

Appendix A

Descriptions of Datafiles, Variables, and Footnotes

Introduction

Federal courts are required to forward to the Commission sentencing information on all defendants sentenced under the Sentencing Reform Act of 1984 (SRA), except in cases that solely involve petty offenses. Standard information on each case is computerized for analysis using data from case files received.

Tables in this report use the Commission's datafile, USSCFY97, which includes information on the 48,848 defendants sentenced under the SRA during fiscal year 1997 (October 1, 1996, through September 30, 1997), for whom data were received as of January 30, 1998. Given the nature of the datafile and reporting requirements, the following are not included: cases initiated but for which no convictions were obtained, defendants convicted for whom no sentences were yet issued, and defendants sentenced but for whom no data were submitted to the Commission.

Because the Commission collects information only on cases sentenced under the guidelines, information on cases sentenced under prior law (preguidelines) during FY1997 is not available in this dataset. When cases are sentenced under both prior law and the guidelines, only the guideline relevant information is coded in the dataset.

Variables

The following section describes the variables used in this report.

Age

The *Age* of the defendant on the day of sentencing is calculated using the defendant's date of birth as reported in the Presentence Report and the date of sentencing as reported in the Judgment of Conviction order.

Appeals

Appeals data are derived from analyses of opinions and orders from the courts of appeals. For purposes of the appeals data, an appeals case is one in which a federal court of appeals has issued an opinion or order. Opinions and orders submitted by the courts are collected and coded. All appeals cases are coded for identifying data, such as parties, disposition, date, and circuit. In cases in which the appellant is appealing a sentencing issue, the sentencing issue is coded. Conviction issues are not coded.

Average Length of Imprisonment

Using sentencing information obtained from the Judgment of Conviction order, *Average Length of Imprisonment* is reported as the mean and median terms of imprisonment ordered for cases committed to the Bureau of Prisons. Cases that receive no term of imprisonment are not included in the average. Cases for which a term of imprisonment is ordered but the length is indeterminable also are excluded. In most cases for which the exact term is unknown, the Judgment of Conviction order merely specifies a sentence of time served. Prior to fiscal year 1993, the Commission defined life sentences as 360 months. However, to reflect life expectancy of federal criminal defendants more precisely and to provide more accurate length of imprisonment information, life sentences are now defined as 470 months.

Chapter Two Guideline Applied

Chapter Two Guideline Applied represents the offense specific guideline applied from that chapter. For cases in which a cross reference is used, the guideline that most fully explains the sentence is shown. The *guideline applied* is the last guideline referenced, and may be equivalent to either the guideline referenced by statute or the cross-referenced guideline.

Circuit

Information on judicial *Circuit* is generated by computer using the location of the judicial district in which the defendant was sentenced.

Citizenship Status

Information on the *Citizenship Status* of defendants is obtained from the Presentence Report. Defendants are categorized as one of the following: “U.S. citizen,” “resident alien,” “illegal alien,” and “non-U.S. citizen, alien status unknown.” The latter three categories are collapsed into the category of “non-U.S. citizen.”

Country of Citizenship

Information on the *Country of Citizenship* for non-U.S. citizen defendants is obtained from the Presentence Report and includes the most frequently occurring countries of origin for non-U.S. citizens. Countries appearing less than 50 times are collapsed into the “other” category.

Criminal History Category

Criminal History Category is derived from the Report on the Sentencing Hearing provided by the sentencing court. Tables involving the Report on the Sentencing Hearing are based on the cases for which the Commission has received such documents.

When the criminal history category is not specified in the Report on the Sentencing Hearing, the computer calculates the criminal history category based on one of two logical criteria searches. First, if the number of criminal history points is known or the guideline range and offense level are available from the Report on the Sentencing Hearing, criminal history category is calculated by reference to the guideline sentencing table. Alternatively, if the three main guideline factors (offense level, criminal history points, and guideline range) are not provided in the Report on the Sentencing Hearing, but the court indicates that it accepts the values contained in the Presentence Report, the guideline factors are taken from the Presentence Report.

