

#### Introduction to the Guidelines September 16, 2015 Alan Dorhoffer Deputy Director, Office of Education



#### Presenters

Hon. Ricardo Hinojosa Chief Judge, SD/Texas

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### **Federal Sentencing System**

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#### **Sentencing in the Advisory Guidelines System**

• Sentences are to be based on the factors at 18 U.S.C. § 3553(a)(1)-(7)

• Correct guideline application is the required starting point in sentencing

• Sentences are reviewed for "reasonableness"



#### 18 U.S.C. § 3553(a)

The court is to impose a sentence *sufficient but not greater than necessary* to comply with the "purposes of sentencing"

> Punishment, deterrence, incapacitation & rehabilitation (§ 3553(a)(2))



#### § 3553(a)(1) - (7) Factors

The court shall consider:

(1) Nature & circumstances of offense; history and characteristics of defendant

(2) "Purposes of sentencing" Punishment, deterrence, incapacitation & rehabilitation

(3) Kinds of sentences available



§ 3553(a)(1) - (7) Factors (cont.)

The court shall consider:

(4) The sentencing guidelines

(5) The guideline policy statements

(6) Avoiding unwarranted sentencing disparities

(7) Need to provide restitution





### **3-Step Approach to Federal Sentencing**



#### **3-Step Approach to Federal Sentencing**

### Step 1

Correctly apply and consider the sentencing guidelines, including the guideline range and other aspects of the sentence called for by the guidelines

See §1B1.1(a)



#### SENTENCING TABLE (in months of imprisonment)

|        |                | Criminal History Category (Criminal History Points) |                     |                      |                        |                               |                               |
|--------|----------------|---|---------------------|----------------------|------------------------|-------------------------------|-------------------------------|
|        | Offense        | I   | п                   | ш                    | IV                     | v                             | VI                            |
|        | Level          | (0 or 1)  | (2 or 3)            | (4, 5, 6)            | (7, 8, 9)              | (10, 11, 12)                  | (13 or more)                  |
|        | 12             | 0-6   | 0-6                 | 0-6                  | 0-6                    | 0-6                           | 0-6<br>1-7                    |
|        | 3              | 0-6   | 0-6                 | 0-6                  | 0-6                    | 2-8                           | 3-9                           |
| Zone A | 4 5 6          | 0-6   | 0-6                 | 0-6                  | 2-8<br>4-10<br>6-12    | 4-10<br>6-12                  | 6-12<br>9-15                  |
|        | 6              | 0-6   | 1-7                 | 2-8                  | Т                      | ğ-13                          | 12-18                         |
|        | 8              | 0-6   | 2-8<br>4-10         | 4-10<br>6-12         | 8-14<br>10-16<br>12-18 | 12-18                         | 15-21<br>18-24<br>21-27       |
| Zone B | 9              | 4-10  | £12                 | 8-14                 | 12-18                  | 15-21<br>18-24                | 21-27                         |
| 20202  | 10             | 6-12<br>8-14  | 8-14<br>10-16       | 10-16<br>12-18       | 15-21<br>18-24         | 21-27<br>24-30                | 24-30<br>27-33                |
| Zone C | 12             | 10-16   | 12-18               | 15-21                | 21-27                  | 27-33                         | 30-37                         |
|        | 13             | 12-18   | 15-21               | 18-24                | 24-30                  | 30-37                         | 33-41                         |
|        | 15             | 15-21<br>18-24                                      | 18-24<br>21-27      | 21-27<br>24-30       | 27-33<br>30-37         | 33-41<br>37-46                | 37-46<br>41-51                |
|        | 16             | 21-27<br>24-30                                      | 24-30<br>27-33      | 27-33<br>30-37       | 33-41<br>37-46         | 41-51<br>46-57                | 46-57<br>51-63                |
|        | 18             | 27-33   | 30-37               | 33-41                | 41-51                  | 51-63                         | 57-71                         |
|        | 19<br>20       | 30-37<br>33-41                                      | 33-41<br>37-46      | 37-46<br>41-51       | 46-57<br>51-63         | 57-71<br>63-78                | 63-78<br>70-87                |
| Zone D | 21             | 33-41<br>37-46                                      | 41-51               | 46-57                | 57-71                  | 70-87                         | 77-96                         |
|        | 22<br>23       | 41-51<br>46-57                                      | 46-57<br>51-63      | 51-63<br>57-71       | 63-78<br>70-87         | 77-96<br>84-105               | 84-105<br>92-115              |
|        | 24             | 51-63   | 57-71               | 63-78                | 77-96                  | 92-115                        | 100-125                       |
|        | 25<br>26<br>27 | 57-71<br>63-78                                      | 63-78<br>70-87      | 70-87<br>78-97       | 84-105<br>92-115       | 100-125<br>110-137            | 110-137<br>120-150            |
|        |                | 70-87   | 78-97               | 87-108               | 100-125                | 120-150                       | 130-162                       |
|        | 28<br>29       | 78-97<br>87-108                                     | 87-108<br>97-121    | 97-121<br>108-135    | 110-137<br>121-131     | 130-162                       | 140-175<br>151-188            |
|        | 30             | 97-121  | 108-135             | 121-151              | 135-168                | 151-188                       | 168-210                       |
|        | 31<br>32<br>33 | 108-135<br>121-151                                  | 121-151<br>135-168  | 135-168<br>151-188   | 151-188<br>168-210     | 168-210<br>188-235<br>210-262 | 188-235<br>210-262<br>235-293 |
|        |                | 135-168   | 151-188             | 168-210              | 188-235                |                               |                               |
|        | 34<br>35       | 151-188<br>168-210                                  | 168-210<br>188-235  | 188-235<br>210-262   | 210-262<br>235-293     | 235-293<br>262-327            | 262-327<br>292-365            |
|        | 36<br>37       | 188-235<br>210-262                                  | 210-262<br>235-293  | 235-293<br>262-327   | 262-327<br>292-365     | 292-365<br>324-405            | 324-405<br>360-life           |
|        | 38<br>39       | 235-203<br>262-327                                  | 262-327<br>292-365  | 292-365<br>324-405   | 324-405<br>360-life    | 360-life<br>360-life          | 360-life<br>360-life          |
|        | 40<br>41       | 292-365<br>324-405                                  | 324-405<br>360-life | 360-life<br>360-life | 360-life<br>360-life   | 360-life<br>360-life          | 360-life<br>360-life          |
|        | 42             | 360-life  | 360-life            | 360-life             | 360-life               | 360-1ife                      | 360-life                      |
|        | 43             | life  | life                | life                 | life                   | life                          | life                          |



