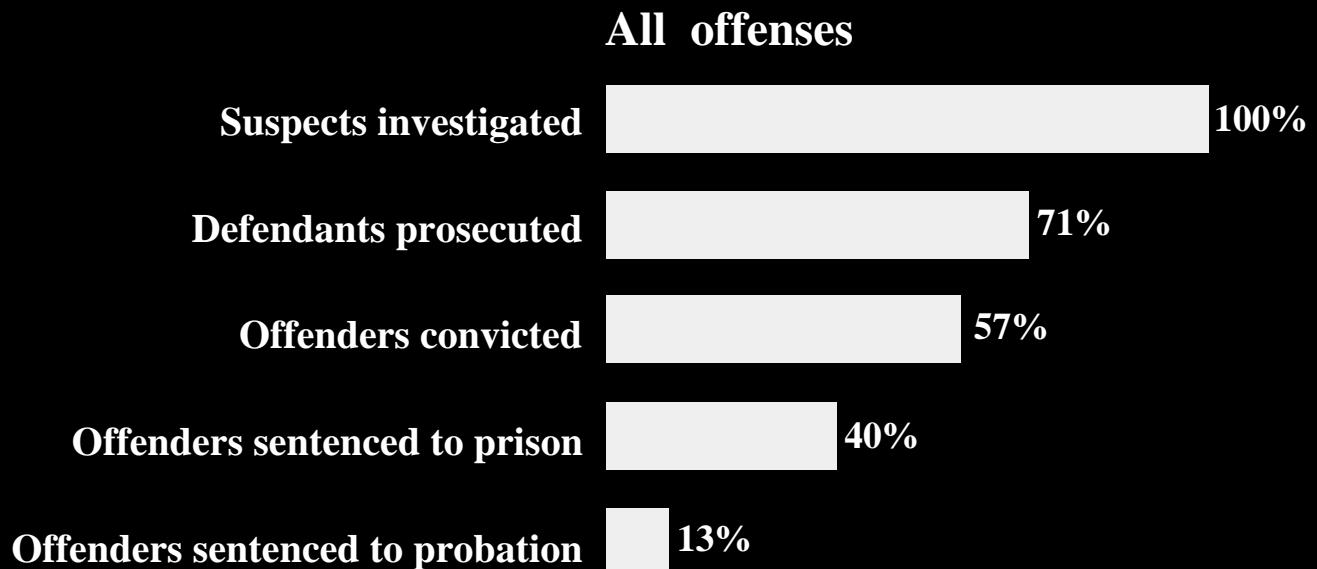




Bureau of Justice Statistics

Compendium of Federal Justice Statistics, 1997

**Federal criminal case processing in matters
concluded by United States attorneys
October 1, 1996, through September 1997**



