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MEMORANDUM FOR ACS Research and Evaluation Workgroup

From: Kevin Deardorff
Chief, Economic Reimbursable Surveys Division (ERD)

Prepared by: Denise Flanagan-Doyle
Economic Reimbursable Surveys Division (ERD)

Subject: Investigation into the Use of Alternate Records Sources for
Institutional Group Quarters

Attached is the Economic Reimbursable Surveys Division (ERD) Research and Evaluation report, "Investigation into the Use of Alternate Records Sources for Institutional Group Quarters." This evaluation assesses whether alternate records sources could enhance survey responses for the population in group quarters for the American Community Survey.

If you have any questions about this report, please contact Denise Flanagan-Doyle at 301-763-3060.

Attachment

cc:

Nicole Butler (ACSO)
Donna Daily (ACSO)
Jennifer Ortman (ACSO)
David Raglin (ACSO)
Nathan Walters (SEHSD)

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Investigation into the Use of Alternate Records Sources for Institutional Group Quarters

Denise Flanagan-Doyle

Economic Reimbursable Surveys Division

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EXECUTIVE SUMMARY

The U.S. Census Bureau is investigating ways to reduce respondent burden of the American Community Survey (ACS) using administrative records. One of the areas under investigation is whether or not administrative or alternative record sources can be used to replace data collection for specific group quarters types, specifically, correctional and nursing facilities. This research aims to identify sources of both federal and third party data that may supplement data collected or alleviate the need to collect data from certain group quarters populations altogether. The Census Bureau will use this report and conduct additional research to determine whether each group quarters type is a good candidate for removal with the use of external data sources in its place.

While no data source is a perfect match for questionnaire replacement, there is value in pursuing more administrative data. Administrative data from state and federal Departments of Correction can provide many ACS data items, however further work is needed to evaluate and balance the quality of data sources of interest. It may be possible to receive data from local jails from a commercial vendor rather than going to each jail jurisdiction individually. Data from the Centers for Medicare & Medicaid Services can provide some, but not all of the required data for all nursing home residents. Exploring data from these sources has the potential to reduce respondent burden while maintaining data quality.

This report is the first phase of this research and is intended solely as an exploration of available data. The next phase is to work on acquiring the data sources that are of most interest to the ACS program. Once the data are acquired, research will focus on questions about linkage, quality, and impact.

1 INTRODUCTION

Stemming from concerns about the burden that American Community Survey (ACS) participation places on respondents, the U.S. Census Bureau is looking for ways to reduce the difficulty and length of the survey with administrative records. This report identified sources of federal and commercial data that may alleviate the need to ask certain questions altogether or for a subset of the ACS sample. Data from other agencies are under review to potentially replace ACS content. Census is consulting with stakeholders, including Congress, regarding the appropriateness of direct substitution.

The U.S. Census Bureau contracted with the National Academies of Science (NAS) to conduct a workshop titled *Reducing Response Burden in the American Community Survey* held on March 8 and 9, 2016.¹ Workshop attendees recommended that the American Community Survey Office (ACSO) at the U.S. Census Bureau research the use of administrative records in lieu of current data collection procedures and evaluate the impact of reducing questionnaire content for institutional Group Quarters (GQ) data. The institutional GQ types under consideration, as well as their General Quarters Type Codes, include:

- 101 - Federal Detention Centers (Correctional Facilities for Adults)
- 102 - Federal Prisons (Correctional Facilities for Adults)
- 103 - State Prisons (Correctional Facilities for Adults)
- 104 - Local Jails and Other Municipal Confinement Facilities (Correctional Facilities for Adults)
- 105 - Correctional Residential Facilities (Correctional Facilities for Adults)
- 106 - Military Disciplinary Barracks and Jails (Correctional Facilities for Adults)
- 201 - Group Homes for Juveniles, Non-Correctional (Juvenile Facilities)
- 202 - Residential Treatment Centers for Juveniles, Non-Correctional (Juvenile Facilities)
- 203 - Correctional Facilities Intended for Juveniles (Juvenile Facilities)
- 301 - Nursing Facilities/Skilled-Nursing Facilities (Nursing Facilities/Skilled-Nursing Facilities)

Other GQ types not under consideration in this research include:

- 401 - Mental/Psychiatric Hospital Units in Other Hospitals with Patients Who Have No Usual Home Elsewhere (Institutional - Other Institutional Facilities)
- 403 - In-Patient Hospice Facilities (Institutional - Other Institutional Facilities)
- 404 - Military Treatment Facilities with Assigned Patients (Institutional - Other Institutional Facilities)
- 405 - Residential Schools for People with Disabilities (Institutional - Other Institutional Facilities)
- 501 - College/University Student Housing (Noninstitutional - College/University Student Housing)

¹ National Academies of Sciences, Engineering, and Medicine. (2016). *Reducing Response Burden in the American Community Survey: Proceedings of a Workshop*. Washington, DC: The National Academies Press.
doi: 10.17226/23639.