Criminal history category is taken from the Presentence Report when the Report on the Sentencing Hearing is not available. While the court may disagree with Presentence Report information, the criminal history category is the same in more than 95 percent of cases for which both documents were received.

Departures

Information on *Departures* is obtained primarily from the Report on the Sentencing Hearing. A case is determined to involve no departure if the sentence imposed is within the guideline range established by the court. If the sentence falls outside this range, the case is coded as a departure, and the applicable reasons given by the court are noted.

For cases in which no Report on the Sentencing Hearing is provided or the information contained in it is insufficient, the sentence from the Judgment of Conviction order is compared to the guideline range recommended in the Presentence Report. If the sentence imposed falls within the

recommended range, the case is coded as within the guideline range. However, if the sentence falls outside the guideline range recommended by the probation officer, the case is not coded as a departure. Because the court may have changed the PSR findings, departure status is coded as missing departure status. Additionally, cases in which no guideline sentencing range was established (e.g., no analogous guideline offenses) are included in the missing departure category.

District

Information on the judicial *District* in which sentencing occurred is obtained from the Judgment of Conviction order.

Document Submission Rates

Three documents are represented in Table 1: Judgment of Conviction order (J&C), Presentence Report (PSR), and Report on the Sentencing Hearing. The J&C and PSR are generally submitted in a standardized format. PSRs waived by the court are indicated in a separate column. Standardized forms for the Report on the Sentencing Hearing are most frequently submitted; however, transcripts or partial transcripts from the sentencing hearing are also included as *Report on the Sentencing Hearing Received*.

Drug Amount

In a drug case, the amount of the controlled substance is obtained from the Judgment of Conviction order or the Presentence Report and included in the USSCFY97 datafile. It is used to apply the base offense level from USSG §2D1.1. Table 42 shows the number of cases, mean drug weight, and median drug weight for cases involving specific drug types that were sentenced under USSG §2D1.1 and received one of four relevant base offense levels.

Drug Offense Guideline

Drug Offense Guideline information is obtained from the Presentence Report and is based on the guidelines in USSG Chapter Two, Part D. The five guidelines presented here represent the vast majority of drug cases.

Drug Type

Information on *Drug Type* is obtained from the Judgment of Conviction order or the Presentence Report. It is recorded only if at least one of the statutes of conviction recorded by the Commission is a title 21 U.S. Code offense or a non-title 21 offense when the underlying conduct involves a controlled substance. Information about type of drug in the text and tables is derived from the primary drug type (i.e., the type that produces the highest base offense level). The category *Marijuana* includes Hashish and Hashish oil. The category *Methamphetamine* includes pure (actual) methamphetamine, “ICE”, methamphetamine mixture, and methamphetamine precursors. (“ICE” has been included in the methamphetamine category since FY1996). All drug types not listed separately in this report are collapsed into the “other” drug category.

Education

Information on education of the defendant is obtained from the Presentence Report and is collapsed into general categories. Technical, military, and vocational training as well as course work at community colleges are included in the *Some College* category. A general equivalency degree (GED) is included in the *High School Graduate* category.

Fines and Restitution

Fines and Restitution information is obtained from the Judgment of Conviction order. The *Total Receiving Fines and Restitution* category includes the number of cases ordered to pay a fine, make restitution, or both. Fine information may also include cost of supervision. Cases involving fines and restitution overlap with other sentencing categories because fines and restitution may be ordered in conjunction with the imposition of other sanctions.

The average dollar *Amount of Payment Ordered*, presented both in *Mean* and *Median* values, is the dollar amount of the fine and the restitution ordered for cases involving economic sanctions. Cases that receive no fine or restitution are not included in the calculation of the average. The number of cases upon which the average is based may not equal the *Total Receiving Fines and Restitution*; this is due to the failure of some Judgment of Conviction orders to specify the dollar amount ordered. The *Sum* of payment ordered reflects the total dollar amount of fines and restitution ordered, excluding cases in which the amount is indeterminable. The median of payments ordered reflects the amount located at the fiftieth percentile of all amounts ordered, excluding cases in which the amount was indeterminable or zero.