# **3-Step Approach to Federal Sentencing (cont.)**

#### Step 2

Consider the Commission's policy statements, including those addressing departures, that might warrant consideration in imposing sentence





#### **Policy Statements Regarding Departures**

#### • Chapter One, Part A

• Chapter Five, Part K

- §5K1.1 Substantial Assistance (requires a government motion)
- §5K2.0 Grounds for Departure
- §5K2.1 2.24 Various bases for departures
- §5K3.1 Early Disposition Programs ("Fast Track") (requires a government motion)



#### **Policy Statements Regarding Departures (cont.)**

Chapter Five, Part H - Specific Offender Characteristics
§4A1.3 - Inadequacy of Criminal History Category
Other specific commentary *E.g.*, in a Chapter Two offense guideline

• *Note*: comprehensive List of Departure Provisions in back of *Guidelines Manual* 



### **3-Step Approach to Federal Sentencing (cont.)**

#### Step 3

#### Consider § 3553(a) taken as a whole...





#### Step 3 (continued)

...and determine if the appropriate sentence is

One within the advisory guideline system:
a sentence within the guideline range
a "departure"

OR

One outside the advisory guideline system:
a *"variance"*



#### **Overview of the Sentencing Process**

• Plea/verdict of guilty

• U.S. probation officer (USPO) does a presentence investigation (PSI) & presentence report (PSR)

- Gathers facts
- Applies guidelines
- Provides PSR to parties



#### **Overview of the Sentencing Process (cont.)**

• Parties review PSR; advise USPO of any disputes

• USPO resolves disputes as possible; submits amended PSR and addendum of unresolved disputes to parties and the judge

• At the sentencing hearing the judge will resolve disputes as necessary



#### Pointers for the Application of the Guidelines

• The sentencing judge resolves disputed issues (§6A1.3)

Standard of proof: preponderance (§6A1.3)\*\*

• Burden of persuasion: falls on party seeking the adjustment



Pointers for the Application of the Guidelines (cont.)