- 601 - Military Quarters (Noninstitutional - Military Quarters)
- 602 - Military Ships (Noninstitutional - Military Ships)
- 701 - Emergency and Transitional Shelters – With Sleeping Facilities for People Experiencing Homelessness (Noninstitutional - Other Noninstitutional Facilities)
- 801 - Group Homes Intended for Adults (Noninstitutional - Other Noninstitutional Facilities)
- 802 - Residential Treatment Centers For Adults (Noninstitutional - Other Noninstitutional Facilities)
- 901 - Workers’ Group Living Quarters and Job Corps Centers (Noninstitutional - Other Noninstitutional Facilities)
- 902 - Religious Group Quarters (Noninstitutional - Other Noninstitutional Facilities)

For each topic, the Economic Reimbursable Surveys Division (ERD) is performing research to study the availability of alternate record sources that can be used to replace or supplement direct data collection from the population in institutional group quarters. This research is intended to be a first look at this population in order to document the coverage, quality, and availability of external, alternate data sources for potential integration with the ACS. This research will enable the ACSO to evaluate the potential of the replacement data sources, identify challenges, and provide direction for further research. It is an exploratory investigation of the feasibility of replacing or enhancing the ACS GQ data with alternate data sources.

2 LITERATURE REVIEW

This section will explore research that has been done on using alternate data sources to enhance government statistics, specifically in the areas of correctional facilities and nursing facilities.

2.1 Nursing Facilities/Skilled-Nursing Facilities

The National Center for Health Statistics (NCHS) began a study in 2012 called the National Study of Long-Term Care Providers (NSLTCP). Pertinent to the ACS GQ research, this study looks at the population receiving long-term care, including the population in nursing homes. This study replaced the National Nursing Home Survey (NNHS) and used information from administrative data from the Centers for Medicare & Medicaid Services (CMS) on parts the population residing in what the Census Bureau considers GQs: specifically, nursing homes. Using CMS data has allowed the NCHS to publish information on nursing home residents more frequently and with less respondent burden than they were able to with the NNHS.²

Medicare will pay for nursing facility or skilled nursing facility care only for short periods of time and only when custodial care is not the only necessary care.³ Medicaid will pay for nursing facility care when an individual qualifies for Medicaid and when there are no other payment options available. Medicaid only pays for care provided in a facility licensed and certified by the state agency.

² Harris-Kojetin L, Sengupta M, Park-Lee E, Valverde R. *Long-term care services in the United States: 2013 overview*. National Center for Health Statistics. Vital Health Stat 3(37). 2013.

³ *Medicare Part A Coverage – Nursing Home Care*. Online. Available: <https://www.medicare.gov/what-medicare-covers/part-a/part-a-coverage-nursing-home-care.html>

2.2 Correctional Facilities for Adults

The Bureau of Justice Statistics (BJS) has produced estimates of the incarcerated population in the United States. At the end of 2015, BJS estimated that there were 6,741,400 persons supervised by U.S. adult correctional systems, and of those, 2,168,400 were held in custody. Of these, 195,700 were federal prisoners (9 percent), 1,244,400 were state prisoners (57 percent), and 728,200 were held in local jails (34 percent). There is overlap in this populations as an inmate may be transferred from one facility to another, so estimates can be tough to calculate.⁴

As a part of the 2010 Decennial Census effort, Census performed ethnographic research at three state prisons, one male and two female facilities. Researchers conducted unstructured interviews and gave self-administered census-like paper instrument to inmates and compared the results with the results of administrative records pulled from the prison records in real-time. Researchers were of the opinion that the data obtained from the state prison records were timely, relevant, and complete. Overall, inmate responses to the survey were consistent with administrative records. Researchers did warn that the data lacks uniformity between facilities and that while most demographic information is of good quality, racial data was inconsistent with inmate self-reports. Researchers also noted that some prisoners may be left off of the administrative records if they were in transit at the time the records were pulled.⁵

3 ACS BACKGROUND

Starting in 2006, the ACS sample expanded to include GQ residents. For the purposes of the ACS, GQs are places where people live or stay, in a group living arrangement that is owned or managed by an entity or organization providing housing and/or services for the residents. People living in GQs usually are not related to each other. GQs are broadly split into two types, institutional and non-institutional. They are further defined according to the housing and/or services provided to residents and are identified by census GQ type codes. A list of the GQ type codes and their definition can be found in the Introduction.

The ACS GQ sample encompasses 12 independent samples, one for each month of the year. Like the Housing Unit (HU) sample, a new GQ sample is introduced each month. Data collection for each monthly sample lasts six weeks and does not include a formal nonresponse follow-up operation. The GQ data collection operation is conducted in two phases. First, Census Bureau Field Representatives (FRs) conduct interviews with the GQ facility contact person or the administrator of the selected GQ (referred to as the GQ level interview), and second, the FR conducts interviews with a sample of individuals from the facility (referred to as the person-or resident-level interview).

