

The National Institute of Corrections

Comprehensive Objective Prison Classification

Participant Manual

July 8 –11, 2003

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NATIONAL INSTITUTE OF CORRECTIONS MISSION

The mission of the National Institute of Corrections is: *We are a center of correctional learning and experience. We advance and shape effective correctional practice and public policy that respond to the needs of corrections through collaboration and leadership and by providing assistance, information, education, and training.*

NIC is fully committed to equal employment opportunity and to ensuring full representation of minorities, women, and disabled persons in the workforce. NIC recognizes the responsibility of every employer to have a workforce that is representative of this nation's diverse population. To this end, NIC urges agencies to provide the maximum feasible opportunity to employees to enhance their skills through on-the-job training, work-study programs, and other training measures so they may perform at their highest potential and advance in accordance with their abilities.

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Faculty Biographies

James Austin, Ph.D.

Dr. James Austin is the Director of the Institute on Crime, Justice, and Corrections at the George Washington University (GWU) in Washington, D.C. Prior to joining the GWU, he was the Executive Vice President of the National Council on Crime and Delinquency where he was employed for 20 years.

He began his career in corrections in 1970 when he was employed by the Illinois Department of Corrections as a correctional sociologist at the Joliet and Stateville prisons.

He has thirty years of experience in criminal justice planning and research. He serves, or has recently served, as director for a number of U.S. Department of Justice funded research and evaluation programs. Most recently he has assisted the Pennsylvania, Texas, Maryland and Kentucky parole boards evaluate and/or develop their parole guideline systems. He is also assisting the Louisiana, Connecticut, Maryland, Indiana, New Jersey and Alabama prison systems re-validate their prisoner classification and risk assessment systems.

Since 1999 he has served as the U.S. Department of Justice's Civil Rights Division and Georgia Department of Juvenile Justice appointed Monitor to oversee major reforms in the Georgia juvenile correctional system. As of February 2003, he assumed a similar assignment for the Louisiana Office of Youth Development.

Dr. Austin has authored numerous publications, was named by the American Correctional Association as its 1991 recipient of the Peter P. Lejin's Research Award, and received the Western Society of Criminology Paul Tappin award for outstanding contributions in the field of criminology. He has co-authored three books. He is also a member of the American Society of Criminology National Policy Committee.

Kathleen Dennehy

Kathleen Dennehy is the Deputy Commissioner for the Massachusetts Department of Correction. She is second in command of an agency that employs nearly 5,192 staff, has an annualized budget of approximately 400,000+ million dollars and an inmate census of close to 10,000. The Massachusetts Department of Correction operates 18 correctional facilities ranging in levels from maximum security to pre-release custody.

Ms. Dennehy began her career with the Massachusetts Department of Correction in 1976 as the Inmate Records Manager at MCI Walpole, the state's maximum-security prison for men. Over the course of her career, she has worked at various facilities including the department's reception center for male offenders at MCI Concord and the Old Colony Correctional Center, a high medium custody facility for males.

Deputy Commissioner Dennehy is the former Director of the Department of Correction's Division of Staff Development. In this role Ms. Dennehy was the supervising manager responsible for all departmental in-service and pre-service basic training. Ms. Dennehy was

appointed as the Warden at MCI Framingham in 1991. MCI Framingham is the sole committing secure facility for female offenders in the Commonwealth of Massachusetts.

In 1994 Ms. Dennehy joined the ranks of the Department's Executive Staff as she was promoted to the position of Associate Commissioner for Classification, Education, Programs and Health Services. She was appointed as Deputy Commissioner for the Department of Correction in 1997.

Ms. Dennehy is a Phi Beta Kappa graduate of Wheaton College, Norton, Massachusetts, where she majored in Government. She received her Masters in Public Administration from Suffolk University's School of Management. She is a member of and a certified Audit Chairperson for the American Correctional Association. In 1998, she was elected to the Board of Directors for the Correctional Association of Massachusetts. In 2002, Ms. Dennehy was the recipient of the Massachusetts Correctional Association's annual "Jim Justice Award" for her commitment to professional excellence. Ms. Dennehy is a member of the Association of Women Executives in Corrections, a part time faculty member in the Masters in Criminal Justice Program at Curry College and a consultant for a Massachusetts based company, Security Response Technology, Inc.

Patricia Hardyman

Dr. Hardyman is a Senior Associate with Criminal Justice Institute (CJI) in Middletown, Connecticut. Prior to joining CJI, she was a Senior Researcher for the Institute on Crime, Justice and Corrections, National Council on Crime and Delinquency (NCCD), the U. S. Parole Commission and Ohio Department of Rehabilitation and Corrections. Dr. Hardyman has extensive research experience with database development and management, court services, parole decision-making and community supervision innovations. She served as the manager on several major projects which included, but were not limited to, population profiles, needs assessment, and design/validation of the classification systems for numerous states, e.g., Florida, Idaho, Kentucky, Mississippi, Philadelphia Prison System, Wyoming, Rhode Island, Tennessee, Oregon, Oklahoma, Delaware, Maine, Montana, and West Virginia, and the evaluation of drug offender treatment in local jails. She also served as a consultant to the Cook County Temporary Juvenile Detention Center and the Georgia Department of Juvenile Justice to develop and implement of objective classification, risk and needs assessment systems. She worked closely with Dr. Austin on the NIC internal classification initiative in Florida, Oregon, New Jersey, Missouri, South Dakota, Connecticut, Washington State, and Colorado. She is currently working with Wyoming Department of Corrections to design an internal classification system for the Wyoming State Penitentiary. Dr. Hardyman also served as the state trainer/facilitator for Rhode Island and Florida on the Comprehensive Strategy Project, which provided training and technical assistance to communities for developing a five-year strategic plan to prevent and reduce violent juvenile crime.

Dr. Hardyman received her Bachelor's degree in psychology and sociology from Miami University of Ohio, her Master's degree in criminal justice from University of Cincinnati and her Doctorate, also in criminal justice, from the School of Criminal Justice at Rutgers University.

Fred Roesel

Fred Roesel is the Bureau Chief of Classification and Central Records for the Florida Department of Corrections. The Bureau's responsibilities include the coordination of inmate reception, institutional classification, inmate release, special offender programs, inmate records, security threat group intelligence, central visitation and the State Classification Office.

Fred joined the agency in 1977 and worked through the ranks in security and classification until his promotion to Bureau Chief in 1997. Upon his promotion, he immediately began efforts to advance the Agency's utilization of technology in classification and inmate management. The Bureau's efforts have resulted in the automation and improvement of classification processes to meet the challenges of an Agency that has grown to over 77,000 inmates.

In addition to his responsibilities as Bureau Chief, Fred assists the National Institute of Corrections and other state and national agencies in the evaluation and development of classification systems. His work includes assessment of classification staffing, records systems, reception processing, sentence structure and sentence calculation, inmate incompatibility, inmate release processes and automated systems.

LaDonna Thompson

LaDonna Thompson Is the Manager of the Classification Branch for the Kentucky Department of Corrections. Her Branch is responsible for the Assessment Center, classification, transfer, and placement. The Central Office is also responsible for the classification of the inmates housed in the County Jail system as outlined by statute. She has 14 years with the Department and is currently pursuing a Masters Degree in Justice Administration from the University of Louisville.

Comprehensive Objective Prison Classification Agenda

Monday, July 7

6:00 p.m. - 9:00 p.m.	Banquet Introductions and Expectations	All Faculty
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Tuesday, July 8

8:00 a.m. - 8:30 a.m.	NIC Welcome	Madeline Ortiz
8:30 a.m. - 9:00 a.m.	Action Planning	Dr. Patricia Hardyman
9:00 a.m. - 10:00 a.m.	Overview of Classification	Dr. James Austin
10:00 a.m. - 10:15 a.m.	Break	
10:15 a.m. - 11:00 a.m.	Classification Evaluation Standards	Dr. James Austin Dr. Patricia Hardyman
11:00 a.m. - 11:45 a.m.	Reliability Exercise	Dr. James Austin Dr. Patricia Hardyman
11:45 a.m. - Noon	Presentation - Florida	
Noon - 1:00 p.m.	Lunch	
1:00 p.m. - 1:15 p.m.	Presentation – Guam	
1:15 p.m. - 2:00 p.m.	Team Work Time	
2:00 p.m. - 2:45 p.m.	Report-out	LaDonna Thompson
2:45 p.m. - 3:00 p.m.	Break	
3:00 p.m. - 4:15 p.m.	Internal Classification	Fred Roesel
4:15 p.m. - 4:30 p.m.	Presentation - Kansas	
4:30 p.m. - 4:45 p.m.	Action Planning	All Faculty
4:45 p.m. - 5:00 p.m.	Daily Evaluation and Feedback	Kathleen Dennehy

Comprehensive Objective Prison Classification Agenda

Wednesday, July 9

8:00 a.m. - 8:15 a.m.	Review “Daily Evaluation and Feedback”	Kathleen Dennehy
8:15 a.m. - 8:30 a.m.	Presentation – North Dakota	
8:30 a.m. - 9:15 a.m.	High Risk and Special Needs	Dr. James Austin Dr. Patricia Hardyman
9:15 a.m. - 9:45 a.m.	Break	
9:45 a.m. - 10:45 a.m.	Overview - Classification Curriculum Project	Kathleen Dennehy
10:45 a.m. - 11:00 a.m.	Break	
11:00 a.m. - Noon	Team Work Time	
Noon - 1:00 p.m.	Lunch	
1:00 p.m. - 1:15 p.m.	Presentation – South Dakota	
1:15 p.m. - 2:00 p.m.	Report-out	Kathleen Dennehy
2:00 p.m. - 2:15 p.m.	Break	
2:15 p.m. - 3:15 p.m.	Women’s Classification Issues	Dr. Patricia Hardyman LaDonna Thompson
3:15 p.m. - 3:30 p.m.	Presentation – Virgin Islands	
3:30 p.m. - 3:45 p.m.	Daily Evaluation and Feedback	Kathleen Dennehy
3:45 p.m. - 5:00 p.m.	Action Planning	All Faculty


Comprehensive Objective Prison Classification Agenda

Thursday, July 10

8:00 a.m. - 8:15 a.m.	Review “Daily Evaluation and Feedback”	Kathleen Dennehy
8:15 a.m. - 8:30 a.m.	Presentation - Vermont	
8:30 a.m. - 9:30 a.m.	Re-entry	LaDonna Thompson
9:30 a.m. - 9:45 a.m.	Break	
9:45 a.m. - 10:45 a.m.	Information Systems	Fred Roesel
10:45 a.m. - 11:00 a.m.	Break	
11:00 a.m. - Noon	Litigation Issues	Dr. James Austin
Noon - 1:00 p.m.	Lunch	
1:00 p.m. - 1:15 p.m.	Presentation - Tennessee	
1:15 p.m. - 3:00 p.m.	Action Planning	All Faculty
3:00 p.m. - 5:00 p.m.	Report-out of Action Plans	All Faculty


Friday, July 11

8:00 a.m. - 11:00 a.m.	Implementation Strategies and Issues	Fred Roesel LaDonna Thompson
11:00 a.m. – Noon	Closing Evaluation Certificate Presentation	All Faculty




- Supervisor of Classification System for Department
- Implementation of changes to Policy & Procedures
- Approval of all inmate transfers/recommendation
- Monitor Inmate Census and Coordinate inmate movement

LaDanna Thompson, Manager
Classification Branch
Central Office



- Responsible for 610 bed Unit, central receiving unit for all male felons except death row.
- Oversight of inmates in controlled units.
- Oversight of the AC process and scheduling of movement of male and female offenders into the Assessment Centers.
- Responsible for initial placement
- Responsible for paper reviews of inmates whose initial placement is in a county jail.

