - $50,000 or more	9 - $100,000 or more

-8 = Missing data
-9 = Data not collected

SEX
(SEX)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

1 - Male
2 - Female
3 - Corporation or firm
4 - Unknown or unreported

-8 = Missing data
-9 = Data not collected (beginning in SY88)

RACE
(RACE)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

Beginning in SY84:

1 - White not Hispanic
2 - Black not Hispanic
3 - American Indian
4 - Chinese
5 - Japanese
6 - Corporation or firm
7 - Other
8 - Unknown or unreported
9 - White Hispanic
10 - Black Hispanic
11 - Asian

-8 = Missing data (through SY87)

-9 = Data not collected (beginning in SY88)

Prior to SY84:

1 - White (including Mexican and Puerto Rican descent)
2 - Negro-Black (including Hispanic)
3 - American Indian
4 - Chinese
5 - Japanese
6 - Corporation or firm
7 - Other
8 - Unknown or unreported

-8 = Missing data

BIRTH YEAR
(BIRTHYR)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

00-99 - Two rightmost digits in calendar birth year.

-8 = Missing data (through SY87)
-9 = Data not collected (beginning in SY88)

MARITAL
(MARITAL)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

1 - Married
2 - Single
3 - Divorced
4 - Separated
5 - Widow(er)
6 - Common law (even if not recognized in the State)
7 - Corporation or firm
8 - Unknown or unreported

-8 = Missing data (through SY87)
-9 = Data not collected (beginning in SY88)

EDUCATION
(EDUCAT)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

1 - 8th grade completed
2 - 9-11 completed
3 - High School Graduate or GED
4 - 13-16 completed
5 - Bachelor degree or higher
6 - Vocational
7 - Corporation or firm
8 – Other (e.g., grades 1-7, illiterate)
9 - Unknown or unreported

-8 = Missing data (through SY87)
-9 = Data not collected (beginning in SY88)

Due to errors in the IDB processing programs, values of 2 were incorrectly recoded to -8 prior to SY86.

PRIOR RECORD
(PRIORREC)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

0 - No known prior conviction
1 - Prior conviction(s) resulting in probation only on suspended sentence without probation (also applies to cases of fine only)
2 - Prior conviction(s) resulting in sentence of 1 year or less (includes split or mixed sentences where commitment part is 1 year or less)
3 - Prior commitment(s) under juvenile delinquency procedure
4 - Prior conviction(s) resulting in confinement of more than 1 year
5 - Unknown or unreported

-8 = Missing data (through SY87)
-9 = Data not collected (beginning in SY88)

PRESENTENCE INVESTIGATION
(PRESENT)

This information is obtained from probation records and is therefore only available for convicted defendants. It is only reliable through SY84 and was discontinued in SY88.

1 - Complete
2 - Selective/Limited (as of SY82 this code is no longer used)
3 - None
4 - Unknown or unreported

-8 = Missing data (through SY87)

-9 = Data not collected (beginning in SY88)

RULE 20 TRANSFER
(RULE20)

Valid through SY90.

1 - Terminated - transferred under Rule 20/21
2 - Terminated - returned under Rule 20/21 (discontinued SY83)
3 - Opened - received under Rule 20/21
4 - Opened - received by return under Rule 20/21 (discontinued SY83)

0 = Missing data (through SY90)
8 = Missing data (through SY80)
-9 = Data not collected (beginning in SY91)

DEFENDANT NAME
(NAME)

Blank on public use files.

FILING OFFENSE LEVEL
(MOFFLVL)

Data collected beginning in SY81. All data prior to SY81 set to missing (-8).

1 - Petty offense - any misdemeanor for which the penalty does not exceed 6 months imprisonment or a fine of not more than $5000, or both (18:1(3)); prior to 10/30/84 limit on fine was $500
2 - Other minor offense - any misdemeanor, other than a petty offense, for which the penalty does not exceed one year's imprisonment or a fine of not more than $1,000 or both (18:3401) (valid SY81 only)
3 - Other misdemeanor - any criminal offense where conviction could result in no more than one year's imprisonment without regard to fine amount involved (18:1(2), 18:3401); prior to SY82 this code included the restriction "... imprisonment and/or a fine greater than $1,000, or any offense specifically excepted under 18 U.S.C. §3401(f)"
4 - Felony - a criminal offense punishable by death or imprisonment for a term exceeding one year (18:1(1))

-8 = Missing data

TERMINATION OFFENSE LEVEL
(TOFFLVL)

Data collected beginning in SY81. All data prior to SY81 set to missing ("-8").

1 - Petty offense - any misdemeanor for which the penalty does not exceed 6 months imprisonment or a fine of not more than $5000, or both (18:1(3)); prior to 10/30/84 limit on fine was $500
2 - Other minor offense - any misdemeanor, other than a petty offense, for which the penalty does not exceed one year's imprisonment or a fine of not more than $1,000 or both (18:3401) (valid SY81 only)

3 - Other misdemeanor - any criminal offense where conviction could result in no more than one year's imprisonment without regard to fine amount involved (18:1(2), 18:3401); prior to SY82 this code included the restriction "... imprisonment and/or a fine greater than $1,000, or any offense specifically excepted under 18 U.S.C. §3401(f)"
4 - Felony - a criminal offense punishable by death or imprisonment for a term exceeding one year (18:1(1))

-8 = Missing data
0 = Missing data

TAPE YEAR
(TAPEYEAR)

Possible values are statistical year of termination (July 1 through June 30) for terminated appeals through SY91, or fiscal year of termination (October 1 through September 30) for terminated appeals from FY92 forward (FY92 includes July 1 through September 30, 1991).