Gender

Gender of the defendant is obtained from the Presentence Report or probation office.

Guideline Defendants Sentenced

Each *Guideline Defendant Sentenced* or case, as recorded by the USSC, involves a single sentencing event for a single defendant. Multiple counts, and even multiple indictments, are considered a single sentencing event if sentenced at the same time by the same judge. A single defendant may appear in more than one case if involved in more than one sentencing event during the fiscal year. Codefendants in the same sentencing will each appear as separate cases.

Guideline Sentencing Range

The *Guideline Sentencing Range* is taken from the Report on the Sentencing Hearing provided by the sentencing court. When the guideline sentencing range is not specified in the Report on the Sentencing Hearing, the computer calculates the guideline sentencing range based on one of two logical criteria searches. First, if the criminal history category and offense level are available from the Report on the Sentencing Hearing, the guideline sentencing range is calculated by reference to the guideline sentencing table. Alternatively, if the three main guideline factors (offense level, criminal history points, and guideline range) are not provided on the Report of the Sentencing Hearing, but the court indicates that it accepts the values contained in the Presentence Report, the guideline factors are taken from the Presentence Report.

For tables in this report, unless otherwise indicated, the guideline sentencing range does not take into account applicable statutory restrictions on either the maximum or the minimum of the range; therefore, it may differ from the available range, which does take into account the statutory restrictions.

Length of Imprisonment

Using sentencing information obtained from the Judgment of Conviction order, *Length of Imprisonment* is provided only for cases committed to the Bureau of Prisons. Imprisonment length includes prison sentences only (excluding any imposition of home detention, community confinement, or intermittent confinement). Life sentences are assigned a prison length of 470 months, based on U.S. Census Bureau average life expectancy by age of federal defendants at

sentencing. Sentences of a partial month have been rounded to the nearest month. Differences between the number of cases included in imprisonment statistics (e.g., mean or median) and the total number of defendants sentenced to a term of imprisonment are due to missing information on the exact length of the term ordered. In most cases for which the exact term is unknown, the Judgment of Conviction order merely specifies a sentence to *Time Served*.

Mandatory Minimum

Information on *Mandatory Minimum* penalties is obtained from the Presentence Report and represents the assessment of the probation officer. The sentencing court may alter this mandatory minimum information; occasionally such changes are not reflected in the documents received by the Commission.

The majority of cases reported in the *Mandatory Minimum* category involve drug cases in which the amount of controlled substance triggers a mandatory minimum penalty. However, drug cases in which the amount of controlled substance is insufficient to trigger a mandatory minimum may still be reported in the *Mandatory Minimum* category due to convictions under 18 U.S.C. § 924(c) – use of a firearm in a crime of violence or controlled substance offense. Occasionally, drug cases may involve mandatory minimum penalties for both drug amount and firearm use.

A mandatory minimum of 12 months or less is included in the *No Mandatory Minimum* category. Cases involving a mandatory length of greater than 60 months are included in the *60 Month* category, except for Table 43 which provides a *120 Month* category.

Mode of Conviction

Information on *Mode of Conviction* is obtained from the Judgment of Conviction order. Defendants sentenced subsequent to a plea of guilty or *nolo contendere* are included in the *Plea* category. Defendants sentenced subsequent to a trial by judge or jury are included in the *Trial* category. For the purposes of statistical analysis, cases involving both a plea and a trial are excluded from the table.

Offense Level

The final *Offense Level* used in these tables is taken from the Report on the Sentencing Hearing provided by the sentencing court.

When the final offense level is not specified in the Report on the Sentencing Hearing, the computer calculates the offense level based on one of two logical criteria searches. First, if the guideline sentencing range and criminal history category are available from the Report on the Sentencing Hearing, the final offense level is calculated by referring to the guideline sentencing table. Alternatively, if the three main guideline factors (offense level, criminal history points, and guideline range) are not provided on the Report on the Sentencing Hearing, but the court indicates that it accepts the values contained in the Presentence Report, the guideline factors are taken from the Presentence Report.