A Federal Justice Statistics Program Report

Adjudication

Discussion 39

Tables

October 1, 1996 – September 30, 1997

3.1. Defendants in cases commenced, by offense 41

3.2. Disposition of cases terminated, by
offense 42

3.3. Time from filing to disposition of cases
terminated 43

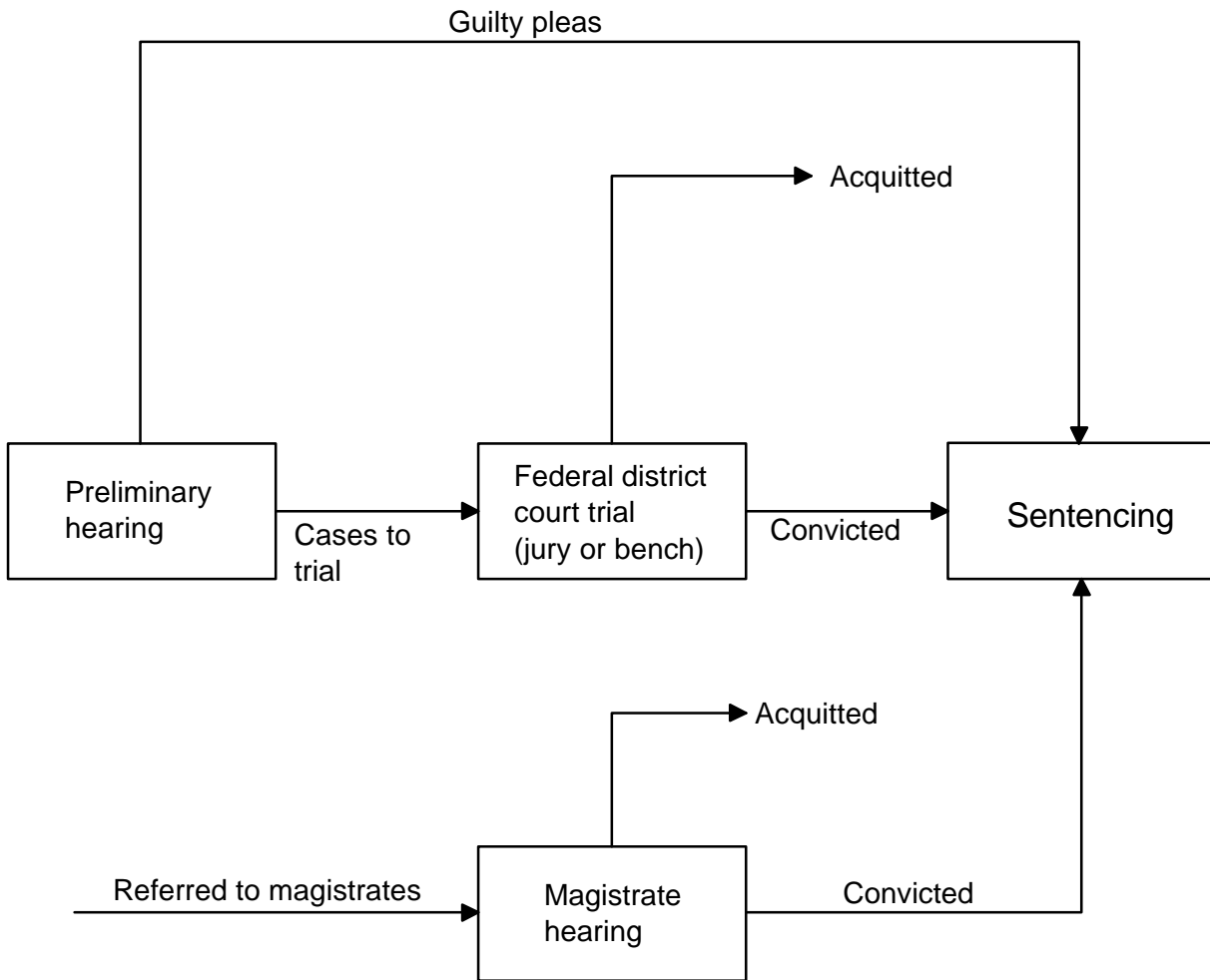
3.4. Dispositions by U.S. magistrates 44

3.5. Characteristics of convicted offenders 45

Chapter notes 46

Chapter 3

Adjudication



Federal criminal cases may result in conviction of the defendant following plea or trial, acquittal of the defendants after trial, or dismissal of the case.¹

Defendants in cases filed (table 3.1)

During 1997, 69,351 defendants had criminal charges filed against them in U.S. district courts, and 57,022 (82%) of those defendants were charged with felonies. The 24,693 drug felony defendants comprised over a third of all criminal defendants in cases filed and 43% of all felony defendants. Felony property and public-order defendants comprised 20% and 21%, respectively, of all defendants in cases filed. The 12,267 misdemeanor defendants constituted 18% of all defendants in cases filed, with 40% of those misdemeanor defendants charged with traffic violations.

Defendants in cases terminated (table 3.2)

Cases were terminated against 64,956 defendants during 1997, 53,097 (82%) of whom were felony defendants. During 1997 the 22,374 drug-related felony defendants comprised nearly 35% of all defendants in cases terminated and 42% of all felony defendants.

Over 87% of all defendants were convicted; 90% of all felony defendants and 75% of misdemeanor defendants. For major felony offense categories, conviction rates ranged from 89% for drug offenses to 91% for public-order offenses. Within major offense categories, however, the conviction rates varied more widely. For example, within the violent offense category, the conviction rates ranged from 83% for those found guilty of rape to 93% for sex offenses other than rape. Within the public-order category, the

conviction rate ranged from 71% for national defense violations to 96% for communications and immigration offenses.

Most defendants who were convicted pleaded guilty (figure 3.1). Overall, 93% of those convicted pleaded guilty, while 7% were convicted at trial. For felony offenses, 93% pleaded guilty to their charges. For major felony offenses, guilty pleas were registered for 90% of violent offenders, 92% of drug offenders, and 94% each for public-order and property offenders.

During 1997, 4,756 defendants exercised their right to a trial. A higher percentage of violent offenders went to trial than drug, property, and public-order offenders. Twelve percent of violent offenders went to trial

as compared with 9% of both drug and public-order offenders, and 8% of property offenders.

Of defendants who exercised their right to a trial, 3,781 (79%) were convicted either by a jury or a bench trial. The felony trial conviction rate was 83%, while the misdemeanor conviction rate was 59%. Among felony offenses, trial conviction rates ranged from 79% for violent and property defendants to 87% for drug defendants. Public-order offenders fell in between, as 82% of them were convicted at trial.