There are special procedures for data collection in Correctional Facility GQs. Resident-level data collection occurs during a 4-month period (September through December) for selected federal prisons and detention centers. The Bureau of Prisons (BOP) provides the Census Bureau with a file containing all federal prisons and detention centers and a full roster list of inmates for

⁴ *Correctional Populations in the United States*. Online. Available: <https://www.bjs.gov/content/pub/pdf/cpus15.pdf>

⁵ Chan, A. (2012) *Qualitative Assessment of Administrative Records: The Case of State Prisons' Records*. Federal Committee on Statistical Methodology. Washington D.C. January 12, 2012.

each federal facility. The Census Bureau updates the GQ-level information and generates the person-level samples for these GQ facilities. State correctional facilities data collection occurs at each sampled state prison and local jail once per year during a one-month period.⁶

4 RESEARCH QUESTIONS AND METHODOLOGY

1. Which ACS variables are provided by the administrative records source?
2. At what geographic level are the data available?
3. What GQ types are covered by the administrative records source?
4. What is the coverage of GQ facilities (census for survey)?
5. What is the frequency and timeliness of the data in the administrative records source?

This research is intended to be two-phased. In the initial stages of this research, covered by this report, the objective is to answer these questions as fully as possible. To answer phase one questions, potential suppliers were contacted by telephone or email to get more detailed information on the uses and limitations of the data source. Both governmental agencies and third party data suppliers were considered. Ideally, data are desired at the individual level for all persons living in a group quarters, however, all data sources are considered. The second phase, which is not a part of this report, is to work on acquiring the data sources that are of most interest to the ACS program. Once the data are acquired, research will focus on questions about linkage, quality, and impact.

Not all ACS questions are asked of all institutional GQ respondents. Administrative records information related to the following ACS variables is of specific interest as they are most relevant to institutional group quarters:

- Sex
- Age
- Race
- Hispanic Origin
- Marital Status
- School Enrollment
- Education Attainment
- Veteran Status
- Disability Status
- Resident One Year Ago
- Place of Birth, Nativity and Citizenship Status, and Year of Entry
- Foreign Born
- Supplemental Nutritional Assistance Program (SNAP) Benefits

To assess the quality of a specific Alternative Record, quality indicators must be considered. Table 3 shows an overview of each quality indicator.⁷

⁶ U.S. Census Bureau. (2014). *American Community Survey Design and Methodology Report*.

⁷ Chun and Gan (2014). *Analysis of the Sources of Group Quarters Enumeration Data in the 2010 Census*. United States Census Bureau.

Table 1: Quality Indicators

Source	Metadata	Data
Supplier	Clarity	Over-coverage
Relevance	Comparability	Under-coverage
Privacy & Security	Unique Keys	Linkability
Delivery	Data Treatment	Unit Nonresponse
Procedures		Item Nonresponse Measurement
		Processing
		Precision
		Sensitivity

Source: Checklist for the Quality evaluation of Administrative Data Sources (Daas, Ossen, Vis -Visschers, Arends-Tóth, 2009)⁸

5 LIMITATIONS

Research on institutional group quarters residents, like all research on administrative records, is constrained by the purposes for which the administrative data are collected and the methods used for collection. Rarely do these needs align perfectly with the needs of the ACS. For instance, most information on residents of Nursing Facilities (NFs) and Skilled Nursing Facilities (SNFs) is collected for the purposes of billing or medical evaluations. Information is often collected from proxies or by observation as many patients in these facilities require significant amounts of care and may not be able to respond to the facilitators' questions.

Administrative data on race and ethnicity of inmates in correctional institutions are often collected by observation and do not always correlate to how the inmates identify themselves. Much of the survey data collected from these inmates is collected for the purpose of complying with the Prison Rape Elimination Act (PREA) and is considered very sensitive and subject to strict disclosure rules. Additionally, many of the sources found are sample surveys or surveys of institutions. Institutional surveys are of little use to the ACS as survey response data as they lack individual responses. Sample surveys have much lower levels of population coverage and are unlikely to cover the entirety of the sample required for the ACS.

⁸ Daas, P. J. H., Ossen, S. J. L., Tennekes, M., and Nordholt, E. S. (2013). *Evaluation of the quality of administrative data used in the Dutch Virtual Census*. Invited paper presented in the 2013 Joint Statistical Meetings.

6 RESULTS

The following is a breakdown of the types of Group Quarters considered in this report as well as a discussion of the potential data sources for each type.

6.1 GQ Types in Scope

Federal Detention Centers (Type Code 101) and Federal Prisons (Type Code 102)

The BOP provides a file containing all federal prisons and detention centers and a full roster list of inmates for each federal facility in order for the ACSO to conduct their sampling. Since the ACSO already has rostering information, the research focus for these type codes was on what variables various sources provide.

