

UNITED STATES SENTENCING COMMISSION

VARIABLE CODEBOOK FOR 2012 BOOKER REPORT DATAFILES



FISCAL YEARS 1996 - 2011

INTRODUCTION

The United States Sentencing Commission is an independent agency in the judicial branch of government. Its principal purposes are: (1) to establish sentencing policies and practices for the federal courts, including guidelines to be consulted regarding the appropriate form and severity of punishment for offenders convicted of federal crimes; (2) to advise and assist Congress and the executive branch in the development of effective and efficient crime policy; and (3) to collect, analyze, research, and distribute a broad array of information on federal crime and sentencing issues, serving as an information resource for Congress, the executive branch, the courts, criminal justice practitioners, the academic community, and the public.

Understanding the federal sentencing guidelines is crucial to properly using the Commission's data. To learn more about the Commission and the federal sentencing guidelines, please visit the Commission's website, <http://www.ussc.gov/index.cfm>. The Commission's website makes available ALL of the prior guideline manuals (<http://www.ussc.gov/Guidelines/archives.cfm>). *Using multiple years of guideline manuals is necessary for most guideline analysis due to yearly amendments in the guidelines.*

In addition the Commission's website has publications which discuss:

- 1) the Commission's data and data collection
(http://www.ussc.gov/Research/Research_Protocols/Miscellaneous/200905_Research_Notes.pdf)
- 2) data analysis issues
(http://www.ussc.gov/Research/Research_Publications/2010/20100825_Federal_Sentencing_Data_Analysis.pdf).
- 3) Guideline training materials
http://www.ussc.gov/Education_and_Training/Guidelines_Educational_Materials/index.cfm.

The United States Sentencing Commission collects demographic, sentencing, and guideline application information on cases which are sentenced under the guidelines in the federal court system. The Commission has many data publications available such as:

- 1) the *Annual Report and Sourcebook of Federal Sentencing Statistics*
(http://www.ussc.gov/Data_and_Statistics/Annual_Reports_and_Sourcebooks/index.cfm).
- 2) district or circuit based analysis as compared with national statistics
http://www.ussc.gov/Data_and_Statistics/Federal_Sentencing_Statistics/State_District_Circuit/index.cfm.
- 3) Frequencies about guideline application information
http://www.ussc.gov/Data_and_Statistics/Federal_Sentencing_Statistics/Guideline_Application_Frequencies/index.cfm.
- 4) Additional research publications
http://www.ussc.gov/Research/Research_Publications/publications.cfm.
- 5) Commission reports which were sent to Congress
http://www.ussc.gov/Publications/Reports_to_Congress/index.cfm.

This codebook contains information on variables included on the datafiles for the 2012 Booker Report, most of which come directly from the individual offender database created in the Office of Research and Data (ORD). The Commission switched data entry systems from FoxPro to Oracle in fiscal year 1999, and several significant variable and coding changes were instituted. The Booker Report datafiles have been modified to standardize these changes over time, and are not directly comparable to similarly named variables in the other Commission datafiles.

How to Use the USSC Codebook

The first column in the codebook, NAME, lists the name of the each variable in alphabetical order. Under the variable names, the corresponding research variable name (if one exists) will be listed as: R=Research variable name. The research variables are generally those used in the Commission's publications such as the *Sourcebook of Federal Sentencing Statistics*.

The second column, ORIGIN, lists the source of the variable. Variables are either taken from a specific documents submitted by the courts, or produced by ORD based on data collected from the source documents. This column also includes information on the source document of the raw data. The following list defines the codes for variable origins.

- JC means the information for the variable is obtained solely from the Judgment and Conviction Order.
- PSR states the information for this variable comes only from the Pre-sentencing Report generated by the probation officer.
- JC/PSR indicates the information may be found either on the Judgment and Conviction Order or in the Presentencing Report, with the Judgment and Conviction Order given preference if the information conflicts.
- SOR indicates that the information for the variable is taken only from the Statement of Reasons.
- PSR/SOR means the information for this variable comes from the PSR, but the SOR information is used if it is present and/or conflicts with the PSR.
- PLEA indicates the information comes primarily from the plea agreement.
- IND indicates the information is taken mainly from the indictment/information.
- R indicates the information is generated from other variables. These are referred to as the "research variables".