Case processing times (table 3.3)

The data in table 3.3 cover the interval from the time a case is filed in U.S. district court through sentencing for those convicted as well as the interval from case filing through disposition for those not convicted, or those whose cases are dismissed. Title I of the Speedy Trial Act of 1974, as amended, sets time requirements for processing criminal cases in Federal courts. Except for certain exclusions, indictment must occur within 30 days of arrest; defendants are guaranteed at least 30 days to prepare for trial; and the Government must be ready for trial within 70 days. The Speedy Trial Act does not specify a time interval from trial to sentencing,² and the time limits set by the act exclude several enumerated periods of pretrial procedure such as time spent awaiting rulings on motions.³ Additionally, defendants may waive their rights within the Speedy Trial Act. As a result, the actual processing time for most defendants can be longer than the statutory limits without violating the provisions of the act.

Overall, the average time for processing defendants was 8.9 months (figure 3.2). For felony defendants, the

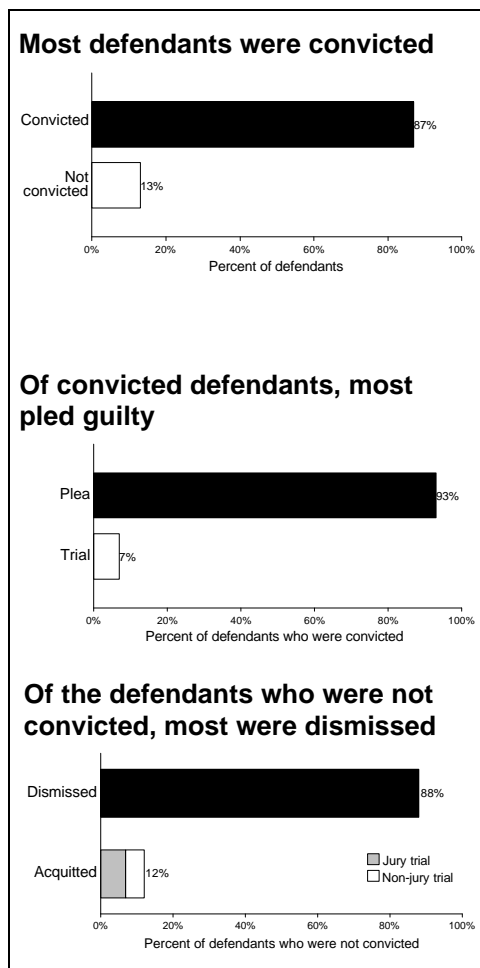


Figure 3.1. Disposition of cases terminating during October 1, 1996 - September 30, 1997

¹Unless otherwise noted, data describe felony and misdemeanor cases in U.S. district courts and include Class A misdemeanors handled by U.S. magistrates. The data also include Class B misdemeanors that are handled by U.S. district court judges, which occur infrequently.

²The Sentencing Reform Act of 1984 specifies minimum intervals for the disclosure and objections to the presentence report. See Rule 31, Federal Rules of Criminal Procedure.

³18 U.S.C. § 3161 et. seq.

overall processing time average was 10 months; for those convicted of misdemeanor crimes, the average processing time was 3.6 months. Defendants who pleaded guilty were processed faster (8.2 months) on average, than defendants who went to trial (11.7 months). Defendants whose cases were ultimately dismissed took longest to process (12 months), on average. Among major felony offense categories, case processing times were similar to the overall pattern, with two exceptions. For those convicted of violent offenses, those whose cases went to trial took longest to process.

Convictions by U.S. magistrates (table 3.4)

During 1997 U.S. magistrates disposed of 11,045 misdemeanor criminal defendants, over 75% of whom were convicted. Traffic violators comprised 41% of the defendants disposed by U.S. magistrates, with property offenders comprising another 33%. Drug offenses comprised almost 10% of U.S. magistrates' cases.

Characteristics of convicted defendants (table 3.5)

Among defendants convicted there were over 5 times as many men as women (85% versus 15%); over twice as many whites as blacks (66% versus 29%); and almost twice as many non-Hispanics as Hispanics (66% versus 34%). Most were U.S. citizens (70%), had graduated high school or completed some higher education (58%), and had some criminal history (52%). Persons over age 30 represented 57% of defendants.

