ATTACHMENT A – EMAIL SENT TO STATE COURT ADMINISTRATORS WITH CENTRALIZED SYSTEMS

The U.S. Department of Justice's Bureau of Justice Statistics (BJS) would like to notify you of a new data collection involving felony pretrial case processing, the **2020 National Pretrial Reporting Program (NPRP)**. The NPRP will collect case-level data on adult felony cases filed in state courts in a sample of the 200 largest counties in the nation during calendar year 2019. Court records will be linked to pretrial services, jails, and criminal history data to provide a comprehensive understanding of the usage, conditions, and outcomes of pretrial release in felony cases in state courts. Your court's participation will help to advance empirical knowledge about pretrial release in felony cases, and will inform public policy decisions at the national, state, and local levels.

RTI International (RTI) and the National Center for State Courts (NCSC) will be collecting the NPRP data on behalf of BJS. The project will be conducted in two phases. The first phase will consist of a telephone survey to learn about pretrial release practices and the types of data courts collect on adult felony cases. We will be contacting your office as well as a sample of county courts in your state within the next few months. During the second phase, case-level data will be requested for courts in a sample of the 200 largest counties. Depending on the results of the survey, we will request data either from your office or directly from courts as appropriate.

BJS is seeking your assistance and cooperation with this important project. BJS and its research partners will use the information provided by your court only for statistical or research purposes pursuant to 34 U.S.C. § 10134 (section 304 of the Omnibus Crime Control and Safe Streets Act of 1968 (Pub. L. No. 90-351), as amended), and will protect it to the fullest extent possible under federal law. BJS may request these data under 34 U.S.C. § 10132; however, participation in any BJS data collection is voluntary. Should you have any questions regarding applicable federal statutes, regulations, and other authorities that govern how BJS, BJS employees, and BJS data-collection agents collect, handle, store, disseminate, and protect your information, please see the BJS Data Protection Guidelines at https://www.bjs.gov/content/pub/pdf/BJS_Data_Protection_Guidelines.pdf.

If you have any questions or comments regarding the NPRP program, please contact Erica Grasmick, BJS project manager, at Erica.Grasmick@usdoj.gov or (XXX) XXX-XXXX, Matthew DeMichele of RTI at XXXX or (XXX) XXX-XXXX, or Cynthia Lee of NCSC at XXXX or (XXX) XXX-XXXX. The Bureau of Justice Statistics appreciates your court's contribution to expanding our understanding of pretrial practices in felony cases.

ATTACHMENT B – EMAIL SENT TO SCHEDULE INTERVIEW

Dear [NAME],

I would like to invite you to help develop the U.S. Department of Justice's Bureau of Justice Statistics (BJS) data collection, National Pretrial Reporting Program (NPRP).  The NPRP will collect case-level data about the pretrial release and detention of defendants charged with felony crimes in state and local courts. Specifically, I am asking that you talk with us about [AGENCY NAME]'s ability to collect, extract, and provide the data that could be used support the NPRP.

BJS has partnered with RTI International, the National Center for State Courts, and the National Association of Pretrial Services Agencies to collect data for the NPRP. This will be the first-time case-level data will be collected about the pretrial population since 2009. The full data collection is expected to begin sometime in the next several months, but before we begin, we want to learn more about the types of data maintained by agencies like [AGENCY NAME] and any policies that might impact the data, such as the use of bail schedules.

Please find attached for your review a description of the project. If someone else in your agency would be better suited to discuss [AGENCY NAME]'s data or policies, please let me know via email at XXXX or XXX-XXX-XXXX/XXXX or XXX-XXX-XXXX. We would like to schedule interviews DATE-DATE. Potential dates and times are listed below, or please feel free to contact me with your availability.

Thank you,
Matthew DeMichele / Cynthia Lee

ATTACHMENT C – EMAIL CONFIRMATION OF INTERVIEW

SENT VIA EMAIL

Dear [NAME],

Thank you for agreeing to talk with us on DATE at TIME. The list of topics below is meant to give you a sense of what we hope to discuss. If you have any questions prior to our call, please reply to this message or call XXX-XXX-XXXX.

1. Does your agency collect or store any information on the **demographic characteristics of defendants**? Examples include age, sex, race, indigency status, identifiers (e.g., booking id, state id, FBI number, correctional id).
2. Does your agency collect or store any information on the initial **pretrial release decisions**? Examples include who makes decision, date of decision, who is required to be present at decision, is decision reviewed, what are the available release options, release conditions, is there a bond schedule, is there a pretrial assessment, date of release decision.
3. Does your agency collect or store any information on the **pretrial release outcomes**? Examples include technical violations of release, such as failure to report to the supervising agencies or failed drug tests, failure to appear for court dates, arrests for new criminal activity, the dates of arrest or violations, and the outcomes of the new arrest or violation, such as revocation of release or reinstatement of release.
4. Does your agency collect or store any information on the **arrest or court filing charges**? Examples include the number of charges, type of charges, the arresting agency, date of arrest, and whether the arrest occurred while the person was on pretrial release or probation.
5. Does your agency collect or store any information on the **adjudication of the charges?** Examples include plea, court trial, jury trial, verdict or finding of guilty or not guilty, and the charges adjudicated.
6. Does your agency collect or store any information on the **sentencing of the charges or the case?** Examples include the sentencing of each charge, the sentencing for the case, a sentence to incarceration, sentencing to probation, probation conditions, and fines, costs, or restitution ordered.
7. Does your agency have specific **requirements for data requests?** Examples include background checks, payments, applications for data, and data transfer agreements or memoranda of understanding (MOU's).

Again, this list is meant to give you an idea of the discussion topics. There is no need to respond to this message with answers to these questions unless you have any questions or concerns.

Thank you again,

Matthew DeMichele/Cynthia Lee

ATTACHMENT D – DATA CAPACITY SURVEY

# Data capacity and policy interview guide

Hi, my name is {NAME} with RTI International/National Center for State Courts [IF APPLICABLE: and my colleague is {NAME}]. [IF APPLICABLE: (NAME) from BJS is also on the call]. Would you please introduce yourself? (IDENTIFY NAMES AND AGENCY AFFILIATIONS WITH PEOPLE ON THE CALL).

CONFIRM THE FOLLOWING INFORMATION, PRE-POPULATED BEFORE INTERVIEW. MARK THE PREFERRED METHOD OF CONTACT, IF NOT KNOWN:

NAME OF AGENCY:

[DROP DOWN] AGENCYTYPE: SELECT TYPE OF AGENCY:

>    01 COURT
>    02 PRETRIAL SERVICES AGENCY
>    03 JAIL

CONTACT PERSON AND TITLE FOR POLICY QUESTIONS:

PHONE: _____ □ CHECK IF PREFERRED CONTACT METHOD

EMAIL: _____ □ CHECK IF PREFERRED CONTACT METHOD


CONTACT PERSON NAME AND TITLE FOR DATA:

PHONE: _____ □ CHECK IF PREFERRED CONTACT METHOD

EMAIL: _____ □ CHECK IF PREFERRED CONTACT METHOD


Thank you so much for taking the time to talk with us about the data capacity and policies and practices that affect data related to processing pretrial cases in (COUNTY NAME). We want to remind you about the project and the reasons for today's call:

RTI, the National Center for State Courts, and the National Association of Pretrial Services Agencies are working with the Bureau of Justice Statistics (BJS) to collect case-level information about the pretrial process (and outcomes) for individuals charged with a felony in the 200 largest counties in the US. This study is known as the National Pretrial Reporting Program (NPRP).

The NPRP will collect data about felony defendants with cases filed in court. The period of interest is from case-filing through a final outcome or finding, such as guilty or acquitted. Many of the cases will also include sentencing information, though probably not all. BJS is particularly interested in the period from case-filing through case outcome:

- Are people detained or released?

- Do they fail to appear, commit new crimes, or violate technical conditions of probation?
- What sorts of release are commonly used?

These are only some of the questions about the period of time between charging and outcome.

Today's call is to learn more about [AGENCY NAME]'S ability to collect, store, and report the information we are collecting about felony cases. Pretrial processes vary so much across the country that we are starting this study by gathering some information to learn about the policies and procedures in several jurisdictions that might affect case processing and pretrial release or detention.

We appreciate you taking the time to talk with us and expect the call to last about an hour. We may follow-up by email to clarify information. And please don't hesitate to reach out to us if you want any additional information or have any questions.

Do you have any questions about the purposes of the NPRP or about today's call?

**P1. DID THE PARTICIPANT HAVE ANY QUESTIONS OR CONCERNS?**

00 NO

01 YES

//SKIP TO P3 IF P1 = 00//

**P2. PLEASE SPECIFY: (TEXT BOX)**

Before we begin, I would like to explain the following:
- All your responses and everything you say will be kept confidential, and only researchers working on this project will see your answers or hear the recording. Your name will not be used in any of our reports.
- Your participation is voluntary, and you may stop at any time. You may choose not to answer any questions you don't want to answer.
- The interview should take about 1 hour.

With your permission, I would like to audio-record our conversation. This will allow me to concentrate on what you are saying instead of relying on notes I might take while you're talking. I'll use the recording to help me write a summary of our conversation. It will not be used for any other purpose.

If you are willing to take part in the study and allow me to audio-record our conversation, please provide your verbal approval before we continue.

**P3. HAS THE INDIVIDUAL AGREED TO PARTICIPATE?**

>00 NO

>01 YES

>//SKIP TO END IF P3 = 00//

BJS is only interested in **felony** cases, or cases where there is at least one felony charge. For this study, we're defining "pretrial" as the time between a felony arrest until the case has a final finding by the court or jury in a state or local court. Does that match your definition of "pretrial"? **INTERVIEWER NOTE:** RECORD ANY DIFFERENCES BETWEEN DEFINITIONS: (TEXT BOX).