 Rules of evidence do not apply (Fed. R. Evid. 1101(d)(3))

• Evidence must have sufficient indicia of reliability to support probable accuracy (§6A1.3(a))





### **Overview of Basic Guideline Application**



#### The Statutes "Trump" the Guidelines

Regardless of what sentence the guidelines may call for, the sentence imposed must fall within the restrictions set by statute

(*e.g.*, statutory maximums and mandatory minimums)

#### -See §§5G1.1 & 5G1.2



Mandatory Minimum's Impact on Sentencing Range

Guideline Range Computed 41 - 51

> Mandatory Minimum 5 years (60 months)

**Final** Guideline Range: 60-60

#### Selected Criminal Statutes

• 21 U.S.C. §§ 841 & 846 (Drug Trafficking)

• 8 U.S.C. § 1326 (Illegal Reentry)

• 18 U.S.C. § 922 (Felon in Possession)

• 18 U.S.C. § 1343 (Wire Fraud)



#### **Guidelines Manual**

• Ch. One Introduction, definitions, application principles

#### • Ch. Two Offense guidelines

• Ch. Three Generic adjustments

• Ch. Four Criminal history



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• Ch. Five Determining the guideline range and other aspects of the sentence

• Ch. Six Sentencing procedures & pleas

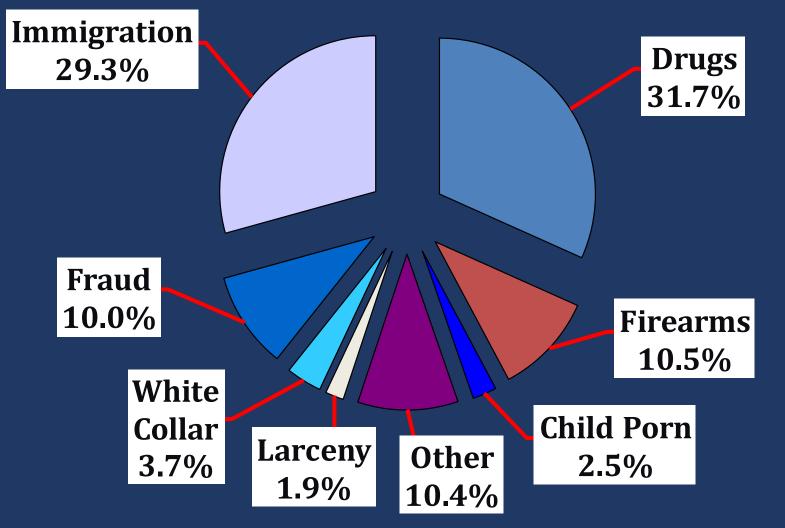
• Ch. Seven Violations of probation & supervised release

• Ch. Eight Sentencing of organizations

• Appx A Statutory Index



#### Primary Offense Types National - FY 2014



SENTENCIAL COMMILIS

SOURCE: 2014 Sourcebook of Federal Sentencing Statistics; 75,836 Cases Sentenced



## Single Count Scenario Robbery Scenario



#### **Robbery Scenario Facts**

- Defendant A convicted of 18/2113(a)&(d)
- Def. A and co-participant robbed federally insured bank
- Robbery planned by Def. A who directed co-defendant
- Def. A carried pistol; co-participant carried knife
- Def. A pushed teller, resulting in cut, bruises & contusions
- \$15,000 taken in robbery
- Defendant A will plead guilty



#### Robbery Scenario Facts (cont.)

• Def. A's prior record, all since age 18:

• 6 yrs. prior to instant robbery; auto theft: 2 yrs. probation

 3 yrs. prior to instant robbery; grand larceny: 6 mos. jail & 3 yrs. probation

• On probation at the time of the instant federal offense



General Approach of the Federal Sentencing Guidelines

• Begins as an offense of conviction system

• Then considers many real offense characteristics



### **3-Step Approach to Federal Sentencing**

Step 1

#### Correctly apply and consider the sentencing guidelines



#### **Basic Guideline Application**

- 1) Determine the Chapter 2 offense guideline
- 2) Calculate the offense level from that guideline (base offense level, specific offense characteristics, cross references)
- 3) Determine if any Chapter 3 adjustments apply
- 4) Determine the defendant's criminal history category under Chapter 4
- 5) Identify the guideline range at the intersection of the two points

Determining the Applicable Chapter Two Guideline §1B1.2(a)

- Use the Chapter Two guideline applicable to the <u>offense of</u> <u>conviction</u>
- Refer to the Statutory Index (Appendix A) in this determination
- If no guideline is listed, use §2X5.1 for finding an analogous guideline for a felony (stat. max. over 1 yr.), or §2X5.2 for a Class A misd.