Cases of defendants convicted at trial took longer than those convicted by plea

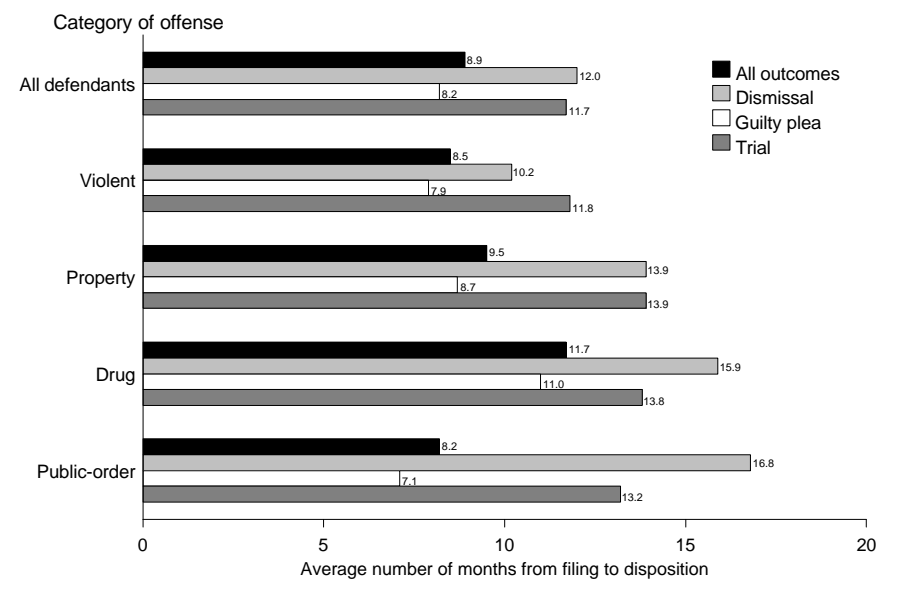


Figure 3.2. Average time from filing to disposition of cases terminating during October 1, 1996 - September 30, 1997, by offense

Table 3.1. Defendants in cases commenced from October 1, 1996 - September 30, 1997, by offense

Most serious offense charged	Defendants in cases commenced during 1997	
	Number	Percent ^a
All offenses	69,351	100%
Felonies	57,022	82.3%
Violent offenses	3,603	5.2%
Murder ^b	436	0.6
Negligent manslaughter	0	0
Assault	333	0.5
Robbery	1,930	2.8
Rape	287	0.4
Other sex offenses ^b	389	0.6
Kidnaping	200	0.3
Threats against the President	28	—
Property offenses	13,890	20.0%
Fraudulent	11,371	16.4%
Embezzlement	1,084	1.6
Fraud ^b	8,681	12.5
Forgery	162	0.2
Counterfeiting	1,444	2.1
Other	2,519	3.6%
Burglary	74	0.1
Larceny ^b	1,492	2.2
Motor vehicle theft	161	0.2
Arson and explosives	319	0.5
Transportation of stolen property	416	0.6
Other property offenses ^b	57	0.1
Drug offenses	24,693	35.6%
Trafficking	23,403	33.8
Possession and other drug offenses	1,290	1.9
Public-order offenses	14,836	21.4%
Regulatory	1,117	1.6%
Agriculture	66	0.1
Antitrust	47	0.1
Food and drug	34	—
Transportation	101	0.1
Civil rights	101	0.1
Communications	32	—
Custom laws	118	0.2
Postal laws	48	0.1
Other regulatory offenses	570	0.8
Other	13,719	19.8%
Weapons	3,837	5.5
Immigration offenses	6,726	9.7
Tax law violations ^b	788	1.1
Bribery	232	0.3
Perjury, contempt, and intimidation	337	0.5
National defense	75	0.1
Escape	537	0.8
Racketeering and extortion	1,060	1.5
Gambling	32	—
Obscene material ^b	18	—
Migratory birds	6	—
All other felonies ^b	71	0.1
Misdemeanors^b	12,267	17.7%
Fraudulent property offense	1,642	2.4
Larceny	1,887	2.7
Drug possession ^b	1,191	1.7
Immigration	348	0.5
Traffic offenses	4,940	7.1
Other misdemeanors	2,259	3.3
Unknown or indeterminable offense	62	

Note: For further information, see *Chapter notes*, item 1, p. 46.

—Less than .05%.

^aPercent distribution based on defendants whose categories could be determined.

^bIn this table, "Murder" includes nonnegligent manslaughter; "Other sex offenses" may include some non-violent offenses; "Fraud" excludes tax fraud; "Larceny" excludes transportation of stolen property; "Other

property offenses" excludes fraudulent property offenses, and includes destruction of property and trespass; "Tax law violations" includes tax fraud; "Obscene material" denotes the mail or transport thereof; "All other felonies" includes felonies with unclassifiable offense type; "Misdemeanors" includes misdemeanors, petty offenses, and unknown offense levels; and "Drug possession" also includes other drug misdemeanors.