Paula Holden
Program Administrator
Assessment Center



- Manages Long-term Offender/Honor Housing Unit
- Supervises Unit Classification Committee
- Supervises Case-management staff
- Serves as the Transfer Coordinator for KCIW
- Serves as Unit Hearing Officer for Minor Disciplinary Infractions
- Chairs the Grievance Committee
- Serves as an Institutional Unity Officer

Janel Conover
Correctional Unit Administrator II
Kentucky Correctional Institution for Women



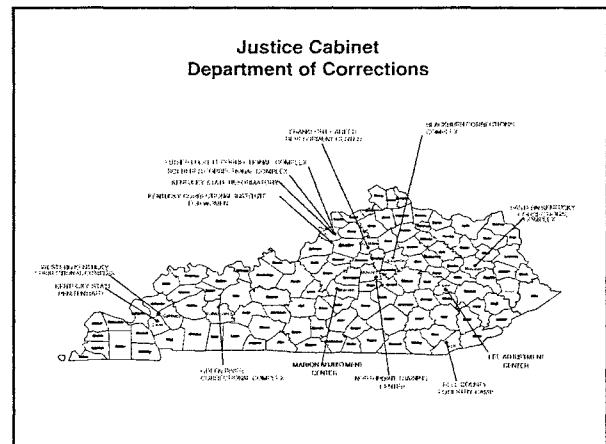
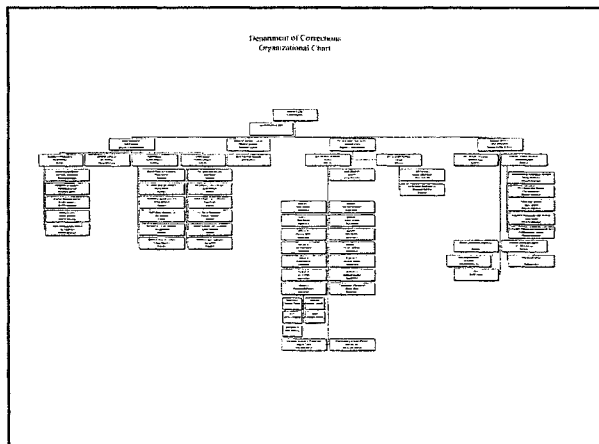
Terry Dickinson
 Manager, Information Technology Branch
 Central Office

- Directing and supervising internal and external research activities conducted within the Department.
- Supervising the gathering, recording and maintenance of statistical data as well as the generation of detailed statistical reports requested by the Department, other state and federal agencies and the media.
- Planning and directing the data processing functions of the Department.
- Serving as liaison for the Department with the Governor's Office of Technology and central point for coordination and communication for DOC issues before the General Assembly during regular and special sessions.
- Conducting cost analysis of computer systems and services and providing expertise in short and long range planning for meeting departmental automation needs.
- Preparing and managing the budget for the Branch and making recommendations related to budgetary equipment and personnel requirements.

MISSION STATEMENT of the KENTUCKY DEPARTMENT OF CORRECTIONS

The mission of the Kentucky Department of Corrections is twofold:

- To protect the citizens of the Commonwealth and to provide a safe, secure and humane environment for staff and offenders in carrying out the mandates of the legislative and judicial processes; and
- To provide opportunities for offenders to acquire skills which facilitate non-criminal behavior.



Escape History

	1996	1997	1998	1999	2000
BCC	14	9	6	13	12
Class D	51	48	33	57	44
Controlled Intake	7	8	8	10	13
Comm Services	15	14	29	42	36
Dismas	0	2	2	1	0
KSP	1	0	0	0	0
EKCC	0	2	0	0	2
FCDC	1	0	1	1	1
GRCC	1	0	0	0	0
KSR	0	0	0	1	0
LAC	22	5	1	0	0
MAC	12	15	7	4	10
NTC	0	1	0	0	0
OCCC	3	2	0	0	0
BCFC	1	3	2	6	9
RCC	1	0	0	0	1
Boot Camp	0	0	0	0	1
KCIW	0	1	1	0	0
WKCC	0	1	3	3	2
Total	129	111	93	138	131

Action Planning

Classification Action Planning Worksheet -- Sample

Issue 1:

ECS instruments are: Valid for both male and female inmates - DK

Goals:

1. Valid classification system(s) for both our male and female inmate populations.
2. Implementation of valid and reliable classification for male and female populations.

Possible Strategies:

1. Examine statistics and trends on how current system is operating.
2. Conduct reliability study.
3. Under revalidation study of classification system that includes both males and females.

Tasks for Selected Strategy: (Go to Classification Project Time-Task Chart.)

1. Obtain commitment of Commissioner and other key stakeholders.
2. Request TA from NIC or identify local resources/expertise
3. Identify Classification Task Force that includes key stakeholders
4. Identify and define new/revised risk factors to test
5. Conduct reliability study for male and female inmates
6. Draw random sample of admissions and stock population stratified by gender
7. Compile data to test risk factors, custody levels, and scale cut points, outcomes
8. Analyze data
9. Report to Committee/Commissioner
10. Review recommendations
11. Develop implementation plan - with training, staffing analyses, etc.

Stakeholders = Task Force Participants:

Who:

Sam Placer
Bill the Cruncher
Mary Disc
Lt. Strict
Warden Leslie
Judie Bossy
Nurse Henry
Susan Lineman
Wayne Worker

Position:

Director of Classification
MIS analyst
MIS Director/manager
Security
Warden Women's Facility
Comm Work Release
Medical Intake Unit
Case Manager - Male Unit
Supervisor Female Unit

State: _____

Potential Barriers:

1. Resistance to change – It works okay. We have not had an escape for two weeks.

Coping Strategy: Include on Task Force

2. Time - We have six other major, high priority projects

Coping Strategy: Classification is the brain of the system, educate, co-opt

3. \$\$ - No money to hire consultant or implement changes to computer system

Coping Strategy: TA request to NIC for assistance with validation study.

State: Your State

State: _____

Classification Action Planning - Worksheet

Issue:

Goals:

1. _____
2. _____
3. _____

Possible Strategies:

1. _____
2. _____
3. _____

Tasks for Selected Strategy: (Go to Classification Project Time-Task Chart)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Stakeholders = Task Force Participants:

Who: _____ Position: _____

Who: _____ Position: _____

Who: _____ Position: _____

Who: _____ Position: _____

Who: _____ Position: _____

State: _____

Who: _____ Position: _____

Who: _____ Position: _____

Who: _____ Position: _____

Who: _____ Position: _____

Potential Barriers:

1.

Coping Strategy:

2.

Coping Strategy:

State: _____

Overview of Classification

Evaluation Standards For Classification

**State of Being
Offender Assessment and Evaluation Profile**

Name: Joe Kautzer **BE ID#:** 399112

Date of Birth: 5/2/54 **Admission Date:** 01/18/01

Parole Eligibility Date: 01/07/02 **Maximum Release date:** 09/07/2003

Gender: Male **Race:** White

Current Offense: Theft **Sentence:** 4 years

Description of offense: Mr. Kautzer began his fourth incarceration as a parole violator in January 2001. He was on parole for indecent liberties with a minor (he had been convicted of fondling the genitals of two young boys, a charge he still denies despite participation in the sex offender treatment program). The new offense involved theft from a business (he stole tires, oil filters, oil, etc.) from the stock room of Jake's Auto Parts. He was angry because his employer required him to work on Christmas Eve, he needed money to pay bills and supervision fees, and his car needed a tune-up so that he could get to work. He did not like riding the bus.

Detainers: None

<u>Offense History</u>	<u>Year</u>	<u>Sanction</u>
Indecent Liberties with Minor	1998	5 years admitted 1/98, paroled 7/00
Burglary	1995	3 years @ BE DOC, sentence expired 2/97
Theft - 2 counts	1993	18 months - parole violation, returned, 4/94
Possession of Controlled Substance	1991	Probation
Assault and Battery (Domestic Violence)	1991	Dismissed

Note: Mr. Kautzer has a record extending back to 1964. He has multiple commitments to the BE training school (2) and group homes (1). His first adult conviction was at age 19 for burglary. The old record includes at least two convictions for drug-related charges, an assault and battery, and various property offenses. He ran away from the group home and received a disciplinary report for escape in June 1996 for walking away from a community correctional center.

<u>Needs Assessment and Evaluations</u>	<u>Level</u>	<u>Comments</u>
Medical	2	Orthopedic
Dental	2	Gingivitis
Mental Health	1	
Education	1	GED – prior term
Anger Management	2	
Substance Abuse	2	
Security Threat Group	0	

Institutional Disciplinary History

<u>Infraction</u>	<u>Severity</u>	<u>Date</u>	<u>Sanction</u>
Failure to obey posted rules	General	2/26/01	Dismissed
Disrespect	Major	3/15/01	Detention 2 days
Possession of money	General	5/19/00	Room restriction
Tampering with locks	Major	1/6/00	Ad segregation
Disobeying direct order	Major	11/13/99	Detention
Assault with injury	Major	4/8/96	Detention

Classification specialist's summary:

Mr. Kautzer reports that he had no problems while at the county jails. The recent major infraction stemmed from an incident during count during which he cursed at the correctional officer and made derogatory comments about the officer's mother because he was told to get off his bunk. He currently works as a library assistant and has received excellent reports from his supervisor. He refuses to participate in sex offender treatment because he completed the program during his prior incarceration.

While on parole, he was employed, but only reported sporadically to his parole officer. He has had no contact with the victims. His urine tests resulted in one dirty urine for THC in June 2000. He denies use of drugs; the positive urine was because his lady friend's son was smoking in the apartment while he was at work. He reports he is too old for drugs. He requests minimum custody.

NIC RESEARCH BRIEF

FINDINGS IN PRISON CLASSIFICATION AND RISK ASSESSMENT

James Austin, Ph.D.
The George Washington University

Introduction

The past three decades have witnessed considerable changes in prison classification systems. Prior to 1980 only the California Department of Corrections and the Federal Bureau of Prisons were using what are referred to as objective prison classification systems. Prior to 1980 virtually all of the state prison systems were using subjective classification methods that relied heavily upon the subjective judgment of a wide array of prison officials to determine where a prisoner would be housed and under what forms of supervision and security. Since then virtually all 50 states as well as Puerto Rico and the Virgin Islands have fully implemented objective systems.

The core distinguishing features of an objective classification system can be summarized as follows:

- The use of criteria that have been shown through research to be both reliable and valid factors to assess a prisoner's custody level;
- A centralized classification unit that is adequately staffed with well trained professional classification staff who have control over all inter-agency transfers;
- The centralized classification unit also is responsible for monitoring the classification unit and preparing all policies and procedures that pertain to classification;
- Full automation of the classification system so that each classification decision and the factors used to make each decision are recorded and available for analysis;

- An initial and reclassification process where all prisoners are reviewed at least annually to update and possibly modify the prisoner's current classification level; and,
- The use of over-rides that allow staff to depart from the scored classification level for reasons that have been approved by the agency.

With the wide proliferation of these classification systems, there is now a growing body of literature that is helping to shape and modify the first generation of prison classification systems. Some of these studies have been conducted by state prison systems while others have been sponsored by the federal agencies – in particular the National Institute of Corrections and the National Institute of Justice. The purpose of this report is to summarize new information and knowledge that is being learned through these studies. Based on these "lessons learned" some suggestions are offered on how credible and valid classification and risk assessment systems are needed more than ever in order to improve correctional agency operations and performance while reducing agency costs and recidivism.

Differences Between Prison Classification and Public Risk Assessment

As the field of prison classification and other risk assessment systems have advanced, a growing and more sophisticated terminology has evolved. Prison classification systems are designed to place prisoners in one of several custody levels that will impact which facility they will be assigned to and how they will be supervised by staff. While many of the classification factors used for this purpose are related to public risk factors, there are many that are not. In short, prison classification is largely

interested in identifying those prisoners who pose a risk to escape or will be a “management problem”.