18 U.S.C. § 2113(b) 18 U.S.C. § 2113(c) 18 U.S.C. § 2113(d)

18 U.S.C. § 2111 18 U.S.C. § 2112 18 U.S.C. § 2113(a)

#### **Statute**

Appendix A

<u>Guideline</u> 2B3.1 2B3.1 2B1.1, 2B2.1, 2B3.1, 2B3.2 2B1.1 2B1.1 **2B3.1** 

•§2B1.1

Larceny, Embezzlement, Fraud and Forgery

• §2B2.1 Burglary

• §2B3.1 Robbery

•§2B3.2

Extortion by Force or Threat of Injury or Serious Damage



### More than one Guideline

- U.S. v. Kupfer, 2015 WL 4926885 (10<sup>th</sup> Cir. 2015)
  - When more than one guideline section is listed, the statutory index instructs the court to "use the guideline most appropriate for the offense conduct charged in the count of which the defendant was convicted."
  - Court must use charged conduct not facts in making this determination



## §2B3.1 Robbery

### (a) Base Offense Level:



(b) Specific Offense CharacteristicsLevels(1) financial institution or post office+2(2) firearm, weapon, death threat+2 to +7(3) victim injury+2 to +6(max. of 11 offense levels from (b)(2) & (b)(3))



(b) SOC's (cont.) (4) abduction restraint (5) carjacking (6) taking of a firearm, destructive device, or controlled substance (7) loss of 10,000+ to 5 million+ (c) Cross Reference (1) if victim murdered, apply the guideline for First Degree Murder (§2A1.1)

SENTENCIAL COMMITS

Levels

+4

+2

+2

+1

+1 to +7

### Most Commonly Applied Guidelines

- §2D1.1 (Drug Trafficking)
- §2L1.2 (Unlawfully Entering/Remaining in U.S.)
- §2B1.1 (Fraud, Theft, Embezzlement)
- §2K2.1 (Firearms Offenses)



## **Chapter Three Adjustments**

• Victim-Related Adjustments

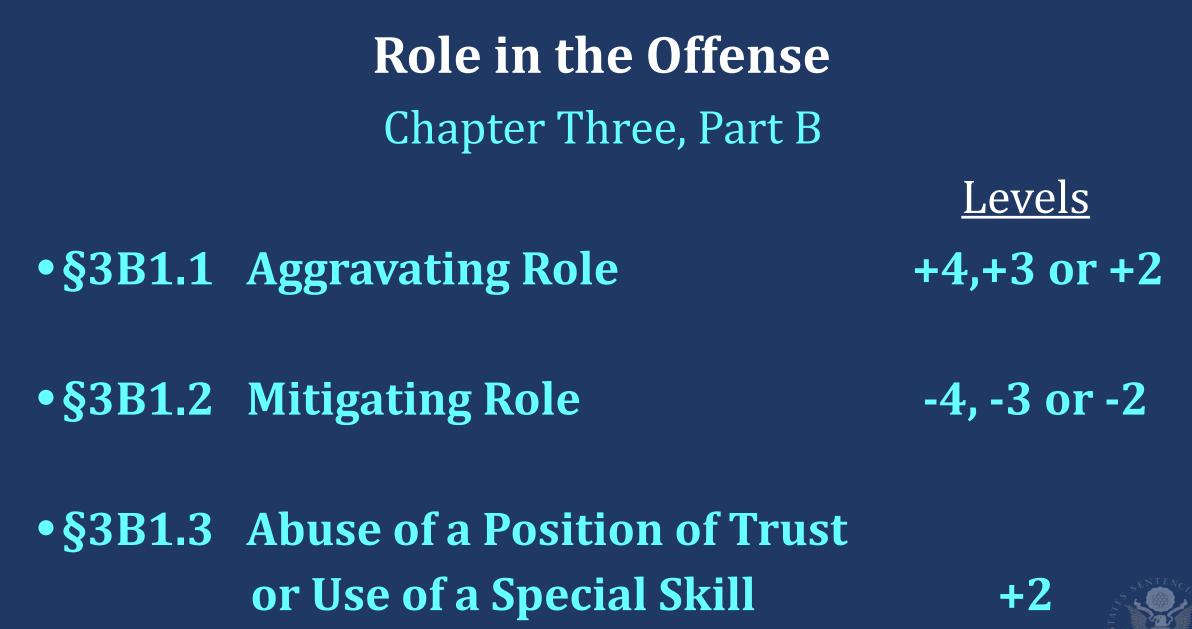
• Role in the Offense

• Obstruction

• Multiple Counts

• Acceptance of Responsibility





## Acceptance of Responsibility Chapter Three, Part E

### • 2-Level Reduction:

If defendant clearly demonstrates affirmative acceptance of responsibility for the offense.