Table 3.2. Disposition of cases terminating from October 1, 1996 - September 30, 1997, by offense

Most serious offense charged	Total defendants	Percent of all defendants convicted	Number of defendants in cases terminating during 1997 who were—									
			Convicted					Not convicted				
			Total	Guilty plea	Nolo contendere	Trial		Total	Dismissed	Trial		
			Jury	Non-jury			Jury ^a	Non-jury				
All offenses	64,956	87.1%	56,570	52,514	275	3,260	521	8,386	7,411	570	405	
Felonies	53,097	89.8%	47,689	44,295	55	3,208	131	5,408	4,734	554	120	
Violent offenses	3,241	89.9%	2,915	2,620	8	268	19	326	248	67	11	
Murder ^b	398	84.7	337	255	1	79	2	61	38	19	4	
Negligent manslaughter	1	—	0	0	0	0	0	1	1	0	0	
Assault	320	83.1	266	227	3	32	4	54	39	13	2	
Robbery	1,775	93.2	1,654	1,542	2	105	5	121	104	15	2	
Rape	283	82.7	234	206	2	18	8	49	30	17	2	
Other sex offenses ^b	321	93.1	299	278	0	21	0	22	21	0	1	
Kidnaping	116	87.9	102	91	0	11	0	14	12	2	0	
Threats against the President	27	85.2	23	21	0	2	0	4	3	1	0	
Property offenses	13,725	89.7%	12,311	11,563	18	709	21	1,414	1,219	140	55	
Fraudulent	11,152	89.8%	10,013	9,444	14	539	16	1,139	987	107	45	
Embezzlement	1,073	91.2	979	930	2	46	1	94	83	10	1	
Fraud ^b	8,675	89.4	7,754	7,297	11	434	12	921	794	87	40	
Forgery	201	91.5	184	181	0	3	0	17	16	1	0	
Counterfeiting	1,203	91.1	1,096	1,036	1	56	3	107	94	9	4	
Other	2,573	89.3%	2,298	2,119	4	170	5	275	232	33	10	
Burglary	63	87.3	55	54	0	1	0	8	8	0	0	
Larceny ^b	1,545	90.2	1,393	1,335	4	52	2	152	135	13	4	
Motor vehicle theft	151	88.7	134	123	0	11	0	17	14	2	1	
Arson and explosives	277	91.3	253	203	0	49	1	24	10	12	2	
Transportation of stolen property	466	85.6	399	344	0	53	2	67	58	6	3	
Other property offenses ^b	71	90.1	64	60	0	4	0	7	7	0	0	
Drug offenses	22,374	89.3%	19,973	18,417	10	1,489	57	2,401	2,168	202	31	
Trafficking	21,379	89.3	19,087	17,605	10	1,418	54	2,292	2,074	191	27	
Possession and other drug offenses	995	89.0	886	812	0	71	3	109	94	11	4	
Public-order offenses	13,757	90.8%	12,490	11,695	19	742	34	1,267	1,099	145	23	
Regulatory	1,069	85.7%	916	850	4	62	0	153	122	27	4	
Agriculture	55	78.2	43	41	0	2	0	12	12	0	0	
Antitrust	31	93.5	29	29	0	0	0	2	0	2	0	
Food and drug	44	90.9	40	35	0	5	0	4	2	2	0	
Transportation	86	87.2	75	69	0	6	0	11	8	1	2	
Civil rights	92	73.9	68	53	0	15	0	24	12	12	0	
Communications	26	96.2	25	23	0	2	0	1	1	0	0	
Custom laws	124	78.2	97	93	0	4	0	27	24	2	1	
Postal laws	42	81.0	34	32	1	1	0	8	8	0	0	
Other regulatory offenses	569	88.8	505	475	3	27	0	64	55	8	1	
Other	12,688	91.2%	11,574	10,845	15	680	34	1,114	977	118	19	
Weapons	3,485	87.6	3,052	2,687	1	347	17	433	376	51	6	
Immigration offenses	6,165	95.9	5,912	5,849	5	51	7	253	240	11	2	
Tax law violations ^b	727	93.7	681	630	3	47	1	46	34	12	0	
Bribery	215	92.1	198	179	1	18	0	17	15	1	1	
Perjury, contempt, and intimidation	374	81.6	305	242	1	56	6	69	50	17	2	
National defense	62	71.0	44	43	0	1	0	18	15	2	1	
Escape	560	79.8	447	427	4	16	0	113	110	1	2	
Racketeering and extortion	997	85.7	854	719	0	134	1	143	117	21	5	
Gambling	27	88.9	24	17	0	6	1	3	2	1	0	
Obscene material ^b	15	80.0	12	12	0	0	0	3	3	0	0	
Migratory birds	3	—	3	2	0	1	0	0	0	0	0	
All other felonies ^b	58	72.4	42	38	0	3	1	16	15	1	0	
Misdemeanors^b	11,795	74.8%	8,828	8,168	220	52	388	2,967	2,667	16	284	
Fraudulent property offense	1,656	94.2	1,560	1,552	2	5	1	96	92	2	2	
Larceny	1,859	62.2	1,156	1,074	33	4	45	703	681	3	19	
Drug possession ^b	1,154	74.4	858	836	6	4	12	296	290	0	6	
Immigration	343	92.7	318	315	0	0	3	25	22	0	3	
Traffic offenses	4,681	73.1	3,420	3,085	99	13	223	1,261	1,032	4	225	
Other misdemeanors	2,102	72.1	1,516	1,306	80	26	104	586	550	7	29	
Unknown or indeterminable offense	64	82.8%	53	51	0	0	2	11	10	0	1	