In most cases, the data from the federal and state prison facilities are collected from administrative records held at those facilities. This allows for a more comprehensive and less burdensome data collection. Most of these data are collected during prisoner intake processing. Depending on each facilities' procedures, information such as race may have been determined by the facility rather than self-identification.

While no individual statistical record source has all of the information needed, it appears that administrative data held by federal prisons may provide information on many ACS data elements. Administrative records are held by the BOP and some data from these records are publicly available via an inmate locator BOP's Inmate Management System, SENTRY.⁹ The BOP has an operational process for maintaining data regarding foreign-born inmates in its custody, including their immigration status. As of March 25, 2017, BOP held 41,554 foreign-born, non-citizen inmates in custody.¹⁰ Privacy Impact Assessment (PIA) allows sharing of the sensitive information that is permissible by the System of Records Notice (SORN) and governed by a Memorandum of Agreement (MOA).¹¹

Table 2: Data Elements Available from Administrative Records for Federal Detention Centers (Type 101) and Federal Prisons (Type 102)

Data Element	Potential Source
Sex	Available through SENTRY
Age	Available through SENTRY
Race	Available through SENTRY
Hispanic Origin	Available through SENTRY

⁹ *Inmate Locator Information*. Online. Available: https://www.bop.gov/inmateloc/about_records.jsp

¹⁰ *Department of Justice Press Release 17-477*. Online. Available: <https://www.justice.gov/opa/pr/pursuant-executive-order-public-safety-department-justice-releases-data-incarcerated-aliens-0>

¹¹ *Privacy Impact Assessment for the SENTRY Inmate Management System*. Online. Available: <https://www.bop.gov/foia/sentry.pdf>

Data Element	Potential Source
Marital Status	Available through SENTRY
School Enrollment	Available through SENTRY
Education Attainment	Available through SENTRY
Veteran Status	Available through SENTRY
Disability Status	National Inmate Survey, SENTRY includes physical and mental health data
Residence One Year Ago	SENTRY includes home address and location one year ago, if incarcerated
Place of Birth, Nativity and Citizenship Status, and Year of Entry	SENTRY includes country of citizenship or place of birth, citizenship status
Foreign Born	Available through SENTRY
SNAP Benefits	Not available

Immigrations and Customs Enforcement maintains records of people held in their detention facilities using the Enforcement Integrated Database (EID) ENFORCE Alien Removal Module (EARM).¹²

State Prisons (Type Code 103)

Similar to the BOP, each state has their own prisoner management system. Many states provide an inmate locator function online and some states use a commercial service provided by VINELink. Each state decides what records to include in the database and how often the website will be updated. Some states include people incarcerated during a pre-trial period and others only include inmates after they have been convicted. Some include historical information for those on parole, while others do not. VINELink provides varying levels of information by jurisdiction. While every effort is made to provide timely information, the information can change quickly. See below for a table of states' online inmate locator sites:

Table 3: State Online Inmate Locator

State	Online Inmate Locator
Alabama	http://www.doc.state.al.us/InmateSearch.aspx
Alaska	VINELink

¹² Privacy Impact Assessment Update for the Enforcement Integrated Database (EID). Online. Available: https://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_ice_eidupdate%2815b%29.pdf

State	Online Inmate Locator
Arizona	https://corrections.az.gov/public-resources/inmate-datasearch
Arkansas	http://adc.arkansas.gov/inmate_info/index.php
California	http://inmatelocator.cdcr.ca.gov/
Colorado	http://www.doc.state.co.us/oss/
Connecticut	http://www.ctinmateinfo.state.ct.us/
Delaware	VINELink
District of Columbia	DC sentenced felons are transferred to the Federal Bureau of Prisons. The inmates housed by the DC DOC can be found via VINELink
Florida	http://www.dc.state.fl.us/ActiveInmates/
Georgia	http://www.dcor.state.ga.us/GDC/OffenderQuery/jsp/OffQryForm.jsp
Hawaii	VINELink
Idaho	https://www.idoc.idaho.gov/content/prisons/offender_search
Illinois	https://www.illinois.gov/idoc/Offender/Pages/default.aspx
Indiana	http://www.in.gov/apps/indcorrection/ofs/ofs
Iowa	https://doc.iowa.gov/offender/search
Kansas	https://kdocrepository.doc.ks.gov/kasper/
Kentucky	http://corrections.ky.gov/communityinfo/Pages/KOOL.aspx
Louisiana	VINELink
Maine	https://www1.maine.gov/online/mdoc/search-and-deposit/index.htm
Maryland	http://www.dpscs.maryland.gov/services/inmate-locator.shtml
Massachusetts	VINELink
Michigan	http://mdocweb.state.mi.us/OTIS2/otis2.aspx

