

UNITED STATES SENTENCING COMMISSION

**VARIABLE CODEBOOK FOR
*Federal Probation and Supervised Release Violations***



FISCAL YEARS 2013 - 2017

INTRODUCTION

This codebook is for the U.S. Sentencing Commission’s analysis datafile used for the publication *Federal Probation and Supervised Release Violations*, which was released in 2020. The Commission implemented a data collection system to track violations of federal probation and supervised release from fiscal years 2013 through 2017. The datafile consists of documentation for 108,115 violation hearings associated with 82,384 offenders reported to the Commission during the five-year period.

The Commission collects and analyzes data on federal sentences to carry out its various statutory responsibilities. As authorized by Congress, the Commission’s numerous research responsibilities include: (1) the establishment of a research and development program to serve as a clearinghouse and information center for the collection, preparation, and dissemination of information on federal sentencing practices, (2) the publication of data concerning the sentencing process, (3) the systematic collection and dissemination of information concerning sentences actually imposed and the relationship of such sentences to the sentencing factors in 18 U.S.C. § 3553(a), and (4) the systematic collection and dissemination of information regarding the effectiveness of sentences imposed.¹

The Commission collects information for every federal felony and Class A misdemeanor offense sentenced each year. Sentencing courts are statutorily required to submit five sentencing documents to the Commission within 30 days of entry of judgment in a criminal case including: (1) the charging document, (2) the plea agreement, (3) the Presentence Report (PSR), (4) the Judgment and Commitment Order (J&C), and (5) the Statement of Reasons form (SOR).² The Commission extracts and codes data from these documents for input into various databases. For each case in its Offender Datafile, the Commission routinely collects case identifiers, sentencing data, demographic variables, statutory information, the complete range of court guideline application decisions, and departure and variance information. The Commission also collects information on resentencings and other modifications of sentence, as well as on violations of probation or supervised release when the court decides a request from the probation office supervising the offender to revoke that status.

Courts do not use a standardized reporting system to submit documentation of violation hearings to the Commission. Nevertheless, during the time period, the Commission received an extensive number of violation documents from the courts. The Commission tracked receipt of 1) the violation report, 2) the motion for revocation or petition for warrant or summons, 3) the waiver of hearing, 4) the summary of violation hearing, 5) the Judgment and Commitment Order, 6) and a revocation worksheet. Courts submitted a Judgment and Commitment order for nearly all the violations in the Commission’s file.

The Commission extracted and compiled the data from the violation hearing documents submitted for fiscal years 2013 through 2017. The variables collected from the violations documentation have the prefix PV_ and are indicated as “USSCPV Datafiles” in the Origin column of this codebook. Information in the violations datafile was matched to the corresponding records of original sentences for those individuals in Commission’s Offender Datafile. The variables from the

¹ 28 U.S.C. §§ 995(a)(12) and (14) – (16).

² 28 U.S.C. § 994(w)(1).

Commission's Offender Datafiles that were matched to the offenders in the violations file have the same names as in the original file and are identified as "USSCFY Datafiles" in the Origin column of this codebook.

Additional information for variables in the Commission's regular offender datafile can be found in the Commission's Variable Codebook for Individual Offenders: Standardized Research Data Documentation for Fiscal Years 1999 through 2019 at https://www.ussc.gov/sites/default/files/pdf/research-and-publications/datafiles/USSC_Public_Release_Codebook_FY99_FY19.pdf.