Organizations

Organization is a “person other than an individual,” according to 18 U.S.C. § 18. The term includes corporations, partnerships, associations, joint-stock companies, unions, trusts, pension funds, unincorporated organizations, governments and political subdivisions thereof, and non-profit organizations.

Position of Sentence

The *Position of Sentence* describes within-range guideline sentences in terms of their relative positions within their applicable guideline ranges. Only cases with complete information from the Report on the Sentencing Hearing are used for this table. The *Position of Sentence* is determined by dividing the available range in half. This allows a sentence to fall into one of five distinct categories: the guideline minimum; the exact midpoint of the range; the guideline maximum; the lower-half of the range (when not at the guideline minimum); and the upper-half of the range (when not at the guideline maximum). The “available range” is the guideline range with applicable statutory restrictions on either the maximum or the minimum of the range taken into account. (For cases in which guideline §5C1.2 was applied, in accordance with the provisions of the guideline, the statutory restrictions on the range are those from 18 U.S.C. § 3553(f).) In cases in which the sentence is located outside the available sentencing range, departure information is provided as reported by the sentencing court. Differences in the number and percentage of cases in each range quarter may differ from other tables presented in this report; this is due to the exclusion of any case missing both complete information from the Report on the Sentencing Hearing and information on statutory minima and maxima.

Primary Offense Category

Information on *Primary Offense Category* is obtained from the Judgment of Conviction order. An offense code is derived from each of up-to-four counts of conviction in every case, based on the statute(s) and elements of the conviction. The “primary” offense code for the case is determined to be the offense code applicable for the count with the highest statutory maximum. If two or more counts are found to have the same statutory maximum, “primary” offense is selected according to the following hierarchical ordering:

- a) violent offenses (including burglary of a residence)
- b) drug offenses
- c) firearm offenses
- d) property offenses
- e) moral offenses
- f) other offenses

In cases involving different offense codes that are similar under this second criterion (e.g., two different property offenses with the same statutory maximum), statutory maximum fines are used as tie-breakers. Finally, in the small number of cases still unresolved, the offense type that best represented the nature of the criminal behavior is chosen.

For convenience in analysis, a summary variable describing “primary offense category” is derived. This code is generated by grouping similar primary offense codes into a smaller set of categories. Listed below are the offense types that are grouped into each of the primary offense categories used in this report:

Murder includes first degree murder, felony with death resulting, second degree murder, and conspiracy to murder (with death resulting).

Manslaughter includes both involuntary and voluntary manslaughter.

Kidnapping/Hostage includes ransom taking and hostage/kidnapping.

Sexual Abuse includes sexual abuse of a minor, sexual abuse of a ward, criminal sexual abuse, and abusive sexual contact.

Assault includes attempt to commit murder, assault with intent to murder, threatening communication, aggravated assault, conspiracy with attempt to murder, obstructing or impeding officers, minor assault, and conspiracy that includes assault with attempt to murder.

Robbery includes bank robbery, aggravated bank robbery, Hobbs Act robbery, mail robbery, other robbery, and carjacking.

Arson also includes damage by explosives.

Drugs: Trafficking includes drug distribution/manufacture, drug distribution/manufacture – conspiracy, continuing criminal enterprise, drug distribution – employee under 21, drug distribution near school, drug import/export, drug distribution to person under 21, and establish/rent drug operation.

Drugs: Communication Facility includes use of a communication facility in a drug trafficking offense.

Drugs: Simple Possession includes distribution of a small amount of marijuana and simple possession.

Firearms includes unlawful possession/transportation of firearms or ammunition; possession of guns/explosives on aircraft; unlawful trafficking, etc. in explosives; possession of guns/explosives in federal facility/schools; use of fire or explosives to commit felony; and use of firearms or ammunition during crime.

Burglary/Breaking & Entering includes post office burglary, burglary of DEA premises (pharmacy), burglary of other structure, bank burglary, and burglary of a residence.

Auto Theft includes auto theft (including parts), receipt/possession of stolen auto or parts, and altered identification numbers/trafficking in altered (auto).