We really appreciate the time to talk through some of the practices that might affect how data are recorded in (AGENCY NAME). We hope that this conversation will help us understand how your data may be different from similar agencies in other counties or states.

**[INTERVIEWER NOTE:** INTERVIEW ALLOWS FOR BOTH POLICY AND DATA PERSON ON THE SAME CALL, OR FOR SEPARATE CALLS – PLEASE MAKE SURE TO MARK SCREENER QUESTIONS APPROPRIATELY.**]**

[**INTERVIEWER NOTE**: DO NOT READ PRE-CODED RESPONSE OPTIONS. WHERE APPROPRRIATE, MARK SELECTION BASED ON RESPONDENT'S ANSWER AND PROBE, IF NECESSARY.]

**[SCREENER SHOULD FILTER THE QUESTIONS FOR US, THE BOLDED IDENTIFIERS ARE WHAT WE EXPECT AGENCIES TO HAVE IF THE SCREENER FAILS FOR SOME REASON.]**

We'll start with a few general questions that should reduce the number of questions we have to ask during the interview:

**[ALL AGENCIES]**

**SCREEN1** Are you familiar with [AGENCY NAME]'s data management system?

>00 NO
>01 YES
>-88 LOGICAL SKIP
>-97 NA
>-98 REFUSED
>-99 DON'T KNOW
>
>//SKIP TO SCREEN 2 IF SCREEN1==01//

**SCREEN1A** IF NO: Can you provide the person at the agency who is familiar with the data management system? (TEXT BOX)

**SCREEN 2** Are you familiar with [AGENCY NAME]'s record extraction?

>00 NO
>01 YES
>-88 LOGICAL SKIP

-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO SCREEN3 IF SCREEN2==01//

**SCREEN 2A** IF NO: Can you provide the person at the agency who is familiar with record extraction? (TEXT BOX)

**SCREEN 3** Are you familiar with [AGENCY NAME]'s policies, rules, and laws that affect your agency's operations and data collection?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

**SCREEN 3A** IF NO: Can you provide the person at the agency who is familiar with polices, rules, and laws that affect your agency? (TEXT BOX)

[IF YES to SCREEN 1, 2, OR 3, CONTINUE WITH INTERVIEW. QUESTIONS SHOULD POPULATE BASED ON THE SELECTION TO THE SCREENER. If NO to 1, 2, and 3, THANK PARTICIPANT AND END CALL]

//SKIP TO END OF SURVEY IF SCREEN1, SCREEN2, AND SCREEN3 = 00//

We would like to know more about [AGENCY NAME].

**AGENCY1** What geographical area does [AGENCY NAME] cover? (OPEN-ENDED, CONFIRM ANSWER FITS INTO THE FOLLOWING CATEGORIES.)

01 CITY
02 PART OF COUNTY
03 SINGLE COUNTY
04 MULTIPLE COUNTIES/JURISDICTION
05 STATEWIDE
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO AGENCY2 IF AGENCY1 < 00 //

AGENCY101 Please tell me the city name. (TEXT BOX)

AGENCY102 Please describe the parts of the county. (TEXT BOX)

AGENCY104 Please tell me the names of counties in your jurisdiction. (TEXT BOX)

AGENCY1oth Please describe your jurisdiction. (TEXT BOX)

//SKIP TO AGENCY3 IF AGENCYTYPE NE 02//

**AGENCY2** [FOR PRETRIAL AGENCIES ONLY] Can you tell me a little about your agency type? I'll read you a list of options:

> 01 Is it an independent public agency (**INTERVIEWER NOTE**: Independent meaning stand-alone; public meaning government agency)
> 02 Independent private agency (**INTERVIEWER NOTE**: Independent meaning stand-alone; private meaning non-government)
> 03 Part of law enforcement agency
> 04 Part of jail
> 05 Part of parole/probation agency
> 99 Other
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

> //SKIP TO AGENCY3 IF AGENCY2 <00//

AGENCY203 In which law enforcement agency are you situated? (TEXT BOX)

AGENCY204 In which jail are you situated? (TEXT BOX)

AGENCY205 In which parole or probation office are you situated? (TEXT BOX)

AGENCY2oth Please tell me more about your agency type. (TEXT BOX)


**AGENCY2** [FOR PRETRIAL SERVICES AGENCIES ONLY] What types of populations do you have data for? I'll read you a list of options:

> 01 All persons charged with criminal offenses pending trial who are not incarcerated
> 02 All persons who were arrested, then incarcerated and the court ordered release with supervision conditions
> 99 Other types of populations?
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

> //SKIP TO DOMAIN1 IF AGENCY3 NE 99//

AGENCY2oth Please tell me more about your "other types of populations" response. (TEXT BOX)

**AGENCY3** Is there anything you'd like to tell me about your definition of the pretrial period, from the time the defendant is charged in court through the finding of the judge or jury? [RECORD AGENCY'S DEFINITION OF PRETRIAL OR WHAT THEY CAN REPORT.] (TEXT BOX)

## DOMAIN 1: DATA POLICIES

Our next questions address data policies and procedures about providing extracts to researchers.

**[POTENTIALLY LIMITED TO RESPONDENT TYPE – ALL AGENCIES]**

**DOMAIN1** We would like to know more about your **data systems**, data reports that you may already run, policies regarding data access, and other questions about your data governance.

[HYBRID DATA/POLICY QUESTIONS]

**Q1.** Are there any policies, data agreements, or MOU's required for researchers requesting data (e.g., background checks, fingerprinting, resumes)?

> 00 NO
> 01 YES
> 99 OTHER
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO Q2 IF Q1 <= 00//

**Q1oth.** (**INTERVIEWER NOTE:** PROBE AND RECORD ALL POLICIES AND GET AS MUCH DETAIL AS POSSIBLE ABOUT BACKGROUND CHECKS AND FINGERPRINTING. REQUEST POLICY DETAIL OR APPLICATIONS FOR DATA, IF AVAILABLE.)

**Q2.** Are there any other security requirements for transmitting data with personally identifiable information, or PII?

> 00 NO
> 01 YES
> 99 OTHER
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO Q3 IF Q2 <= 00//

**Q2oth.** What are the other security requirements? (TEXT BOX)

**Q3.** Are there payments required or requested for data extracts?

> 00 NO
> 01 YES

99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q5 IF Q3 <= 00//

**Q4.** Are the payments assessed by flat fee, variable fee per hour of programming, or some other way?

01 FLAT FEE
02 VARIABLE FEE
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q5 IF Q4 <=00//

**Q4oth** (PROBE AND RECORD SPECIFICS FROM Q4 IF Q4>=01 AND Q4<=99. BE SURE TO INCLUDE AMOUNT OF FEE OR AMOUNT PER HOUR.) (TEXT BOX)

**Q5.** Are there any requirements that your agency review any reports or analyses conducted by researchers prior to publication?

00 NO
01 YES
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q7 IF Q5 <= 00//

**Q6.** Can the requirements be waived or negotiated?

00 NO
01 YES
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q7 IF Q6 <= 00//

**Q6oth.** How can these requirements be waived or negotiated? (TEXT BOX)

**Q7.** What information or assistance can [RTI/NCSC] provide to minimize the agency's burden when providing data? (TEXT BOX)

**Q8.** Are there certain months or times of year that are challenging for data requests? (TEXT BOX)

[DATA ONLY]

**Q9.** Are the data extractable?

> 00 NO
> 01 YES
> 99 OTHER
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO Q12 IF Q9 < 00//

//IF Q9==00, ASK://

Q9NO: Are there other ways you could provide individual case-level felony data? [TEXT BOX]

//IF Q9=99, ASK://

Q9oth: Please describe how you extract the data. [TEXT BOX]

**Q10.** Who could provide the extracted data? (TEXT BOX)

**Q11.** Would you be willing to provide a sample of extracted data?

> 00 NO
> 01 YES
> 99 OTHER
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO Q12 IF Q11 <=00//

**Q11oth:** When is a good time for us to follow-up with you to start that process? (TEXT BOX)

**Q12.** Does your agency produce any data reports? (**INTERVIEWER NOTE:** ONLY READ IF R ASKS WHAT IS MEANT BY DATA REPORTS: We want to know about the reports you generate using your data systems. Please consider reports that are run for internal purposes, such as dockets, case time standards, and jail counts.)

    00 NO
    01 YES
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//ONLY ASK Q13 IF Q9==00 AND Q12==01//

**Q13.** Are copies of the reports publicly available?

    00 NO
    01 YES
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

**Q14.** Will the data need to be manually compiled in any way?

    00 NO
    01 YES
    99 OTHER
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//Skip Q15 if Q14 <=00//

**Q12oth.** Please describe how the data will be manually compiled. (TEXT BOX)

**Q15.** Are multiple platforms involved?

    00 NO
    01 YES
    99 OTHER
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//SKIP TO Q18 IF Q15 <= 00//

**Q16.** What are those platforms? (TEXT BOX)

**Q17.** How are cases linked across these platforms? (TEXT BOX)

**Q18.** How far back do you have reliable extractable records?
[YEAR DROP-DOWN]

**Q19.** Do you know of any charge tables or crosswalks for your statutes to NCIC codes?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

**DOMAIN 2: DEFENDANT IDENTIFIERS**

Our next questions ask about felony defendant demographics and defendant identifiers.

**DOMAIN2** First, does your agency collect any data on defendants, such as age, sex, race, indigency status, or identifiers (booking id, state id, FBI number, correctional id)?