The third column, FORM, describes whether the variable is coded as numeric (NUM), character (CHAR), or date (DATE). This column also lists the length of each variable.

The fourth column, CODES, lists all the values for each variable and describes what those values mean. Some of the variables have a large number of values, so these values are listed in Attachment A at the end of the codebook.

The final column, DESCRIPTION, describes the uses and creation of each variable. This column also contains notes which caution users about variables which have changed definitions from previous years, or are not contained on all years of the data sets. Format statements are also included in bold at the end of each description. These formats will allow users to access the format statements. Since SAS format statements cannot end in a number, all variables which end in a number "1" will have format statements that end with an "O". Variables which end with a "2" will have format statements ending in "T."

Attachments have been included at the back of the codebook to elaborate on variable information. A code attachment which provides values of lengthy variables follows the codebook.

NAME	ORIGIN	FORM	CODES	DESCRIPTION
ACCAP	R	NUM 3	0 = Not Applied 1 = Applied · = Missing, Indeterminable, or Inapplicable	Indicator of whether Armed Career Criminal status was applied under §4B1.4. FORMAT: ACCAP.
AGE	R	NUM 3	Range: 16 thru 98 · = Missing/Indeterminable	Identifies the age of the defendant at the time of sentencing. It is generated based on the date of birth provided either in the PSR or at case submission to USSC, and the sentencing date from the J&C. NO FORMAT.
AGGDUM	R	NUM 3	0 = No Adjustment Applied 1 = Valid Value (1-4) Applied · = Missing, Indeterminable, invalid value applied, or Inapplicable	Dummy indicator of aggravating role application pursuant to Aggravated Role Adjustment (§3B1.1). Only valid values were included as having an aggravating role adjustment. NO FORMAT.
BOOKER2	R	NUM 3	0 = Within Range 1 = Above Departure 2 = Government Sponsored 3 = Below Range · = Missing, Indeterminable, or Inapplicable	Offender's sentence position relative to the guideline range based on relationship between the sentence and guideline range and the reason(s) given for being outside of the range. . FORMAT: BOOKTWO.
CAREER	R	NUM 3	1 = Career Offender Impacted FOL · = No impact, Missing or Indeterminable	Indicator to whether Career Offender status applied under §4B1.1 impacted the Final Offense Level. This field is "1" when §4B1.1 applied and (the offense level under §4B1.1 exceed that under the Chapter Two guideline or the total number of criminal history points was less than 13). NO FORMAT.
CAROFFAP	R	NUM 3	0 = Not Applied 1 = Applied · = Missing or Indeterminable	Indicator to whether Career Offender status was applied under §4B1.1. FORMAT: CAROFFAP.
CIRCDIST	R	NUM 3	Range: 1 thru 94 (See Code Attachment)	Districts in the order in which they appear in the Commission's <i>Sourcebook of Federal Sentencing Statistics</i> . FORMAT: CIRCDIST.
FY	R	NUM 4	Range: 1996-2011	Indicates the Fiscal Year in which the offender was sentenced. NO FORMAT.