1-Level Additional Reduction Possible



**Requirements for 1-Level Additional Reduction** 

§3E1.1(b)

Only if 2-level reduction applicable
Must be at least offense level 16
Government motion required
Must give timely notification of plea of guilty





## Relevant Conduct §1B1.3



## **Relevant Conduct Synopsis**

 The defendant is held accountable for anything defendant does during the offense of conviction, preparing for that offense, or avoiding detection or responsibility for that offense

The defendant may be held accountable for conduct of co-conspirators



## Relevant Conduct Synopsis (cont.)

 For certain offense types, the defendant may be held accountable for conduct outside the offense of conviction, when in the same course of conduct or common scheme or plan





## **Chapter Four**

## **Criminal History and "Overrides"**



### SENTENCING TABLE (in months of imprisonment)

|        |                | Criminal History Category (Criminal History Points) |                               |                               |                                |                                 |                                  |  |
|--------|----------------|---|-------------------------------|-------------------------------|--------------------------------|---------------------------------|----------------------------------|--|
|        | Offense        | I   | п                             | ш                             | IV                             | v                               | vi                               |  |
|        | Level          | (0 or 1)  | (2 or 3)                      | (4, 5, 6)                     | (7, 8, 9)                      | (10, 11, 12)                    | (13 or more)                     |  |
|        | 12             | 0-6   | 0-6                           | 0-6                           | 0-6                            | 0-6                             | 1-7                              |  |
|        | 3              | 0-6   | 0-6                           | 0-6                           | 0-6<br>0-6                     | 0-6<br>2-8                      | 3-9                              |  |
|        | 4              | 0-6   | 0-6                           | 0-6                           | 2-8                            | 4-10                            | 6-12                             |  |
| Zone A | 56             | 8-6   | 0-6<br>1-7                    | 1-7<br>2-8                    | 4-10<br>6-12                   | 6-12<br>9-15                    | 0-15<br>12-18                    |  |
|        | 7              | 8-8   | 2-8                           | 4-10 +                        | 8-14<br>10-16                  | 12-18                           | 15-21                            |  |
|        | 8              | 4-10  | 4-10<br>6-12                  | 6-12<br>8-14                  | 12-18                          | 15-21<br>18-24                  | 15-21<br>18-24<br>21-27          |  |
| Zone B | 10             | 6-12  | 8-14                          | 10-16                         | 15-21                          | 21-27                           | 24-30                            |  |
| Zone C | 11             | 8-14<br>10-16                                       | 10-16<br>12-18                | 12-18                         | 18-24<br>21-27                 | 24-30<br>27-33                  | 27-33<br>30-37                   |  |
| Lone C | 13             | 12-18   | 15-21                         | 18-24                         | 24-30                          | 30-37                           | 33-41                            |  |
|        | 15             | 15-21<br>18-24                                      | 18-24<br>21-27                | 21-27<br>24-30                | 27-33<br>30-37                 | 33-41<br>37-46                  | 37-46<br>41-51                   |  |
|        | 16             | 21-27<br>24-30                                      | 24-30<br>27-33                | 27-33<br>30-37                | 33-41<br>37-46                 | 41-51<br>46-57                  | 46-57                            |  |
|        | 18             | 27-33   | 30-37                         | 33-41                         | 41-51                          | 51-63                           | 51-63<br>57-71                   |  |
|        | 19             | 30-37   | 33-41<br>37-46                | 37-46<br>41-51                | 46-57                          | 57-71                           | 63-78<br>70-87                   |  |
|        | 20<br>21       | 33-41<br>37-46                                      | 41-51                         | 46-57                         | 51-63<br>57-71                 | 63-78<br>70-87                  | 77-96                            |  |
|        | 22<br>23       | 41-51<br>46-57                                      | 46-57<br>51-63                | 51-63<br>57-71                | 63-78<br>70-87                 | 77-96<br>84-105                 | 84-105<br>92-115                 |  |
|        | 24             | 51-63   | 57-71                         | 63-78                         | 77-96                          | 92-115                          | 100-125                          |  |
|        | 25<br>26       | 57-71<br>63-78                                      | 63-78<br>70-87                | 70-87<br>78-97                | 84-105<br>92-115               | 100-125<br>110-137              | 110-137<br>120-150               |  |
| Zone D | 27             | 70-87   | 78-97                         | 87-108                        | 100-125                        | 120-150                         | 130-162                          |  |
|        | 28<br>29       | 78-97<br>87-108                                     | 87-108<br>97-121              | 97-121<br>108-135             | 110-137<br>121-131             | 130-162<br>140-175              | 140-175<br>151-188               |  |
|        | 30             | 97-121  | 108-135                       | 121-151                       | 135-168                        | 151-188                         | 168-210                          |  |
|        | 31<br>32<br>33 | 108-135<br>121-151                                  | 121-151<br>135-168            | 135-168<br>151-188            | 151-188<br>168-210             | 168-210<br>188-235              | 188-235<br>210-262               |  |
|        |                | 135-168   | 151-188                       | 168-210                       | 188-235                        | 210-262                         | 235-293                          |  |
|        | 34<br>35       | 151-188<br>168-210                                  | 168-210<br>188-235            | 188-235<br>210-262            | 210-262<br>235-293             | 235-293<br>262-327              | 262-327<br>292-365               |  |
|        | 36             | 188-235   | 210-262                       | 235-293                       | 262-327                        | 292-365                         | 324-405                          |  |
|        | 37<br>38<br>39 | 210-262<br>235-293<br>262-327                       | 235-293<br>262-327<br>292-365 | 262-327<br>292-365<br>324-405 | 292-365<br>324-405<br>360-life | 324-405<br>360-life<br>360-life | 360-life<br>360-life<br>360-life |  |
|        | 40             |   | 324-405                       | 360-life                      | 360-life                       | 360-life                        | 360-life                         |  |
|        | 41<br>42       | 292-365<br>324-405<br>360-life                      | 360-life<br>360-life          | 360-life<br>360-life          | 360-life<br>360-life           | 360-life<br>360-life            | 360-life<br>360-life             |  |
|        | 42             | life  | life                          | life                          | life                           | life                            | life                             |  |
|        |                |   |                               |                               |                                |                                 |                                  |  |