> 00 NO
> 01 YES
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

[DATA QUESTIONS]

> //SKIP TO DOMAIN3 IF DOMAIN2 = 00 OR DOMAIN2 <= -88//
>
> **Q20.** Does your case management/data management system store the following defendant identifiers? Please tell me "yes" or "no" to each item. (READ EACH RESPONSE OPTION AND MARK Y/N FOR EACH [IF NO TO ALL, SKIP TO Q22].)
>
> 00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW
>
> A    State identification number
> B    Driver's license number
> C    Booking identifier
> D    Court case number
> E    FBI Number
> F    Arrest identifier
> G    Social Security Number
> H    Other identifiers
>
> //SKIP TO Q21 IF Q20H <= 00//
>
> **Q20oth** Please tell me what other identifiers are stored. (TEXT BOX)
>
> //SKIP TO Q22 IF Q20A TO Q20H <= 00//
>
> **Q21.** What is the source of …?
>
> A    State identification number (TEXT BOX)
> B    Driver's license number (TEXT BOX)
> C    Booking identifier (TEXT BOX)
> D    Court case number (TEXT BOX)
> E    FBI Number (TEXT BOX)
> F    Arrest identifier (TEXT BOX)

G    Social Security Number (TEXT BOX)

H    Other identifiers (TEXT BOX)

**Q22.**    Does your case management/data management system store defendant date of birth?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q23 IF Q22==01//

**Q22a** Does your case management/data management system store defendant age?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q23 IF Q22A <= 00//

**Q22aoth** Age at what time? (**INTERVIEWER NOTE:** PROVIDE THESE EXAMPLES, IF PROMPTED: age at offense, age at arrest, age at booking, age at filing, age at)? (TEXT BOX)

**Q23.**    Does your case management/data management system store defendant sex or gender?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q24 IF Q23 <= 00//

**Q23a.** What categories of sex or gender are stored? (TEXT BOX)

**Q24.**    Please tell me "yes" or "no" to the following questions about your case management system.

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

A    Does you case management system store defendant race and ethnicity?

//SKIP TO Q25 IF Q24A = 00 OR Q24A <= -88//

B   Do you store ethnicity separately from race?

//IF Q24B = 00, LIST 07 "HISPANIC OR LATINO" IN PRECODED RESPONSE OPTIONS//

C   What categories of race are stored in your system? (SELECT ALL THAT APPLY)

(IF ETHNICITY IS NOT STORED SEPARATELY FROM RACE, LIST HISPANIC OR LATINO)
(PROBE: "Any other categories?" and suggest any not mentioned)

A WHITE
B BLACK OR AFRICAN AMERICAN
C AMERICAN INDIAN OR ALASKA NATIVE
D ASIAN
E NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER
F UNKNOWN
G HISPANIC OR LATINO (IF Q24B==00)
H OTHER

//SKIP TO Q25 IF Q24H NOT MARKED//

**Q24Coth** What other categories of race are stored? (TEXT BOX)

**Q25.**   What is the source of…

A   Age or date of birth? (TEXT BOX)
B   Sex? (TEXT BOX)
C   Ethnicity? (TEXT BOX)
D   Race? (TEXT BOX)

**Q26.**   Is there anything else you'd like to tell me about defendant identifiers or demographics? (TEXT BOX)

[POLICY QUESTON]:

**Q27.**   Are there any policies that guide the recording of defendant identifiers? (**INTERVIEWER NOTE:** PROVIDE THE FOLLOWING EXAMPLE, IF R ASKS FOR ONE: For example, identifiers are only recorded if they are present in the arresting documents, not from other sources.)

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q28 IF Q27 <= 00//

**Q2701** Please tell me about policies that guide recording of defendant identifiers. (TEXT BOX)

**DOMAIN 3: PRETRIAL DETENTION, BAIL REVIEW AND RELEASE DECISIONS**

**[POTENTIALLY LIMITED TO RESPONDENT TYPE - COURT AND PRETRIAL SUPERVISING AGENCY]**

**Initial release decisions:** The next questions ask about the initial release decision for a person charged with at least one felony. The initial release decision is the first time after arrest where an officer of the law decides whether to detain or release a defendant. This is typically prior to the arraignment and a bail review.

**DOMAIN3A** What is [AGENCY NAME]'s name for this decision? (TEXT BOX)

**DOMAIN3** Pretrial release decisions may include information on who makes the release decision, who is required to be present at decision, is decision reviewed, what are the available release options, release conditions, is there a bond schedule, is there a pretrial assessment, and date of release decision. Does your agency collect any data on pretrial release or detention decisions?

> 00 NO
> 01 YES
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO Q30 IF DOMAIN3 = 00 OR DOMAIN3 <= -88//

[DATA QUESTIONS]

> **Q28.** Are both the initial release decision and the bail review decision tracked in your data?
>
> > 00 NO, NEITHER ARE TRACKED IN THE DATA
> > 01 INITIAL RELEASE IS TRACKED, BUT NOT BAIL REVIEW
> > 02 INITIAL RELEASE IS NOT TRACKED, BUT BAIL REVIEW IS TRACKED
> > 03 YES, BOTH ARE TRACKED IN THE DATA
> > -88 LOGICAL SKIP
> > -97 NA
> > -98 REFUSED
> > -99 DON'T KNOW
>
> //SKIP TO Q30 IF Q28 = <00//
>
> **Q29.** We have some questions about the data collected at initial release and bail review decisions:
>
> //SKIP TO Q29B IF Q28==02//
>
> A. Do you track the following information about the initial release decision? Please answer "yes" or "no" to each question.

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

    a. Date?
    b. Decision or outcome, for example, ordered release, detain, or bail?
    c. Decider, for example, Judge or Magistrate?

IF Q29AC==01, ASK WHAT INFORMATION ABOUT THE DECIDER IS TRACKED? FOR EXAMPLE, NAME, INITIALS, JOB TITLE. (TEXT BOX)

//SKIP TO Q30 IF Q28==01//

B.  Do you track the following information about the bail review decision? Please answer "yes" or "no" to each question.

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

    a. Date?
    b. Decision or outcome, for example, ordered release, detain, or bail?
    c. Decider, for example, Judge or Magistrate?

IF Q29BC==01, ASK WHAT INFORMATION ABOUT THE DECIDER IS TRACKED? FOR EXAMPLE, NAME, INITIALS, JOB TITLE. (TEXT BOX)

[RESUME SECTION]

IF AGENCY TYPE==01, ASK Q30; ELSE SKIP TO Q31.

**Q30.**    [FOR COURTS, ASK]: How is a case defined by your court? I will read you a list of options, please respond "yes" or "no" to each:

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

    A  Single-charge with a single defendant
    B All charges arising from one incident for a single defendant. This may include a series of events over time, such as a string of thefts
    C All charges arising from one incident that may include multiple defendants
    D Other

//SKIP TO Q31 if Q30D<=00//

**Q30oth.** Please describe how a case is defined by your court. (TEXT BOX)

IF AGENCY TYPE==02, ASK Q31; ELSE SKIP TO Q34

**Q31.**    [For pretrial services agencies, ask]: When do you begin supervision of someone released pretrial?

01 THE DAY THE COURT ORDERS SUPERVISED RELEASE
02 THE DAY THE PERSON IS RELEASED
03 WITHIN A SHORT DELAY UPON RELEASE (E.G., 24-48 HOURS AFTER RELEASE)
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q32 IF Q31≠ 99//)

**Q31oth** Please describe when pretrial supervision begins. (TEXT BOX)

**Q32.** [FOR PRETRIAL SERVICES AGENCIES, ASK]: If the judge orders supervision as part of a financially secured release, does your agency provide that supervision? **(INTERVIEWER NOTE**: PROVIDE THE FOLLOWING EXAMPLE IF R REQUESTS AN EXAMPLE. For example, the judge may order drug testing, monitoring of employment, or no contact with witnesses in addition to a $25,000 bail. A bail bonds agency may post the financial portion, but is your agency responsible for the monitoring portion?)

00 NO
01 YES
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q33 IF Q32≠ 99//

**Q32oth** Please describe who supervises these persons. (TEXT BOX)

**Q33.** [FOR PRETRIAL SERVICES AGENCIES, ASK]: How do you assign individuals to differing levels of supervision? (**PROBE**: RECORD AS MUCH DETAIL AS POSSIBLE ABOUT THE LEVELS OF SUPERVISION, SPECIALIZED SUPERVISION UNITS, AND OTHER DETAILS THAT DETERMINE THE INTENSITY OF SUPERVISION). (TEXT BOX)

//IF AGENCY TYPE==01, SKIP Q34 AND GO TO Q35//

**Q34.** [FOR PRETRIAL SERVICES/JAILS, ASK]: Please describe if and how you can connect [supervisees/inmates] to court cases? (TEXT BOX)

**Q35.** Which agency or court makes the initial release decision for felony charges? (**INTERVIEWER NOTE:** RECORD AS MUCH DETAIL AS POSSIBLE. OFFER THE FOLLOWING EXAMPLES, IF NEEDED: Law enforcement, limited jurisdiction court, general jurisdiction court, court depends on the type of charge or the time of the arrest). (TEXT BOX)

**Q36.** Is defense counsel required at first appearance?

    00 NO
    01 YES
    99 OTHER/DEPENDS
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

    //SKIP TO Q37 IF Q36 ≠ 99//

**Q36oth** Please tell me more about the defense counsel's presence at first appearance. (TEXT BOX)

**Q37.** Are reviews of initial release decisions mandatory?

    00 NO
    01 YES
    99 OTHER/DEPENDS
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//SKIP TO Q39 IF Q37<=00//

**Q38.** Within how many days of the initial release decision must the mandatory bail review occur?

    _____NUMBER OF DAYS

**Q39.** I'd like to ask more about initial release decisions and reviews. Who makes the decision for each? (**INTERVIEWER NOTE:** OFFER THE FOLLOWING EXAMPLES, IF NEEDED: For example, Judge, Magistrate, or Law enforcement officer).