State	Online Inmate Locator
Minnesota	https://coms.doc.state.mn.us/PublicViewer
Mississippi	https://www.ms.gov/mdoc/inmate
Missouri	https://web.mo.gov/doc/offSearchWeb/
Montana	https://app.mt.gov/conweb/
Nebraska	http://dcs-inmatesearch.ne.gov/Corrections/COR_input.html
Nevada	http://167.154.2.76/inmatesearch/form.php
New Hampshire	http://business.nh.gov/Inmate_locator/
New Jersey	https://www20.state.nj.us/DOC_Inmate/inmatefinder?i=I
New Mexico	http://search.cd.nm.gov/
New York	http://nysdoccslookup.doccs.ny.gov/
North Carolina	http://webapps6.doc.state.nc.us/opi/offendersearch.do?method=view
North Dakota	http://www.nd.gov/docr/offenderlkup/index.asp
Ohio	http://www.drc.state.oh.us/OffenderSearch/Search.aspx
Oklahoma	https://okoffender.doc.ok.gov/
Oregon	http://docpub.state.or.us/OOS/intro.jsf;jsessionid=A9ACAE087AC69CDAB0261AB4A36BD909
Pennsylvania	http://inmatelocator.cor.pa.gov/#/
Rhode Island	http://www.doc.ri.gov/inmate_search/search.php
South Carolina	http://www.doc.sc.gov/pubweb/InmateSearchDisclaimer.jsp
South Dakota	https://doc.sd.gov/adult/lookup/
Tennessee	https://apps.tn.gov/foil-app/search.jsp
Texas	https://offender.tdcj.texas.gov/OffenderSearch/

State	Online Inmate Locator
Utah	https://corrections.utah.gov/index.php?option=com_content&view=article&id=813&Itemid=107
Vermont	http://doc.vermont.gov/offender-locator/
Virginia	https://vadoc.virginia.gov/offenders/locator/
Washington	http://www.doc.wa.gov/information/inmate-search/discclaimer.htm
West Virginia	http://www.wvdoc.com/wvdoc/OISOffenderSearch/tabid/200/Default.aspx
Wisconsin	http://offender.doc.state.wi.us/lop/home.do
Wyoming	http://wdoc-loc.wyo.gov/

Local Jails and Other Municipal Confinement Facilities (104)

A jail is typically run by a county, but can also be run by municipalities such as incorporated places or functioning minor civil divisions.

Like state prisons, each local jail jurisdiction has its own prisoner management system. Many, but not all, jurisdictions provide a public service with an incarcerated individual's status and location online, and some use a commercial service provided by VINELink.

Correctional Residential Facilities (105)

Additionally, many of the inmate locator functions provided by states and municipalities contain information for all inmates in custody, including those in correctional residential facilities and give a location for each facility.

Commercial Files for Correctional Facilities intended for Adults (101-105)

There are a number of potential commercial vendors for adult inmate information. Putting forth a formal Request for Information (RFI) on the availability of commercial incarceration data files would yield the best actionable results. There are a number of companies offering an inmate locator services for the entire adult incarcerated population. If an RFI is released, it would be wise to request a sample data file from potential vendors and assess the accuracy and completeness of the data. During the RFI process the quality of each potential vendor offering can be evaluated. While this report does not list all potential commercial vendors, a list of all potential commercial vendors can be discovered through an RFI. Appris Safety is a commercial vendor used by many state departments of correction to provide a victim notification service, VINELink. In addition to this service, Appris Safety also provides information on booking and incarceration through a service called JusticeXchange. This service is primarily aimed at law

enforcement and draws from the records of more than 2,900 jails and Departments of Correction (DOCs) across the country.¹³

Correctional Facilities Intended for Juveniles (203)

Information on juveniles is more strongly protected and records connected to them are generally sealed. Each state determines the amount and type of information on juveniles that can be released to specific portions of the public and why. In some states, juvenile records may be public based on the type of crime committed or if the offender has reoffended. In other states, records are available for specific purposes such as background investigations, or in Arizona, for research purposes.¹⁴ With special arrangements, some additional states may allow policy researchers additional access to juvenile justice data. For instance, the Institute for Municipal and Regional Policy (IMRP), a part of the Central Connecticut State University, has created a dataset that contains juvenile recidivism data received from three Connecticut agencies, the Department of Children and Families, Court Support Services Division, and the DOC. The IMRP dataset includes demographic information and individual identifiers, as well as information about arrests, charges, disposition, sentencing, incarceration and rearrest.¹⁵

The BOP handles very few inmates under the age of 18. Historically, the federal juvenile population has consisted predominately of Native American males as the Federal Government has a unique jurisdiction over crimes on Federal American Indian Reservations. The BOP does not operate its own juvenile facilities, rather they contract the housing responsibilities to private entities and state and local governments.¹⁶