NAME	ORIGIN	FORM	CODES	DESCRIPTION
GDL	R	CHAR 8	2BNew = Fraud Offenses 2D1.1 = Drug Trafficking Offenses (includes 2D1.2) 2G2.1 = Child Pornography Production Offenses 2G2.2 = Child Pornography Possession Offenses (includes 2G2.4) 2L1.1 = Alien Smuggling Offenses 2L1.2 = Illegal Entry Offenses 2K2.1 = Firearms Offenses 2_#.# = Chapter 2 Guideline Applied of All Other Offenses . = Missing, Indeterminable, or Inapplicable	The Chapter Two Guideline applied in a case. <i>For some offenses, several guidelines were combined in this variable.</i> NO FORMAT.
GLMIN	R	NUM 4	Range: 0 thru 470 . = Missing, Indeterminable, or Inapplicable	Trumped Guideline Minimum. This field takes statutory maximum and minimum trumps into account. <i>Guideline minimums greater than 470 (including life) are trumped at 470 months.</i> FORMAT: GLMIN.
IMPACTOL	R	NUM 3	0 = Career Offender Application does NOT impact Offense Level 1 = Career Offender Application DOES impact Offense Level . = Missing (See description field)	Indicates whether or not in FY11 Career Offender cases the application of career offender was higher than the otherwise applicable Chapter 2 and Chapter 3 Guideline Application prior to Acceptance of Responsibility. <i>This variable only exists for FY11 cases with CAREER=1.</i> NO SAS FORMAT
IMPCTCHC	R	NUM 3	0 = Career Offender Application does NOT impact CHC 1 = Career Offender Application DOES impact CHC . = Missing (See note in description field)	Indicates whether or not in FY11 Career Offender cases the application of career offender impacted the final Criminal History Category. <i>This variable only exists for FY11 cases with CAREER=1.</i> NO SAS FORMAT
LOSS_2B	PSR	NUM 8	Range: 0-3,400,406,949 0 = No loss . = Missing, Indeterminable, or Inapplicable (Includes cases with some loss, but amount not specified)	The dollar amount of loss for which the offender is held responsible. Amounts are rounded off to the nearest whole dollar. <i>This variable only exists on this datafile for cases with GDL=2BNew.</i> NO SAS FORMAT.
MITDUM	R	NUM 3	0 = No Adjustment Applied 1 = Valid Value (negative 1-4) Applied . = Missing, Indeterminable, invalid value applied, or Inapplicable	Dummy variable for mitigating role application. Only valid values were included as having a mitigating role adjustment. NO FORMAT.

NAME	ORIGIN	FORM	CODES	DESCRIPTION
MONCIRC R=CIRCDIST	JC/PSR	NUM 3	Range: 0 thru 11 · =Missing, Indeterminable, or Inapplicable	Indicates the judicial circuit in which the defendant was sentenced. FORMAT: MONCIRC.
MONSEX	PSR	NUM 3	0 = Male 1 = Female · = Missing, Indeterminable, or Inapplicable	Indicates the offender's gender. FORMAT: MONSEX.
NEWCIT	R	NUM 3	0 = U.S. 1 = Non-U.S. (Includes Legal and Illegal Aliens) · = Missing, Indeterminable, or Inapplicable	Citizenship of the defendant. FORMAT: NEWCIT.
NEWCNVTN	R	NUM 3	0 = Plea 1 = Trial · =Missing, Indeterminable, or Inapplicable	Indicates whether the case was settled by plea agreement or trial. FORMAT: NEWCNVTN.
NEWEDUC	R	NUM 3	1 = Less Than H.S. Graduate 3 = H.S. Graduate 5 = Some College 6 = College Graduate · = Missing, Indeterminable, or Inapplicable	Highest level of education for offender. FORMAT: NEWEDUC.
NEWRACE	R PSR	NUM 3	1 = White 2 = Black 3 = Hispanic 6 = Other · = Missing, Indeterminable, or Inapplicable	Race of defendant. FORMAT: NEWRACE.
OFFTYPE2	R	NUM 3	(See Code Attachment)	Primary offense type for the case generated from the count of conviction with the highest statutory maximum (in case of a tie, the count with the highest statutory minimum is used). <i>Note that since the primary offense type is derived from statutes of conviction it may not match up logically with the primary guideline.</i> FORMAT: OFFTYPET.
PERIOD	R	NUM 3	Range: 1-4 1 = <i>Koon</i> Period (June 13, 1996 through April 30, 2003) 2 = PROTECT Act Period (May 1, 2003 through June 24, 2004) 3 = <i>Booker</i> Period (January 12, 2005 through December 10, 2007) 4 = <i>Gall</i> Period (December 11, 2007 through September 30, 2011) · = Missing.	Time Period in which the case was sentenced. This field is generated based on the sentencing date. <i>Period is missing if the sentencing date falls outside one of the specified time frames.</i> NO FORMAT.

