

Federal Judicial Center

Criminal Integrated Database (IDB): 1996 to Present

Codebook

August 2016

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Introduction

In 2011, the Administrative Office of the United States Courts (AOUSC) began implementing the NewSTATS (New Streamline Timely Access to Statistics) Project with respect to criminal data. The project's goals were to modernize the system for collecting, processing, analyzing, and reporting statistics of the federal court system. Based on the records for criminal defendants in NewSTATS, the criminal data in the Integrated Data Base (IDB) were updated back to fiscal year 1996. This was chosen as the starting point because it was the earliest complete fiscal year of data loaded into NewSTATS by the AOUSC.

The revised IDB data include all criminal defendants filed on or after October 1, 1995 and any defendants filed before October 1, 1995 still pending on that date. Each data set corresponds to a fiscal year snapshot that includes one extract record for each unique defendant filed or terminated during that fiscal year or pending at the end of it. A fiscal year runs from October 1 of the prior calendar year to September 30 (e.g., FY 2015 runs from October 1, 2014 to September 30, 2015). Each record in each fiscal year snapshot data set contains both the filing and, if applicable, closing data for one unique defendant.

- For records filed during the period and pending at the end of the period, the record contains the filing data but the closing data are blank (set to missing).
- For records filed prior to the current period and pending at the end of the period, the record contains the filing data but the closing data are blank (set to missing).
- For records filed during the period and closed during the period, the record contains both the filing data and the closing data.
- For records filed prior to the current period and closed during the period, the record contains both the filing and the closing data.

The defendant record in the IDB is the "current" record for a defendant in the AOUSC's NewSTATS Data Base as of the end of the snapshot period. That is, it includes the most recent record for the defendant submitted to the AOUSC as of the end of the snapshot period. The information contained in this record may differ from the original record or other earlier records for the defendant transmitted from the court to the AOUSC, as well as from records for the defendant subsequently transmitted to the AOUSC from the courts. The current record for a defendant includes certain fields of information retained from the original record.

Comparison to Published Tables

The data records used in the IDB are the records used by the Judiciary Data and Analysis Office (JDAO) of the AOUSC to prepare the detailed statistical tables presented in the appendix of the Annual Report of the Director for that year. The "D" tables in that appendix are based on criminal data.

The published tables do not count intra-districts transfers as new filings or as terminations to avoid double-counting defendants within a district. Inter-district transfers, in contrast, are counted in both the originating district and the destination district. The inclusion of inter-district transfers in the counts on the "D" tables varies according to the table. To match to the published filing statistics on those tables including inter-district transfers, the user should select cases using the fields FISCAL YEAR and COUNT FILINGS INCLUDING TRANSFERS. For those tables excluding inter-district transfers, the user

should select cases using the fields FISCAL YEAR and COUNT FILINGS EXCLUDING TRANSFERS. Counts obtained with the criminal NewSTATS data should match the published tables. However, FJC processing of the records for the IDB may have altered values (for example, recoding out-of-range values into a separate "missing" category). Although such discrepancies are not expected to be substantial, researchers should be aware they may exist.

In FY 2005, the AOUSC revised the nature of offense classification system it uses to group similar citations together in order to report on types of offenses committed. Published tables through 2004 use the old nature of offense classification system which relied upon the AO codes. The revised classification system in place since 2005 uses the D2 codes. Data in the IDB for 1996 through 2004 have been updated to include the D2 codes to allow for the mapping of defendants to both the current and historical offense classification systems.

Multi-Year Analyses

The IDB data include the record in existence at the time the snapshot for the published tables was created, not necessarily the most current record for the defendant. It is also possible the IDB data do not include complete information for every defendant filed, although this problem is negligible (e.g., perhaps 100 defendants a year). If the court fails to send a termination record for a defendant until after the data for the fiscal year of the termination have been processed for publication, the termination record will not appear in any fiscal year snapshot. It will appear as if the defendant never terminated. Similarly, if a defendant is filed and terminated in one fiscal year, but the records are not sent until after the data for that fiscal year have been processed for publication, the records will not appear in any fiscal year snapshot.

Code Changes Over Time

The data underwent a number of modifications upon migration to NewSTATS. Some fields were discontinued, while new fields were added. Codes also changed for several variables. Data in the IDB back to FY 1996 have been updated to reflect the most current version of codes as used in NewSTATS. Where possible, fields not in existence prior to March 2012 have been calculated using the NewSTATS logic applied to the FY 1996 through FY 2011 data. The field descriptions in this codebook identify the current codes in place, and, where appropriate, if a variable does or does not have data prior to or beginning with FY 2012. The researcher must be careful to account for changes in values and interpretations when doing multi-year analyses particularly for data preceding FY 1996. Researchers conducting multiyear analyses should note the following:

- For some fields there is not a consistent correspondence between a coded value and a single interpretation over time. This means that the same coded value may represent different situations depending on when the information was recorded.
- Field values and their interpretation are generally dependent on the codes and interpretation in place at the time the filing or termination record was created.
- Unless limitations are noted, we believe the listed correspondence between a coded value and its interpretation is consistent from 1996 forward. If there were interpretation changes, dates provided in the field descriptions identify which sets of codes were valid during which time periods. These dates are approximations based both on observation of patterns in the data, and on the release dates of new forms or other documentation that used the new codes. 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 because a record was created when an older set of codes and values were valid. They also may be found as a result of coding habit or the use of an outdated form.

- When processing records for the IDB, values that were valid at any time are accepted; any attempts to reconcile valid values against the time period for which they are considered valid were not exhaustive.
- The Code Book most reliably documents changes in field values and interpretation since 2012.

IMPORTANT NOTE

FJC and Administrative Office staff have reviewed historical documents and have taken significant measures to ensure the accuracy of this Codebook. Users finding any unexplained data anomalies or interpretational problems are encouraged to notify either Kristin Garri (kgarri@fjc.gov) or George Cort (gcort@fjc.gov).