## Numerous "Rules" in Chapter Four

• Typically clear regarding previous federal record

• Issues more likely to arise regarding previous state/local record

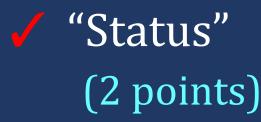
- Look to case law
- Established methods used in your court for recurring issues



## **Criminal History**

Measures the seriousness of a defendant's prior record and the likelihood of recidivism

"Prior Sentences"(1, 2, or 3 points each)





### Criminal History Points Prior Offense Committed at <u>18 or Older</u>

| <b>Points*</b>  | Sentence     | <b>Time Frame</b><br>(Earliest Date of Relevant Conduct)     |
|-----------------|--------------|--|
| 3               | >13 months   | Within 15 yrs. of prior<br>sentence imposition or<br>release |
| 2               | ≥60 days     | Within 10 yrs. of prior sentence imposition                  |
| 1<br>(max of 4) | All others** | Within 10 yrs. of prior sentence imposition                  |



\* If otherwise countable

\*\* Exceptions may apply

## Length of Prior Sentences §4A1.2(a) and App. Note 2

Set by maximum sentence imposed
If sentence or any portion is suspended, the maximum is established by the unsuspended portion

• Unaffected by release

• *E.g.*, release to parole or for "good time"



## Robbery Scenario Facts (cont.)

• Def. A's prior record, all since age 18:

• 6 yrs. prior to instant robbery; auto theft: 2 yrs. probation

 3 yrs. prior to instant robbery; grand larceny: 6 mos. jail & 3 yrs. probation

• On probation at the time of the instant federal offense



### Criminal History Points Prior Offense Committed at <u>18 or Older</u>

| <b>Points*</b>  | Sentence     | <b>Time Frame</b><br>(Earliest Date of Relevant Conduct)     |
|-----------------|--------------|--|
| 3               | >13 months   | Within 15 yrs. of prior<br>sentence imposition or<br>release |
| 2               | ≥60 days     | Within 10 yrs. of prior sentence imposition                  |
| 1<br>(max of 4) | All others** | Within 10 yrs. of prior sentence imposition                  |



\* If otherwise countable

\*\* Exceptions may apply

Relevant Conduct and "Status" §4A1.1(d) & App. Note 4

 "Status" if under criminal justice sentence during <u>any</u> relevant conduct

> Note: "status" can only count if the sentence from which it resulted has been counted



## **Excluded Offenses**

§4A1.2(c)(1) & (c)(2)



## **Excluded Offenses**

§4A1.2(c)(1) & (c)(2) & (o)

- §4A1.2(c)(1) List of misdemeanors and petty offenses that are only counted when:
  - The sentence was probation of more than one year
  - The sentence was imprisonment of at least thirty days
  - *E.g.*, driving without license or with suspended license



## Excluded Offenses (cont.) §4A1.2(c)(1) & (c)(2) & (o)

- §4A1.2(c)(2) List of misdemeanor and petty offenses that are never counted
  - *E.g.*, Minor traffic infractions
- "Misdemeanor" means having a maximum <u>statutory</u> penalty of one year or less
  - Note: All such offenses are counted if a "felony offense" (*i.e.*, maximum of over 1 yr.)