    A    Who makes the initial release decision? (TEXT BOX)
    B    Who reviews the initial decision?  (TEXT BOX)

**Q40.** Can defendants request review of denial of release?

    00 NO
    01 YES
    99 OTHER/DEPENDS
    -88 LOGICAL SKIP
    -97 NA

-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q41 IF 40 <= 00//
//SKIP TO Q40B IF Q40==01//

**Q40a** Please describe the review of denial of release. (TEXT BOX)

**Q40b** Is there a limit to the number of times bail can be reviewed?

       00 NO
       01 YES
       -88 LOGICAL SKIP
       -97 NA
       -98 REFUSED
       -99 DON'T KNOW

**Q41.**    For felony defendants:

    00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

    A Are bail or bond schedules used at initial release?
    B Are bail or bond schedules used at bail review?
    C Are bail or bond schedules standard for all courts in the county?
    D Are bail or bond schedules required in every case?
    E Are any charges excluded from the bail or bond schedules?
    F Can we have a copy of your bail and bond schedules?

    //SKIP TO Q42 IF Q41E <=0//

    **Q41Eoth** What charges are excluded from bail or bond schedules? (TEXT BOX)

**Q42.**    What data from the bail and bond schedules are recorded in your system?
    (TEXT BOX)

**Q43.**    What are the legally available release conditions for felony defendants at initial release and bail review? Please tell me whether each is available at initial release, at bail review, or both.

    00= NOT AVAILABLE AT INITIAL RELEASE OR BAIL REVIEW 01=INITIAL RELEASE ONLY, 02=BAIL REVIEW ONLY,  03=BOTH INITIAL RELEASE AND BAIL REVIEW, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

    A    Cash bail, full
    B    Cash bail, percentage

C    Property bonds
D    Surety bonds, or those bonds posted by bail bondsman
E    Person recognizance, unsecured
F    Personal recognizance, secured
G    Electronic monitoring/house arrest
H    Pretrial supervision

**Q43oth** Are any other options available at either initial release or bail review? (**PROBE**: What other options are available and at what hearing?) (TEXT BOX)

**Q43probes** ONLY ASK IF ANY RESPONSE TO Q43A-H>0:

A    How does your system record the type of bond ordered, if specified by the decider? (TEXT BOX)
B    What conditions of release are recorded in your data? (TEXT BOX)
C    How does your system record bond amount? (TEXT BOX)
D    Do you track how bond was posted? (TEXT BOX)
E    What information is recorded about who posted bond? (TEXT BOX)
F    If bail or bond is changed, how is that recorded in your data? (TEXT BOX)

**Q44.**    Does your jurisdiction use pretrial risk assessments for felony cases?

     00 NO
     01 YES
     99 OTHER/DEPENDS
     -88 LOGICAL SKIP
     -97 NA
     -98 REFUSED
     -99 DON'T KNOW

//SKIP TO INTERVIEWER INSTRUCTION JUST PRIOR TO Q46 IF Q44 <= 00//

**Q44oth.** Please describe when and how your jurisdiction uses pretrial risk assessments. (**PROBE**: Are pretrial risk assessments used at initial hearing, bail review hearings, any other hearings?) (TEXT BOX)

**Q45a.**   Are there any differences between the initial pretrial risk assessment and bail review assessment? (**PROBE**: What are the most important differences?) (TEXT BOX)

**Q45b.**   Is a risk assessment required by law?

     00 NO
     01 YES
     99 OTHER
     -88 LOGICAL SKIP
     -97 NA
     -98 REFUSED

-99 DON'T KNOW

//SKIP TO Q45c IF Q45b NE 99//

**Q45both** Please describe who requires risk assessments. (TEXT BOX)

**Q45c.** What information is tracked in your system about the pretrial risk assessment? (TEXT BOX)

Next, we'd like to ask some questions about where **law or policy affects the ability to release defendants pretrial**. For example – there may be a law or policy that prohibits persons charged with felony first degree murder from being eligible for pretrial release at any time.

[DATA QUESTIONS]

**Q46.** Does your data system differentiate between a case where the defendant **must** be detained from a defendant where release or bond could be ordered, but was not?

    00 NO
    01 YES
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

**Q47.** Does your jurisdiction have preventive detention, meaning incarcerating accused individuals before trial on the assumption that their release would be dangerous to the community?

    00 NO
    01 YES
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//SKIP TO DOMAIN4 IF Q47 <= 00//

**Q48.** I'd like to ask a few questions about preventive detention:
    A. Is there a list or written rule or law that outlines when preventive detention can be ordered? Can you provide that rule or law? (TEXT BOX)
    B. What triggers preventive detention? (**PROBE**: Is it the type of charge, the characteristics of the crime, the criminal history of the defendant, or the risk to the community?) (TEXT BOX)

C. Can preventive detention decisions be reviewed? (**PROBE**: At what time, and who reviews, and under what circumstances can preventive detention decisions be changed)? (TEXT BOX)

**Q49.** If a person is released pending trial and is re-arrested during pretrial release, is bail denied in both cases?

    00 NO
    01 YES
    99 OTHER/DEPENDS
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//SKIP TO Q50 IF Q49 NE 99//

**Q49oth.** Please tell me more about the denial of bail. (TEXT BOX)

**Q50.** Is there anything else you'd like to tell me about:

    A    How initial release is decided? (TEXT BOX)
    B    Bail reviews? (TEXT BOX)
    C    Pretrial risk assessments or bond schedules? (TEXT BOX)
    D    Preventive detention? (TEXT BOX)

**DOMAIN 4: PRETRIAL OUTCOMES**

**[POTENTIALLY LIMITED TO RESPONDENT TYPE – COURTS AND PRETRIAL SERVICES AGENCIES]**

Our next questions ask about the **outcomes or misconduct** that may occur during pretrial release of felony defendants. These questions only apply to people released, not to persons detained for the entire pretrial period.

**DOMAIN4** First, does your agency collect any data on pretrial outcomes, such as technical violations of release (e.g., failed drug tests, did not report to supervising agency), failure to appear for court dates, date of misconduct, new arrest/charges while released, date of arrest or violation, outcome of arrest or violation (e.g., release revoked, release reinstated, etc.)?

> 00 NO
> 01 YES
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO DOMAIN5 IF DOMAIN4 <= 0//

[DATA QUESTIONS]

> **Q51.** What data are recorded in your data system about failures to appear for court hearings? [SELECT ALL THAT APPLY]
>
> > A Date
> > B Time
> > C Decision/outcome (e.g., bench warrant issued)
> > D Decider
> > E INFORMATION RECORDED IN A DATA SYSTEM MAINTAINED BY OTHER AGENCY OR COURT
> > -88 LOGICAL SKIP
> > -97 NA
> > -98 REFUSED
> > -99 DON'T KNOW
>
> //SKIP TO Q52 IF Q51D OR Q51E IS NOT MARKED//
>
> **Q51Doth**: Are name or initials recorded, or only the role or agency of person? (TEXT BOX)
>
> **Q51Eoth:** Which agency or level of court has this information? (TEXT BOX)
>
> **Q52.** Do the data in your system allow you to tell whether bail was revoked for a new arrest, for technical violation, or just that bail was revoked? (IF YES, **PROBE**: Please tell me more about how this is done.) (TEXT BOX)

**Q53.** What types of technical violations of pretrial release are recorded in your system? Please answer "yes" or "no" to each of the following.

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

    A  Positive drug tests?
    B  Failure to report for in-person supervision appointments?
    C  Failure to report for telephone check-ins?
    D  Contacting a prohibited person (e.g., victim or witness)?
    E  Failure to maintain employment or seek employment?
    F  Any other technical violations?

//SKIP TO Q54 IF Q53F ≠ 01//

**Q53Foth** What other types of technical violations of pretrial release are recorded in your system? (TEXT BOX)

**Q54.** Please tell me how technical violations of pretrial release are reported by or to your agency. (**INTERVIEWER NOTE**: Is it a report filed by mail or email, a phone call, or some other method?) (TEXT BOX)

**Q55.** What data are recorded about technical violations of pretrial release in your data system? [SELECT ALL THAT APPLY]

    A Date
    B Time
    C Decision
    D Decider
    E Type of misconduct
    F INFORMATION RECORDED IN A DATA SYSTEM MAINTAINED BY OTHER AGENCY OR COURT
    -88 LOGICAL SKIP
    -97 NA
    -98 REFUSED
    -99 DON'T KNOW

//SKIP TO Q56 IF Q55D OR Q55E OR Q55F IS NOT MARKED//

**Q55Doth** Are name or initials recorded, or only the role or agency of the decider? (TEXT BOX)
**Q55Eoth** What type of misconduct? (TEXT BOX)
**Q55Foth** Which agency or level of court has this information? (TEXT BOX)

**Q56.** What data are recorded about new arrests during pretrial release in your data system? [SELECT ALL THAT APPLY]

    A Date of arrest
    B Time of arrest

C New charge
D INFORMATION RECORDED IN A DATA SYSTEM MAINTAINED BY OTHER AGENCY OR
COURT
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

[POLICY QUESTIONS]

**Q57.** How are failures to appear for court defined in your jurisdiction? (TEXT BOX)

**Q58.** Do judges have discretion over whether bench warrants are issued for failures to
appear? (**PROBE**: How soon after a missed appearance is a bench warrant typically issued?
For example, is there a 24-hour hold for warrant issuance)? (TEXT BOX)

**Q59.** How are quashed or cancelled warrants recorded in your data?

00 QUASHED BENCH WARRANTS ARE NOT RECORDED IN THE DATA
01 QUASHED BENCH WARRANTS ARE DELETED OR OVERWRITTEN
02 QUASHED BENCH WARRANTS ARE MARKED AS SUCH AND RETAINED IN THE DATA
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q60 IF Q59 ≠ 99//

**Q59oth** Please tell me how quashed or cancelled warrants are recorded in the data. (TEXT BOX)

**Q60.** If there is a new arrest, how is your agency notified? (**PROBE**: How long does this take?
What happens to the defendant's release status? If pretrial release is revoked, is the
defendant eligible for another review of bail with the new arrest charges?) (TEXT BOX)

**Q61.** Is there anything else you'd like to tell me about pretrial misconduct? (TEXT BOX)

**DOMAIN 5: ARREST, DIVERSION, BOOKING, AND FILING**

**[POTENTIALLY LIMITED TO RESPONDENT TYPE – ALL AGENCIES]**

We would like to ask some questions about arrest, diversion, booking, and filing.