Nursing Facilities/Skilled-Nursing Facilities (301)

The definition of Nursing Facilities (NFs) and Skilled-Nursing Facilities (SNFs) includes only those licensed to provide medical care with seven day, twenty-four hour coverage for people requiring long-term non-acute care. It does not include housing such as senior apartments, active adult communities, congregate care, continuing care retirement communities, independent living, board and care, or assisted living unless they also meet the definition of a nursing facility. These types of housing are housing units rather than group quarters. Licensing is key in the definition of Nursing Facilities and Skilled Nursing Facilities and states regulate these facilities and issue licenses. Facilities have a vested interest in pursuing licenses because state certification is necessary to ensure compliance with federal regulatory requirements in order to receive Medicare or Medicaid payments.

The CMS (part of the Department of Health and Human Services (HHS)) administers the Medicare and Medicaid programs. A part of this administration is assessing the clinical condition of residents of NFs and SNFs by requiring these facilities to complete the Minimum Data Set (MDS) 3.0 assessments. The MDS 3.0 Frequency Report summarizes information for active residents currently in nursing homes. All active residents are included, regardless of

¹³ *Justice Xchange*. Online. Available: <https://appriss.com/safety/wp-content/uploads/sites/3/2017/02/Product-Sheet-JusticeXchange.pdf>

¹⁴ *OJJDP Statistical Briefing Book*. Online. Available: http://www.ojjdp.gov/ojstatbb/structure_process/qa04211.asp?qaDate=2012.

¹⁵ *Adult Criminal and Juvenile Justice Evidence-Based Program Inventory*. Online. Available: https://www.ccsu.edu/imrp/Publicatons/Files/Connecticut_Program_Inventories_FINAL.pdf

¹⁶ *Summary: Tribal Youth in the Federal Justice System*. Online. Available: <https://www.bjs.gov/content/pub/pdf/tyfjs.pdf>

whether or not Medicaid or Medicare is paying for the services. The source of these counts is the resident's MDS Resident Assessment Instrument (RAI) record. Comprehensive assessments are required upon admission and annually thereafter. Non-comprehensive assessments are required quarterly and upon discharge. The MDS assessment information for each active nursing home resident is consolidated to create a profile of the most recent standard information for the resident, including name, SSN, sex, marital status, language, health insurance status, and disability status.¹⁷

The Census Bureau currently receives the Medicaid Statistical Information System (MSIS) Eligible Files and the Transformed Medicaid Statistical Information System (TMSIS) from CMS. MSIS was the system used by CMS to collect eligibility, enrollment, program, utilization and expenditure data. In 2017, this system was replaced by the updated TMSIS. These systems collect extensive PII and the Census Bureau receives social security number, date of birth, date of death, race and ethnicity, and limited address information for each recipient. The Census Bureau does not currently receive utilization and expenditure data, but it may be possible to match claims date data to a facility address in order to create a file of people living in NFs and SNFs. The Census Bureau is currently evaluating these data for 2020 decennial census operations.

6.2 Data Sources

The following is a list of data sources considered in this research for correctional facilities. Some of these are sample surveys

Census of State and Federal Adult Correctional Facilities (CSFACF)

The Bureau of Justice Statistics (BJS) collects information for the CSFACF. The CSFACF collects counts of prisoners by facility, they do not collect person-level data. Only state-level data are published. This census covers Federal Detention Centers, Federal Prisons, and State Prisons but not local jails.

Survey of Inmates in Federal Correctional Facilities (SIFCF) (Transitioned into the Survey of Prison Inmates, SPI)

The Bureau of Justice Statistics (BJS) and the Bureau of Prisons collect information for the SIFCF/SPI. Data for the SIFCF/SPI is collected at the individual level. This survey covers Federal Prisons and State Prisons. Data elements provided include sex, race, Hispanic origin, citizenship status including country of citizenship, and age.

National Corrections Reporting Program (NCRP)

The Bureau of Justice Statistics (BJS) collects information for the NCRP, gathering data annually from the Departments of Corrections and Parole in a varying number of states about prisoners entering and leaving prison custody or community supervision. Not all states

¹⁷ *Long-Term Care Facility Resident Assessment*. Online. Available: <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Downloads/MDS-30-RAI-Manual-V113.pdf>

participate every year, though 100 percent participation is their goal. Data elements provided include prisoners entering and leaving prison custody or community supervision, educational attainment, previous military service, and veteran status of inmates.¹⁸ As this program derives its data from administrative records and is able to provide information on military experience, facilities collect this information routinely. The Census Bureau currently has access to these records with full personal identifiers for research purposes. Data for the NCRP are collected at the individual level. This program covers Federal Detention Centers, Federal Prisons, State Prisons, and Correctional Residential Facilities.