Name	Origin	Form	Codes	Description
ACCAP	USSCFY Datafiles	Num	0 = Not Applied 1 = Applied . = Missing, Indeterminable, or Inapplicable	Indicator of whether Armed Career Criminal status was applied under §4B1.4 at original sentencing.
AGE	USSCFY Datafiles	Num	Range: 16 thru 87 . = Missing, Indeterminable, or Inapplicable	Identifies the age of the defendant at the time of original sentencing. 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.
AGGROLHI	USSCFY Datafiles	Num	0 = No Adjustment Applied 1 = Applied (not in <i>Guidelines Manual</i>) 2 = Adjustment Applied (manager, organizer, supervisor, leader) 3 = Adjustment Applied (manager or supervisor of 5 or more participants) 4 = Adjustment Applied (leader or organizer of 5 or more participants) . = Missing, Indeterminable, or Inapplicable	The number of levels added due to the defendant's aggravating role in the offense pursuant to Aggravated Role (§3B1.1) for primary guideline calculation at the time of original sentencing.
CAROFFAP	USSCFY Datafiles	Num	0 = Not Applied 1 = Applied . = Missing, Indeterminable, or Inapplicable	Indicates whether Career Offender status was applied under §4B1.1 at the time of original sentencing.
CIRCDIST	USSCFY Datafiles	Num	1 = District of Columbia 2 = Maine 3 = Massachusetts 4 = New Hampshire 5 = Puerto Rico 6 = Rhode Island 7 = Connecticut 8 = New York East 9 = New York North 10 = New York South 11 = New York West 12 = Vermont 13 = Delaware 14 = New Jersey 15 = Pennsylvania East 16 = Pennsylvania Middle 17 = Pennsylvania West 18 = Virgin Islands	Federal judicial district in which offender was originally sentenced (in the order in which they appear in the Commission's <i>Sourcebook of Federal Sentencing Statistics</i>).

Name	Origin	Form	Codes	Description
			19 = Maryland 20 = N. Carolina East 21 = N. Carolina Middle 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 = Mississippi North 32 = Mississippi 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 Middle 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 Central 66 = California East	

Name	Origin	Form	Codes	Description
			67 = California North 68 = California South 69 = Guam 70 = Hawaii 71 = Idaho 72 = Montana 73 = Nevada 74 = N. Mariana Islands 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 Middle 87 = Alabama North 88 = Alabama South 89 = Florida Middle 90 = Florida North 91 = Florida South 92 = Georgia Middle 93 = Georgia North 94 = Georgia South	
COMBDRG2	USSCFY Datafiles	Num	1 = Cocaine 2 = Crack 3 = Heroin 4 = Marijuana 6 = Methamphetamine 77 = Other . = Missing, Indeterminable, or Inapplicable	Drug type involved for the instant offense at the time of original sentencing. "Methamphetamine" includes Methamphetamine Mix, Methamphetamine Actual, Ice, and Methamphetamine pre-cursors. "Marijuana" includes Hashish and Marijuana Plants.
FISCALYR	USSCPV Datafiles	Num	Range: 1989 thru 2017	Year of original sentencing for supervision violations.

Name	Origin	Form	Codes	Description
MITROLHI	USSCFY Datafiles	Num	0 = No Adjustment -1 = Adjustment (Not in <i>Guidelines Manual</i>) -2 = Minor Participation -3 = Between Minor and Minimal Participation -4 = Minimal Participation -6 = Adjustment (not in <i>Guidelines Manual</i>) . = Missing, Indeterminable, or Inapplicable	Indicates offense level reduction for Mitigating Role (§3B1.2) for primary guideline calculation at the time of original sentencing.
MONSEX	USSCFY Datafiles	Num	0 = Male 1 = Female . = Missing, Indeterminable, or Inapplicable	Gender of defendant.
NEWCIT	USSCFY Datafiles	Num	0 = U.S. Citizen 1 = Non-U.S. Citizen (Includes Legal and Illegal Aliens) . = Missing, Indeterminable, or Inapplicable	Citizenship of defendant.
NEWRACE	USSCFY Datafiles	Num	1 = White 2 = Black 3 = Hispanic 6 = Other . = Missing, Indeterminable, or Inapplicable	Race of defendant.
OFFTYPE2	USSCFY Datafiles	Num	1 = Murder 2 = Manslaughter 3 = Kidnapping/Hostage Taking 4 = Sexual Abuse 5 = Assault 6 = 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) 15 = Burglary/Breaking and Entering 16 = Auto Theft 17 = Larceny	Primary offense type at the time of original sentencing. 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).