Larceny includes bank larceny, theft from benefit plans, other theft – mail/post office, receipt/possession of stolen property (not auto), other theft – property, larceny/theft-mail/post office, larceny/theft – property (not auto), and theft from labor union.

Fraud includes odometer laws and regulations, insider trading, and fraud and deceit.

Embezzlement includes embezzlement – property, embezzlement from labor unions, embezzlement – mail/post office, embezzlement from benefit plans, and bank embezzlement.

Forgery/Counterfeiting includes counterfeit bearer obligations and forgery/counterfeit (non-bearer obligations).

Bribery includes payment to obtain office, bribe involving officials, bribery – bank loan/commercial, loan or gratuity to bank examiner, etc., gratuity involving officials, and bribe or gratuity affecting employee plan.

Tax Offenses include receipt/trafficking in smuggled property, aid, etc., in tax fraud; fraud – tax returns, statements, etc.; fraud, false statement – perjury; failure to file or pay; tax evasion; evading import duties (smuggle); failure to collect or account for taxes; regulatory offenses – taxes; failure to deposit taxes in trust account; non-payment of taxes; conspiracy to avoid taxes; and offenses relating to withholding statements.

Money Laundering includes laundering of monetary instruments, monetary transaction from unlawful activity, failure to file currency report, and failure to report monetary transactions.

Extortion/Racketeering includes extortionate extension of credit, blackmail, extortion by force or treat, Hobbs Act extortion, travel in aid of racketeering, crime relating to racketeering, and violent crimes in aid of racketeering.

Gambling/Lottery includes engaging in a gambling business, transmission of wagering information, obstruction to facilitate gambling, and interstate transportation of wagering paraphernalia.

Civil Rights includes interference with rights under color of law; force or threats to deny benefits or rights; obstructing an election or registration; manufacture, etc. – eavesdropping device; other deprivations/discrimination; obstructing correspondence; peonage, servitude, and slave trade; intercept communication or eavesdropping; and conspiracy to deprive individual of civil rights.

Immigration includes trafficking in U.S. passports; trafficking in entry documents; failure to surrender naturalization certificate; fraudulently acquiring U.S. passports; smuggling, etc.; unlawful alien; fraudulently acquiring entry documents; and unlawfully entering U.S.

Pornography, Prostitution includes dealing in obscene matter, transportation of minor for prostitution/sex, transportation for prostitution/sex (adult), sexual exploitation of minors, materials involving sexual exploitation of minors, obscene telephone or broadcasting, and selling or buying children for pornography.

Offenses In Prisons includes contraband in prisons, riots in federal facilities, and escape.

Administration of Justice includes commission of offense while on release, bribery of a witness, failure to appear by defendant, contempt, failure to appear by material witness, obstruction of justice, payment of witness, perjury or subornation of perjury, misprision of a felony, and accessory after the fact.

Environmental/Fish And Wildlife includes waste discharge, specially protected fish, wildlife, and plants (waste discharge is presented as a separate offense category in Tables 51 and 52).

National Defense includes evasion of export controls and exportation of arms, etc., without license.

Antitrust includes bid-rigging, price-fixing, and market allocation agreement.

Food and Drug includes false information or tampering with products, tampering to injure business, tampering with risk of death or injury, and violation of regulations involving food, drugs, etc.

Other Miscellaneous Offenses includes illegal use of regulatory number – drugs; illegal transfer of drugs; illegal regulatory number to get drugs; drug paraphernalia; forgery/fraud for drugs; dangerous devices to protect drugs; manufacture drugs against quota; endangering life while manufacturing drugs; operate carrier under drugs; endangerment from hazardous/toxic substances; mishandling substances, records, etc.; threat of tampering with public water system; hazardous devices of federal lands; mishandling other pollutants, records, etc.; improper storage of explosives; recordkeeping violation – explosives; possession of other weapon – on aircraft, in federal facility; failure to report theft of explosives; feloniously mailing injurious articles; transport of hazardous material in commerce; interference with flight crew, other offense – aboard aircraft; criminal infringement of copyright/trademark (copyright and trademark infringement is presented as a separate offense category in Tables 51 and 52); conflict of interest; unauthorized payment; non-drug forfeiture; impersonation; false statement to Employee Act; reporting offenses – labor related; criminal infringement of trademark; unlawful conduct relating to control/cigarettes; trespass; destruction of property; destruction of mail; aircraft piracy; conspiracy to murder (no death, assault, or attempt); conspiracy to commit murder; and all other miscellaneous offenses not previously listed in any of the other categories.