Public risk assessment systems are primarily concerned with those factors that are associated with criminal behavior. In corrections, these systems are used by probation, parole and parole boards to identify offenders who are likely to continue to engage in criminal activities either in lieu of or after incarceration. Some of the better known public risk systems are Salient Factor Risk Instrument, COMPASS, STATIC 99, RAZOR, LSI-R, and LSI-SV. All of these assign an offender to a recidivism risk category. They are not to be used for making custody/security designations as they have been normed on samples of persons placed on probation or parolee based on their supervision violation, arrest, or re-incarceration rates. Although some of the factors used in risk assessment are the same used for prison classification, there are several that either do not apply (e.g., current employment status, current marital status, etc.) or are not predictive of prison conduct (e.g., age at first arrest, associations with criminal peer groups, etc.).

Differences Between External and Internal Prison Classification Systems

Within the prison classification domain, there are now two systems that are being used by state prison systems. The external system are used to place a prisoner at a custody level that will determine which facility to be transferred to. The internal system is used once the prisoner arrives at a facility and decisions must now be made on which cell or housing unit one should be assigned to as well as facility programs (education, vocational, counseling and work assignments). Well structured internal classification systems are relatively new and are still in their infancy while the external classification systems are far more advanced and established within most state prison systems.

Standards in Evaluating Prisoner Classification and Other Risk Assessment Instruments

Although prison classification and other risk assessment instruments are now fairly common within correctional agencies, there is a disturbing trend that suggests that many of these systems have not been properly designed and

tested prior to implementation. In particular, it is not uncommon for some jurisdictions to simply adopt another system that has been developed elsewhere and implement as is. As will be suggested below, any classification system must be tested on their level of reliability and validity on their offender population before the system is implemented. And even after the implementation occurs, there must be a process to regularly monitor and re-evaluate the overall effectiveness of the classification or risk assessment system.

The Logic of Prison Classification Systems

The typical external prison classification system consists of two scoring or assessment forms that when completed produce a scored and then final custody level. Most states use custody level names (minimum, medium, close, or maximum custody) while others use a level system (Level I, II, III, or IV). The scored custody level can be over-ridden by applying either discretionary or non-discretionary overrides. The former reflect a professional judgment by trained classification personnel to account for other factors not explicitly used in the scoring process. The latter reflects agency policy, which typically restricts the placement of certain prisoners in minimum/low security facilities. The discretionary over-rides should occur in 5-15% of all classified prisoners.

The initial classification instrument is applied at the time of admission. Since little is known about the prisoner’s institutional conduct unless he or she has been incarcerated before, the initial form places greater emphasis on the prisoner’s current offense, prior record and other background attributes.

The reclassification form is completed no later than 12 months after admission to prison and places more emphasis on the person’s conduct while incarcerated. This is achieved by scoring the prisoner on factors such as the number and type of misconduct reports that have been lodged against the prisoner, participation in a variety of programs offered by the prison system, and the inmate’s work performance. Conversely, some of the factors assessed at the time of admission either are deleted, reduced in their scoring importance, or have less influence over time.

For example, the prisoner's current offense may have been scaled so that upon admission the person could receive anywhere from 0 – 7 points. However, at the reclassification review, the maximum number of points is often dropped to five points. In a similar manner, a prisoner's history of a walk away or escape may only be counted for up to ten years after it occurred. These types of changes between the initial and reclassification allow prisoners to "work" their way to lower custody levels over time. An instrument that does not allow this to happen will result in a significant level of "over-classification" where prisoners convicted of serious crimes but have good conduct records remain in high custody levels for an excessive period of time.

Issues in Reliability

There have been several studies completed on some of the more complicated classification and risk assessment instruments. In particular, the LSI-R, LSI-SV, AIMS and AICS systems have had reliability studies completed and all have shown that unless there is a strong staff training and monitoring component, these instruments will fail to perform designed. Correctional agencies need to ensure that staff responsible for conducting assessments using what are largely psychometric test should be certified to perform such tests. This can be tested by simply drawing samples of prisoners who have been classified and have their scores re-computed by another staff person. If there is agreement with the scoring of each item used for a custody rating in at least 80% of the cases tested and there is agreement in the overall custody level for at least 90% of the sample, the system can be said to be reliable. Any percentages below these levels are seen as unacceptable. Moreover, if a classification or risk instrument is unreliable, it cannot by definition be valid.

In general, the more complicated the classification process is, the more unreliable it will be. For example, Van Voorhis, in her study, *Psychological Classification of the Adult Male Prison Inmate*, (1994) applied five different classification systems, including AIMS, to a sample population at a federal Bureau of Prisons penitentiary and camp. Van Voorhis found that AIMS had an unacceptably low level of reliability. Van Voorhis also tracked the classified inmates for six months to determine

how their classification related to their disciplinary and psychological prison adjustment. She found that in contradiction to the AIMS prediction, Kappas, especially at the beginning their terms, were more likely to be prey than Sigmas¹.

Austin et al., found that the LSI-R was not reliable in its application to prisoners appearing before the Pennsylvania Parole Board. Of the 54 items used on the LSI-R, only a handful met the 80% threshold criteria. The items that measure the prisoner's criminal history and other factual-based items tend had the highest level of agreement. Furthermore, there was substantial disagreement between the two LSI-R raters regarding the risk level (high, medium, and low) with agreement on risk level occurring in only 71% of the cases.²

More positive results have been noted for classification and risk instruments that have less than ten factors and can be scored from official documents as opposed to the use of a self administered questionnaire or survey. But this again assumes that the classification staff and those associated with the scoring process are professionally trained and tested on their scoring skills.³ The bottom line is that reliability is a key and essential feature of an objective prison classification system.

Issues in Validity

Once a system has passed the reliability test, one can then evaluate the validity of the system. The term "validity" generally pertains, among other things, to face and predictive validity. The latter has to do with whether the items used for classification make sense to those who are using them. In other words, do they

1 Van Voorhis, Patricia, *Psychological Classification of the Adult Male Prison Inmate*. Albany, NY: State University of New York Press (1994). p. 134-165.

2 Austin, James, Kelly Dedel-Johnson, and Dana Coleman. *Reliability and Validity of the LSI-R for the Pennsylvania Board of Probation and Parole*. Washington, DC: The George Washington University (2003).

3 Hardyman, Patricia L., James Austin, and Owan C. Tulloch. *Revalidating External Prison Classification Systems*. Washington, DC: National Institute on Corrections (2002).

have face value? The former is whether the items demonstrate a capacity to predict risk based on a statistical test of association. Note that a risk factor can pass the face validity test but not the predictive test and vice versa.

Validation studies are completed by taken a sample of prisoners (an admission, release or current population cohort) and tracking their misconduct for some period of time. Statistical tests are completed to determine what prisoner attributes are associated with prisoner misconduct.

In general, the vast majority of prisoners never become disruptive or difficult to manage. The most serious forms of disruptive behaviors with a prison (homicides, escape, aggravated assault on inmates or staff resulting in serious injuries, and riots) are rare events. The vast majority of staff and prisoners never become the victims of such incidents. And because they are rare events, they are very difficult if not impossible to predict which prisoners and under what circumstances such acts will occur.

For example, in the California 155,000 inmate prison system, which is one of the few states that openly reports these data, the rate of serious incidents (defined as assault and battery, attempt suicide, suicide, possession of a weapon, and possession of controlled substances) is approximately 8 per 100 prisoners per year.⁴ The assaults and batteries comprise about half of these incidents. There were 30 suicides and 13 homicides in 2001. The stabbing rate is 0.4 per 100 prisoners. If one were to compute a homicide rate for the CDC population it would be approximately 8-9 per 100,000, which is slightly above the 6.4 rate for the citizens of California. Given the demographics of the CDC population one can argue that the homicide rate is actually lower for this population while incarcerated than those who are on the street.

Factors Associated with Misconduct

Over the past three decades, a considerable amount of research has been conducted on those factors that have been shown to be predictive of prisoner behavior and recidivism. Despite some of the difficulties

associated with prediction, objective prison classification systems that use reliable and valid scoring criteria have been repeatedly shown to classify prisoners according to their level risk to become involved in prison misconduct. Because the rate of violence in prisons is relatively rare, these instruments are less useful in identifying prisoners who are likely to assault or seriously injure fellow prisoners or, even less frequently, staff.

In general, those factors that have been shown to be most predictive of prisoner behavior are as follows:

1. Current age: older prisoners are less involved in all forms of misconduct.
2. Gender: females are less involved in violent incidents.
3. History of violence: prisoners with a recent history of violence are more likely to continue that behavior.
4. History of mental illness: those with such a history are more likely to be involved in all forms of misconduct.
5. Gang Membership: gang members are more likely to be involved in all forms of misconduct.
6. Program Participation: those prisoners who are not involved in nor have completed programs are more likely to be involved in all forms of misconduct.
7. Recent Disciplinary Actions: those prisoners who have been recently (past 12 months) involved in misconduct are more likely to continue to be involved in future disruptive behavior.

Perhaps more interesting is the fact that many factors used for classification have little if any predictive capabilities but exert a strong influence on the custody designation process. Such non-predictive factors include:

1. Severity of the offense;
2. Sentence Length;
3. History of Escape;
4. Time Left to Serve;
5. Detainers, and,
6. Alcohol and Drug Use;

This is not to say that these factors should not be used. In many ways they reflect correctional policy that is often held accountable to a non-achievable zero tolerance for error.

⁴ See California Department of Corrections web site <http://www.cdc.state.ca.us/pdf/Beh2001.pdf>.

While it may be that very few persons convicted of murder or a sex offense with long prison terms become management problems or escape, if and when one does, the media and political assault on the correctional agency is simply too unbearable to assume even such a level of low risk. However, agencies need to constantly review their classification policies to ensure they are not being overly restrictive.

One example of such a policy would be the requirement that the severity of the offense alone would require all such prisoners be housed in maximum security for an extensive period of time when it is clear that many such prisoners could be safely housed in a medium security setting.

Finally, it should be noted that because female prisoners are far less likely to become involved in serious or potentially violent behavior while incarcerated, as a class they are likely to be over-classified under a system that has been normed on a male prisoner population. For this reason, the classification system should be adjusted based on a separate study of the female population's misconduct rates to ensure that such over-classification does not occur.

The Impact of the Prison Management and Environment

Very little is understood and appreciated on the influence of environmental factors on prisoner and staff behavior. It would be difficult to find a correctional official, warden, superintendent, or line officer who does not agree that a facility's architectural design has a corresponding influence on prisoner behavior. Facilities that rely upon open views of housing, dining and recreation areas as oppose those with numerous "blind" spots tend to produce more disruptive and potentially dangerous behavior. But it is unlikely in today's fiscal environment that many of the antiquated prison facilities where many prisoners are housed will be replaced in the near future. Nonetheless, there many potential lessons one could learn about the impact of architectural design on suppressing or controlling inmate behavior. Unfortunately, there few if any studies that have assessed the impact of prison architecture on prisoner behavior.

Similarly and perhaps more importantly, it also well know that similarly designed facilities

with similarly situated prison populations can produce very different rates of prisoner misconduct both within and across state prison systems. Corrections directors have long known this fact. Each major system with multiple facilities has wardens who are able to "handle" problem prisoners that cannot be handled elsewhere. The field is also filled with stories of how prisoners transferred out of state to another state suddenly start behaving differently.

Such variations in misconduct rates for prisons that are equivalent in design and prison population attributes must be related to differences in management style adopted by each prison administrator. But here again, there are no studies except for an occasional books about the great wardens of the last century who ruled with an iron fist and velvet glove or more recent evaluations of internal classification. A "back to basics" management methods coupled new methods in risk assessment offer the best promise of reducing and controlling prison violence.