Note: For further information, see *Chapter notes*, item 1, p. 46.

—Too few cases to obtain statistically reliable data.

^aIncludes mistrials.

^bIn this table, "Murder" includes nonnegligent manslaughter; "Other sex offenses" may include some nonviolent offenses; "Fraud" excludes tax fraud; "Larceny" excludes transportation of stolen property; "Other property

offenses" excludes fraudulent property offenses, and includes destruction of property and trespass; "Tax law violations" includes tax fraud; "Obscene material" denotes the mail or transport thereof; "All other felonies" includes felonies with unclassifiable offense type; "Misdemeanors" includes misdemeanors, petty offenses, and unknown offense levels; and "Drug possession" also includes other drug misdemeanors.

Table 3.3. Time from filing to disposition of cases terminating from October 1, 1996 - September 30, 1997

Most serious offense charged	Average time from filing to disposition for defendants in cases resulting in—			
	All outcomes	Dismissal ^a	Guilty plea	Trial ^b
All offenses	8.9 mo	12.0 mo	8.2 mo	11.7 mo
Felonies	10.0 mo	15.3 mo	9.2 mo	13.5 mo
Violent offenses	8.5 mo	10.2 mo	7.9 mo	11.8 mo
Murder ^c	12.8	18.3	11.7	13.3
Negligent manslaughter	—	—
Assault	7.7	10.1	6.8	10.0
Robbery	7.7	7.1	7.5	11.1
Rape	8.6	9.2	7.6	12.5
Other sex offenses ^c	7.7	10.2	7.2	10.7
Kidnaping	11.4	14.6	10.6	13.9
Threats against the President	10.2	—	10.1	—
Property offenses	9.5 mo	13.9 mo	8.7 mo	13.9 mo
Fraudulent	9.5 mo	14.2 mo	8.7 mo	13.6 mo
Embezzlement	7.5	10.1	7.0	12.6
Fraud ^c	10.0	15.2	9.1	14.1
Forgery	10.1	26.5	8.5	—
Counterfeiting	7.5	7.9	7.2	10.5
Other	9.7 mo	12.5 mo	8.9 mo	14.7 mo
Burglary	8.6	—	6.2	—
Larceny ^c	8.1	10.4	7.6	13.4
Motor vehicle theft	12.0	18.6	11.0	14.5
Arson and explosives	11.5	—	11.3	12.9
Transportation of stolen property	13.1	16.7	11.7	17.3
Other property offenses ^c	9.8	—	9.5	—
Drug offenses	11.7 mo	15.9 mo	11.0 mo	13.8 mo
Trafficking	11.8	16.3	11.1	13.9
Possession and other drug offenses	9.2	8.4	8.9	12.4
Public-order offenses	8.2 mo	16.8 mo	7.1 mo	13.2 mo
Regulatory	11.1 mo	21.7 mo	9.1 mo	15.2 mo
Agriculture	10.0	12.8	9.0	—
Antitrust	2.3	...	1.9	—
Food and drug	8.5	—	6.3	—
Transportation	7.2	—	6.4	—
Civil rights	10.9	7.4	11.7	11.1
Communications	11.0	—	9.3	—
Custom laws	17.6	51.2	10.4	—
Postal laws	7.0	—	6.4	—
Other regulatory offenses	11.4	19.9	9.8	18.4
Other	8.0 mo	16.1 mo	6.9 mo	12.9 mo
Weapons	10.3	11.8	9.8	11.8
Immigration offenses	4.0	11.5	3.6	12.1
Tax law violations ^c	10.6	29.4	9.2	14.6
Bribery	11.9	22.8	10.9	13.5
Perjury, contempt, and intimidation	11.1	15.3	9.9	12.1
National defense	17.3	32.1	13.6	—
Escape	15.3	28.8	12.7	9.6
Racketeering and extortion	16.1	25.6	14.4	16.6
Gambling	12.6	—	12.9	—
Obscene material ^c	5.6	—	3.6	...
Migratory birds	—	...	—	—
All other felonies ^c	6.2	4.9	6.5	—
Misdemeanors^c	3.6 mo	6.5 mo	2.8 mo	2.2 mo
Fraudulent property offense	2.3	11.3	1.8	—
Larceny	4.3	5.7	3.5	3.9
Drug possession ^c	5.6	7.6	5.0	4.4
Immigration	2.0	8.9	1.6	—
Traffic offenses	2.8	6.1	2.0	0.6
Other misdemeanors	5.1	6.8	4.5	5.2
Unknown or indeterminable offense	4.4 mo	—	4.4 mo	—

Note: Interval from filing to disposition includes periods which may be excluded under the Speedy Trial Act of 1974 (18 U.S.C. §3161, et seq.). See *Chapter notes*, item 1, p. 46.