Race

Information on *Race* of the defendant is obtained from the Presentence Report in separate categories of race and ethnicity (*White, Black, Native American or Alaskan Native, and Asian or Pacific Islander*). Ethnicity data indicate whether a defendant is of Hispanic origin. (For purposes of this report, defendants whose ethnic background is designated as Hispanic are shown as Hispanic regardless of racial background.) The *Other* category includes defendants of Native American, Alaskan Native, and Asian or Pacific Islander origin. Additionally, for cases in which information on defendant race could not be obtained, the Commission performed a search for this information using the Bureau of Prisons SENTRY system.

Reasons for Departure

Reasons for Departure as given by the sentencing judge are coded for cases involving departures. This information is obtained from the Report on the Sentencing Hearing when available. Because courts often provide more than one reason for departure, the percentages on the reason for departure tables often add up to more than 100 percent.

Safety Valve

Safety Valve cases were identified by the application of USSG §5C1.2 (“Limitation on Applicability of Statutory Minimum Sentences in Certain Cases”). The application of this guideline in a case removes the statutory minimum penalties associated with drug distribution of certain amounts. The defendant is also eligible for a two-offense-level reduction, pursuant to USSG §2D1.1(b)(4).

Sentencing Appeals Disposition

Data is derived from analysis of opinions and orders from the courts of appeals. The appeals disposition code indicates the disposition of the case. *Affirmed* cases are cases in which an appellate court holds that the judgment of the court below is correct and should stand. *Reversed* cases are those in which an appellate court sets aside, annuls, vacates, or changes to the contrary the decision of a lower court. *Affirmed and Reversed* cases are cases in which an appellate court affirms one or more, and reverses one or more of the issues that were appealed. *Dismissed* cases are those an appellate court terminates without a complete trial and without issuing a holding. A dismissal of an appeal places the parties in the same condition as if no appeal had been taken or allowed, and thus acts as a confirmation of the judgment of the court below.

Sentencing Issues Appealed

Data are derived from analyses of opinions and orders from the courts of appeals. Each sentencing issue raised by the appellant is coded by the guideline involved and description of the particular issue addressed within that guideline. Challenges related to sentencing, but not to guideline application, are coded under categories reserved for “constitutional issues” or “other general sentencing issues.”

Types of Appeal

Data are derived from analyses of opinions and orders from the courts of appeals. The type of appeals code indicates the types of issues that are raised in the case. The types of appeals codes are (1) sentencing issues only, (2) sentencing and conviction issues, (3) conviction issues only, and (4) unknown.

For coding purposes, an appeal involves sentencing issues when the appellant either argues that the district court erred during the sentencing phase or raises issues concerning the applicability of the guidelines to the case at hand. In some cases, the appellant is challenging some part of the plea agreement involving sentencing. These issues are also considered sentencing issues. An appeal involves conviction issues when the appellant claims some sort of error occurred during the investigation, trial, or jury deliberations that did not involve sentencing or the sentencing guidelines.

Type of Guideline Sentence Imposed

Using sentencing information obtained from the Judgment of Conviction order, the *Total Receiving Prison* column includes the number of defendants sentenced (and percent of *Total Cases*) who received a commitment to the Bureau of Prisons. This column is the sum of cases in *Prison* and the *Prison/Community Split Sentence* categories.

The *Prison* category includes defendants sentenced to a term of imprisonment only, with no additional conditions of community confinement, home detention or intermittent confinement.

The *Prison/Community Split Sentence* category includes all cases in which defendants received prison and conditions of alternative confinement as defined in USSG §5C1.1. This category includes, but is not limited to, Zone A, Zone B, or Zone C

cases receiving prison with additional conditions of a term of community confinement, home detention, or intermittent confinement.