Such studies would also include assessments of the often advocate but still highly controversial "super max" facilities. Specifically we need answers to how best to identify such prisoners, how long should they remain segregated from the general population; what interventions are needed used to control high risk behavior, how they are released to the general population; and what is their behavior after release from these units. Without such basic research, it is difficult to propose new methods for the identification of such prisoners and to apply interventions that will help control and manage the high-risk prisoner.

The Need to Link Prison Classification, Risk Assessment, and Release Decisions

The recent developments in prison classification and risk assessment systems suggest an interesting opportunity to apply well established correctional management/risk assessment tools to assist state correctional agencies facing budgetary and other emerging issues. The past three decades have witnessed an unparallel increase in the nation's prison population. In 1970, the state and federal prisons held only 196,429 inmates. Today the number has reached 1.3 million, and those numbers do not include another 600,000 in jail, and nearly 110,000 in juvenile facilities. Despite this

dramatic increase in the use of incarceration, there are now signs that some states are beginning to slow or reduce their prison populations. The U.S. Department of Justice's Bureau of Justice Statistics (BJS) reports that the nation's prison population grew by only 1.6 percent between 1999 and 2000 -- the lowest rate of growth since 19905. Perhaps more interesting is that the growing trend of several states reporting declines in the prison population. Between 1999 and 2000, 15 states reported either declines or no growth including some of the largest prison populations (California, Texas, New York and Ohio).

Further reductions are expected in several key states as states take advantage of the recent declines in crime rates coupled with administrative and legislative actions to either divert offenders or reduce their period incarceration. Some states with indeterminate sentencing structures and discretionary release are implementing new parole guidelines that serve to increase the rate of parole (Texas, Kentucky, and Pennsylvania). Other states are restricting the re-admission of parolees who have violated their terms of parole for technical reasons for being arrested for misdemeanor level crimes.

There is also a growing interest on "reentry." As the number of released prisoners increase (nearly 600,000 per year), there is a growing interest to reduce the number re-arrested and/or are re-incarcerated. This concern is further fueled by the fact that a growing number of inmates are being released with no form of parole or community supervision. Moreover, concerns are being voiced on the lack of programming and services both within and outside the prison system.

As the pressures grow to control or reduce prison populations, there will be a related need to use classification and risk assessment instruments to make the following key decisions:

1. What level of security and programs should the prisoner be exposed to while incarcerated?

2. When should the prisoner be released and under what forms of supervision and services?

In order for these two basic questions to be answered, there must be a well coordinated and virtually seamless classification and risk assessment processes in place that function from the time of admission to prison through release from parole or other forms of post incarceration supervision. The vast majority of states have retained indeterminate sentencing structures where a parole board has the authority to determine when and how a prisoner is released. And even states that have adopted determinate sentencing typically have retained the authority to determine the level and length of post incarceration. Improving our ability to assess and manage the level of risk posed by the millions of persons who pass through the nation's probation, prison and parole systems each year is a goal we can longer afford to ignore or neglect.

⁵ Bureau of Justice Statistics, *Prisoners in 2000*. Washington, D.C.: US Department of Justice.

Internal Classification

Internal Classification

Comprehensive Objective Prison Classification

**Developing Objective
Classification Systems**

**Integrated Approach for
Assessing Risk & Needs**

**What is Risk & Needs
Assessment?**

- Comprehensive "Internal" prison classification
- Compliments external classification
- Formalizes many current *informal* classification practices
- Improves staff and inmate safety
- Enhances offender management
- Prioritizes program participation

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**Types of Internal
Classification Systems**

- Adult Internal Management System (AIMS)
 - ◆ Developed over 20 years ago
 - ◆ Identifies inmates according to personality typology
 - ◆ Relies on two instruments
- Prisoner Management Classification System (PMC)
 - ◆ Also known as Client Management Classification (CMC)
 - ◆ Requires significant training
- Behavior-Based Systems
 - ◆ Assesses inmates according to behavior

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**Standards for Internal
Classification Systems**

- Objective is to match inmates w/ housing, work, etc.
- Encourage least restrictive classification
- Should compliment external system
- Clearly defined goals & objectives
- Formal procedures and policies developed
- Provide for collection of data
- Instruments should be objective and automated
- Allow use of over-rides
- Provide for mgt. problem and special need inmates
- Must involve inmate in process
- Provision for systematic review of decisions
- Review annually, evaluate every three years
- Procedures consistent w/ constitutional requisites
- Administration & line staff involved in design

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Components of Internal Classification

- Incorporates institutional risk
- Driven more by disciplinary action
- Directs housing type
- Directs internal supervision level
- Can link with privileges & access to work/programs
- Should be more dynamic than custody

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What Does Internal Classification do for Safety?

- Assist in managing inmates internally based upon their disruptive behavior
- Placing the right inmates in secure housing reduces assaults
- Inmates needing higher supervision are not always placed in most secure housing
- Consistently applies agency housing policy system-wide

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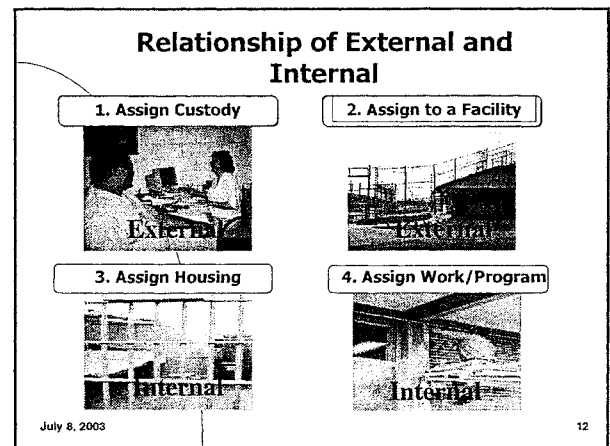
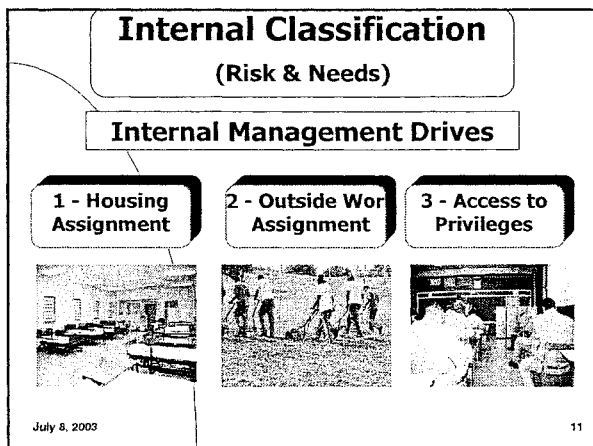
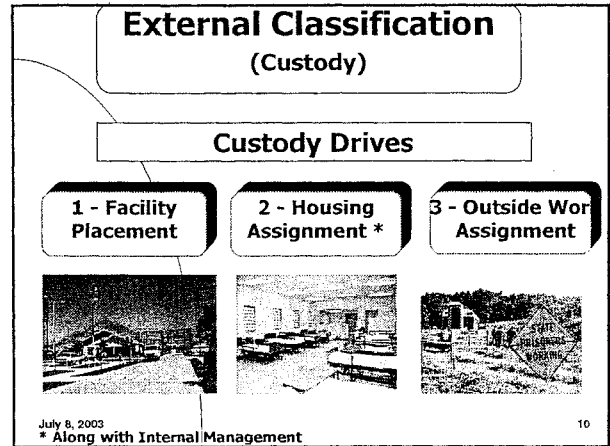
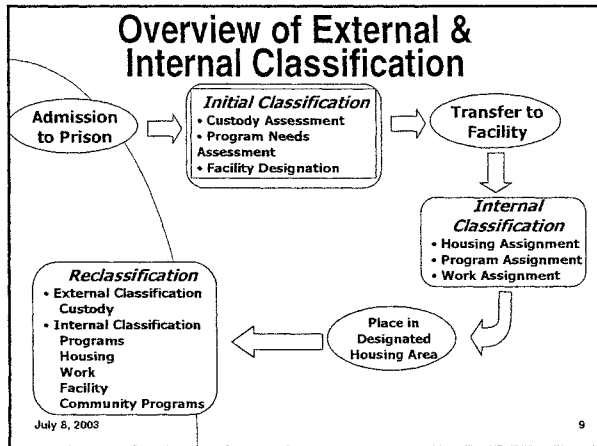
External & Internal Classification

Purposes of a Classification System

- To assess and group offenders for the purpose of designating security and custody
- To diagnose offenders and determine programs and services, vocational programs, educational programs, and work programs, based on their need and the availability of services
- To designate offenders for the appropriate housing placement within a facility or institution
- To schedule reviews of security, custody, and program placement and to reassess needs and progress for possible reclassification
- To assess inmates for placement in community transition programs for special needs

- Solomon, Larry and Alethes Taylor Camp, "The Revolution in Correctional Classification," in Classification: A Tool for Managing Today's Offenders, ACA 1993.

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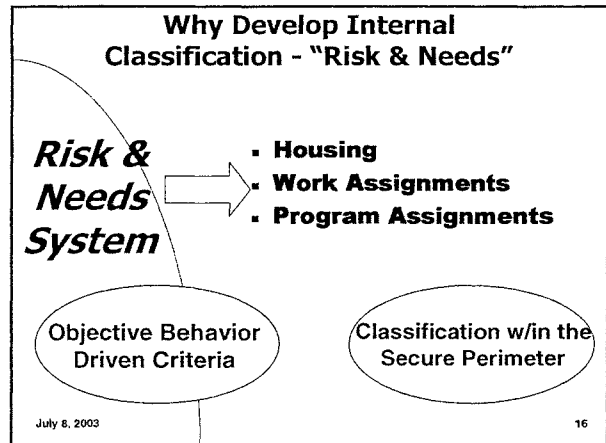
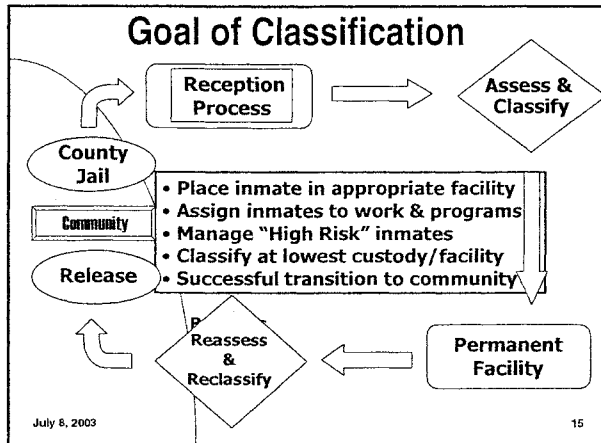


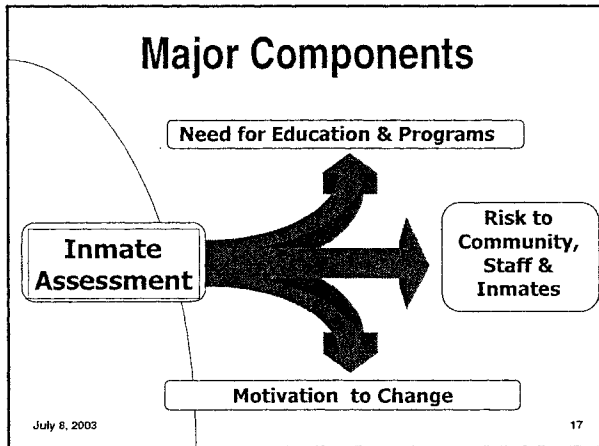
Classification of Facilities & Inmates

	Internal Classification Levels				
	Level 5	Level 4	Level 3	Level 2	Level 1
Maximum	Death Row				
Close	Ad Seg. Facility	Close Custody			
Medium			Medium Facility	Work Camp	
Minimum Rest.				Work Camp	
Minimum					Work Release

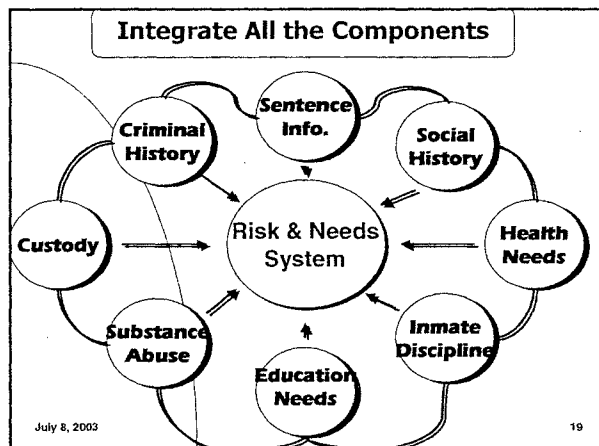
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System Integration





- ### Needs Assessment
- Identifies the following needs:
 - ◆ Academic education
 - ◆ Vocational training
 - ◆ Substance abuse treatment
 - ◆ Other programs
 - Update with new accomplishments
 - Initial and continual assessment
 - Should prioritize the assessed need
- July 8, 2003 18



Sample Risk & Needs Instrument

Tracking Assessments!