—Too few cases to obtain statistically reliable data.

...No case of this type occurred in the data.

^aIncludes nolle prosequi, deferred prosecution, Narcotics Addicts Rehabilitation Act (NARA) Titles I and II, and all dismissals.

^bIncludes mistrials.

^cIn this table, "Murder" includes nonnegligent manslaughter; "Other sex

offenses" may include some nonviolent offenses; "Fraud" excludes tax fraud; "Larceny" excludes transportation of stolen property; "Other property offenses" excludes fraudulent property offenses, and includes destruction of property and trespass; "Tax law violations" includes tax fraud; "Obscene material" denotes the mail or transport thereof; "All other felonies" includes felonies with unclassifiable offense type; "Misdemeanors" includes misdemeanors, petty offenses, and unknown offense levels; and "Drug possession" also includes other drug misdemeanors.

Table 3.4. Dispositions by U.S. magistrates, October 1, 1996 - September 30, 1997

Most serious offense charged	Defendants in criminal cases concluded by U.S. magistrates			
	Total	Convicted	Not convicted	Percent convicted
All offenses^a	11,045	8,348	2,697	75.6%
Violent offenses^b	223	164	59	73.5%
Murder ^c	5	5	0	—
Assault	183	129	54	70.5
Robbery	4	2	2	—
Rape	13	13	0	100
Other sex offenses ^c	17	14	3	82.4
Threats against the President	1	1	0	—
Property offenses	3,665	2,805	860	76.5%
Fraudulent	1,629	1,552	77	95.3%
Embezzlement	193	162	31	83.9
Fraud ^c	1,332	1,293	39	97.1
Forgery	98	91	7	92.9
Counterfeiting	6	6	0	—
Other	2,036	1,253	783	61.5%
Burglary	4	3	1	—
Larceny ^c	1,823	1,140	683	62.5
Motor vehicle theft	2	1	1	—
Arson and explosives	3	2	1	—
Other property offenses ^c	204	107	97	52.5
Drug offenses	1,075	789	286	73.4%
Trafficking	81	65	16	80.2
Possession	994	724	270	72.8
Public-order offenses	6,080	4,588	1,492	75.5%
Regulatory	490	402	88	82.0%
Agriculture	101	91	10	90.1
Fair labor standards	17	13	4	76.5
Food and drug	11	11	0	100
Other regulatory offenses	361	287	74	79.5
Other	5,590	4,186	1,404	74.9%
Weapons	77	46	31	59.7
Immigration offenses	275	266	9	96.7
Tax law violations ^c	91	87	4	95.6
Bribery	6	6	0	—
National defense	13	10	3	76.9
Escape	61	32	29	52.5
Racketeering and extortion	2	2	0	—
Liquor offenses	3	2	1	—
Conspiracy, aiding and abetting, traffic, and jurisdictional offenses	4,579	3,386	1,193	73.9
Migratory birds	4	4	0	—
All other offenses ^c	479	345	134	72.0
Missing or indeterminable offense	2	2	0	—

Note: Data in this table are not directly comparable to data in the 1993 and prior compendia; see *Chapter notes*, item 1, p. 46.

—Too few cases to obtain statistically reliable data.

^aIncludes suspects for whom offense category could not be determined.

^bMay include some nonviolent offenses.

^cIn this table, "Murder" includes nonnegligent manslaughter; "Other sex

offenses" may include some nonviolent offenses; "Fraud" excludes tax fraud; "Larceny" excludes transportation of stolen property; "Other property offenses" excludes fraudulent property offenses, and includes destruction of property and trespass; "Tax law violations" includes tax fraud; and "All other offenses" includes offenses with unclassifiable offense type.