Record Format

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
1	Fiscal Year	FISCALYR	The fiscal year of the data file obtained from the AOUSC	YYYY
2	Circuit	CIRCUIT	The code of the federal judicial circuit where the case was located	A2
3	District	DISTRICT	The code of the federal judicial district where the case was located	A2
4	Office	OFFICE	The code of the district office where the case was located	A2
5	Docket Number	DOCKET	Docket number assigned by the district to the case	A7
6	Defendant Number	DEFNO	A unique number assigned to each defendant in a case which cannot be modified by the court	A3
7	Court Defendant Number	CTDEF	A unique number assigned to each defendant in a case which can be modified by the court	A3
8	Defendant Name	NAME	The defendant's name as reported on the indictment, information, or other charging documents	A35
9	Reopen Sequence Number	REOPSEQ	A sequential number indicating whether a case is an original proceeding or a reopen	N5
10	Case Type – Regular	TYPereg	Case type associated with the current defendant record	A2
11	Case Type – Transfer	TYPetrn	Case type associated with the originating case if the current case was a transfer	A2
12	Case Type – Magistrate	TYPemag	Case type associated with a magistrate case if the current case was merged from a magistrate case	A2
13	Defendant Logical Key	DEFLGKY	A concatenation of district, office, docket number, case type, defendant number, and reopen sequence number	A18

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
14	Case Logical Key	CASLGKY	A concatenation of district, office, docket number, case type, and reopen sequence number	A15
15	Magistrate Docket Number	MAGDOCK	The docket number originally given to a case assigned to a magistrate judge and subsequently merged into a criminal case	A7
16	Magistrate Defendant Number	MAGDEF	A unique number assigned to each defendant in a magistrate case	A3
17	Status Code	STATUSCD	The status of the defendant as assigned by the AOUSC	A2
18	Fugitive Status	FUGSTAT	A code indicating the fugitive status of a defendant	A1
19	Fugitive Start Date	FGSTRDATE	The date upon which a defendant became a fugitive	YYYYMMDD
20	Fugitive End Date	FGENDDATE	The date upon which a fugitive defendant was taken into custody	YYYYMMDD
21	Filing Date	FILEDATE	The date when a case was first docketed in the district court	YYYYMMDD
22	Proceeding Date	PROCDATE	The date upon which proceedings in a case commenced on charges pending in the district court where the defendant appeared, or the date of the defendant's felony-waiver of indictment	YYYYMMDD
23	Proceeding Code	PROCCD	A code used to identify the nature of the proceeding	N2
24	First Appearance Date	APPDATE	The date when a defendant first appeared before a judicial officer in the district court where a charge was pending	YYYYMMDD
25	First Appearance Code	APPCD	A code indicating the event by which a defendant appeared before a judicial officer in the district court where a charge was pending	A2

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
26	Filing Judge	FJUDGE	The statistical code associated with the judge assigned to the case at the time of filing or with the presiding judge	A4
27	Filing Counsel	FCOUNSEL	A code indicating the type of legal counsel assigned to a defendant	N2
28	Filing Title/Section 1	FTITLE1	The title and section of the U.S. Code applicable to the offense committed which carried the highest severity	A20
29	Filing Offense Level 1	FOFFLVL1	A code indicating the level of offense associated with FTITLE1	N2
30	AO Filing Offense Code 1	FOFFCD1	The four digit AO offense code associated with FTITLE1	A4
31	D2 Filing Offense Code 1	D2FOFFCD1	The four digit D2 offense code associated with FTITLE1	A4
32	Filing Severity Code 1	FSEV1	A code indicating the severity associated with FTITLE1	A3
33	Filing Title/Section 2	FTITLE2	The title and section of the U.S. Code applicable to the offense committed which carried the second highest severity	A20
34	Filing Offense Level 2	FOFFLVL2	A code indicating the level of offense associated with FTITLE2	N2
35	AO Filing Offense Code 2	FOFFCD2	The four digit AO offense code associated with FTITLE2	A4
36	D2 Filing Offense Code 2	D2FOFFCD2	The four digit D2 offense code associated with FTITLE2	A4
37	Filing Severity Code 2	FSEV2	A code indicating the severity associated with FTITLE2	A3
38	Filing Title/Section 3	FTITLE3	The title and section of the U.S. Code applicable to the offense committed which carried the third highest severity	A20
39	Filing Offense Level 3	FOFFLVL3	A code indicating the level of offense associated with FTITLE3	N2
40	AO Filing Offense Code 3	FOFFCD3	The four digit AO offense code associated with FTITLE3	A4

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
41	D2 Filing Offense Code 3	D2FOFFCD3	The four digit D2 offense code associated with FTITLE3	A4
42	Filing Severity Code 3	FSEV3	A code indicating the severity associated with FTITLE3	A3
43	Filing Title/Section 4	FTITLE4	The title and section of the U.S. Code applicable to the offense committed which carried the fourth highest severity	A20
44	Filing Offense Level 4	FOFFLVL4	A code indicating the level of offense associated with FTITLE4	N2
45	AO Filing Offense Code 4	FOFFCD4	The four digit AO offense code associated with FTITLE4	A4
46	D2 Filing Offense Code 4	D2FOFFCD4	The four digit D2 offense code associated with FTITLE4	A4
47	Filing Severity Code 4	FSEV4	A code indicating the severity associated with FTITLE4	A3
48	Filing Title/Section 5	FTITLE5	The title and section of the U.S. Code applicable to the offense committed which carried the fifth highest severity	A20
49	Filing Offense Level 5	FOFFLVL5	A code indicating the level of offense associated with FTITLE5	N2
50	AO Filing Offense Code 5	FOFFCD5	The four digit AO offense code associated with FTITLE5	A4
51	D2 Filing Offense Code 5	D2FOFFCD5	The four digit D2 offense code associated with FTITLE5	A4
52	Filing Severity Code 5	FSEV5	A code indicating the severity associated with FTITLE5	A3
53	County	COUNTY	The FIPS code used to indicate the county or parish where an offense was committed	A5
54	Transfer District	TRANDIST	The code of the judicial district in which an intra-district transfer took place	A4
55	Transfer Office	TRANOFF	The code of the district office from which an intra-district transfer took place	A2
56	Transfer Docket Number	TRANDOCK	The docket number originally assigned by the district in	A7