**DOMAIN5** Does your agency collect any data on arrest or filing charges, such as number of charges, type of charges, arresting agency, or date of arrest?

      00 NO
      01 YES
      -88 LOGICAL SKIP
      -97 NA
      -98 REFUSED
      -99 DON'T KNOW


//SKIP TO DOMAIN6 IF DOMAIN5 <= 00 //

Our next questions ask about **how charges are recorded in your system:**

[DATA QUESTIONS ONLY]

    **Q62.** Please answer "yes" or "no" to each of the following questions.

        00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

        A    Are charges identified by state statute number?
        B    Are charges identified by text description?
        C    Are charges identified in other ways?

    //SKIP TO Q63 IF Q62C <= 00//


    **Q62Coth** How else are charges identified? (TEXT BOX)

    **Q63.** How are charges ordered in your system, for example from most serious to least serious, by date, by how they were listed in the arrest document, or in some other way?

        00 CHARGES ARE NOT ENTERED IN OUR SYSTEM
        01 MOST SERIOUS TO LEAST SERIOUS
        02 BY DATE
        03 BY HOW THEY WERE LISTED IN ARREST DOCUMENT / PROSECUTOR FILING
        99 OTHER
        -88 LOGICAL SKIP
        -97 NA
        -98 REFUSED
        -99 DON'T KNOW

    //SKIP TO Q64 IF Q63 ≠ 99//

    **Q63oth** Please describe how charges are ordered in your system. (TEXT BOX)

**Q64.** If charges are modified, such as amended or reduced, how is that recorded in your system? (TEXT BOX)

**Q65.** Is there anything else you'd like to tell me about how charges are recorded in your system? (TEXT BOX)

[POLICY QUESTIONS]

**Q66.** Are any felony charges automatically diverted prior to court filing, by rule, practice, or law?

00 NO
01 YES
99 OTHER
-88 Logical skip
-97 NA
-98 Refused
-99 Don't Know

//Skip to Q68 if Q66<=00//

**Q66oth** Please describe how felony charges are diverted. (TEXT BOX)

**Q67.** Which felony charges are automatically diverted? (TEXT BOX)

**Q68.** Are any felony charges automatically declined by prosecutor, by rule, practice, or law?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q70 IF Q68 <= 00//

**Q69.** Which felony charges are automatically declined? (TEXT BOX)

**Q70.** Are any felony charges automatically diverted **after** court filing, by the prosecutor or judge, by rule, practice, or law?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q73 IF Q70<= 00//

**Q71.** Which felony charges are automatically diverted after court filing? (TEXT BOX)

**Q72.** Is there an existing list or record of the felony diversion or declination policies that you could share?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

**Q73.** What happens to a felony court case if diversion is completed after the case is filed, but prior to adjudication? [**PROBE**: Will there be an indicator in your data records?] (TEXT BOX)

**Q74.** Is there anything else you'd like to tell me about diversion programs for felony cases? (TEXT BOX)

**Q75.** Do any law enforcement agencies in your jurisdiction have cite and release policies for any **felony** charges?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO DOMAIN 6 IF Q75<=00//

**Q76.** Is this law enforcement discretion, or are there some charges that are automatically cited and released? (**PROBE IF AUTOMATIC**: Is there a list of charges that are automatically cited and released? May we have a copy?) (TEXT BOX)

**DOMAIN 6: PRETRIAL DETENTION**

**[POTENTIALLY LIMITED TO RESPONDENT TYPE – JAILS]**

We would like to ask some questions about the data you have on incarcerated persons.

**DOMAIN6** Does your agency collect any data about the status of inmates, such as the dates of admission and release, the reason the person is being held, type of charges, or the reason why a person left your jail?

> 00 NO
> 01 YES
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//SKIP TO DOMAIN7 IF DOMAIN6 <=00//

> **Q77.** Are you able to provide the following dates for each incarcerated person? Please answer "yes" or "no" to each question.
>
> 00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW
>
> A   Booking date?
> B   Release date?
> C   Sentence date/conversion from pretrial hold to post-sentence hold?

> **Q78.** Are you able to provide the following information for each person booked into your facility? Please answer "yes" or "no" to each question.
>
> 00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW
>
> A If it is a booking for new arrest?
> B If it is a booking for an arrest that occurred during pretrial release?
> C If it is a booking for a hold for another agency or jurisdiction?
> D If it is a booking for a violation of probation or parole?
> E If it is a booking for a court-issued bench or arrest warrant?
> F If it is a booking for something else?

//SKIP TO Q79 IF Q78F NE 01//

**Q79Foth.** What other reasons for booking do you track? (TEXT BOX)

> **Q79.** Are you able to provide the following information for each person released pretrial from your facility? Please answer "yes" or "no" to each question.
>
> 00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

A If the pretrial release occurred for personal recognizance?
B If the pretrial release occurred for surety bond, or bond posted by bail bonds company?
C If the pretrial release occurred for cash bond?
D If it occurred for property bond?
E If it occurred for conditional release to a supervising agency?
F If it occurred for some other reason?

//SKIP TO Q80 IF Q79F NE 010//

**Q79Foth.** What other reasons for pretrial do you track? (TEXT BOX)

**Q80.**     Are you able to provide the following information for each person released from your facility? Please answer "yes" or "no" to each question.

   00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, 99=DON'T KNOW

A If the release occurred for sentence served?
B If the release occurred for a transfer to another agency?
C If the release occurred for some other reason?

//SKIP TO Q81 IF Q80C NE 01//

**Q81Foth.** What other reasons for release do you track? (TEXT BOX)

**Q81.**     Can you tell in your data whether a person is detained because bail was denied or because bail was ordered but not posted?

   01 YES
   02 NO
   -88 LOGICAL SKIP
   -97 NA
   -98 REFUSED
   -99 DON'T KNOW

**Q82.**     Is there anything else you can tell me about your data on detained individuals? (TEXT BOX)

**DOMAIN 7: COURT DISPOSITION**

**[POTENTIALLY LIMITED TO RESPONDENT TYPE – COURTS]**

We would like to ask some questions about the data recorded on case pleas, trials, dismissals, and sentencing.

**DOMAIN7** Does your agency collect any data about the manner of case disposition, outcomes of plea or trials, dismissals, or the sentencing ordered for the case?

      00 NO
      01 YES
      -88 LOGICAL SKIP
      -97 NA
      -98 REFUSED
      -99 DON'T KNOW

//SKIP TO PROB1 IF DOMAIN7 <= 00//

**DISPO1** Does your agency collect any data on pleas, trials by court or jury, findings/verdicts, dismissals, or charges included in adjudication?

      00 NO
      01 YES
      -88 LOGICAL SKIP
      -97 NA
      -98 REFUSED
      -99 DON'T KNOW

//SKIP TO SENT1 IF DISPO1 <= 00//

[HYBRID QUESTIONS]

    **Q83.** What pleas **entered by the defendant** are recorded in your system? (SELECT ALL THAT APPLY)

      A Alford plea
      B No contest
      C  Not guilty
      D Not guilty by reason of mental defect
      E Guilty
      F Guilty with explanation
      G Some other plea

    //SKIP TO INSTRUCTION PRIOR TO Q84 IF Q83G NOT MARKED//

    **Q83oth** What other pleas entered by the defendant are recorded? (TEXT BOX)

For the purposes of the next questions, manner of disposition is how the case was decided – by the judge during a trial (called a bench trial), by the jury during a jury trial, by a guilty plea entered by the defendant, or by some non-trial means (such as a hearing where the case is bound-over to another court).

**Q84.** Which of the following manners of disposition are recorded in your data system? (SELECT ALL THAT APPLY)

A Bench trial
B Jury trial
C Plea
D Non-trial
E Other
-88 Logical skip

//SKIP TO Q85 IF Q84E NOT MARKED//

**Q84oth** What other manners of disposition are recorded in your data system?

For the purposes of the next questions, "disposition" is the decision in the case, entered by a judge or a jury. This is sometimes called the case outcome, final finding, or verdict in the case.

**Q85.** Is disposition recorded in your data system for each charge or by case?

01 BY CHARGE
02 BY CASE
99 OTHER
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q86 IF Q85 ≠ 99//

**Q85oth.** Please describe how dispositions are recorded in your data system. (TEXT BOX)

**Q86.** Are the following dispositions of the judge or jury recorded? Please answer "yes" or "no" to each.

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

A   Guilty
B   Not guilty
C   Acquitted
D   Probation before judgment
E   Dismissed
F   Nolle prosequi

G   FOR LIMITED JURISDICTION COURTS: Bindover/transfer to felony court
H   Entry into problem-solving court
I   Diverted, not to problem-solving court
J   Continued without a finding/Placed on Inactive docket
K   Other

//SKIP TO Q87 IF Q86K<=0//

**Q86Koth** What other dispositions of the judge or jury are recorded?

**Q87.**    Is there anything else you'd like to tell me about pleas or dispositions? (TEXT BOX)

**SENT1** Does your agency collect any data on sentencing, including split sentence (incarceration and probation), probation only, probation conditions, fine only, and restitution?