IM40 0 524469 DCLACJ 09/24/1998 16:46:23 PAGE 1
 IRN001 INMATE MANAGEMENT PLANS EXT STA: ACTIVE TRD: 03/27/2007
 DC#: 524469 NAME: ACEVEDO, MIGUEL P. 7/1 CUR.LOC: COLUMBIA C.I. TEAM: 07 CUSTODY: CLO WK.ASG: S26 INT.STA: GP
 ACT ASSESSED FACL FROM TO AM RP AE VO SA WC WR PI OW CU IM OI HO 1 2 3
 08/10/1998 201 08/10/1998 1 1 5 1 0 3 0 0 0 4 4 0 5 WC AE
 08/11/1998
 08/20/1998 201 08/20/1998 4 2 5 1 0 3 0 0 0 4 4 3 5 WC AE
 08/21/1998
 08/28/1998 201 08/28/1998 5 3 5 1 0 3 0 0 0 4 4 3 5 AE WC
 08/28/1998

DISPLAY COMPLETE I=IM41, J=IM42, K=IM43, L=IM44
 M=IM45, N=IM46; F1=IRN SCREENS

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STG (Gang) Data

IM41 0 524469 08/10/1998 DCLACJ 09/24/1998 16:55:04 PAGE 1
 IRN002 INMATE RISK & NEEDS (GANG DATA) EXT STA: ACTIVE TRD: 03/27/2007
 DC#: 524469 NAME: ACEVEDO, MIGUEL P. 7/1 CUR.LOC: COLUMBIA C.I. TEAM: 07 CUSTODY: CLO WK.ASG: S26 INT.STA: GP
 I. ASSESSMENT DATE: 08/10/1998 REVIEWED BY: WRA02 = WILLIAMS, ROBERT A
 A. INITIAL S.T.G. INFO: Y B. SUBSEQUENT S.T.G. INFO:
 ACTION SEQ. CATEGORY NAME OF GANG OR GROUP
 01 A INMATE INDICATED GANG MEM LATIN KINGS
 PLACE OF AFFILIATION: STREET: BROOKLYN-CHURCH STREET
 CITY: NEW YORK STATE: NY = NEW YORK
 PRISON: _ =
 STAFF COMMENT(?): N (PF11)
 DISPLAY COMPLETE F1=IRN SCREENS, F2=IM40, F3=IM42
 F7=S&G REPORT, F1=COMMENT

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Outside Influences

IM42 0 524469 08/10/1998 DCLACJ 09/24/1998 16:59:35 PAGE 1
 IRN007 INMATE RISK & NEEDS (I2) EXT STA: ACTIVE TRD: 03/27/2007
 DC#: 524469 NAME: ACEVEDO, MIGUEL P. 7/1 CUR.LOC: COLUMBIA C.I. TEAM: 07 CUSTODY: CLO WK.ASG: S26 INT.STA: GP
 ASSESSMENT DATE: 08/10/1998 SCORED BY: WRA02 = WILLIAMS, ROBERT A
 I.B.1. FAMILY RELATIONSHIPS: A = POSITIVE INFLU 3 POINTS
 2. CONCERN FOR CHILDREN: A = AVERAGE CONCERN 3 POINTS
 3. INMATE RELATIONSHIPS: B = NEUTRAL INFLU. 2 POINTS
 4. ASSOCIATES/FRIENDS: B = NEUTRAL INFLU. 2 POINTS
 5. ENEMIES: A = NO ENEMIES 3 POINTS
 6. ATTORNEY/LEGAL REP: B = NEUTRAL RELAT 2 POINTS
 7. OTHERS: A = POSITIVE INFLU 3 POINTS
 OI SCORE: 3 = NEUTRAL INFLU. TOTAL 18 POINTS
 F1=IRN SCREENS, F2=IM41, F3=IM43
 DISPLAY COMPLETE

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Attitude & Motiv.; Internal Risk; RP

IM43 0 524469 08/10/1998 DCLACJ 09/24/1998 17:05:09 PAGE 1
 IRN003 INMATE RISK & NEEDS (I2) EXT STA: ACTIVE TRD: 03/27/2007
 DC#: 524469 NAME: ACEVEDO, MIGUEL P. 7/1 CUR.LOC: COLUMBIA C.I. TEAM: 07 CUSTODY: CLO WK.ASG: S26 INT.STA: GP
 ASSESSMENT DATE: 08/10/1998 REVIEWED BY: WRA02 = WILLIAMS, ROBERT A
 III. ATTITUDE AND MOTIVATION
 1. INTERESTED IN PARTICIPATING: A = ALL PRIMARY PROGRAMS
 2. PREFERRED PROGRAMS: 1ST: B070300 = COMPUTER PROGRAMMING
 2ND: =
 3RD: =
 3. WORK ASSIGN OR PREFERENCE: A = YES, INMATE HAS WORK PREFERENCE
 PREFERRED WORK ASG: 1ST: M19 = PLUMBING
 2ND: S13 = HOUSEMAN
 3RD: =
 4. INTEREST AND MOTIVATION: A = GOOD
 AM SCORE: 1 = LOW MOTIVATN FOR PGM
 IV. INTERNAL RISK
 1. VIOL. FEL CONV.(IN PRISON):
 2. CPU ASSESSMENT SCORE: 5 = POTENTIAL VERY HIGH
 V. RESTRUCTURING POTENTIAL
 RP SCORE: 1 = LOW PRIORITY
 F1=IRN SCREENS, F2=IM42, F3=IM44

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Primary Recomm.; Results

IM44 0 524469 08101998 DCJ ACOJ 09/24/1998 17:10:25
 IRNB004 INMATE MANAGEMENT PLAN (112) PAGE 1

DC#: 524469 NAME: ACEVEDO, MIGUEL P. EXT. STA: ACTIVE TRD: 03/27/2007
 7/1 CUR. LOC: COLUMBIA C.I. TEAM: 07 CUSTODY: CLO WK. ASG: S26 INT. STA: GP
 ASSESSMENT DATE: 08/10/1998 PREPARED BY: WRA02 = WILLIAMS, ROBERT A
 FACILITY: 201 = COLUMBIA C.I.

TESS: HIGH VASS: DIS: DSS: I:
 SUCCESS FACTORS: AM: 1 LOW MOTIV RP: 1 LOW PRIORITY
 PROGRAM FACTORS: AE: 5 MOST IN NEED VO: 1 LEAST IN NEE SA: 0 NO NEED
 WC: 3 MODERATE NEE WR: 0 NO NEED PI: 0 NO NEED
 OW: 0 NO NEED

INTERNAL RISK FACT: IM: 4 MOD-HIGH RIS OI: 0 HO: 5 SECURE CELL
 SECONDARY FACTORS: WL: 1 LEAST IN NEE GS: 3 MOST IN NEED TP: 1 > 24 MTHS TO

WK/PGM: RECOMMENDATION	ASSIGNMENT	PLACEMENT
1. WC WORK COMPETENCY	AM S13 HOUSEMAN	W1 - MET 1ST RECOM
2. AE ACADEMIC EDUCATION	PM S13 HOUSEMAN	
3.	EV	

HOUSING: RECOMMENDATION ASSIGNMENT PLACEMENT
 5 - SPECIALIZED HOUSING SC - SECURED CELL H1 - MET PLACEMENT

TRANSFER?: N STAFF COMMENT?: N (PF11)
 DISPLAY COMPLETE F1=IRN SCREENS,F2=IM43,F3=IM45
 F8=IM29

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Inmate Management Plan

IM45 0 524469 08101998 DCJ 09/24/98 17:18:00
 IRNB005 INMATE MANAGEMENT PLAN (22) PAGE

DC#: 524469 NAME: ACEVEDO, MIGUEL P. EXT. STA: ACTIVE TRD: 03/27/2007
 7/1 CUR. LOC: COLUMBIA C.I. TEAM: 07 CUSTODY: CLO WK. ASG: S26 INT. STA: GP
 ASSESSMENT DATE: 08/10/1998 PREPARED BY: WRA02 = WILLIAMS, ROBERT A
 PERIOD FROM: 08/10/1998 PERIOD TO: 08/11/1998 PLAN COMPLETED: 08/10/1998

ACT	GOAL CODE & DESCRIPTION	OBJECTIVE CODE & DESC.	STATUS CD.&DESC
	AA PARTIC. IN ACAD. ED.	A1 EARN GED	E4 FUTURE PLACEMENT
	BA PARTIC. IN VOC. ED.	B4 DEFER PARTICIPATION	V4 FUTURE PLACEMENT
	CZ NONE	S9 NO SUB AB PRG NEEDS	
	DB MAINTAIN WORK ETHIC	D2 EARN ABOVE SAT RATN	W1 EARNED AB SAT RAT
	EA COMPLY SEC. BEHAV. O	E1 EXCEED SECURITY STND	C1 EARNED AB SAT RAT
	FA ADHERE-RULES PROH CG	F1 MAINTAIN CLEAR DR RE	C5 NO DR'S DURING RPT P
	GA INTRO TO HOLISTIC	G1 COMPLETE WLLNSS PG	R4 FUTURE PLACEMENT
	HA PARTIC. SELF-BETT. P	H1 COMPLETE GO-LAB	B4 FUTURE PLACEMENT
	IZ NO GOAL	X9 INELIGIBLE FOR CWR	
	JZ NO GOAL	T9 INELIGIBLE FOR RELEA	

COMMENT TO INMATE?: N (F11) PLAN PRINTED?: N
 DISPLAY COMPLETE F1=IRN SCREENS,F2=IM44,F3=IM46
 F7=REPORT

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Inmate Management Plan:

- Goals
 - ◆ Prioritize program placement
 - ◆ Identify eligible outside work inmates
 - ◆ Identify potential work release inmates
 - ◆ Develop housing recommendations
 - ◆ Develop goals and objectives (inmate plan)
 - ◆ Track performance

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Risk & Needs Process

1. Classification Officer interviews inmate & completes "Risk & Needs" instrument
2. Classification team meets with inmate; develops goals & objectives for Inmate Management Plan
3. Approved IM Plans are distributed to the inmates