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
			which an intra-district transfer took place	
57	Transfer Defendant Number	TRANDEF	The unique number originally assigned to a defendant by the district in which an intra-district transfer took place	A3
58	Update Date	UPDATE	The date of the last action taken on the record	YYYYMMDD
59	Disposition Date	DISPDATE	The date upon which judicial proceedings before the court concluded	YYYYMMDD
60	Sentencing Date	SENTDATE	The date upon which the final sentence is recorded on the docket	YYYYMMDD
61	Termination Date	TERMDATE	The date upon which the case was closed	YYYYMMDD
62	Interval One	INT1	The number of days from the earlier of filing date or first appearance date to proceeding date	N3
63	Interval Two	INT2	The number of days from proceeding date to disposition date	N3
64	Interval Three	INT3	The number of days from disposition date to sentencing date	N3
65	Termination Office	TERMOFF	The code of the district office where the case was terminated	A2
66	Termination Judge	TJUDGE	The statistical code associated with the judge who terminated the case	A4
67	Termination Counsel	TCOUNSEL	A code indicating the type of legal counsel assigned to a defendant at the time the case was closed	N2
68	Termination Title/Section 1	TTITLE1	The title and section of the U.S. Code applicable to the offense that carried the most severe disposition and penalty under which the defendant was disposed	A20
69	Termination Offense Level 1	TOFFLVL1	A code indicating the level of offense associated with TTITLE1	N2

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
70	AO Termination Offense Code 1	TOFFCD1	The four digit AO offense code associated with TTITLE1	A4
71	D2 Termination Offense Code 1	D2TOFFCD1	The four digit D2 offense code associated with TTITLE1	A4
72	Termination Severity 1	TSEV1	A code indicating the severity associated with TTITLE1	A3
73	Termination Disposition Code 1	DISP1	The code indicating the nature or type of disposition associated with TTITLE1	N2
74	Prison Time 1	PRISTIM1	The number of months a defendant was sentenced to prison under TTITLE1	N4
75	Prison Code 1	PRISCD1	A code indicating whether the prison sentence associated with TTITLE1 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
76	Probation Months 1	PROBMON1	The number of months of probation imposed upon a defendant under TTITLE1	N4
77	Probation Code 1	PROBCD1	A code indicating whether the probation sentence associated with TTITLE1 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
78	Supervised Release 1	SUPVREL1	A period of supervised release imposed upon a defendant under TTITLE1	N3
79	Fine Amount 1	FINEAMT1	The fine imposed upon the defendant at sentencing under TTITLE1	N8
80	Termination Title/Section 2	TTITLE2	The title and section of the U.S. Code applicable to the offense under which the defendant was disposed that carried the second most severe disposition and penalty	A20

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
81	Termination Offense Level 2	TOFFLVL2	A code indicating the level of offense associated with TTITLE2	N2
82	AO Termination Offense Code 2	TOFFCD2	The four digit AO offense code associated with TTITLE2	A4
83	D2 Termination Offense Code 2	D2TOFFCD2	The four digit D2 offense code associated with TTITLE2	A4
84	Termination Severity 2	TSEV2	A code indicating the severity associated with TTITLE2	A3
85	Termination Disposition Code 2	DISP2	The code indicating the nature or type of disposition associated with TTITLE2	N2
86	Prison Time 2	PRISTIM2	The number of months a defendant was sentenced to prison under TTITLE2	N4
87	Prison Code 2	PRISCD2	A code indicating whether the prison sentence associated with TTITLE2 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
88	Probation Months 2	PROBMON2	The number of months of probation imposed upon a defendant under TTITLE2	N4
89	Probation Code 2	PROBCD2	A code indicating whether the probation sentence associated with TTITLE2 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
90	Supervised Release 2	SUPVREL2	A period of supervised release imposed upon a defendant under TTITLE2	N3
91	Fine Amount 2	FINEAMT2	The fine imposed upon the defendant at sentencing under TTITLE2	N8
92	Termination Title/Section 3	TTITLE3	The title and section of the U.S. Code applicable to the offense under which the defendant was disposed that	A20

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
			carried the third most severe disposition and penalty	
93	Termination Offense Level 3	TOFFLVL3	A code indicating the level of offense associated with TTITLE3	N2
94	AO Termination Offense Code 3	TOFFCD3	The four digit AO offense code associated with TTITLE3	A4
95	D3 Termination Offense Code 3	D2TOFFCD3	The four digit D2 offense code associated with TTITLE3	A4
96	Termination Severity 3	TSEV3	A code indicating the severity associated with TTITLE3	A3
97	Termination Disposition Code 3	DISP3	The code indicating the nature or type of disposition associated with TTITLE3	N2
98	Prison Time 3	PRISTIM3	The number of months a defendant was sentenced to prison under TTITLE3	N4
99	Prison Code 3	PRISCD3	A code indicating whether the prison sentence associated with TTITLE3 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
100	Probation Months 3	PROBMON3	The number of months of probation imposed upon a defendant under TTITLE3	N4
101	Probation Code 3	PROBCD3	A code indicating whether the probation sentence associated with TTITLE3 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
102	Supervised Release 3	SUPVREL3	A period of supervised release imposed upon a defendant under TTITLE3	N3
103	Fine Amount 3	FINEAMT3	The fine imposed upon the defendant at sentencing under TTITLE3	N8
104	Termination Title/Section 4	TTITLE4	The title and section of the U.S. Code applicable to the offense under which the	A20