00 NO
01 YES
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO PROB1 IF SENT1< = 00//

[HYBRID QUESTIONS]

**Q88.**    Please answer "yes" or "no" to each of the following questions. Are sentences recorded in your system:

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

A   By charge?
B   By defendant?
C   By case?
D   In some other way?

//SKIP TO Q89 IF Q88D <= 0//

**Q88Doth** Please tell me how sentences are recorded in your system. (TEXT BOX)

**Q89.**    How does the court order and record the sentence for indeterminate sentencing? (**INTERVIEWER NOTE:** IF ASKED: Indeterminate sentencing is when a range of time is ordered as the sentence, such as 5 to 10 years.? (**PROBE**: Does the data include a range, a minimum sentence, or a maximum sentence?) (TEXT BOX)

**Q90.** What sentencing options are recorded? [SELECT ALL THAT APPLY. **INTERVIEWER NOTE:** PROBE OPTION IF IT IS NOT MENTIONED BY RESPONDENT]

      A INCARCERATION – PRISON
      B INCARCERATION – JAIL
      C INCARCERATION – JUVENILE FACILITY
      D SPLIT SENTENCE
      E PROBATION
      F COMMUNITY SERVICE
      G PROBLEM-SOLVING COURT
      H POST-PLEA DIVERSION
      I OTHER
      -88 LOGICAL SKIP
      -97 NA
      -98 REFUSED
      -99 DON'T KNOW

//SKIP TO Q91 IF Q90I NOT MARKED//

**Q91oth** What other sentencing options are recorded? (TEXT BOX)

**Q91.** How are jail sentences distinguished from prison sentences? [SELECT ALL THAT APPLY]

      A LENGTH OF SENTENCE
      B INDICATOR FOR JAIL OR PRISON
      C OTHER
      -88 LOGICAL SKIP
      -97 NA
      -98 REFUSED
      -99 DON'T KNOW

//SKIP TO Q92 IF Q91C NOT MARKED//

**Q92oth.** Please tell me how jail sentences are distinguished from prison sentences. (TEXT BOX)

**Q92.** How is incarceration sentence recorded – what unit(s) of time are used in your data system? Please answer "yes" or "no" for each one:

00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

      A hours
      B weekends
      C days
      D weeks
      E months
      F years

G life
H death
I other
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q93 IF Q92I NOT MARKED//

**Q92oth.** What other incarceration units of time are used in your data system? (TEXT BOX)

**Q93.**     How is probation sentence recorded – what unit(s) of time are used in your system?
Please answer "yes" or "no" for each one:
00=NO, 01=YES, -88=LOGICAL SKIP, -97=NA, -98=REFUSED, -99=DON'T KNOW

A hours
B weekends
C days
D weeks
E months
F years
G other
-88 LOGICAL SKIP
-97 NA
-98 REFUSED
-99 DON'T KNOW

//SKIP TO Q95 IF Q94G NOT MARKED//

**Q93oth**. What other probation units of time are used in your data system? (TEXT BOX)

**Q94.**     How is the court-ordered fine information recorded? (TEXT BOX)

**Q95.**     How is the court-ordered court costs information recorded? (TEXT BOX)

**Q96.**     How is the court-ordered restitution information recorded?  (TEXT BOX)

**Q97.**     Can the court waive any of the court costs, fines, fees, or restitutions for indigency?
(**PROBE**: How do waived costs show in the data?) (TEXT BOX)

**Q98.**     Is there anything else you'd like to tell me about sentencing? (TEXT BOX)


**[POTENTIALLY LIMITED TO RESPONDENT TYPE – COURTS]**

Now I'd like to ask some questions about problem-solving or specialty courts. A problem-solving or specialty court works collaboratively to use therapeutic services to reduce issues that may underlie criminal behavior. Examples of such programs are drug courts and veterans courts.

**PROB1** Does your court collect any data in your case management system about problem-solving courts, such as drug courts?

> 00 NO
> 01 YES
> -88 LOGICAL SKIP
> -97 NA
> -98 REFUSED
> -99 DON'T KNOW

//Skip to Q103 if PROB1 <= 00//

[POLICY QUESTIONS]

> **Q99.** Are new felony case filings eligible for problem-solving court?
>
> > 00 NO
> > 01 YES
> > 99 OTHER/DEPENDS
> > -88 LOGICAL SKIP
> > -97 NA
> > -98 REFUSED
> > -99 DON'T KNOW
>
> //Skip to Q103 If Q199< = 00//
> //Skip to Q100 if Q199 NE 99)
>
> **Q990oth** When are cases are eligible for problem-solving court? (TEXT BOX)
>
> **Q100.** Are cases referred to problem-solving court pre-plea or post-plea? (SELECT ALL THAT APPLY)
>
> > A PRE-PLEA
> > B POST-PLEA
> > C OTHER/DEPENDS
> > -88 LOGICAL SKIP
> > -97 NA
> > -98 REFUSED
> > -99 DON'T KNOW
>
> > //SKIP TO Q101 IF Q100C NOT MARKED//
>
> **Q100oth.** When are cases referred to problem-solving court? (TEXT BOX)

**Q101.** What happens to a case if problem-solving court is successfully completed? (**PROBE**: What happens in your case management system?)
(TEXT BOX)

**Q102.** Is there anything else you'd like to tell me about problem-solving courts?
(TEXT BOX)


FOR ALL RESPONDENTS

**Q103.** How has the COVID-19 pandemic changed:

A    Data policies? (TEXT BOX)
B    Initial pretrial release and detention decisions? (TEXT BOX)
C    Bail review? (TEXT BOX)
D    Arrest, diversion, booking and filing? (TEXT BOX)
E    Other (TEXT BOX)

**Q104.** Do you have any questions for me about the project?

(TEXT BOX)

Those are all the questions I have today. Thank you for your time. If you think of any questions or thoughts about the information you shared today, feel free to contact us [PROVIDE EMAIL AND PHONE OF RTI / NCSC STAFF]. We may also have follow-up questions in the next couple of weeks. May we email you with follow-up questions?

**July 2021**



# Electronic Data Extract Guide

RTI International
3040 E. Cornwallis Road
Research Triangle Park, NC 27709

OMB Control Number: XXXX-XXXX Expiration Date: XX/XX/XXXX

# Contents

# 1. National Pretrial Reporting Program Overview

The goal of the Bureau of Justice Statistics' (BJS) National Pretrial Reporting Program (NPRP) is to collect information on persons charged with felony cases in state courts, and to collect contextual data on those persons from case filing to case disposition and sentencing. The NPRP will collect case-level information on pretrial release and detention, financial and other conditions associated with pretrial release, and any failures to appear, technical violations, or new arrests that occur during pretrial release.

The project will be completed in several phases by RTI International, with support from project partners National Center for State Courts (NCSC), National Association of Pretrial Services Agencies (NAPSA), Applied Research Services (ARS), and Pragmatica, Inc. The first phase collected information from states and counties about the systems that may collect and store these data. Such systems included courts, local jails, and pretrial services agencies. Data capacity surveys were conducted with each agency in the largest 200 counties in the U.S. The surveys allowed RTI and BJS to identify the data providers, understand their systems capabilities, and identify variables that potentially could be used to link the data across agencies.

The remaining phases involve a staged data collection from the 75 largest counties, and a sample of 50 of the remaining 125 counties. RTI and BJS have developed a sampling plan to maximize responsiveness and data representativeness, and minimize respondent burden and project costs.

# 2. Data Preparation Instructions

This section outlines how to prepare and submit your NPRP data extract submission.

## 2.1 Identifying Eligible Cases

*Courts*. Your submission should contain one record for each defendant and all charges involved in a single incident filed into your system in calendar year 2019. At least one of the charges must be a felony offense. If the case contains multiple defendants involved in a single incident, please note this in your documentation and contact the NPRP staff listed in Section 3.5. If your case management system organizes cases in some other way, please contact the NPRP personnel listed in Section 3.5.

*Jails.* Please include one record for each admission of an offender arrested for and booked into the jail for at least one felony charge in calendar year 2019. If the offender appears in a later admission with a felony charge, please include that as a separate admission. If your

jail management system organizes bookings in some other way, please contact the NPRP staff listed in Section 3.5.

***Pretrial services agencies.*** Please include one record for each defendant with at least one new felony charge filed in your system as a new case in calendar year 2019, even if that person was already a client. If you are unable to determine whether the charges included a felony at the opening of the case, please contact the NPRP staff listed in Section 3.5.

## 2.2   File Structure

BJS is interested in a person-case and following that person-case from arrest and booking into jail, through pretrial processing to court case outcomes. This is an individual- and case-level data collection. You can provide data in any format that is convenient for you, but we ask that you please provide supporting documentation, if available.

## 2.3   File Format

**There is no required format for the data you submit; use whatever is most convenient for you.** All file formats will be accepted. Some common file formats include:

- Text files (fixed width, delimited)
- Excel or .csv files
- Access database extracts
- SQL server database
- Data analysis software files (e.g., SAS, STATA, SPSS, or R data files)

The suggested coding classifications and value labels [FOR COURTS-developed to be consistent with NCSC's draft National Open Court Data Standards (NODS) -] are provided in **Appendix A**. You are not asked to recode or manipulate your data prior to submission. If you have questions about any of the data elements requested, please contact the persons listed in Section 3.5. We recognize that systems vary in terms of the ability to store, extract, and share data, and we are prepared to assist you.