National Prisoner Statistics Program (NPS)

The Bureau of Justice Statistics (BJS) collects information for the NPS. This program covers Federal Detention Centers, Federal Prisons, and State Prisons. Data elements provided include counts of prisoners by facility. Like the CSFACF, the National Prisoner Statistics (NPS) Program collects counts of prisoners by facility, and does not collect person-level data. The NPS derives its data from administrative records and provides information on citizenship status. Facilities collect this information routinely.

National Inmate Survey (NIS)

The Bureau of Justice Statistics (BJS) collects information for the NIS. Data for the NIS are collected at the individual level. This survey covers Federal Detention Centers, Federal Prisons, State Prisons, Local Jails, and Other Municipal Confinement Facilities. Data elements provided include sexual violence victimization, physical and mental health, disabilities, and substance abuse.

The 2011-2012 NIS used two separate forms, one focused on sexual violence victimization and the other focused on physical and mental health, disabilities, and substance abuse. The survey was administered to a 10 percent sample of correctional facilities, with a smaller subsample of the population in each facility receiving the questionnaire focused on health issues. The disability measures used in the health questionnaire were based on the ACS definitions for disability. Recent person-level data can be found in the NIS.

Census of Jail Inmates

The Bureau of Justice Statistics (BJS) collects information for the Census of Jail Inmates. Data for the Census of Jail Inmates are collected at the facilities level. This census covers Local Jails and Other Municipal Confinement Facilities. Data elements provided include sex, race, Hispanic origin, citizenship status, and if inmates are aged 18 and over or not.

Census of Jails

The Bureau of Justice Statistics (BJS) collects information for the Census of Jails. The Census of Jails collected counts of prisoners by facility for every municipality, but does not collect person-level data. This provides the sampling frame for the SILJ and ASJ. This census covers Local

¹⁸ *Prison and Post-Confinement Community Supervision Records*. Online. Available: <http://www.icpsr.umich.edu/files/NACJD/ncrp/NCRP%202014%20Data%20Request.pdf>

Jails and Other Municipal Confinement Facilities. Data elements provided include number of confined inmates by sex, age, race, Hispanic origin, and citizenship status.

Annual Survey of Jails (ASJ)

The Bureau of Justice Statistics (BJS) collects information for the ASJ. In years between the complete Censuses of Jails, the BJS conducts the Annual Survey of Jails (ASJ). Like the Census of Jails, the ASJ does not collect person-level data. The ASJ targets local jails that have collected data in the last decade. This survey covers Local Jails and Other Municipal Confinement Facilities. Data elements provided include number of confined inmates by sex, age, race, Hispanic origin, and citizenship status.

Survey of Inmates in Local Jails (SILJ)

The Bureau of Justice Statistics (BJS) collects information for the SILJ. Data for the SILJ are collected at the individual level. This survey covers Local Jails and Other Municipal Confinement Facilities. Like the ASJ, the SILJ targets local jails that have collected data in the last decade. Data elements provided include sex, age, race, Hispanic origin, citizenship status including country of citizenship, marital status, and veteran status.

Census of Juveniles in Residential Placement (CJRP)

The Census of Juveniles in Residential Placement (CJRP) is a point in time census conducted biennially, which provides individual-level information on youth held in juvenile correctional facilities. The Office of Juvenile Justice and Delinquency Prevention (OJJDP) collects information for the CJRP. The census reference date is the last Wednesday in October. CJRP only provides data on juveniles held in juvenile correctional facilities, even though some juvenile offenders will be held in adult correctional facilities or facilities exclusively intended for drug or mental health treatment. The census collects information such as an identifier (either first name and last initial or an identifying number) age, race, sex, offense, legal status, state of the offense, and date of admission.¹⁹

Juvenile Residential Facility Census (JRFC)

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) collects information for the JRFC. Data for the JRFC are collected at the facility level. The JRFC is a point-in-time data collection that provides information on facility characteristics, including size, physical layout, structure, security arrangements, and ownership.²⁰

National Survey of Youth in Custody (NSYC)

The Bureau of Justice Statistics (BJS) collects information for the NSYC. The NSYC is a self-administered questionnaire used to gather data on sexual assault in juvenile facilities. Data for the NSYC are collected at the individual level. The sample for this survey was selected from rosters provided two to five weeks before the survey was administered. Some, but not all, of this

¹⁹ *Census of Juveniles in Residential Placement*. Online. Available: <https://www.ojjdp.gov/ojstatbb/Compendium/asp/Compendium.asp?selData=1>

²⁰ *Juvenile Residential Facility Census*. Online. Available: <https://www.ojjdp.gov/ojstatbb/Compendium/asp/Compendium.asp?selData=9>

rostering information was loaded into the questionnaire and aided in skip patterns for items such as age and sex. However, the sensitive nature of the questions meant that the survey was administered anonymously, some participants received the sensitive version of the questionnaire and others received a non-sensitive version of the questionnaire. This confidentiality provision meant that contact information was not kept, which precluded the ability to link data to a specific person.²¹ BJS intends to administer this survey again at the end of 2017 through 2018.²² This survey covers Correctional Facilities Intended for Juveniles. Data elements provided include data on sexual assault in juvenile facilities.