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
			defendant was disposed that carried the fourth most severe disposition and penalty	
105	Termination Offense Level 4	TOFFLVL4	A code indicating the level of offense associated with TTITLE4	N2
106	AO Termination Offense Code 4	TOFFCD4	The four digit AO offense code associated with TTITLE4	A4
107	D4 Termination Offense Code 4	D2TOFFCD4	The four digit D2 offense code associated with TTITLE4	A4
108	Termination Severity 4	TSEV4	A code indicating the severity associated with TTITLE4	A3
109	Termination Disposition Code 4	DISP4	The code indicating the nature or type of disposition associated with TTITLE4	N2
110	Prison Time 4	PRISTIM4	The number of months a defendant was sentenced to prison under TTITLE4	N4
111	Prison Code 4	PRISCD4	A code indicating whether the prison sentence associated with TTITLE4 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
112	Probation Months 4	PROBMON4	The number of months of probation imposed upon a defendant under TTITLE4	N4
113	Probation Code 4	PROBCD4	A code indicating whether the probation sentence associated with TTITLE4 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
114	Supervised Release 4	SUPVREL4	A period of supervised release imposed upon a defendant under TTITLE4	N3
115	Fine Amount 4	FINEAMT4	The fine imposed upon the defendant at sentencing under TTITLE4	N8

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
116	Termination Title/Section 5	TTITLE5	The title and section of the U.S. Code applicable to the offense under which the defendant was disposed that carried the fifth most severe disposition and penalty	A20
117	Termination Offense Level 5	TOFFLVL5	A code indicating the level of offense associated with TTITLE5	N2
118	AO Termination Offense Code 5	TOFFCD5	The four digit AO offense code associated with TTITLE5	A4
119	D5 Termination Offense Code 5	D2TOFFCD5	The four digit D2 offense code associated with TTITLE5	A4
120	Termination Severity 5	TSEV5	A code indicating the severity associated with TTITLE5	A3
121	Termination Disposition Code 5	DISP5	The code indicating the nature or type of disposition associated with TTITLE5	N2
122	Prison Time 5	PRISTIM5	The number of months a defendant was sentenced to prison under TTITLE5	N4
123	Prison Code 5	PRISCD5	A code indicating whether the prison sentence associated with TTITLE5 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
124	Probation Months 5	PROBMON5	The number of months of probation imposed upon a defendant under TTITLE5	N4
125	Probation Code 5	PROBCD5	A code indicating whether the probation sentence associated with TTITLE5 was concurrent or consecutive in relation to the other counts in the indictment or information or multiple counts of the same charge	A4
126	Supervised Release 5	SUPVREL5	A period of supervised release imposed upon a defendant under TTITLE5	N3

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
127	Fine Amount 5	FINEAMT5	The fine imposed upon the defendant at sentencing under TTITLE5	N8
128	Prison Total	PRISTOT	The total prison time for all offenses of which the defendant was convicted and prison time was imposed	N4
129	Probation Total	PROBTOT	The total probation time for all offenses of which the defendant was convicted and probation was imposed	N4
130	Fine Total	FINETOT	The total fine imposed at sentencing for all offenses of which the defendant was convicted and a fine was imposed	N8
131	Count Filings Including Transfers	CTFILTRN	A count of defendants filed including inter-district transfers	N1
132	Count Filings Excluding Transfers	CTFIL	A count of defendants filed excluding inter-district transfers	N1
133	Count Filings Without Reopens	CTFILWOR	A count of original proceedings commenced	N1
134	Count Filings Reopens	CTFILR	A count of defendants filed whose proceedings commenced by reopen, remand, appeal, or retrial	N1
135	Count Terminations Including Transfers	CTTRTRN	A count of defendants terminated including inter-district transfers	N1
136	Count Terminations Excluding Transfers	CTTR	A count of defendants terminated excluding inter-district transfers	N1
137	Count Terminations Without Reopens	CTTRWOR	A count of original proceedings terminated	N1
138	Count Terminations Reopens	CTTRR	A count of defendants terminated whose proceedings commenced by reopen, remand, appeal, or retrial	N1

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
139	Count Pending Including Long Term Fugitives	CTPN	A count of defendants pending as of the last day of the period including long term fugitives	N1
140	Count Pending Without Long Term Fugitives	CTPNWOF	A count of defendants pending as of the last day of the period excluding long term fugitives	N1
141	Source	SOURCE	The source from which the data were loaded into the AOUSC's NewSTATS database	A10
142	Version	VER	A sequential number indicating the iteration of the defendant record	N2
143	Date Loaded	LOADDATE	The date the record was loaded into the AOUSC's NewSTATS database	YYYYMMDD
144	Tape Year	TAPEYEAR	Statistical year ID label on data file obtained from the AOUSC which represents termination year	YYYY

Detailed Field Descriptions

FISCAL YEAR (FISCALYR)

Each fiscal year is a 12-month period running from October 1 of the prior calendar year to September 30 (e.g., FY 2015 runs from October 1, 2014 to September 30, 2015).

CIRCUIT (CIRCUIT)

Conforms with the format established in Volume XI, Guide to Judiciary Policies and Procedures, Appendix A.

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

-8 = Missing

DISTRICT (DISTRICT)

Conforms with the format established in Volume XI, Guide to Judiciary Policies and Procedures, Appendix A.