NAME	ORIGIN	FORM	CODES	DESCRIPTION
PRIMARY	R	NUM 3	1 = Cocaine 2 = Crack 3 = Heroin 4 = Marijuana 6 = Methamphetamine 77 = Other . = Missing, Indeterminable, or Inapplicable	Primary drug type involved in the offense standardized across all fiscal years. <i>The code for Methamphetamine includes Meth Mix, Meth Actual, Ice, and Meth pre-cursors. Marijuana includes Hashish and Marijuana Plant codes.</i> FORMAT: COMBDRGT.
QUARTER	R	NUM 3	Range: 1-4 1 = Oct 1 thru Dec 31 2 = Jan 1 thru March 31 3 = April 1 thru June 30 4 = July 1 thru Sept 30	Fiscal Year quarter in which the case was sentenced. This field is generated based on the sentencing date FORMAT: QUARTER.
SA	R	NUM 3	0 = Within Range 1 = Above Range 2 = 5K1.1/Substantial Assistance 3 = Early Disposition/5K3.1 4 = Government Sponsored - Below Range 5 = Non-Govt Sponsored Below Range . = Missing, Indeterminable, or Inapplicable	This variable is an expanded version of BOOKER2, with the different government sponsored categories broken out. NO FORMAT.
SAFEVALVE	R	NUM 3	0 = Safety Valve Not Applied 1 = Safety Valve Applied . = Missing, Indeterminable, or Inapplicable	Indicator of whether or not the "Safety Valve" provision (§5C1.2 or 2D1.1) was applied. <i>Note that this provision is only applicable to drug cases.</i> NO FORMAT.
SENSPLT0	R	NUM 8	Range: 0 thru 470 0 = Probation . = Missing, Indeterminable, or Inapplicable	The trumped total prison sentence, in months (<i>sentence of 470 months or more, including life, are reported as 470 months</i>), plus alternatives, with zeros (probation) . Missing terms are set to ". ". This field includes sentences of time imposed, time served, and §5G1.3 credit. Please refer to Federal Sentencing Data Analysis.pdf for a complete explanation of the Commission's sentencing variables. <i>Alternatives include home detention, community confinement, and intermittent confinement. SENSPLT is missing if any of monitoring's alternative variables is coded 97. This variable does not take sentencing zone into account.</i> NO SAS FORMAT.

NAME	ORIGIN	FORM	CODES	DESCRIPTION
SENTIMP	R	NUM 3	0 = No Prison/Probation (Fine Only) 1 = Prison Only (No Alternatives) 2 = Prison + Confinement Conditions (Alternatives, Including Zone C Split Sentences) 3 = Probation + Confinement Conditions (Alternatives) 4 = Probation Only · = Missing, Indeterminable, or Inapplicable	Indicates what type of sentence was given (prison, probation, probation plus alternatives, or prison/split sentence). <i>Alternatives with values of 97 (amount of time unknown) are included in categories with alternatives.</i> FORMAT: SENTIMP.
TOTCHPTS	PSR/SOR	NUM 3	Range: 0 thru 99 0 = None · = Missing, Indeterminable, or Inapplicable	The total number of criminal history points applied. FORMAT: TOTCHPTS.
USSCIDN	PSR/JC	NUM 6	Range: 6 Numbers	Unique sequential identification number given to cases upon receipt at USSC. NO SAS FORMAT.
WEAPON	R	NUM 3	0 = No SOC Weapon Enhancement Nor 18§924(c) Charge Present 1 = SOC Weapon Enhancement or 18§924(c) Charge Present · = Missing, Indeterminable, or Inapplicable	Indicates if there is an SOC weapon enhancement <u>or</u> an 18§924(c) conviction. FORMAT: WEAPON.
XCRHISSR	PSR/SOR	NUM 3	Range: 1 thru 6 · = Missing, Indeterminable, or Inapplicable	Defendant's final criminal history category (I-VI), as determined by the court. FORMAT: XCRHISSR.