Name	Origin	Form	Codes	Description
			18 = Fraud 19 = Embezzlement 20 = Forgery/ Counterfeiting 21 = Bribery 22 = Tax Offenses 23 = Money Laundering 24 = Racketeering /Extortion 25 = Gambling/Lottery 26 = Civil Rights Offenses 27 = Immigration 28 = Pornography/Prostitution 29 = Prison Offenses 30 = Administration of Justice 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) . = Missing, Indeterminable, or Inapplicable	
PROBATN	USSCFY Datafiles	Num	Range: 0 thru 660 0 = No probation Ordered 997 = Probation Ordered, But No Term Specified . = Missing, Indeterminable, or Inapplicable	Total probation ordered at original sentencing, in months. Used to create SUPRVISN.
PV_AGE	USSCPV Datafiles	Num	Range: 18 thru 89	Age of the defendant at the time of revocation hearing. 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.
PV_CIRCDIST	USSCPV Datafiles	Num	See CIRCDIST	District in which revocation violation occurred (in the order in which they appear in the Commission's <i>Sourcebook of Federal Sentencing Statistics</i>).

Name	Origin	Form	Codes	Description
PV_DISP	USSCPV Datafiles	Num	1 = Offender Admitted to Violation 2 = Offender Denied Violation 3 = Unclear Whether Offender Admitted to or Denied Violation 4 = Offender Admitted to at Least One Violation and Denied at Least One Violation . = Missing, Indeterminable, or Inapplicable	Indicates whether offender admitted to the supervision violation at the hearing.
PV_DSHEAR	USSCPV Datafiles	Num	0 = Not Received 1 = Received Complete 3 = Received Partial or Alternate Document . = Missing, Indeterminable, or Inapplicable	Indicates whether the summary of the violation hearing was received by the Commission.
PV_DSJANDC	USSCPV Datafiles	Num	0 = Not Received 1 = Received Complete 3 = Received Partial or Alternate Document . = Missing, Indeterminable, or Inapplicable	Indicates whether the Judgment and Commitment order from the violation hearing was received by the Commission.
PV_DSSUMMON	USSCPV Datafiles	Num	0 = Not Received 1 = Received Complete 3 = Received Partial or Alternate Document . = Missing, Indeterminable, or Inapplicable	Indicates whether the motion for revocation or petition for warrant or summons for the violation hearing was received by the Commission.
PV_DSVIOL	USSCPV Datafiles	Num	0 = Not Received 1 = Received Complete 3 = Received Partial or Alternate Document . = Missing, Indeterminable, or Inapplicable	Indicates whether the violation report was received by the Commission.
PV_DSWAIVER	USSCPV Datafiles	Num	0 = Not Received 1 = Received Complete 3 = Received Partial or Alternate Document . = Missing, Indeterminable, or Inapplicable	Indicates whether a waiver of violation hearing (Form 49) was received by the Commission.

