

Appendix C

DATA SOURCES AND METHODOLOGY

COMMISSION MONITORING DATAFILES

The Commission monitoring datafiles contain information collected from court documents (*i.e.* Presentence Investigation Reports, Judgement of Conviction Orders, and Statements of Reasons) for criminal felony cases sentenced under the federal sentencing guidelines. For each case sentenced under the guidelines, the Commission routinely collects defendant demographics, statutes of conviction, sentencing guideline application, and sentence outcomes.¹

A case was categorized as a powder cocaine case or a crack cocaine case based on the drug that determined the offender's sentence, which is the drug that produces the highest base offense level and results in the longest sentence.² This report contains data for powder cocaine offenders and crack cocaine offenders sentenced under the federal sentencing guidelines and is representative of that population of offenders only. Therefore, the data in this report are not necessarily representative of state or local level cocaine offenders or trafficking offenders of other types of drugs at any level, federal or otherwise.

1995 DRUG SAMPLE

The 1995 Drug Sample is a combination of two datafiles created from special projects at the Commission: the Intensive Study Sample (ISS) and Drug Supplemental Sample (DSS). The ISS and DSS were created to supplement data in the Commission's 1995 monitoring datafile. The Commission collected information by reviewing court documents for each case in the

¹ For more information on the Commission's monitoring datafiles, see the USSC 2000 Sourcebook of Federal Sentencing Statistics and 2000 Annual Report.

² For cocaine offenses involving both powder cocaine and crack cocaine, the primary drug type usually is crack cocaine because of the 100-to-1 drug quantity ratio. Because of the 100-to-1 drug quantity ratio, a case may involve a greater quantity of powder cocaine, but the smaller quantity of crack cocaine determined the sentence. Such a case is classified as a crack cocaine case for this analysis. In FY 2000, 581 drug trafficking cases involved both powder cocaine and crack cocaine, and the sentence was determined by crack cocaine in 85 percent of those cases.

sample. Combining the ISS and DSS samples, the 1995 drug sample consists of 639 powder cocaine cases and 851 crack cocaine cases.

The ISS consists of a five percent random sample of cases from the Commission's 1995 monitoring datafile and contains detailed information on criminal history, personal defendant characteristics, weapon involvement, victimization, conspiracy organization, and defendant function in the offense. The DSS is a stratified³ random sample of 1995 drug cases from the monitoring datafile that were not selected for the ISS. The DSS contains a 10 percent sample of powder cocaine cases, 20 percent samples each of crack cocaine, heroin, and marijuana cases, and a 50 percent sample of methamphetamine cases. The DSS contains information on drug amount, weapon involvement, and defendant function in the offense.

2000 DRUG SAMPLE

The 2000 drug sample consists of a 20 percent random sample of crack cocaine (n=802) and powder cocaine (n=793) cases sentenced in fiscal year 2000. Data collected from the sample were designed to duplicate the data collected in the 1995 drug sample to enable comparisons over time and to conduct trend analyses.⁴

³ A stratified sample is used to maximize the likelihood that a sufficient number of cases are selected for a sample to obtain a greater degree of representativeness. The sample population is first organized into homogeneous subgroups (*e.g.*, drug type) and random samples of different sizes are selected from each subgroup. This method ensures that subgroups containing smaller numbers are represented in the sample.

⁴ Specifically, data were collected on offender function in the drug conspiracy, scope and length of the offense, weapon involvement, victim injury, and criminal history profiles.

**Table C1
Trafficking Function Definitions**

Function	Definition
Importer/High-level supplier	Imports or otherwise supplies large quantities of drugs; is near the top of the distribution chain; has ownership interest in drugs (not merely transporting drugs for another individual); usually supplies drugs to other drug distributors and does not deal in retail amounts, may employ no or very few subordinates.
Organizer/Leader	Organizes, leads, directs, or otherwise runs a drug distribution organization; has the largest share of the profits and the most decision-making authority.
Grower/Manufacturer	Grows, cultivates, or manufactures a controlled substance, and is the principal owner of the drugs.
Financier/Money launderer	Provides money for purchase, importation, manufacture, cultivation, transportation, or distribution of drugs; launders proceeds of drug sales or purchases.
Aircraft Pilot/Vessel captain	Pilots vessel or aircraft; requires special skill; does not include offender who is only participant directing a small boat (e.g., a go-fast boat) onto which drugs had been loaded from a "mother ship" (such person is a courier).
Wholesaler	Sells more than retail/user-level quantities in a single transaction.
Manager	Serves as a lieutenant to assist one of the above; manages all or a significant portion of a drug manufacturing, importation, or distribution operation; takes instructions from one of the above and conveys to subordinates; supervises directly at least one other co-participant in an organization of at least five co-participants.
Bodyguard/Strongman/Debt collector	Provides physical and personal security for another co-participant in the offense; collects debts owed, or punishes recalcitrant persons.
Chemists/Cooks/Chemical supplier	Produces LSD, methamphetamine, crack or other illegal drugs, but does not qualify as a Grower/Manufacturer because is not the principal owner of the drugs. Chemical supplier does not handle drugs themselves but engages in the unlawful diversion, sale, or furnishing of listed chemicals or equipment used in the synthesis or manufacturing of controlled substances.

**Table C1
Trafficking Function Definitions**

Function	Definition
Supervisor	Supervises at least one other co-participant; however, has limited authority and does not qualify as a Manager.
Street-level dealer	Distributes retail quantities directly to the user.
Broker/Steerer/Go-between	Arranges for two parties to buy/sell drugs, or directs potential buyer to a potential seller.
Courier	Transports or carries drugs with the assistance of a vehicle or other equipment. Includes situations where the offender, who is otherwise considered to be a crew member, is the only participant directing a vessel (e.g., a go-fast boat) onto which drugs had been loaded from a "mother-ship."
Mule	Transports or carries drugs internally or on their person, often by airplane, or by walking across a border. Also, includes an offender who only transports or carries drugs in baggage, souvenirs, clothing, otherwise.
Renter/Storer	Provides (for profit/compensation) own residence, structures (barns, storage bins, buildings), land, or equipment for use to further the offense. This offender is distinguished from the enabler because he is paid (in some way) for his services.
Money runner	Transports/carries money and/or drugs to and from the street-level dealer.
Off-loader/Loader	Performs the physical labor required to put large quantities of drugs into storage, hiding, or onto some mode of transportation.
Gopher/Lookout/Deckhand/Worker/Employee	Performs very limited, low-level function in the offense (whether or not ongoing); includes running errands, answering the telephone, receiving packages, packaging the drugs, manual labor, acting as a lookout to provide early warnings during meetings, exchanges, or off-loading, or acting as a deckhand/crew member on vessel or aircraft used to transport large quantities of drugs.

Table C1
Trafficking Function Definitions

Function	Definition
Enabler (Passive)	Plays no more than passive role in the offense, knowingly permitting certain unlawful criminal activity to take place without affirmatively acting in any way to further such activity; may be coerced or unduly influenced to play such a function (e.g., a parent or grandparent threatened with displacement from a home unless they permit the activity to take place), or may do so as a “favor” (without compensation).
User Only	Possessed small amount of drugs apparently for personal use only; no apparent function in any conspiratorial criminal activity.
Other	If none of the above adequately describe the function of the offender.