Appendix A: Table of Contents

CIRCDIST A-2

OFFTYPE2 A-3

CIRCDIST

01 = Dist of Columbia
 02 = Maine
 03 = Massachusetts
 04 = New Hampshire
 05 = Puerto Rico
 06 = Rhode Island
 07 = Connecticut
 08 = New York East
 09 = New York North
 10 = New York South
 11 = New York West
 12 = Vermont
 13 = Delaware
 14 = New Jersey
 15 = Penn. East
 16 = Penn. Mid
 17 = Penn. West
 18 = Virgin Islands
 19 = Maryland
 20 = N Carolina East
 21 = N Carolina Mid
 22 = N Carolina West
 23 = South Carolina
 24 = Virginia East
 25 = Virginia West
 26 = W Virginia North
 27 = W Virginia South
 28 = Louisiana East
 29 = Louisiana Middle
 30 = Louisiana West
 31 = Miss. North

32 = Miss. South
 33 = Texas East
 34 = Texas North
 35 = Texas South
 36 = Texas West
 37 = Kentucky East
 38 = Kentucky West
 39 = Michigan East
 40 = Michigan West
 41 = Ohio North
 42 = Ohio South
 43 = Tennessee East
 44 = Tennessee Mid
 45 = Tennessee West
 46 = Illinois Cent
 47 = Illinois North
 48 = Illinois South
 49 = Indiana North
 50 = Indiana South
 51 = Wisconsin East
 52 = Wisconsin West
 53 = Arkansas East
 54 = Arkansas West
 55 = Iowa North
 56 = Iowa South
 57 = Minnesota
 58 = Missouri East
 59 = Missouri West
 60 = Nebraska
 61 = North Dakota
 62 = South Dakota
 63 = Alaska

64 = Arizona
 65 = California Cent
 66 = California East
 67 = California North
 68 = California South
 69 = Guam
 70 = Hawaii
 71 = Idaho
 72 = Montana
 73 = Nevada
 74 = N Mariana Island
 75 = Oregon
 76 = Washington East
 77 = Washington West
 78 = Colorado
 79 = Kansas
 80 = New Mexico
 81 = Oklahoma East
 82 = Oklahoma North
 83 = Oklahoma West
 84 = Utah
 85 = Wyoming
 86 = Alabama Mid
 87 = Alabama North
 88 = Alabama South
 89 = Florida Mid
 90 = Florida North
 91 = Florida South
 92 = Georgia Mid
 93 = Georgia North
 94 = Georgia South

OFFTYPE2

- 1 = Murder
- 2 = Manslaughter
- 3 = Kidnapping/Hostage Taking
- 4 = Sexual Abuse
- 5 = Assault
- 6 = Robbery (*includes MONOFFTP= 7, other Robbery*)
- 9 = Arson
- 10 = Drugs - Trafficking, Manufacturing, and Importing
- 11 = Drugs - Communication Facilities
- 12 = Drugs: - Simple Possession
- 13 = Firearms (Includes Firearms Use, Possession, and Trafficking) (*includes MONOFFTP= 14, Firearms possession and Trafficking*)
- 15 = Burglary/Breaking and Entering
- 16 = Auto Theft
- 17 = Larceny
- 18 = Fraud
- 19 = Embezzlement
- 20 = Forgery/Counterfeiting
- 21 = Bribery
- 22 = Tax Offenses
- 23 = Money Laundering
- 24 = Racketeering /Extortion (*includes MONOFFTP= 8, Extortion*)
- 25 = Gambling/Lottery
- 26 = Civil Rights Offenses
- 27 = Immigration
- 28 = Pornography/Prostitution (**Value not available after FY2009**)
- 29 = Prison Offenses
- 30 = Administration of Justice (Includes accessory after the fact, misprision of felony, and witness tampering)
- 31 = Environmental, Game, Fish, and Wildlife Offenses
- 32 = National Defense Offenses
- 33 = Antitrust Violations
- 34 = Food and Drug Offenses
- 35 = Traffic Violations and Other Offenses (Includes Other Drug, Environmental, Firearms, Miscellaneous Property Crimes, Violent, and Traffic offenses) (*includes MONOFFTP= 35, 36, 37, 38, 39, 40, 41*)
- 42 = Child Pornography (**Value not available prior FY2010**)
- 43 = Obscenity (**Value not available prior FY2010**)
- 44 = Prostitution (**Value not available prior FY2010**)
- . = Missing