Name	Origin	Form	Codes	Description
PV_DSWORK	USSCPV Datafiles	Num	0 = Not Received 1 = Received Complete 3 = Received Partial or Alternate Document . = Missing, Indeterminable, or Inapplicable	Indicates whether a revocations worksheet for the violation was received by the Commission.
PV_FY	USSCPV Datafiles	Num	Range: 2013 thru 2017	Fiscal year of the violation hearing.
PV_GRADVIOL	USSCPV Datafiles	Num	1 = Grade A Violation 2 = Grade B Violation 3 = Grade C Violation . = Missing, Indeterminable, or Inapplicable	Grade of violation indicating its severity as defined in §7B1.1(a) and determined by the court at the revocation hearing.
PV_GRADVIOL_TABLE	USSCPV Datafiles	Num	3 = Grade C Row 4 = Grade B Row 12 = Grade A/No Class A Felony Row 24 = Grade A/Class A Felony Row . = Missing, Indeterminable, or Inapplicable	Indicates applicable row of the Revocation Table in §7B1.4. Based on Grade of violation determined by the court. For Grade A violations, accounts for whether any of the statutes of conviction at the original sentencing involved Class A felonies. Values are based on the first minimum on the table for each Grade.
PV_REVTABLE	USSCPV Datafiles	Num	0 = Below Range 1 = Within Range 2 = Above Range . = Missing, Indeterminable, or Inapplicable	Indicates the position of the sentence imposed for the violation relative to the Revocation Table in §7B1.4. Based on PV_GRADVIOL_TABLE and the sentence imposed. Accounts for the alternative sentences available in some ranges as specified in §7B1.3(c). Does not account for provisions relating to statutory minimum and maximum terms in §7B1.4(b).

Name	Origin	Form	Codes	Description	
PV_REVTABLE_CELL	USSCPV Datafiles	Char	A-I A-II A-III A-IV A-V A-VI A/Fel-I A/Fel-II A/Fel-III A/Fel-VI A/Fel-V A/Fel-VI . = Missing, Indeterminable, or Inapplicable	B-I B-II B-III B-IV B-V B-VI C-I C-II C-III C-IV C-V C-VI . = Missing, Indeterminable, or Inapplicable	Identifies applicable individual cell on the revocation table. Based on Grade of violation determined by the court and CHC assigned at original sentencing. For Grade A violations, accounts for whether any of the statutes of conviction at the original sentencing involved Class A felonies.
PV_SENSPLT0	USSCPV Datafiles	Num	Range: 0 thru 8128 0 = Probation 470 = Life . = Missing, Indeterminable, or Inapplicable	The total prison sentence imposed at the revocation hearing, in months, plus alternatives, with zeros (probation). Missing terms are set to "-". This field includes sentences of time imposed, time served, and §5G1.3 credit. Alternatives include home detention, community confinement, and intermittent confinement.	
PV_SENTIMP	USSCPV Datafiles	Num	1 = Prison Only (No Alternatives) 2 = Prison/Alt. Confinement 3 = Probation/Alt. Confinement 4 = Probation Only 5 = Alt. Confinement/ Supervised Release 6 = Alt. Confinement Only 7 = Supervised Release Only 8 = Community Service Only . = Missing, Indeterminable, or Inapplicable	Indicates type of sentence imposed at revocation hearing.	
PV_SENTTOT	USSCPV Datafiles	Num	Range: .03 thru 8128 . = Missing, Indeterminable, or Inapplicable	The total prison sentence imposed at the revocation hearing, in months. This field includes sentences of time imposed, time served, and §5G1.3 credit.	

Name	Origin	Form	Codes	Description
PV_VIOLTYP	USSCPV Datafiles	Num	1 = Probation Violation 2 = Supervised Release Violation . = Missing, Indeterminable, or Inapplicable	Type of supervision that the defendant was under at the time of the violation.
SAFETY	USSCFY Datafiles	Num	0 = Safety Valve Not Applied 1 = Safety Valve Applied . = Missing, Indeterminable, or Inapplicable	Indicator of whether the Safety Valve provision (§5C1.2 or §2D1.1) was applied at the time of original sentencing. This provision is only applicable to drug cases.
SENSPCAP	USSCFY Datafiles	Num	Range: 0 thru 469.99 470 = Life . = Missing, Indeterminable, or Inapplicable	The total prison sentence imposed at the time of original sentencing, in months, plus alternatives, with zeros (probation) and sentences greater than 470 are capped at 469.99. Missing terms are set to ". ". This field includes sentences of time imposed, time served, and §5G1.3 credit. Alternatives include home detention, community confinement, and intermittent confinement.
SENSPLT0	USSCFY Datafiles	Num	Range: 0 thru 660 0 = Probation 470 = Life . = Missing, Indeterminable, or Inapplicable	The total prison imposed at original sentencing, in months, plus alternatives, with zeros (probation). Missing terms are set to ". ". This field includes sentences of time imposed, time served, and §5G1.3 credit. Alternatives include home detention, community confinement, and intermittent confinement.
SENTIMP	USSCFY Datafiles	Num	0 = No Prison/Probation (Fine Only) 1 = Prison Only 2 = Prison and Confinement Conditions (Alternatives) 3 = Probation and Confinement Conditions (Alternatives) 4 = Probation Only . = Missing, Indeterminable, or Inapplicable	Indicates type of sentence imposed at the time of original sentencing. Alternatives with values of 997 are included in categories with alternatives.