Table 3.5. Characteristics of convicted offenders, October 1, 1996 - September 30, 1997

Offender characteristic	Total number of convicted offenders	Percent of convicted offenders							
		All offenses ^a	Felonies						Misdemeanors
			Violent offenses	Property offenses		Drug offenses	Public-order offenses		
				Fraudulent	Other		Regulatory	Other	
All offenders^b	56,570	56,570	2,915	10,013	2,298	19,973	916	11,574	8,828
Sex									
Male	42,116	85.0%	93.2%	75.3%	78.3%	87.4%	80.3%	93.3%	76.4%
Female	7,445	15.0	6.8	24.7	21.7	12.6	19.7	6.7	23.6
Race									
White	31,784	66.3%	51.4%	64.7%	64.6%	62.3%	75.8%	76.6%	68.9%
Black	13,799	28.8	31.0	27.7	28.4	35.5	17.7	20.0	25.6
Other	2,382	5.0	17.5	7.6	7.0	2.2	6.5	3.4	5.5
Ethnicity									
Hispanic	16,633	33.8%	8.8%	11.7%	9.1%	40.4%	32.3%	54.1%	31.2%
Non-Hispanic	32,540	66.2	91.2	88.3	90.9	59.6	67.7	45.9	68.8
Age									
16-18 years	427	0.9%	1.7%	0.2%	0.6%	0.7%	0.6%	0.8%	2.8%
19-20 years	2,068	4.3	7.6	1.8	4.2	4.5	4.0	3.8	7.9
21-30 years	18,237	37.7	38.8	26.8	35.0	42.2	29.9	40.9	37.1
31-40 years	14,733	30.5	29.9	30.8	29.4	31.3	27.8	30.7	27.4
Over 40 years	12,902	26.7	21.9	40.5	30.8	21.4	37.7	23.8	24.8
Citizenship									
U.S. citizen	34,020	70.3%	95.4%	84.7%	90.2%	71.1%	71.3%	47.8%	66.3%
Not U.S. citizen	14,384	29.7	4.6	15.3	9.8	28.9	28.7	52.2	33.7
Education									
Less than high school graduate	18,822	41.5%	35.6%	22.2%	27.1%	49.9%	30.0%	56.3%	25.8%
High school graduate	13,552	29.9	36.3	29.4	34.1	29.9	31.6	24.8	37.7
Some college	9,358	20.7	22.0	30.6	30.0	17.1	23.9	12.9	26.0
College graduate	3,585	7.9	6.1	17.8	8.7	3.2	14.4	5.9	10.5
Criminal record									
No convictions	22,588	47.6%	35.6%	59.9%	49.2%	46.5%	70.9%	30.3%	66.9%
Prior adult convictions ^c	24,847	52.4	64.4	40.1	50.8	53.5	29.1	69.7	33.1

Note: Offender characteristics are not comparable with the 1993 and prior compendia; see *Chapter notes*, item 2, p. 46. Offenders are classified by the most serious offense charged.

^aIncludes defendants for whom offense categories could not be determined.

^bIncludes offenders for whom these characteristics could not be determined.

^cSee *Chapter notes*, item 3, p. 46.

Chapter notes

1) Tables 3.1-3.4 were derived from the Administrative Office of U.S. Courts (AOUSC) criminal master data files. Only records with cases filed in U.S. district court (table 3.1) or cases that terminated in U.S. district court during October 1, 1996, through September 30, 1997, were selected. Offenses were classified according to the most serious offense charged. In the case of multiple offenses, the offense carrying the most severe potential penalty was selected.

In this *Compendium*, carjacking offenses are classified as robberies, based on title and section of the U.S. Code. In prior compendia, they were classified as motor vehicle thefts, based on the AOUSC offense classifications. In the forthcoming *Federal Criminal Statistics: Reconciled Data*, which shows trends from 1994 through the present, carjackings are classified as robberies.

2) Table 3.5 was created by matching the AOUSC master data files with the U.S. Sentencing Commission (USSC) monitoring system files and the Pretrial Services Agency (PSA) data files. These latter two data files contain information on the characteristics of defendants. The USSC monitoring system files are limited to records of defendants sentenced under the Federal sentencing guidelines only. These include defendants convicted of felonies or Class A misdemeanors. Excluded from the USSC data were defendants convicted only of Class B or C misdemeanors or infractions, defendants whose offenses were committed before November 1, 1987, and juvenile offenders. Juveniles are not subject to guidelines, and they were not included in table 3.5. Some of the defendants excluded from the USSC data files were included in the PSA data. (See Chapter 2 *Chapter notes* for more information on the PSA data.) Table 3.5 indicates the number of records for which relevant data were available.

Percentage distributions were based on records with known values of defendant characteristics and offenses.

3) A criminal record, as reported in table 3.5, is limited to prior adult convictions. For some defendants in this table, it is further limited to the portion that is relevant for calculating sentences under the Federal sentencing guidelines. In general, this is limited to sentences imposed within a 15-year period prior to the current offense and offenses committed within the United States. For most defendants, the criminal history used to calculate sentencing guideline ranges includes their entire adult criminal history.