**Appendix A** is a guide as to how we expect to recode and standardize the data you submit so that jail, pretrial services, and court data all have similar formats. Additionally, data from your jurisdiction will be combined with data from up to 75 other counties to get a robust perspective of pretrial case processing in the U.S. During the data standardization process, RTI and NCSC may be in contact with jurisdiction personnel to request clarification on data fields and meanings to ensure that all submitted data are processed correctly.

## 2.4   Supporting Documentation

If possible, we ask that you provide supporting documentation with your submission. Specifically, we request:

- Date range of the data (e.g., 01/01/2019 through 12/31/2019)
- Date that the data extract was pulled
- Data point of contact (POC) (i.e., name, organization, address, telephone, and email address)
- File format of the data extract
- Known data limitations or quality issues
  - o Missing data:
    - System-missing (requested data element is not available in the system)
    - Unit-missing (requested data element is available, but mostly blank or missing)
  - o Other common data issues include
    - Misspellings
    - Redundancy or duplication (e.g., two date fields for one event)
- Data formatting information
  - o Data dictionaries, including variable/column names, variable description, expected variable values
  - o Any known discrepancies in the names of data elements in **Appendix A** and how your system labels the data elements

# 3.  Data Submission Instructions

RTI will create a private, password-protected user account for each Data POC to upload data to Amazon Web Services (AWS) Simple Storage Service (S3). This AWS S3 storage location will only be accessible from designated network subnets. The Data POC will need to provide their subnet range or specific IP address from which they will be accessing AWS S3 from so the access control rules may be updated to grant access to the Data POC from their network. A free and easy way to discover your IP address is to go to https://www.iplocation.net/ Once data access has been set up, the Data POC will log into their private account to transfer the requested data to a secure central data storage system on AWS S3.

Data security note: All data are encrypted in transit to AWS and at rest within AWS (SSL in transit and AES 256-encryption at rest), complying with the FIPS 140-2 standard. The secure AWS S3 repository will hold all raw data files received from the courts, jails, and pretrial services agencies until they are processed, linked, de-identified, and subsequently deleted by RTI data analysts. RTI controls access to the data storage system; all access to data resources will be logged, and the entire infrastructure will be reviewed and regularly scanned for vulnerabilities. The data storage system will be configured to deny public access by default, and we will use Amazon's Macie service to regularly scan and evaluate the security status of the storage. All RTI and NCSC staff granted access to data files (identified and deidentified files) will be required to sign a Staff Data Security Agreement. This pledge outlines staff responsibilities for protecting the confidentiality of all information identifiable to a private person that is collected during the project. The RTI Principal Investigator is responsible for maintaining up-to-date record of signed pledges.

## 3.1    Will the data be secure and kept confidential?

Consistent with its statutory obligations (34 U.S.C. § 10134), BJS only uses information collected under its authority for statistical or research purposes. Further, BJS is required by law to protect the confidentiality of all personally identifiable information (PII) it collects or acquires in conjunction with BJS-funded projects (34 U.S.C. § 10231), and must maintain the appropriate administrative, physical, and technical safeguards to protect the identifiable information against improper use or unauthorized disclosure. BJS will not use or reveal data identifiable to a private person, except as authorized under 28 CFR § 22.21 and § 22.22. The BJS Data Protection Guidelines summarize the federal laws, regulations, and other authorities that govern information acquired under BJS's authority, and are published on the BJS website: https://www.bjs.gov/content/pub/pdf/BJS_Data_Protection_Guidelines.pdf. RTI and NCSC are required to adhere to these same requirements as a condition of funding.

### 3.1.1   Data Transmission

RTI and NCSC project staff will receive data sets in a secure manner via an encrypted AWS GovCloud S3 server, appropriate for files with PII. RTI will create a private, password-protected user account that relies on an email address and IP address for each agency to upload data to the AWS S3 storage location. This AWS S3 storage location will only be accessible for the email and IP address granted access to the server. Any data set(s) electronically transmitted to BJS will be over the DOJ's Office of Justice Programs (OJP) secure transfer site.

### 3.1.2   Data Storage and Access

The secure AWS S3 repository will hold all raw data files received from the agencies until they are processed, linked, and subsequently deleted by RTI. Once received and linked with other available records, raw data files will be stripped of PII and replaced with an anonymous identifier. RTI will retain a PII-anonymous identifier crosswalk in case a revised file is submitted later. This file will be encrypted, password protected, and stored on a secure RTI server in the event the AWS S3 storage location is breached. Access to the S3 instance will be restricted to individuals with an identified business need. RTI controls access to the data storage system; all access to data resources will be logged, and the entire infrastructure will be reviewed and regularly scanned for vulnerabilities. PII is encrypted while in transit, and access to the data will be limited to those employees who have a need for such data and have signed a confidentiality pledge. The pledge includes an agreement to comply with all data security and human subjects' protection requirements.

### 3.1.3   Data Publication

BJS only publishes de-identified data at the aggregate level in its project findings, reports, data files, and other statistical products. BJS archives its published data and related data documentation (e.g., user guides) at the National Archive of Criminal Justice Data (NACJD), located at the University of Michigan. To the extent practical, BJS removes, masks, or collapses direct and indirect identifiers prior to sending data to NACJD to protect confidentiality. NACJD takes additional precautions to protect confidentiality, including conducting a comprehensive disclosure risk review to determine the appropriate level of security that should be applied to the data. For more information on data requiring additional security protections, please see:
https://www.icpsr.umich.edu/icpsrweb/content/NACJD/restricted.html.

We understand that your agency may have preexisting policies in place around data sharing, and we will work with your agency to meet any data transfer or agreement requirements you may have. While each of the identified data elements was selected to help fully understand the processing of case data, we recognize that not all data elements may be collected or readily available electronically for public use. Please notify us if you limit the amount or type of data you can release.

## 3.2 When is the submission due?

We ask that all participating agencies provide their data by XX/XX/XXXX. However, please reach out to the staff identified in Section 3.5 if you need additional time to submit your data.

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

The data extract guide is intended for use by courts, pretrial services agencies, and jails. We do not expect that any one organization has all of the data elements requested in Appendix A. If your agency does not collect any of the information in Appendix A, or it would be too burdensome to provide the data, please contact the staff in section 3.5.

## 3.4 What happens after we submit the data?

RTI or NCSC will review the contents of the data files and conduct a series of checks to the data elements requested in the **Appendix A**. This should be completed within 2-4 weeks of submission. RTI or NCSC will then contact the Data POC to review and confirm the findings from the review. We may also have questions about variable values or labels, and will take all steps to understand your data submission.

## 3.5 Who do I contact if I have questions?

You may reach out to any of the following RTI staff members for questions or support in submitting your data.

For court data submissions, feel free to reach out to the NCSC contacts listed below:

**NCSC Contact Information: [TBD]**

# Appendix A:
## Requested Data Elements, Definitions, and Standard Formats

The following series of tables includes the data elements for the NPRP. The name of the variable and the description provided should help you to locate a similar data element in your data management systems. We are also including a standard format, which is how we expect to standardize the data you submit.

Please note: We believe courts, jails, and pretrial services agencies can provide the information in tables 1 and 2. The availability of the data in tables 3-10 will vary. If you have any questions, please contact the staff members listed in Section 3.5.

**Table 1. Individual Identifiers and Demographic Data**

| Name | Definition | Standard Formats |
|---|---|---|
| First name | The individual's first name | Text, character, string |
| Last name | The individual's last name | Text, character, string |
| State ID number | The individual's unique, fingerprint-supported state identification number | |
| FBI Number | The unique identification number given by the Federal Bureau of Investigation's Interstate Identification Index to each offender (if available) | |
| Other personal identifiers if SID and FBI number are not available | If SID and FBI number are not available, please provide any other unique identifier assigned to a person, such as a Social Security Number or Driver's License Number | |

| Name | Definition | Standard Formats |
|------|-----------|-----------------|
| Other system identifiers assigned to a **person** | Include any other unique identifiers that specify the individual in your data system. For example, booking ID, inmate ID, or client ID | |
| Date of birth or age | The individual's date of birth. If not available, individual's age (and please include age at what reference period in the documentation. For example, age at arrest, age at booking, age at filing) | mm/dd/yyyy |
| Sex | The individual's biological sex/sex assigned at birth | Male, Female, Other, Unknown |
| Race | The individual's race(s) | (OMB race categories) White, Black or African American, Asian, Native Hawaiian or Other Pacific Islander, American Indian or Alaska Native, Other, Unknown. |
| Ethnicity | The individual's ethnicity | (OMB ethnicity categories) Hispanic or Latino; Not Hispanic or Latino; Unknown |