Name	Origin	Form	Codes	Description
SOURCES	USSCFY Datafiles	Num	<p>1 = Information Represents Known Court Findings: (a) SOR Accepts PSR (b) SOR Differs From PSR, SOR is Coded (c) Court's Factual Findings Unknown, SOR Criminal History Category and Offense Level Match PSR or SOR Guideline Range Matches PSR Guideline Range</p> <p>2 = Alternate Docs/Some Info May be Missing from SOR 3 = PSR is Coded (Insufficient Information in SOR) 5 = PSR is Coded (No SOR Present) 6 = 18 U.S.C. § 924(c) only 7 = 18 U.S.C. § 1028A only 8 = No Analogous guidelines (Class A misdemeanor or state assimilated offense with no analogous guidelines) 9 = PSR Waived, Missing, or Multiple Offense Levels . = Missing, Indeterminable, or Inapplicable</p>	Indicates the extent to which information from the original sentence coded in detailed guideline application is based upon known court findings. This also acts as a "skip" field, so if certain codes are chosen then certain information, such as guideline application and criminal history, are not coded. Code 2 was discontinued in FY2008.
STATMAX	USSCFY Datafiles	Num	<p>Range: 0 thru 23040 9996 = Life . = Missing, Indeterminable, or Inapplicable</p>	Total statutory maximum prison term, in months, for all counts at original sentencing. In cases with multiple counts of conviction, the maximum penalties are additive.
STATMIN	USSCFY Datafiles	Num	<p>Range: 0 thru 984 9996 = Life . = Missing, Indeterminable, or Inapplicable</p>	Total statutory minimum prison term, in months, for all counts of conviction at original sentencing. In multiple count cases, minimum penalties are not necessarily additive.
SUPREL	USSCFY Datafiles	Num	<p>Range: 0 thru 840 0 = No Supervised Release Ordered 996 = Life Term Ordered 997 = Supervised Release Ordered, No Term Specified . = Missing, Indeterminable, or Inapplicable</p>	Total supervised release sentence imposed, in months, at the time of original sentencing. Used to create SUPRVISN.

Name	Origin	Form	Codes	Description
SUPRVISN	USSCFY Datafiles	Num	Range: 1 thru 840 996 = Life Term Ordered . = Missing, Indeterminable, or Inapplicable	Total supervision sentence imposed, in months, at the time of original sentencing. Aggregation of SUPREL and PROBATN, includes SUPREL or PROBATN ordered but time unknown as Indeterminable.
SUPERVED	USSCPV Datafiles	Num	Range: .03 thru 306.01 . = Missing, Indeterminable, or Inapplicable	Total supervision sentence served, in months, before violation event.
USSCIDN	USSCFY Datafiles	Num	[Range]	Unique sequential identification number given to cases upon receipt at USSC.
WEAPON	USSCFY Datafiles	Num	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 was an SOC weapon enhancement or an 18 U.S.C. § 924(c) conviction at the time of original sentencing.
XCRHISSR	USSCFY Datafiles	Num	Range: 1 thru 6 . = Missing, Indeterminable, or Inapplicable	Defendant's final criminal history category as determined by the court at the time of original sentencing.