## **Other Considerations**

Expungements, diversionary dispositions, pardons
§4A1.2(f) & (j), App. Notes 9 & 10

• Tribal convictions not counted for criminal history points

• Prior convictions considered part of relevant conduct of instant offense (there are exceptions)





## "Overrides"

## Chapter Four, Part B



Chapter Four "Overrides"

§§4B1.1 - 4B1.2 §4B1.3 §4B1.4 §4B1.5 Career Offender Criminal Livelihood Armed Career Criminal Repeat and Dangerous Sex Offender Against Minors



## §4B1.1 Career Offender Criteria

• Defendant at least 18 at time of instant offense

• Instant offense of conviction is a felony for a "crime of violence" or a "controlled substance offense"

 At least two prior felony convictions for a "crime of violence" or "controlled substance offense," counted separately under the provisions of §4A1.1(a), (b), or (c)



Sentencing Table (Ch. 5, Part A) &

Zones (§5C1.1)



#### SENTENCING TABLE (in months of imprisonment)

Criminal History Category (Criminal History Points) IV Offense I п ш VI (4, 5, 6) (7, 8, 9)(2 or 3) (10, 11, 12)(13 or more) Level (0 or 1) 0-6 0-6 8-6 0-6 0-6 0-6 2-8 12 0-6 1-7 3-9 0-6 0-6 0-6 3 2-8 4-10 6-12 0-6 4-10 6-12 4 0-6 0-6 8-8 6-12 9-15 0-6 1-7 Zone A 5 1-7 12-18 15-21 18-24 21-27 2-8 4-10 6-12 4-10 6-12 8-14 8-14 10-16 12-18 12 - 182 0-6 15-21 18-24 4-10 9 Zone B 8-14 24-30 10 6-12 15-2121 - 2710-16 27-33 30-37 10-16 12-18 15-21 18-24 24-30 27-33 11 8-14 21-27 10-16 12 12 - 18Zone C 18-24 21-27 24-30 24-30 27-33 30-37 33-41 37-46 41-51 12 - 1815 - 2130-37 13 15-21 18-24 18-24 21-27 33-41 37-46 14 16 17 18 46-57 51-63 57-71 21-27 24-30 27-33 30-37 3341 41-51 46-57 24-30 27-33 27 - 3330-37 33-41 41-51 51-63 63-78 70-87 77-96 19 20 21 33-41 37-46 41-51 30-37 37-46 46-57 57-71 33-41 37-46 41-51 46-57 51-63 57-71 63-78 70-87 22 23 24 77-96 84-105 46-57 51-63 63-78 70-87 41-51 46-57 51-63 57-71 84-105 92-115 100-125 51-63 57-71 63-78 77-96 92-115 25 26 27 63-78 57-71 70-87 84-105 100-125 110-137 78-97 87-108 92-115 100-125 110-137 120-150 120-150 130-162 70-87 78-97 63-78 70-87 Zone D 28 29 30 110-137 121-151 140-175 151-188 78-97 87-108 87-108 97-121 97-121 108-135 130-162 168-210 97-121 108-135 121-151 135-168 151-188 31 168-210 188-235 108-135 121-151 135-168 151-188 188-235 210-262 210-262 235-293 32 33 121-151 135-168 135-168 151-188 151-188 168-210 168-210 188-235 34 35 36 262-327 292-365 324-405 151-188 168-210 188-235 188-235 210-262 210-262 235-293 235-293 262-327 188-235 210-262 235-293 262-327 292-365 37 262-327 292-365 360-life 210-262 235-293 324-405 235-293 262-327 262-327 292-365 292-365 324-405 324-405 360-life 360-life 360-life 360-life 360-life 38 39 40 41 42 324-405 360-life 360-life 360-life 360-life 360-life 360-life 360-life 360-life 360-life 292-365 324-405 360-life 360-life 360-life 360-life 360-life 360-life 43 life life life life life life