00 - Maine	47 - Ohio - Northern
01 - Massachusetts	48 - Ohio - Southern
02 - New Hampshire	49 - Tennessee - Eastern
03 - Rhode Island	50 - Tennessee - Middle
04 - Puerto Rico	51 - Tennessee - Western
05 - Connecticut	52 - Illinois - Northern
06 - New York - Northern	53 - Illinois - Central
07 - New York - Eastern	54 - Illinois - Southern
08 - New York - Southern	55 - Indiana - Northern
09 - New York - Western	56 - Indiana - Southern
10 - Vermont	57 - Wisconsin - Eastern
11 - Delaware	58 - Wisconsin - Western
12 - New Jersey	60 - Arkansas - Eastern
13 - Pennsylvania - Eastern	61 - Arkansas - Western
14 - Pennsylvania - Middle	62 - Iowa - Northern
15 - Pennsylvania - Western	63 - Iowa - Southern
16 - Maryland	64 - Minnesota
17 - North Carolina - Eastern	65 - Missouri - Eastern

18 - North Carolina - Middle	66 - Missouri - Western
19 - North Carolina - Western	67 - Nebraska
20 - South Carolina	68 - North Dakota
22 - Virginia - Eastern	69 - South Dakota
23 - Virginia - Western	7 - Alaska
24 - West Virginia - Northern	70 - Arizona
25 - West Virginia - Southern	71 - California - Northern
26 - Alabama - Northern	72 - California - Eastern
27 - Alabama - Middle	73 - California - Central
28 - Alabama - Southern	74 - California - Southern
29 - Florida - Northern	75 - Hawaii
3A - Florida - Middle	76 - Idaho
3C - Florida - Southern	77 - Montana
3E - Georgia - Northern	78 - Nevada
3G - Georgia - Middle	79 - Oregon
3J - Georgia - Southern	80 - Washington - Eastern
3L - Louisiana - Eastern	81 - Washington - Western
3N - Louisiana - Middle	82 - Colorado
36 - Louisiana - Western	83 - Kansas
37 - Mississippi - Northern	84 - New Mexico
38 - Mississippi - Southern	85 - Oklahoma - Northern
39 - Texas - Northern	86 - Oklahoma - Eastern
40 - Texas - Eastern	87 - Oklahoma - Western
41 - Texas - Southern	88 - Utah
42 - Texas - Western	89 - Wyoming
43 - Kentucky - Eastern	90 - District of Columbia
44 - Kentucky - Western	91 - Virgin Islands
45 - Michigan - Eastern	93 - Guam
46 - Michigan - Western	94 - Northern Mariana Islands

-8 = Missing data

**OFFICE
(OFFICE)**

Conforms with the format established in Volume XI, Guide to Judiciary Policies and Procedures, Appendix A.

-8 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.

-8 represents missing data.

**DEFENDANT NUMBER
(DEFNO)**

This number is system generated and cannot be modified by the court. It is different from COURT DEFENDANT NUMBER in that COURT DEFENDANT NUMBER can be edited to reassign defendant numbers among defendants in a multi-defendant case. For example, if a court has a multi-defendant case with defendants 1, 2, 3, and 4, and defendant 3 is removed from the case, the DEFENDANT NUMBER would still number the remaining defendants 1, 2, and 4, while the COURT DEFENDANT NUMBER could be updated to renumber defendant 4 to 3.

-8 represents missing data.

**COURT DEFENDANT NUMBER
(CTDEF)**

This number is assigned by the court and can be modified to uniquely identify the defendants in a case. It is different from DEFENDANT NUMBER in that DEFENDANT NUMBER cannot be edited as it is system generated. For example, if a court has a multi-defendant case with defendants 1, 2, 3, and 4, and defendant 3 is removed from the case, the DEFENDANT NUMBER would still number the remaining defendants 1, 2, and 4, while the COURT DEFENDANT NUMBER could be updated to renumber defendant 4 to 3. Or, it could be updated to renumber the defendants such that the lead defendant in a case who has a DEFENDANT NUMBER not equal to 1 becomes 1.

The COURT DEFENDANT NUMBER is set to missing for all data sets prior to FY 2012.

-8 represents missing data.

**DEFENDANT NAME
(NAME)**

Formatted "Last, First, MI." Juveniles are not named.

-8 represents missing data. This field is converted to missing (-8) on public use files.

**REOPEN SEQUENCE NUMBER
(REOPSEQ)**

Starting in fiscal year 2012, the AOUSC began incrementing reopens to account for additional reopens beyond the first. "0" represents an original proceeding, "1" represents the first reopen, "2" represents the second reopen, etc.

All reopened cases terminated prior to FY 2012 have a REOPEN SEQUENCE NUMBER equal to 1.

**CASE TYPE
(TYPereg, TYPetrn, TYPemag)**

MJ - Magistrate
CR - Criminal

-8 represents missing data.

**MAGISTRATE DOCKET NUMBER, MAGISTRATE DEFENDANT NUMBER
(MAGDOCK, MAGDEF)**

-8 represents missing data.

**STATUS CODE
(STATUSCD)**

This field was modified in FY 2012. It had previously included a defendant's fugitive status. That information is now tracked under the variable FUGITIVE STATUS. Data from FY 1996 through FY 2011 have been updated with the most recent codes.

E - Pending
J - Termination

**FUGITIVE STATUS
(FUGSTAT)**

This field was created in FY 2012. Prior to FY 2012, FUGITIVE STATUS was included in the variable STATUS CODE. Data from FY 1996 through FY 2011 have been updated with the most recent codes.

N - Not a fugitive
Y - Fugitive one year or less
Z - Fugitive more than one year

**FUGITIVE DATE
(FGSTRTDATE, FGENDDATE)**

These fields were created in FY 2012. They are set to missing in all data sets prior to FY 2012.

01/01/1900 represents missing data.

**FILING DATE
(FILEDATE)**

Until 2011, the AOUSC used FILING DATE to calculate median times from filing to disposition. Beginning in FY 2012, the AOUSC began using PROCEEDING DATE rather than FILING DATE for this calculation.

01/01/1900 represents missing data.

**PROCEEDING DATE
(PROCDATE)**

PROCEEDING DATE is used by the AOUSC to determine the count of filings in a given 12-month period. For example, a defendant with a PROCEEDING DATE between October 1, 2014 and September 30, 2015 would be counted as a filing for FY 2015.