The *Total Receiving Probation* column includes the number of defendants sentenced (and the percent of *Total Cases*) who received a term of probation with or without a condition of community confinement, intermittent confinement, or home detention. This column also represents the total of the *Probation Only* and *Probation and Confinement* categories.

The *Probation Only* column includes the number of defendants who received a term of probation without a condition of community confinement, intermittent confinement, or home detention.

Probation and Confinement includes the number of defendants who received a term of probation with a condition of community confinement, intermittent confinement, or home detention.

Year

Information on Year is obtained from the Judgment of Conviction order. Unless otherwise indicated, the sentencing year is defined as the fiscal year in which the defendant was sentenced.

Zone

The *Sentencing Table* is categorized into sentencing *Zones*. Courts may impose various types of punishment as alternatives to imprisonment. Alternative types of punishment include: probation, home detention, community confinement, and intermittent confinement. Imposition of alternative types of punishment is restricted to defendants within specific sentencing zones.

Zone A: a guideline range is in Zone A when the minimum term of imprisonment specified is zero months;

Zone B: a guideline range is in Zone B when the minimum term of imprisonment specified is at least one but not more than six months;

Zone C: a guideline range is in Zone C when the minimum term of imprisonment specified is eight months when criminal history category is four or less, and nine months if the criminal history category is greater than four;

Zone D: a guideline range is in Zone D when the minimum term of imprisonment specified is twelve months or more.

See Chapter 5 of the *Guidelines Manual* for a description of alternatives to imprisonment and the conditions under which they are applicable.

Footnotes

The following footnotes pertain to the “Fiscal Year 1997 Guidelines Sentences” tables provided in Appendix B. Actual figures provided in these footnotes apply only to the national data table. Additional information describing variables and data used are provided earlier in this appendix.

- ¹ Cases with missing or indeterminable information on gender or race are excluded. Nationally, this involves the exclusion of 1,096 cases because of missing information on gender (66) or race (1,081).
- ² Cases with missing or indeterminable departure information are excluded. Nationally, this involves the exclusion of 2,831 cases.
- ³ Cases with missing or indeterminable information on the age or gender of the defendant are excluded. Nationally, this involves the exclusion of 464 cases.
- ⁴ Ninety-eight cases with missing or indeterminable information on mode of conviction are excluded. In addition, 60 cases coded with a value of *Both Plea and Trial* are excluded.
- ⁵ Of the 48,848 guideline cases, 622 are excluded due to one or more of the following reasons: missing information on type of sentence (197), cases in which no prison or probation was imposed (263), or cases in which primary offense type was missing (167).
- ⁶ Cases in the *Total Receiving Prison* and *Total Receiving Probation* categories total 100 percent of all cases; however, *Cases Involving Fines and Restitution* overlap with the other categories because fines and restitution may be ordered in conjunction with the imposition of other sanctions.

Cases involving no term of imprisonment and cases with indeterminable terms are excluded from the calculation of the *Average Months Prison* category. Any sentence of days with at least one month of prison is rounded up to the nearest month. Any sentence of days of less than a month is expressed as a fraction of the month. Life sentences are included in these calculations as 470 months. Of the 48,226 cases included in the *Total Cases* column, 9,695 cases involving no term of imprisonment and 197 cases with an unspecified length are excluded from calculation of the average.

Cases involving no term of imprisonment and cases with indeterminable terms are excluded from the category *Length of Prison Term*. Any sentence of days with at least one month of prison is rounded up to the nearest month. Any sentence of days of less than a month is expressed as a fraction of the month. Life sentences are included in the category *Over 60*.

- ⁷ Cases receiving no order of fine or restitution are excluded from the calculation of the *Total Receiving Fines and Restitution*. The number of cases upon which the average is based may not equal the *Total Receiving Fines and Restitution* due to the failure of some Judgment of Conviction Orders to specify the dollar amount ordered. Of the 48,848 guideline cases, 333 cases missing offense type or fine and restitution information are excluded from these calculations. Of the 48,515 cases with such information, 30,982 with no order of fine or restitution ordered are excluded from these calculations.