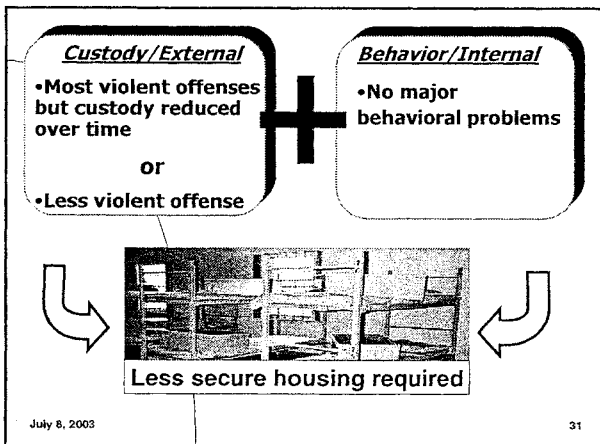
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Risk & Needs Applications

1. Housing Assessment for Internal Classification

- Utilize criminal history *and* behavioral criteria
- Links to both external and internal assessment instruments
- Specifies a "type/security level" of housing
- Drives planning & construction

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Classification of Facilities & Inmates

		Internal Classification Levels				
		Level 5	Level 4	Level 3	Level 2	Level 1
C u s t o d y	Maximum	Death Row				
	Close	Ad Seg. Facility	Close Custody			
	Medium			Medium Facility	Work Camp	
	Minimum Rest.				Work Camp	
	Minimum					Work Release

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Automated Bed Inventory

- Every facility identified in database
- Every housing unit identified within a facility (dorm, etc.)
- Every wing and floor identified within a housing unit
- Every bed identified within wings
- Mission and type of bed listed

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Bed Inventory Example:

Rock Island Correctional Institution: Facility 101



- Housing Unit "A"
- Wing 1
- 2nd Floor
- Cell 05
- Top Bed
- Ad. Seg Mission

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2. Work Assignments

- Work assignment eligibility:
 - ◆ risk
 - ◆ exclusions
 - ◆ privileges
- Outside Work - level of eligibility
- Eligibility for working in prison industries
- Work Release eligibility & priority

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3. Program Assignments

- Substance Abuse programs
- Academic Education
- Vocational Education
- Counseling
- Other programs

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Priority Ranking System

- Ranks inmates statewide for:
 - ◆ academic education
 - ◆ substance abuse programs
 - ◆ vocational education
 - ◆ work release program
- Automatic reports to all institutions, regional offices, central office
- Provides instant feedback as to effectiveness

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**Priority Ranking
Top 500 List**

New Search Criteria

Region All Regions, Facility 004 - Lowell CI Men's Unit, and GA Program

As Of: 09/24/2001 11:09:25

Your Search Returned 15 Records.

Photo	Rank	DCP	Last	First	Reg	Fac	Regn	Sls	Hm	Admit	FRD
	11	223924	O'NEILL	LAWRENCE	3	004 - Lowell CI Men's Unit	SA	GP		6/7/99	6/20/01
	20	620954	FITCH	CLIFFORD	3	004 - Lowell CI Men's Unit	SA	GP		12/24/91	1/24/02
	30	220298	HARVEY	ANTHONY	3	004 - Lowell CI Men's Unit	SA	GP		8/7/95	5/20/01
	41	140544	WITTEJHUIS	KEVIN	3	004 - Lowell CI Men's Unit	SA	KC		6/8/96	12/20/04
	103	100395	LARGOUR	ALBERT	3	004 - Lowell CI Men's Unit	SA	GP		5/2/99	6/20/01

Automation of Risk & Needs

Why Automate Risk & Needs?

- A tool to help case managers
- Helps manage increases in inmate population
- Assists less experienced staff
- Standardizes agency policy

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Why Automate Risk & Needs?

- Provides system-wide check & balance
- Provides immediate feedback at all levels
- Provides improved analysis capability
- Allows system to turn on a dime
- Ultimately saves \$\$\$

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Example of Benefits!

- Housing - \$40 million returned
- 2001 Davis Productivity Award for Priority Ranking System \$4.3 million cost avoidance
 - Overall fill rate for substance abuse programs increased from 90% to 100%
- Reduction in outside assignment vacancies from 4,000 to zero statewide
- Work Release fill rate increased from 85% to 95%

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"Providing leadership and assistance to the field of corrections"

Jails

Prisons

Community Corrections

High Risk and Special Needs

Predicting Violence and Escapes

Key Concepts

Individual versus Societal Factors

Such as Stress, Strain, Social Control, Subcultures, Labeling

Static versus Dynamic Factors

Risk Assessment Factors

- 1. Current Personal Attributes (Static and Dynamic)**
- 2. Developmental/Historical Factors (Static)**
- 3. Contextual Factors (Dynamic)**
- 4. Clinical Factors (Dynamic)**

False Positives

False Negatives

Base Rates

Necessary and Sufficient Conditions

Control Variables / Spurious Relationships

<u>Mental Health Indicators</u>	<u>Rate of Violence</u>
Schizophrenia	
Yes	11-13%
No	2%
	25%
Alcohol Abuse	
	35%
Drug Abuse	
Hospitalized for Mental Health	
Yes	26%
No	15%
<i>Little difference when controlled for gender, age, ethnicity</i>	
<u>Clinical Judgments</u>	
Males	
Predicted	45%
Actual	42%
Females	
Predicted	22%
Actual	49%

Source: John Monahan, *Mental Illness and Violent Crime*. Washington, DC: National Institute of Justice, October 1996.

Intervention Strategies

Communication of Risk Information

1. **Assessing Risk**
 - a. Instruments
 - b. Intake Process
 - c. Interviews
 - d. Observations

2. **Communicating to Staff**
 - a. **Computer/Electronic**
 - Unit Profiles
 - Individual Record Access
 - Trends

 - b. **Face to Face**
 - Daily Briefing
 - Shift Changes

3. **Communicating to Inmates**
 - a. Legal Requirements
 - b. Impact on behavior
 - c. Initial Orientation
 - d. Regular Reviews
 - e. Ad Hoc Access

Staffing/Training

1. Basic Training
2. In-Service
3. Special Seminars

Changing the Environment

- 1. Number of Staffing**
- 2. Type of Staff**
- 3. Number of Inmates**
- 4. Types of Inmates**
- 5. Housing Strategies**
 - a. Single/Double ‘Celling’**
 - b. Linking housing to programs/work assignments**
 - c. Unit Management**
 - d. Accommodations**
 - TV/Radio/Linen/Ventilation/Food Service**
- 6. Daily Activities**
 - a. Programs**
 - b. Work**
 - c. Recreation**
 - d. Special Events**

Specialized Intervention Programs

Table 1

U.S. Recidivism Study
1983 Releases – 11 States

Follow-Up Time Period	Re-Arrested	Re-Convicted	Re-Incarcerated
6 months	25%	11%	8%
1 Year	39%	23%	19%
2 years	55%	38%	33%
3 Years	63%	47%	41%

Source: Bureau of Justice Statistics, 1989.

Table 2

Reincarceration Rates for Pennsylvania, Texas and Kentucky, 1994-1997

Year	Texas		Pennsylvania		Kentucky
	Two Years	Three Years	One Year	Three Years	Two Years
1994	32%	41%	27%	50%	35%
1995	24%	35%	27%	48%	33%
1996	23%	33%	21%	39%	34%
1997	21%	31%	22%	42%	32%
Change	-11%	-10%	-5%	-8%	-3%

TABLE 3
Texas Two-Year Recidivism Rates
For Prisoners Released January 1 - April 30, 1998

Recidivism Measures	N	%
Re-Arrested	3,350	37%
Felonies	1,589	18%
Misdemeanors	1,761	19%
Re-Incarcerated – Texas	2,267	25%
Re-Incarcerated -- Anywhere	2,333	26%

Table 4
Texas Recidivism Rates by Type of Release

Release Type	Releases	2 Year Re-Arrest		2 Year Re-Incarceration
		All Arrests	Felonies	
Parole	3,305	32%	15%	18%
Mandatory Supervision	5,204	39%	18%	31%
Discharges	570	44%	21%	11%
Total	9,079	37%	18%	25%

Table 5
Arrests of Individuals on Parole or Mandatory Supervision
While Under Active Supervision
Compared to All Adult Arrests

Item	Number
Parolees / MS Offenders under Active Supervision	78,031
Arrests of Parolees and MS Releases in September 1999	1,704
Estimated Arrests of Parolees/MS for 1999	20,448
Adult Arrests Reported to Department of Public Safety in 1999	914,463
Parole / MS Arrests as Percent of All Adult Arrests	2.2%

Source: Texas Criminal Justice Policy Council, 2000

Table 6
Pennsylvania Three-Year Re-Incarceration Rates
1997 Releases

Prisoner Attribute	N	Re-Incarceration Rate
Overall Rate	9,431	42%
Method of Release		
Parolee	6,964	50%
Sentence Complete	2,467	19%
Marital Status at Release		
Single	6,278	44%
Married	1,621	40%
Divorced/Separated	1,419	37%
Gender		
Male	8,804	43%
Female	622	27%

Source: Pennsylvania Department of Corrections, 2001.

Examples of Factors That Predict

Static Factors	Relationship to Recidivism
Age at 1st Arrest	Earlier age means higher rates
Gender	Males have higher rates – more violence
Prior Supervision	Prior violations means higher rates
Mental Health	Past problems means higher rates
Current Offense	Robbery, Burglary, Theft have higher rates
Substance Abuse	Past problems means higher rates
Alcohol Abuse	Past problems means higher rates
Marital Status	Never married means higher rates
Education Level	Low education means higher rates
Past Employment	Poor past record means higher rates
Past Gang Affiliation	Involvement means higher rates
Criminal Peer Groups	Past involvement means higher rates
Dynamic Factors	Relationship to Recidivism
Current Age	Older (40 +) means lower rates
Current Ed Level	Higher achievement means lower rates
Current Marital Status	Single means higher rates
Prison Class Level	Lower class level means lower rates
Prisoner Conduct	Poor record means higher rates
Current Employment	Employed means lower rates
Financial Assistance	Assistance means lower rates
Residency	Stable location means lower rates
Treatment	In treatment (if needed) means lower rates

Major Points

1. Most Prisoners Do Not Return To Prison But Most Are Re-Arrested
2. Most Prisoners' Rate of Offending Drops Sharply After Release
3. Recidivism Rates Have Remained Largely Unchanged Over The Past Three Decades
4. Length Of Stay (LOS) Does Not Predict Recidivism
5. Persons Who Discharge Have Significantly Lower Return To Prison Rates
6. Only A Small Proportion of the Crime Rate Is Attributed to Released Prisoners (3-5%)
7. Prisoners Come From and Return To Concentrated Urban Areas
8. A Large Number Of Low Risk Prisoners Exist Who Could Be Released Without Jeopardizing Public Safety
9. Substantial Reductions in the Prison Population Can Be Achieved By Moderate Reductions in LOS and Diversion of Parole and Probation Technical Violators
10. Both Administrative and Legislative Actions Are Needed to Achieve These Reductions

Table 7

Measures of Social Stress Related to State Rates of Crime and Mental Illness

Economic Stressors	Family Stressors	Other Stressful Events
1. Business Failures	1. Divorces	1. Disaster Assistance
2. Unemployment Claims	2. Abortions	2. Population Stability
3. Work Stoppages	3. Illegitimate Births	3. New Housing Units
4. Bankruptcy cases	4. Infant Deaths	4. New Welfare Recipients
5. Foreclosed Home Loans	5. Fetal Deaths	5. High School Dropouts