In FY 2012, the AOUSC began using PROCEEDING DATE rather than FILING DATE to calculate median times from filing to disposition.

01/01/1900 represents missing data.

**PROCEEDING CODE
(PROCCD)**

Prior to FY 2012, PROCEEDING CODE '13' was treated as an inter-district transfer. Therefore, defendants filed before FY 2012 with a PROCEEDING CODE of '13' have a count of 0 in the field COUNT FILINGS EXCLUDING TRANSFERS, while defendants filed in FY 2012 and onward have a count of 1 in the field COUNT FILINGS EXCLUDING TRANSFERS.

- 1 - Indictment filed
- 2 - Misdemeanor information, or notice of criminal contempt under 42(b)FRCrP
- 3 - Felony information with waiver of indictment
- 4 - Remand from Appellate Court for resentencing
- 5 - Removal from state court
- 6 - Case reopening
- 7 - Appeal from magistrate judge's final decision on merit of case
- 8 - Adult Rule 20(a)/21 transfer
- 9 - Juvenile proceeding/FJDA cases
- 10 - Consent to trial before a magistrate judge on complaint
- 11 - Remand from appellate court for retrial
- 12 - Retrial after mistrial
- 13 - Juvenile to be tried as an adult (FJDA Rule20/21 transfer prior to FY12)
- 14 - Violation notice
- 16 - Superseding indictment
- 17 - Superseding information
- 18 - Superseding felony information with waiver of indictment
- 19 - Indictment unsealed
- 20 - Indictment
- 21 - Felony waiver not signed
- 22 - Sealed misdemeanor information
- 23 - Misdemeanor information unsealed
- 24 - Sealed felony information with waiver of indictment
- 25 - Felony information unsealed
- 26 - Sealed indictment
- 27 - Review of crack cocaine sentences

-8 = Missing data

**FIRST APPEARANCE DATE
(APPDATE)**

01/01/1900 represents missing data.

**FIRST APPEARANCE CODE
(APPCD)**

If started out as a magistrate judge case:

- A - Arrest
- B - Appeared on summons
- C - In U.S. custody
- D - Appeared on complaint

If started out as a criminal case:

- 1 - First appearance before a judicial officer after indictment or information filed, or appearance after Rule 40 transfer in district where charge(s) pending
- 2 - Papers received in district after Rule 20(a)/21 transfer

If return after Rule 20 aborted in other district, or other circumstance in which guilty plea withdrawn:

- 3 - Guilty plea withdrawn

-8 = Missing data

**JUDGE
(FJUDGE, TJUDGE)**

For codes created prior to January 2016, the first 2 positions are taken from the last two digits of the district code. The last 2 are assigned by the AOUSC in order of seniority. Unassigned judge codes are assigned codes 97, 98 and 99. Codes created on or after January 1, 2016 no longer incorporate the district code or account for seniority. The 4-character alphanumeric codes are assigned sequentially by the AOUSC irrespective of judge type and judge location.

UNK - Unknown

This field is converted to missing (-8) on public use files.

**COUNSEL
(FCOUNSEL, TCOUNSEL)**

- 0 - Type of counsel not reported
- 1 - Criminal Justice Act (CJA) appointment
- 2 - Private counsel
- 3 - Pro se
- 4 - Self (expired 1990)
- 5 - None/other
- 6 - Public defender/community defender

7 - Pro bono

-8 = Missing data

**FILING TITLE/SECTION 1-5
(FTITLE1, FTITLE2, FTITLE3, FTITLE4, FTITLE5)**

Title and section come from the United States Code. The list of citations used by the courts is maintained by the AOUSC. The AOUSC collects the top 5 most severe charges. The most severe offense is indicated in FILING TITLE/SECTION 1, followed by the next most severe offense in FILING TITLE/SECTION 2, etc.

-8 represents missing data.

**FILING OFFENSE LEVEL 1-5
(FOFFLVL1, FOFFLVL2, FOFFLVL3, FOFFLVL4, FOFFLVL5)**

Petty offenses assigned to magistrate judges are not reported to the AOUSC.

- 1 - Petty offense
- 3 - Class A misdemeanor
- 4 - Felony

-8 = Missing data

**AO FILING OFFENSE CODE 1- 5
(FOFFCD1, FOFFCD2, FOFFCD3, FOFFCD4, FOFFCD5)**

Each title and section of the U.S. Code is assigned a four digit AO offense code by the AOUSC. The codes are used to group similar citations together and provide a basic classification of types of offenses committed. These codes were actively maintained by the AOUSC until FY 2005 when the D2 offense codes were created.

-8 represents missing data.

**D2 FILING OFFENSE CODE 1-5
(D2FOFFCD1, D2FOFFCD2, D2FOFFCD3, D2FOFFCD4, D2FOFFCD5)**

These codes were created in FY 2005 to replace the AO offense codes. Each title and section of the U.S. Code is assigned a four digit D2 offense code by the AOUSC. The codes are used to group similar citations together and provide a basic classification of types of offenses committed.

-8 represents missing data.

**FILING SEVERITY CODE 1-5
(FSEV1, FSEV2, FSEV3, FSEV4, FSEV5)**

A 3 digit code indicating maximum possible sentence of imprisonment, type of crime, and the maximum possible fine for a given title and section as dictated by the U.S. Code. It is used to sort the filing charges by level of severity and as a basis for assigning each charge to one of the top 5 filing title/section fields. FILING TITLE/SECTION 1 contains the most severe charge; FILING TITLE/SECTION 2 is the next most severe charge, etc. Severity codes range from a low of 'A00' to a high of '939'. An example of a severity code would be '235', where 2 represents imprisonment of four to five years, 3 represents a crime against a person, and 5 represents a fine of \$5,001 to \$10,000.