## Table 2. General Date Information

| Name | Definition | Standard Formats |
|------|-----------|------------------|
| Date of offense | Date the alleged offense occurred | mm/dd/yyyy |
| Date of arrest | Date the individual was arrested for the offense | mm/dd/yyyy |
| Date of booking into facility for first charges | Date individual was booked into the jail for the arrest for the current case or charge | mm/dd/yyyy |
| Date of pretrial release from facility | Date individual was released from facility (pretrial). Please note in documentation if this date can be determined, or if there is only one field for any type of release | mm/dd/yyyy |
| Date of pretrial risk assessment | Date the pretrial risk assessment was ordered or conducted. Please include both, if available, and include description in data documentation | mm/dd/yyyy |
| Date client entered pretrial supervision | Date the supervision of the individual by pretrial services agency began | mm/dd/yyyy |
| Date client violated supervision | Date of technical violation or date of new arrest while pending trial. Please provide data documentation about how violations of supervision conditions are handled (e.g., if minor violations are reported to court, or only the serious violations are reported) | mm/dd/yyyy |
| Date supervising agent filed a violation report | Date the supervising agent reported the violation to the court or other administrative agency. Please provide data documentation about when and how these reports are filed | mm/dd/yyyy |

| Name | Definition | Standard Formats |
|---|---|---|
| Date court case filed | Date the charges were filed by the prosecutor with the court | mm/dd/yyyy |
| Date of initial appearance | Date the defendant first appeared before a judicial officer after arrest. Typically, this initial appearance determines whether the defendant will be detained or released. Please include in data documentation what occurs at the first appearance after arrest | mm/dd/yyyy |
| Date of arraignment | Date the defendant was arraigned. Arraignment typically includes advising defendant of charges against them, advising them of rights, and requesting the defendant to enter a preliminary plea. Please include in data documentation on what occurs at the arraignment | mm/dd/yyyy |
| Date of defense attorney appearance | Date defense attorney entered in the case (if applicable) | mm/dd/yyyy |
| Date of bail review | Date of any bail reviews (if applicable) | mm/dd/yyyy |
| Date of FTA | Date of any hearing where defendant failed to appear | mm/dd/yyyy |
| Date of pretrial release revocation | Date pretrial release was revoked | mm/dd/yyyy |
| Date defendant entered plea | Date defendant entered a plea in the case. Please note in data documentation if defendant enters a plea during one of the other hearings listed (e.g., initial appearance, arraignment, trial) | mm/dd/yyyy |
| Dates court or jury trial held | If possible, date the court or jury trial started and concluded. If not possible, number of court days in trial | Start date and end date, or number of days |

| Name | Definition | Standard Formats |
|---|---|---|
| Date of disposition | Date the disposition occurred. The disposition of the case is the final decision by the court or jury, or when the case is closed by dismissal, nolle prosequi, or other outcome | mm/dd/yyyy |
| Date of sentencing | Date of sentencing | mm/dd/yyyy |
| Date pretrial supervision ended | The date the agency stopped supervising the defendant | mm/dd/yyyy |

**Table 3. Jail Detention Information**

| Name | Definition | Standard Formats |
|---|---|---|
| Type of hold | Whether offender is being held on no bond status, or whether bail is set | Held without bond; held with bond (not posted) |
| Type of bond set | If bond was set, what type of bond was ordered | Cash bail, other financial bail, property bond |
| Bond amount information | If court set a financial bond, the amount ordered | Number |
| Pretrial release reason | If offender was released pretrial, how defendant was released | Posted bond, released on recognizance |

## Table 4. General Court Case Information

| Name | Definition | Standard Formats |
|---|---|---|
| Court case number | Alpha-numeric identifier assigned to the court case. Court case should be able to be linked to the individual and to the charges within the case | |
| Other case numbers | Alpha-numeric identifiers associated with tying this court case to other court cases (e.g., lower court case, arrest tracking number to link to law enforcement arrest, probation/parole case number, inmate or facility identifiers) | |
| Defense attorney information | Type of defense attorney, if available. Attorney information may include a bar association number, name of the office or agency, or attorney name. Please include in data documentation what information is collected about the defense attorney | Private attorney, public defender, legal aid/legal services attorney, Other, None (self-represented or pro se) |

## Table 5. Release Decisions and Bail Reviews

| Name | Definition | Standard Formats |
|---|---|---|
| Risk assessment score | The risk assessment category assigned to the defendant | |
| Outcome of initial appearance | Any decision made at initial appearance to release or detain the defendant | No bond, bond set, personal recognizance, Other |
| Outcome of bail review | Any decision made at bail review to release or detain the defendant | No bond, bond set, personal recognizance, Other |
| Bail or bond schedule information | Whether bail or bond schedules were used. This may not be stored in the data system, but please include in data documentation whether a bail or bond schedule is used, and a copy of that schedule | |
| Type of detention ordered | Reason the court detained the defendant | No bond, preventive detention, other |
| Type of release ordered | Type of bond or release ordered, if applicable. Please detail in data documentation the types of release available in your jurisdiction | Personal recognizance/ROR, percentage/secured bond, unsecured bond, cash bond, property bond, other |
| Conditions of release | Conditions the defendant must follow when released pretrial | Release to supervising agency, electronic monitoring/house arrest, drug/alcohol testing, no contact order, program compliance, Ignition interlock, other |

**Table 6. Pretrial Supervision, Failures to Appear, New Arrests, and Technical Violations**

| Name | Definition | Standard Formats |
|---|---|---|
| Level of pretrial supervision | The level of supervision determined by the court or the supervising agency. These vary greatly; please include in the data documentation the method used to determine how intensely you monitor clients | |
| Conditions of supervision | If not indicated in Table 6, please include all conditions of supervision ordered by the court or added by your agency | In-person reporting, telephone reporting, home visits, curfew, other |
| Violation of supervision | How the client violated supervision, if applicable | Fail to report, fail to comply, fail drug test, fail to appear, new arrest, other |
| Outcome of violation of supervision | Outcome of the violation | Continued on supervision, bail revoked |
| Final outcome of supervision | Outcome of the pretrial supervision | Successful case closed, unsuccessful case closed, other |

**Table 7. Charges**

| Name | Definition | Standard Formats |
|------|-----------|------------------|
| Court filing charge | The charges initially filed by the prosecutor with the court. At least one charge filed in court should be a felony as defined by state law | State statute number, text description |
| Court disposition charge | The charges as disposed by the court, if available | State statute number, text description |
| Jail charges | The charges for which the person is detained in jail | State statute number, text description |
| Pretrial charges | The charges for which the person is being supervised pretrial | State statute number, text description |

**Table 8. Manner of Disposition and Outcomes**

| Name | Definition | Standard Formats |
|---|---|---|
| Manner of disposition | Type of hearing for the disposition | Plea, court trial, jury trial, other |
| Type of disposition | Type of disposition for the case or charge | Nolle prosequi, dismissal, acquittal, not guilty, probation before judgment, guilty, Alford plea, no contest plea, other |

## Table 9. Sentencing

| Name | Definition | Standard Formats |
|---|---|---|
| Total sentence to incarceration – type of facility | Type of facility ordered for the sentence | Prison, jail, other |
| Total length of incarceration | Length of the sentence to a facility. Please specify the unit of time for the sentence in the data documentation | Number (specify) |
| Sentence suspended | Whether any time of the sentence ordered is suspended. Please include detail in the data documentation | Y/N |
| Length of sentence suspended | Portion of the sentence that is suspended | Number (specify) |
| Credit for time served | Whether the defendant received credit for time served incarcerated pretrial. Please include in the documentation whether electronic monitoring or house arrest counts towards credit time | Y/N |
| Length of credit for time served | Length of time the defendant received credit for time served. Please include in the data documentation the unit of time | Number (specify) |
| Total sentence to probation | Indicator whether the defendant was sentenced to probation | Y/N |
| Total length of sentence to probation | Total length of time the defendant was sentenced to probation. Please specify the unit of time for the sentence in the data documentation | Number (specify) |
| Conditions of probation | Conditions imposed as part of probation | Counseling, drug treatment, drug testing, domestic violence program, anger management, other |

| Name | Definition | Standard Formats |
|------|-----------|-----------------|
| Other sentence imposed | Indicator whether another sentence was imposed. Please include details about available sentence types in your data documentation (e.g., community service may be a type of sentence or part of a probation order) | Y/N |
| Length of other sentence imposed | Length of the other sentence ordered. Please specify the unit of time for the sentence in the data documentation | Number (specify) |
| Monetary sentence ordered | Court ordered fines as part of sentence. Please include detail in the data documentation how monetary fines are tracked | |
| Amount of monetary sentence ordered | Amount of the monetary sentence ordered | Number |
| Restitution | Whether restitution was ordered. | Y/N |
| Restitution | If available, was restitution to the victim or the state. Please include detail in the data documentation | Victim, State |
| Court costs | Whether court costs were ordered to be paid by the defendant | Y/N |

## Table 10. Problem-Solving Court or Diversion

| Name | Definition | Standard Formats |
|---|---|---|
| Problem-solving court type | Type of problem-solving court defendant entered at any point during the court case | Drug court, mental health court, veterans' courts, DWI court, other |
| Problem-solving court outcome | Whether the defendant successfully completed or was terminated from the problem-solving court | Successful completion; Termination |
| Diversion program indicator | Whether the defendant was put into a diversion program at any point during the court case | Y/N |
| Diversion program outcome | Whether the defendant successfully completed or was terminated from the diversion program | Successful completion; Termination |

APPROVAL

July 27, 2021

Matthew DeMichele
919-541-6452, x26452
mdemichele@rti.org

Dear Matthew DeMichele:

On 7/27/2021, the IRB reviewed the following submission:

| | |
|---:|:---|
| Type of Review: | Initial Study |
| Title: | National Pretrial Reporting Program (NPRP) - Data Acquisition |
| Investigator: | Matthew DeMichele |
| IRB ID: | STUDY00021595 |
| Funding Source: | Dept of Justice BJS |
| Customer/Client Name: | Dept of Justice BJS |
| Project/Proposal Number: | 0217723 |
| Contract/Grant Number: | 2020-85-CX-K002 |
| IND, IDE, or HDE: | None |

The IRB approved the study on 7/27/2021 to 7/26/2022 inclusive. This study was approved under 28 CFR 46. Any changes to the approved study protcol or documents must be submitted to the IRB as a modification for review and approval prior to implementation. Within 30 days of study completion, you should request to close the study in IRB Express. You can submit a modification or study closure by navigating to the active study and clicking Create Modification / CR.

In conducting this protocol, you are required to follow the requirements listed in the Investigator Manual (HRP-103), which can be found by navigating to the IRB Library within the IRB system.

Sincerely,
The RTI Office of Research Protection