Source: Linsky and Straus, 1986

Table 8
Social Demographic Indicators Related to Crime Rates, 1990-1997

Year	Crime Rate	Median Age	% Of Population 15-24	Unemployment Rate	AFDC Recipients (in 1,000s)	Abortions (in 1,000s)	Teenage Birthrate (per 1,000)
1990	5820	35.2	14.8%	6.2%	12159	1609	83.8
1991	5898	35.3	14.4%	7.0%	13489	1557	83.2
1992	5660	35.4	14.2%	7.4%	14035	1529	80.7
1993	5484	35.6	14.0%	6.6%	14115	1500	80.1
1994	5374	35.7	13.9%	5.6%	14276	1431	78.8
1995	5276	35.8	13.8%	5.4%	13931	1364	77.7
1996	5087	35.9	13.7%	4.8%	12877	1366	70.6
1997	4923	36.1	13.7%	4.6%	11423	NA	NA
% Change	-15%	3%	-7%	-26%	-6%	-15%	-16%

Sources: March 1999, Current Population Survey. Poverty and Health Statistics Branch/HHES Division U.S. Bureau of the Census U.S. Department of Commerce. Population Estimates Program, Population Division, U.S. Census Bureau, Washington, D.C. Internet Release Date: December 23, 1999

Classification Curriculum Project

Women's Classification Issues

**CLASSIFICATION OF WOMEN OFFENDERS:
A SUMMARY OF DEVELOPMENTS IN SELECTED SITES:
Executive Summary**

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I. INTRODUCTION

Since 1990, the number of incarcerated women increased by 108 percent while men accounted for a 77 percent increase.¹ While these statistics do not surprise correctional administrators, many note that correctional systems remain ill equipped to address the security, programming, and special needs presented by women offenders. Women offenders confront correctional systems with a unique set of needs and issues. There is widespread agreement that incarcerated women differ from their male counterparts in terms of their behavior, as well as their medical, substance abuse, mental health, and family issues.² Moreover, the constellation of characteristics and needs associated with institutional adjustment manifest differently in women versus men. Women pose little threat of violence or escape; however, their significant substance abuse and mental health histories can produce adjustment problems that are difficult to predict.

These differences are particularly important to institutional classification systems, yet they are poorly accommodated and under-researched. In fact, earlier surveys of corrections personnel found a clear consensus of opinion; correctional classification systems have not provided necessary information about women offenders; they were not adapted to women, and were not useful in matching women to appropriate custody levels or programming.³ While objective prison classification systems for male inmates were well established in virtually every state, objective classification for female inmates seemed to have been an afterthought.

In response to this critical need for gender-specific, objective classification systems, the National Institute of Corrections (NIC) entered into two cooperative agreements, one with the Center for Criminal Justice Research at the University of Cincinnati, and another with the Institute on Crime Justice and Corrections at George Washington University.⁴ The two projects produced a national assessment of current practices for classifying women offenders (conducted at the University of Cincinnati), and technical assistance to improve classification systems in seven states. This report highlights the findings of this work.⁵

II. Classification Issues for Women Offenders: The Literature

These projects occurred in the context of uncertainty regarding the role and status of objective classification systems for incarcerated women. The literature was unclear as to what *should be* the goal when classifying women offenders---identification of treatment needs, custody-requirements, or both. Furthermore, there were so few validation studies involving women prisoners that it was impossible to determine if systems were effectively serving *any* of these purposes.

A. Classification for Custody Purposes

According to earlier cross-state surveys approximately 40 states used the same objective classification system for women and men.⁶ Most used a variation of the NIC Model Prisons approach, a

system for predicting disciplinary problems. The early NIC classification models contained mostly static variables (e.g., history of institutional violence, severity of current and prior convictions, escape history, current or pending detainers, prior felonies, substance abuse in the community, and prior assaultive behavior). Later NIC versions added some dynamic variables, such as education, employment, performance in institutional programs/work, and age. Although few disputed the classification focus on prison security, most correctional officials agreed that women offenders were not as dangerous as men.⁷ Empirical support for this perception was provided by a few state validation studies of custody-based classification systems;⁸ and a limited number of academic studies conducted prior to the 1980s.⁹

Apart from the issue of dangerousness, some sources questioned the relevance of commonly used institutional custody factors (e.g., number and severity of prior felony convictions) and stability factors (e.g., age, education, and employment) for classifying women prisoners.¹⁰ Research has since identified a number of more relevant risk factors for women, including (a) marital status and suicide attempts (b) family structure of the childhood home; (c) childhood abuse, depression, and substance abuse; (d) single parenting and reliance upon public assistance; (e) dysfunctional relationships;¹¹ and prison homosexual relationships.¹²

Although it has long been considered unethical to do so,¹³ many states used classification systems that had not been validated on women offenders. A related concern was for whether custody classification systems had been over-classifying women offenders, i.e., assigning them to higher security levels than warranted. Over-classification occurs when (a) prediction instruments for populations with low base rates on the criterion variable produce high rates of false positive decisions;¹⁴ (b) policies fail to consider that the meaning of custody is relative to the population at hand (e.g., maximum custody men and women receiving similar treatment when in fact, their behavior is quite different); and (c) the dependent/criterion variable (misconducts) capture different behaviors for men and women. The latter occurs when staff who are ill prepared to supervise women offenders cope by citing women more readily than men for minor infractions.¹⁵ The result is to inflate the women's custody levels at reclassification because reclassification heavily weights institutional behavior.

B. Classification for Case Management and Treatment Purposes

Institutional classification systems inform offender programming through needs assessments. Most often these are checklists indicating whether the inmate has a history of problems related to: (a) substance abuse, (b) physical health, (c) mental health, (d) education, (e) employment, and/or (f) family issues. More recently, community correctional classification systems have simultaneously assessed risk and needs by tapping "criminogenic needs," i.e., dynamic risk factors for criminal behavior.¹⁶ Because criminogenic needs parallel many of the dynamic custody risk factors, they too predict prison misconducts.¹⁷ Merging custody and criminogenic needs into a single prison classification model,

however, has its problems.¹⁸ Doing so creates an ethically questionable policy of elevating custody according to problems rather than behavior.

Regardless of whether or not criminogenic needs are used to inform custody decisions, recent interest in gender-specific programming has suggested that needs assessments for women should attend to (a) victimization; (b) childcare; (c) self-esteem; (d) relationships, and (e) women's unique health, substance abuse and mental health issues.¹⁹ Such factors are seldom identified by the current generation of needs assessment instruments.

C. Legal Considerations for Classification of Women Offenders

There may be legal impediments to the development of separate classification systems for men and women. Legal mandates require equal treatment to male and female prison inmates in matters such as housing, access to legal services, programming, employee wages, medical facilities, and other right. According to some officials, these parity concerns also require identical classification systems for men and women.²⁰

This stance, however, is likely to be providing misguided assurances. In fact, identical systems often work in unequal ways, as when they (a) they are valid for men but not for women; (b) recognize men's needs better than women's; and (c) assign similar labels (e.g., maximum custody) to groups who differ in terms of their dangerousness. More logically, some have argued that *not* having separate systems is cause for litigation.²¹ This was recently illustrated when the State of Michigan (Cain vs. Michigan DOC) lost a class action suit brought by the women offenders who were classified by the same system that was used for men.

In sum, our projects began with four issues: validity, over-classification, lack of gender-responsivity, and equity. As an initial task of the NIC cooperative agreements the Center for Criminal Justice Research at the University of Cincinnati²² conducted a national assessment that sought to determine the extent to which these concerns could be seen in existing state practices.

III. NIC PRISONS DIVISION'S WOMEN CLASSIFICATION INITIATIVES

A. National Assessment of Current Practices for Classifying Women Offenders

The national assessment sought detailed descriptions of practices currently in use for women offenders, including both problematic areas and emerging strategies. These issues were addressed during lengthy telephone interviews with representatives from 50 state correctional agencies and the Federal Bureau of Prisons between February and May 2000. Findings pertinent to the concerns raised above were as follows:

- The majority of respondents indicated that security and public safety were the most important purposes to be served by incarcerating and classifying women offenders. Even so, respondents in 15 states voiced a desire for classification model that would also (a) support gender-responsive

programming, and (b) move women offenders through the system and into community-level facilities more expediently.

- Only fourteen (14) states reported validating their custody classification systems on a sample of women offenders.
- Twelve (12) states reported different classification procedures for men and women. These differences included (a) four states with separate systems for men and women; (b) four states with different scale cutoff points for men and women; and (c) six states with expanded options on existing variables to better reflect the nature of women's offending (e.g., employment, seriousness of the offense, and escapes).
- Fifty one percent of the respondents reported that women either posed less risk than men, or a much smaller portion of women than men posed serious threats to institutional and public safety.
- Forty-nine respondents (92 percent) asserted that women had unique needs that should be addressed in correctional settings. These needs included (a) trauma and abuse (23); (b) self-esteem/assertiveness (10); (c) vocational needs (10); (d) medical (21); (e) mental health (14); (f) parenting and childcare (33); and (g) relationship issues (8). However, most states failed to consider these needs in their needs assessments. All but eight (8) states had identical needs assessments for men and women.
- Many states reported that their systems were over-classifying women offenders. In ten (10) of these states, overrides surpassed fifteen percent of their classification scores (rates ranged from 18 to 70 percent of their cases).
- All concerns aside, many states were not using the classification system, anyway. In at least 35 states, women with different custody scores were housed together in at least one if not all of the state's facilities for women. In such cases, custody did not impact housing, programming, or movement throughout the facility. Furthermore, this practice occurred without significant breaches of security. Custody scores could, however, affect whether a woman worked outside of the facility's perimeter, the types of restraints required when transporting her outside of the institution, and, more importantly, whether or not she moved to a community placement.
- Seventeen (17) states employed formal internal classification systems to guide housing assignments. In all of these cases, the same systems were used for men and women.

Against the background of the information gathered during the initial stages of these projects (e.g., literature reviews, the national assessment, and focus groups with correctional staff, administrators, and inmates) the following directions were set for subsequent work with seven states (a) assure the validity of classification systems for women offenders; (b) reduce over-classification resulting from invalid classification systems; (c) improve the relevance of classification factors to women offenders; and (d) assess the contributions of more gender-responsive variables.

B. Working with Correctional Agencies to Improve Classification for Women Offenders

The cooperative agreements provided technical assistance to the States of Nebraska, Colorado, Hawaii, Florida, West Virginia, Wisconsin, and Idaho. Each state presented a unique set of issues and questions regarding the classification of their women offenders, yet there were distinct patterns across the states. What follows is a brief synopsis our work with these seven states. More detailed descriptions of

their classification initiatives are provided in Appendix A of this report and the individual state reports submitted to NIC.

1. Colorado Department of Corrections. Beginning In February, 2000, this project sought to (a) develop a separate classification system for women offenders, (b) identify and test classification variables that were likely to be relevant to women offenders, and (c) assess needs, including gender-responsive needs, as a component of the classification model.

Initially, focus groups with women offenders and correctional staff and administrators, and several meetings with the State's Classification Steering Committee (a) identified several gender-responsive needs for further research (e.g., child abuse, adult victimization, parenting, relationships, self-esteem and self-efficacy); (b) selected additional needs pertaining to attitudes, peers, mental health, substance abuse, marital/family, use of leisure time, financial, education, and employment (available through the Level of Service Inventory-Revised;²³ (c) made modifications to the DOC intake and reclassification instruments. Data analysis focused on measurement issues and an examination of the relative importance of custody, traditional needs, and gender-responsive needs in predicting prison misconducts and informing programming decisions.

Three classification models were tested on an intake cohort of 156 women:

- Model 1: Revisions to the current system, an NIC Model Prisons model which included mostly static criminal and institutional history measures; the revisions included two criminogenic needs, history of substance abuse and employment;
- Model 2: The same custody model augmented by two gender-specific needs, relationships and mental health;²⁴ and
- Model 3: The revised custody system (same as Model 1, above) with a separate needs assessment that did not inform custody. Gender-responsive needs included mental health, relationships, and child abuse.