PRISON SENTENCE	TYPE OF CRIME	FINE
A = NONE	0 = NONE	0 = NONE
B = 6 MOS AND UNDER	1 = MORAL TURPITUDE	1 = \$1-\$100
C = 7 MOS - 1YEAR	2 = PROPERTY	2 = \$101-\$500
0 = 1YR 1 day - 2 YRS	3 = PERSONAL	3 = \$501-\$1,000
1 = 2YRS 1 day - 3 YRS		4 = \$1,001-\$5,000
2 = 4 - 5 YRS		5 = \$5,001-\$10,000
3 = 6 - 10 YRS		6 = \$10,001-\$20,000
4 = 11 - 15 YRS		7 = \$20,001-\$50,000
5 = 16 - 20 YRS		8 = \$50,001-\$99,999
6 = 21 - 25 YRS		9 = \$100,000 OR MORE
7 = OVER 25 YEARS		
8 = LIFE		
9 = DEATH		

-8 represents missing data.

**COUNTY
(COUNTY)**

The FIPS county code is a five-digit Federal Information Processing Standard (FIPS) code which uniquely identifies counties and county equivalents in the United States. The first two digits represent the state, and the last 3 digits represent the county.

88888 - Outside home state

99999 - Outside U.S.

-8 = Missing data

**TRANSFER DISTRICT, TRANSFER OFFICE, TRANSFER DOCKET NUMBER, TRANSFER DEFENDANT NUMBER
(TRANDIST, TRANOFF, TRANDOCK, TRANDEF)**

Used only to identify intra-district transfers not otherwise tracked.

-8 represents missing data.

**UPDATE DATE
(UPDATE)**

This field was discontinued in March 2012. It is set to missing for all defendants terminated after February 2012.

01/01/1900 represents missing data.

**DISPOSITION DATE, SENTENCING DATE
(DISPDATE, SENTDATE)**

01/01/1900 represents missing data.

**TERMINATION DATE
(TERMDATE)**

TERMINATION DATE is equal to DISPOSITION DATE if all counts are dismissed or end in an acquittal, or SENTENCING DATE if the defendant is found guilty on any counts. This field is used by the AOUSC to determine the count of defendants terminated in a given 12-month period. For example, a defendant with a TERMINATION DATE between October 1, 2014 and September 30, 2015 would be counted as a termination for FY 2015. The AOUSC also uses TERMINATION DATE for calculating median times from filing to disposition.

01/01/1900 represents missing data.

**INTERVAL ONE
(INT1)**

The number of days between either the date upon which a defendant first appeared before a judicial officer in a district court where charges were pending, or the date a case was initially docketed, depending on which occurred first, and the date proceedings commenced in the district court either by indictment or information.

-8 represents missing data.

**INTERVAL TWO
(INT2)**

The number of days between the date proceedings commenced in the district court either by indictment or information and the date upon which proceedings were concluded.

-8 represents missing data.

**INTERVAL THREE
(INT3)**

The number of days between the date upon which proceedings were concluded and the date upon which a defendant was sentenced.

-8 represents missing data.

**TERMINATION OFFICE
(TERMOFF)**

Conforms with the format established in Volume XI, Guide to Judiciary Policies and Procedures, Appendix A.

-8 represents missing data.

**TERMINATION TITLE/SECTION 1-5
(TTITLE1, TTITLE2, TTITLE3, TTITLE4, TTITLE5)**

Title and section come from the United States Code. The list of citations used by the courts is maintained by the AOUSC. The AOUSC collects the top 5 most severe charges at disposition. The most severe offense at disposition is indicated in TERMINATION TITLE/SECTION 1, followed by the next most severe offense at disposition in TERMINATION TITLE/SECTION 2, etc.

-8 represents missing data.

**TERMINATION OFFENSE LEVEL 1-5
(TOFFLVL1, TOFFLVL2, TOFFLVL3, TOFFLVL4, TOFFLVL5)**

Petty offenses assigned to magistrate judges are not reported to the AOUSC.

- 1 - Petty offense
- 3 - Class A misdemeanor
- 4 - Felony

-8 = Missing data

**AO TERMINATION OFFENSE CODE 1-5
(TOFFCD1, TOFFCD2, TOFFCD3, TOFFCD4, TOFFCD5)**

Each title and section of the U.S. Code is assigned a four digit AO offense code by the AOUSC. The codes are used to group similar citations together and provide a basic classification of types of offenses committed. These codes were actively maintained by the AOUSC until FY 2005 when the D2 offense codes were created.

-8 represents missing data.

**D2 TERMINATION OFFENSE CODE 1-5
(D2TOFFCD1, D2TOFFCD2, D2TOFFCD3, D2TOFFCD4, D2TOFFCD5)**

These codes were created in FY 2005 to replace the AO offense codes. Each title and section of the U.S. Code is assigned a four digit D2 offense code by the AOUSC. The codes are used to group similar citations together and provide a basic classification of types of offenses committed.

-8 represents missing data.

**TERMINATION SEVERITY 1-5
(TSEV1, TSEV2, TSEV3, TSEV4, TSEV5)**

A 3 digit code indicating maximum possible sentence of imprisonment, type of crime, and the maximum possible fine for a given title and section as dictated by the U.S. Code. Filing severity is used to sort the charges at filing into FILING TITLE/SECTION 1, FILING TITLE/SECTION 2, etc., but at termination, disposition and the actual penalty are used to sort charges into TERMINATION TITLE/SECTION 1, TERMINATION TITLE/SECTION 2, etc. Severity codes range from a low of 'A00' to a high of '939'. An example of a severity code would be '235', where 2 represents imprisonment of four to five years, 3 represents a crime against a person, and 5 represents a fine of \$5,001 to \$10,000.