## **Sentencing Table**

Criminal History Category

| Offense | Ι        | II       | III     | IV        | V             | VI           |
|---------|----------|----------|---------|-----------|---------------|--------------|
| Level   | (0 or 1) | (2 or 3) | (4,5,6) | (7,8,9)   | (10,11,12)    | (13 or more) |
| 1       | 0-6      | 0-6      | 0-6     | 0-6       | 0-6           | 0-6          |
| 2       | 0-6      | 0-6      | 0-6     | 0-6       | 0-6           | 1-7          |
| 3       | Zone     | Δ        | 0-6     | 0-6       | 2-8           | 3-9          |
| 4       |          |          | 0-6     | 2-8       | 4-10          | 6-12         |
| 5       | 0-6      | 0-6      | 1-7     | 4-10      | 6-12          | 9-15         |
| 6       | 0-6      | 1-7      | 2-8     | 6-12      | 9-15          | 12-18        |
| 7       | 0-6      | Zor      | ne B    | 8-14      | 12-18         | 15-21        |
| 8       | 0-6      |          |         | 10-16     | 15-21         | 18-24        |
| 9       | 4-10     | 6-12     | 8-14    | 12-18     | 18-24         | 21-27        |
| 10      | 6-12     | 8-14     | Zone    |           | 21-27         | 24-30        |
| 11      | 8-14     | 10-16    |         | 4         | 27-30         | 27-33        |
| 12      | 10-16    | 12-18    | 15-21   | 01 07<br> | 7-33          | 30-37        |
| 13      | 12-18    | 15-21    | 18-24   | Zone      | <b>D</b> 0-37 | 33-41        |



### **Other Aspects of Sentence**

## Chapter Five

- Probation (§5B)
- Supervised release (§5D)
- Restitution, fines, assessments, forfeitures (§5E)
- Sentencing options (§5F)
- Undischarged terms (consecutive/concurrent) (§5G1.3)





## Mandatory Minimums



### **Common Mandatory Minimum Offenses**

• 18 U.S.C § 841 (Drug Trafficking)

• 18 U.S.C. § 924(c) (Firearms)

• 18 U.S.C. § 1028(A) (Aggravated Identity Theft)

• 18 U.S.C. 2252 (Receipt and Trafficking of Child Porn)





## **Relief from Mandatory Minimums**





## Substantial Assistance Departures §5K1.1 & 18 U.S.C. § 3553(e)



### **Substantial Assistance**

### §5K1.1

## Permits a sentence below the minimum of the guideline range

18 U.S.C. § 3553(e)

Permits a sentence below <u>a mandatory minimum</u>



Substantial Assistance (cont.) §5K1.1 & 18 U.S.C. § 3553(e)

Each requires a government motion *Wade v. U.S.*, 504 U.S. 181 (1992)

A <u>separate</u> government motion under 18 U.S.C. § 3553(e) is required to go below a mandatory minimum *Melendez v. U.S.*, 518 U.S. 120 (1996)



## "Safety Valve"

## 18 U.S.C. § 3553(f) & §5C1.2



## **"Safety Valve"** 18 U.S.C. § 3553(f)

 Court makes determination; no government motion required

 Sentence without regard to mandatory minimums for violations of select drug statutes

• Downward departures for mitigating factors or variances possible



## "Safety Valve"

§5C1.2(a)

In the case of an offense subject to a mandatory minimum sentence under 21 U.S.C. §§ 841, 844, 846, 960, or 963, the court shall impose a sentence in accordance with the applicable guidelines <u>without</u> regard to any statutory minimum sentence, if the court finds the defendant meets the criteria set forth below:





### Subdivisions (1) – (5)

1. Defendant does not have more than 1 Criminal History Point

2. <u>Defendant</u> did not use violence/threats of violence or possess a firearm or other dangerous weapon in connection with the offense

3. <u>Offense</u> did not result in death or serious bodily injury



### Defendant was not an organizer/leader/manager/supervisor of others in the offense; was not engaged in a CCE

5. <u>Not later than the time of the sentencing hearing</u>, defendant has truthfully provided to the Government all information and evidence the defendant has concerning the offense or offenses that were part of the same course of conduct or common scheme or plan.



# **3-Step Approach to Federal Sentencing (cont.)**

## Step 2

Consider the Commission's policy statements, including those addressing departures, that might warrant consideration in imposing sentence





## **3-Step Approach to Federal Sentencing (cont.)**

## Step 3

## Consider § 3553(a) taken as a whole...





# Thank You!