Table 4: Summary of Available Data Sources

Data Source	GQ Type	Geography	Facility or Person-Level Data	Years available	Collection Source	Collection Census or Survey
Census of State and Federal Adult Correctional Facilities (CSFACF)	101, 102, 103	Data are collected at the facility-level, though only state-level data are published	Facility	1974, 1979, 1984, 1990, 1995, 2000, 2005	Bureau of Justice Statistics	Census
Survey of Inmates in Federal Correctional Facilities (SIFCF) transitioned into the Survey of Prison Inmates (SPI)	102, 103	Data are collected at jurisdiction-level, with estimates for those with prison populations of 100,000 or more	Individual	1991, 1997, 2004	Bureau of Justice Statistics and the Bureau of Prisons	Survey
National Corrections Reporting Program (NCRP)	101, 102, 103, 105	Data are collected at facility-level	Individual	Produced annually with the most recent data available for 2014	Bureau of Justice Statistics	Census
National Prisoner Statistics Program (NPS)	101, 102, 103	Data are collected at the facility-level, though only state-level data are published	Facility	Produced annually with the most recent data available for 2016	Bureau of Justice Statistics	Census

²¹ *National Survey of Youth in Custody 2008-09, 2012*. Online. Available: <https://www.bjs.gov/index.cfm?tv=dcdetail&iid=321>

²² *National Survey of Youth in Custody 2017-18*. Online. Available: <https://www.bjs.gov/content/pub/pdf/nsvcsol.pdf>

Data Source	GQ Type	Geography	Facility or Person-Level Data	Years available	Collection Source	Collection Census or Survey
National Inmate Survey (NIS)	101, 102, 103, 104	Data are collected at the facility-level	Individual	2007, 2008–09, and 2011–12	Bureau of Justice Statistics	Survey
Survey of Inmates in State Correctional Facilities (SISCF) transitioned into the Survey of Prison Inmates (SPI) in 2016	102, 103	Jurisdiction-level estimates for those with prison populations of 100,000 or more	Individual	1974, 1979, 1986, 1991, 1997, 2004, 2016	Bureau of Justice Statistics	Survey
Census of Jail Inmates	104	Jail Jurisdictions, typically county-based.	Facility	2005	Bureau of Justice Statistics	Census
Census of Jails	104	Jail Jurisdictions, typically county-based.	facility level. Sampling frame for SILJ and ASJ	1970, 1972, 1978, 1983, 1988, 1993, 1999, 2005, 2006, and 2013	Bureau of Justice Statistics	Census
Annual Survey of Jails (ASJ)	104	Jail Jurisdictions, typically county-based.	Facility level	Produced annually with the most recent data available for 2016	Bureau of Justice Statistics	Survey
Survey of Inmates in Local Jails (SILJ)	104	Jail Jurisdictions, typically county-based.	individual	1972, 1978, 1983, 1989, 1996, and 2002	Bureau of Justice Statistics	Survey
Census of Juveniles in Residential Placement (CJRP)	203	Facility	Individual	Biennially, last collected in 2015	Office of Juvenile Justice and Delinquency Prevention (OJJDP)	Census

Data Source	GQ Type	Geography	Facility or Person-Level Data	Years available	Collection Source	Collection Census or Survey
Juvenile Residential Facility Census (JRFC)	203	Facility	Facility	Biennially, last collected in 2016	Office of Juvenile Justice and Delinquency Prevention (OJJDP)	Census
National Survey of Youth in Custody (NSYC)	203	Facility	Individual	2008-09, and 2012, and will be conducted again in 2017-2018	Bureau of Justice Statistics	Survey

7 CONCLUSION

While no data source is a perfect match for questionnaire replacement, there is value in pursuing more administrative data.²³ Administrative data from state and federal DOCs can provide many data items that ACSO is looking for, however further work is needed to evaluate and balance the quality of data sources of interest. It may be possible to receive data from local jails from a commercial vendor rather than going to each jail jurisdiction individually. CMS’s MDS 3.0 can provide some, but not all of the required data for all nursing home residents. Exploring data from these sources has the potential to reduce respondent burden while maintaining data quality.

This report is the first phase of this research and is intended solely as an exploration of available data. The next phase is to work on acquiring the data sources that are of most interest to the ACS program. Once the data are acquired, research will focus on questions about linkage, quality, and impact.

Future questions and next steps:

- Can the data in the administrative records source be linked to the Census Master Address File?
- What is the quality of the administrative records data that are available?
- What would be the impact on GQ estimates if we used the data from the administrative records source?

²³ This report is subject to time constraints and will not reflect any changes to legislation or data sources after March 2018.

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