PRISON SENTENCE	TYPE OF CRIME	FINE
A = NONE	0 = NONE	0 = NONE
B = 6 MOS AND UNDER	1 = MORAL TURPITUDE	1 = \$1-\$100
C = 7 MOS - 1YEAR	2 = PROPERTY	2 = \$101-\$500
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1 = 2YRS 1 day - 3 YRS		4 = \$1,001-\$5,000
2 = 4 - 5 YRS		5 = \$5,001-\$10,000
3 = 6 - 10 YRS		6 = \$10,001-\$20,000
4 = 11 - 15 YRS		7 = \$20,001-\$50,000
5 = 16 - 20 YRS		8 = \$50,001-\$99,999

6 = 21 - 25 YRS		9 = \$100,000 OR MORE
7 = OVER 25 YEARS		
8 = LIFE		
9 = DEATH		

-8 represents missing data.

**TERMINATION DISPOSITION CODE 1-5
(DISP1, DISP2, DISP3, DISP4, DISP5)**

The AOUSC uses TERMINATION DISPOSITION CODE 1 when reporting a defendant's final disposition.

- 0 - Rule 20(a)/21 transfers
- 1 - Dismissed, or government motion for judgement of acquittal granted, or and disposition other than a conviction not covered by another code. Used for any disposition of a court alleging only criminal forfeiture. Also, used if the case is remanded or appeal affirmed, or denied (if dismissed without prejudice, disposition code "15" is used, not this code.)
- 2 - Acquitted by court or defendant motion for judgement of acquittal granted, or judgement of acquittal on court's initiative.
- 3 - Acquitted by jury
- 4 - Convicted/final plea of guilty
- 5 - Convicted/final plea of nolo contendere
- 8 - Convicted by court after trial
- 9 - Convicted by jury after trial
- 10 - NARA Titles I and III
- 11 - Nolle prosequi
- 12 - Pretrial diversion
- 13 - Mistrial
- 14 - Statistically closed
- 15 - Dismissed without prejudice
- 16 - Not guilty by reason of insanity (court trial)
- 17 - Guilty but insane (court trial)
- 18 - Not guilty by reason of insanity (jury trial)
- 19 - Guilty but insane (jury trial)
- 20 - Dismissal superseded
- 21 - Reassigned from judge to magistrate

-8 = Missing data

**PRISON TIME 1-5
(PRISTIM1, PRISTIM2, PRISTIM3, PRISTIM4, PRISTIM5)**

Possible values are number of months or the following:

- 1 - Imprisonment of less than one month
- 2 - Guilty/no sentence imposed
- 3 - Sealed sentence
- 4 - Life imprisonment
- 5 - Death

-8 = Missing data

**PRISON CODE 1-5
(PRISCD1, PRISCD2, PRISCD3, PRISCD4, PRISCD5)**

One of the codes below followed by a 3 digit number to indicate the counts involved:

- C - Concurrent
- S - Consecutive
- M - Single count or multiple counts on a single offense

-8 = Missing data

**PROBATION MONTHS 1-5
(PROBMON1, PROBMON2, PROBMON3, PROBMON4, PROBMON5)**

Possible values are number of months or the following:

- 1 - Probation of less than one month

-8 = Missing data

**PROBATION CODE 1-5
(PROBCD1, PROBCD2, PROBCD3, PROBCD4, PROBCD5)**

One of the codes below followed by a 3 digit number to indicate the counts involved:

- C - Concurrent
- S - Consecutive
- M - Single count or multiple counts on a single offense

-8 = Missing data

**FINE AMOUNT 1-5
(FINEAMT1, FINEAMT2, FINEAMT3, FINEAMT4, FINEAMT5)**

Fine does not include restitution or special assessment costs.

**PRISON TOTAL
(PRISTOT)**

The prison code of each conviction is taken into account when calculating the total prison time.

Possible values are number of months or the following:

- 1 - Imprisonment of less than one month
- 2 - Guilty/no sentence imposed
- 3 - Sealed sentence
- 4 - Life imprisonment
- 5 - Death

-8 = Missing data

**PROBATION TOTAL
(PROBTOT)**

The probation code of each conviction is taken into account when calculating the total probation time.

Possible values are number of months or the following:

- 1 - Probation of less than one month

-8 = Missing data

**FINE TOTAL
(FINETOT)**

-8 represents missing data.

**COUNTS
(CTFILTRN, CTFIL, CTFILWOR, CTFILR, CTRTRN, CTRR, CTRRWOR, CTRRR, CTPN, CTPNWOF)**

These fields were created in FY 2012. Counts for FY 2005 through FY 2011 have been calculated.

Possible values are 0 or 1.

**SOURCE
(SOURCE)**

This field was modified in FY 2012 to account for the loading of data directly from CM/ECF. Data sets from FY 1996 through FY 2011 have a SOURCE of DSNAPSHOT or FUGITIVE, while data sets from FY 2012 forward have a SOURCE of CMECF or MASTER.

- CMECF - Data received from court via CM/ECF transmission
- DSNAPSHOT - Defendant snapshots from Legacy Mainframe system
- FUGITIVE - Fugitive defendant snapshots from Legacy Mainframe system
- MASTER - Live Legacy Database

**VERSION
(VER)**

This field was created in FY 2012. It increments with each update received to a defendant record. "0" indicates the first time the defendant record is written to the AOUSC's database, "1" is the first update, "2" is the second update, etc.

VERSION is set to missing for all records in data sets prior to FY 2012.

-8 represents missing data.

**DATE LOADED
(LOADDATE)**

All data loaded from the AOUSC's legacy mainframe defendant snapshots have a DATE LOADED of March 3, 2012. All data loaded from the AOUSC's legacy mainframe live database have a DATE LOADED of March 21, 2012. Data began to be loaded directly from CM/ECF on March 21, 2012.

**TAPE YEAR
(TAPEYEAR)**

Possible values are fiscal year of termination for terminated defendants or '2099' for pending defendants.