All of the models were predictive of prison misconducts, but models containing the gender-responsive variables (Models 2 and 3) were more strongly associated with prison misconduct than Model 1. Moreover, Model 1, the revised custody instrument was not valid without the inclusion of the two criminogenic needs, substance abuse and employment. When needs were assembled into a needs assessment instrument, Model 3, they were relevant to custody, even though they did not inform the custody levels. In other words, high need inmates incurred more prison misconducts, regardless of whether or not needs were a part of the custody model. The CO DOC is currently validating the reclassification instruments for the project.

2. Hawaii Department of Corrections. At the beginning of this cooperative agreement, the Hawaii Department of Public Safety (HI DPS) had one facility on the island of Oahu that housed approximately 225 women; an additional 75 women were housed in contracted facilities in Oklahoma. The goals of the project were to (a) resolve problems with over-classification, (b) progress women to community custody status more accurately; and (c) reduce the prison population, thereby affording sufficient bed space to return women housed in Oklahoma to the Oahu facility.

Technical assistance involved work with a Classification Steering Committee to redesigned and pilot test the state's intake and reclassification classification instruments on a sample of 125 women. Modified instruments proved to be more valid than the original instruments. In addition, the new instruments simulated a reduction in classifications for approximately 10 percent of the research sample.

Modifications to traditional custody variables contributed to the improved validity of the system, but the greatest improvement resulted from a recommendation to change several non-discretionary overrides (which affected the majority of inmates) to risk factors on the custody instrument. In this

way they only affected higher custody if other risk factors were present. In addition, several systemic problems that were contributing to the State's classification problems were identified. Officials sought to improve the systemic issues pertaining to staff shortages and training prior to a full implementation of the modified system.

3. Nebraska Department of Corrections. NE DOC struggled with the task of more efficiently progressing women serving short-term sentences to community custody facilities. Because at least 90 percent of their incarcerated women offenders were released within 6 months of intake, many were released at higher than community custody levels. The existing custody classification system was designed for longer prison terms and preliminary analyses suggested that it was invalid among women. A non-classification issue pertaining to mandatory program requirements for all inmates also held women at higher custody levels. The NE DOC Classification Steering Committee recognized that the custody classification model did not serve any real purpose regarding the management of the women offenders. Many of their classification issues were pertinent to community risk and programming rather than to custody.

The technical assistance project sought to validate and integrate a dynamic community risk assessment (LSI-R) to prioritize offender programming and facilitate community placement decisions. The initial intent was for the LSI-R to work in concert with a revised custody classification system. The custody system, likely to be more relevant to the minority of long-term inmates, would inform institutional placements. However, the committee chose to revise the custody system for *both* males and females, but to do so at a later date.

Case management staff was trained on the LSI-R and administered the assessments to 100 women offenders. A validation study found that the risk levels were modestly related to serious misconducts and to days served in segregation. However, the project experienced several delays. Most importantly, a substantial delay between staff training and their actual use of the LSI-R may have caused a number of reliability/validity problems.

4. Idaho Department of Corrections. Idaho was one of four states with a separate classification system for its male and female inmates. Even so, the system had not been validated and appeared to be over-classifying women offenders. In addition, vague aspects of the classification manual raised concern regarding the accuracy of the classifications and inconsistencies across staff completing the instruments.

The technical assistance entailed a validation study of the current and a modified version of the classification system. It also resulted in the development of a new classification manual. Staff was trained on the use of the modified instruments and the system was implemented in September 2001.

5. Florida Department of Corrections. Based upon a review of the State classification systems and input from the State's Female Advisory Committee, this classification initiative sought to (a) validate the external classification system (CARS); (b) validate the internal classification system (Risk and Needs); and (c) conduct a survey on parenting among FL DOC inmates.

The custody validation study found that CARS was statistically correlated with institutional adjustment, but was marred by (a) heavy reliance upon mandatory custody criteria; (b) a high rate of discretionary overrides; and (c) over-classification of female offenders into medium custody at initial classification.

The Risk and Needs validation study results supported the assumption that needs are correlated with institutional adjustment. The data also supported the assumption that some factors affect males and females differently. Some risk factors hypothesized to be correlated with institutional adjustment among female offenders, e.g., family relationships and friends and peers, were not associated with institutional adjustment at admission. On the other hand, child welfare and intimate relationships were related to institutional adjustment for both male and female inmates.

The parenting survey revealed several troubling findings. Children of female inmates were at greater risk of problems (e.g., out-of-home placements, arrests, or on public assistance) than the children of male inmates. Children of female inmates were also less likely to visit their incarcerated parent.

6. West Virginia Department of Corrections. The West Virginia Department of Corrections (WV DOC) sought to validate its current classification system, to reduce over-classification of women offenders and to provide better information for programming and housing assignments.

Custody was determined by a public risk scale which was not valid even when some of the criminal history and institutional adjustment risk factors were modified. The research also showed that dynamic risk factors were consistently better predictors of the women's institutional adjustment than traditional, static, criminal history factors.

As a result, a full redesign of the classification system for the WVDOC populations—both males and females—was recommended. It appeared that a system combining dynamic risk factors with traditional static risk factors (such as current offense and escape history) would dramatically improve the validity of the classification system.

7. Wisconsin Department of Corrections. The Wisconsin Department of Corrections (WI DOC) requested technical assistance to assess its classification processes and provide recommendations for developing a gender-specific classification model.

A comprehensive on-site assessment was conducted. The process included interviews with central office and facility-based staff, reviews of case files, tours of the facilities housing female inmates, observations of initial classification staffings and PRC hearings, and reviews of the Agency Plan which included a recent validation study, written policies, classification instruments, and needs assessment instruments. The technical assistance report supported current agency plans for modifying classification instruments and procedures. Based on current research and the experiences of other states, observations and suggestions were provided to strengthen the Agency Plan.

IV. Building Blocks to Effective Classification of Women Offenders

Several themes and concerns were consistent through the literature, the national assessment, and through our work with the seven states. These are presented below, along with recommendations for improvements.

A. Validity of the Custody Classification Systems

Recommendation 1: Ensure the validity of classification systems for women offenders.

The current data suggest that approximately 30 states *do not know* if their custody classification systems are valid because they have not conducted validity studies using samples of women offenders. Our concern is underscored by the fact that our validation studies typically find existing systems to be invalid for women. These situations are unethical; how can we justify housing women at custody levels which affect the austerity of their environment, privileges, right to work outside of prison perimeters, and the like?

Recommendation 2: Avoid over-classifying women offenders. Within virtually every jurisdiction we worked with officials expressed concerns about the over-classification of women offenders. Their concerns were supported by our validation studies. Over-classification was caused by invalid classification instruments as well as by certain systemic problems that are discussed in the final section of this report. Our modifications to classification instruments seldom resulted in classification reductions for more than 10 percent of the sample/population. Further shifts in the custody distributions—by either modifying the custody scale points or changing the

weights/scores for key risk factors—were not possible due to mandatory restrictions or departmental directives. Moreover, modifications to scale cut of points could only occur if the system remained valid after doing so. Often it did not.

Recommendation 3: Modify Current Risk Factors and/or Scale Cut Points to Reflect the Differences Between the Women and Men. Validation studies often find statistically significant differences in the predictive power of risk factors for male and female inmates. Factors pertaining to age, criminal history, current offense, and stability often work differently for men and women.

- **Age:** Several validation studies indicated that the rate of institutional infractions decrease at an earlier age for males than females. Therefore, different age categories for male and female inmates often enhanced the predictive power of the instruments.
- **Criminal History:** With few exceptions criminal history factors have been poor predictors of institutional adjustment for women offenders--- particularly at reclassification. At the same time, very few women offenders receive high scores. Therefore, states have achieved more predictive custody classification systems for women by either excluding the prior criminal history risk factors or reducing their weight or scores.
- **Current Offense:** Recognition of women's different pathways to crime prompted a number of attempts to reconfigure this risk factor. However, these efforts were discouraged when files contain insufficient details pertaining to the current offense. Moreover, violent offenses characterized so few women, that only an inordinately large sample could have supported an examination of the impact of types of violence.

One exception to this pattern was observed in Oklahoma where a study of the effects of victim-offender relationship, role of substance abuse, relationship between offender and co-offender, and type of victim found that (a) women incarcerated for victimless crimes (e.g., drug-related, property, etc.) had statistically fewer infractions; and (b) women who were involved in crime with a male co-defendant or family member had the highest rates of institutional infractions.²⁵

In other studies, attempts to test whether women who murdered an abuser in self-defense were less disruptive than other violent offenders found too few women who fit this description to support tests conducted on samples of 100-150 inmates. Even so, none of these women were observed to have a misconduct of *any* kind. Most of these matters should continue to be tested among larger samples.

- **Stability Factors:** Many states include various indicators of offender stability on their initial classification and dynamic risk factors on the reclassification instruments. The most common initial classification stability factors include age, employment at the time of arrest, education, and substance abuse. Reclassification instruments often add factors pertaining to institutional behavior, participation in institutional programming. Correct use of these factors often enhanced the validity of classification systems for women.
 - Employment: This risk factor should include childcare/ homemaker roles in the operational definition of fully employed.
 - Education. Academic achievement appeared to be an indicator of stability among male but not female inmates. In contrast to males, women with high school diplomas or the equivalency incurred more misconducts than less educated women. The factor was often omitted on modified systems for women.
 - Substance Abuse. Both the reliability and validity of substance abuse as an indicator of stability have been problematic and have yielded mixed results. Too often

operational definitions have allowed for subjective interpretations as to what constitutes substance abuse. One study that operationalized substance abuse according to two established assessments, however, found that both strongly predicted prison misconducts.²⁶ Even with a valid and reliable indicator, however, the pervasiveness of substance abuse among female offenders (75 to 80 percent of the population) often rendered the item useless for custody assessment purposes.

- Relationships. Correctional staff often cited institutional and community relationships as risk factors for female inmates. Attempts to examine the role of relationship, however, often result in very different operational definitions and measures. Moreover, little data are available in inmates' files to guide the development of reliable, objective risk factors to assess the inmate's relationships. Therefore, findings regarding relationships varied considerably across the studies.

Factors pertaining to child welfare, intimate relationships, and family relationships—were unreliable and not related to institutional adjustment among women offenders in Florida.²⁷ Data from West Virginia, on the other hand, indicated that stressful institutional relationships, as defined by inmates, significantly predicted institutional infractions. Moreover, the presence of multiple stress factors, including child custody and legal matters, was highly correlated with institutional adjustment. In the Colorado study “relationships” was operationalized as codependency, or a tendency to lose too much personal power in intimate relationships, and it was strongly related to prison misconducts.

- Other stability factors: Other stability factors such as mental, health, need for medical, mental health, and substance abuse services were found in an Oklahoma study to be significantly related to women's early prison adjustment.²⁸ The Colorado study expanded this inquiry into additional gender-specific variables, including child abuse, adult victimization, parenting, self-esteem, self-efficacy, and relationships. Among an intake cohort, child abuse, mental health, relationships, and substance abuse were strongly related to prison misconducts. Because these factors are dynamic, they must be updated for each reclassification.

B. Gender-Specific Needs Assessments

Recommendation 4: Develop Comprehensive Classification Systems that Assign Women to Meaningful Programs. Long-standing correctional standards maintain that offenders should be classified according to needs related to: a) humane prison adjustment, b) institutional safety, c) recidivism, and d) re-entry to the community.²⁹ Comprehensive needs assessments should consider both the presence and intensity of the need. They should triage certain high need offenders into more detailed assessments and test batteries. Changes in the composition of prison populations as a result of the “war on drugs” and increases in the number of dual diagnosed and mentally ill inmates,³⁰ as well as calls for more gender-responsive programming underscores the need for gender-specific needs assessments.³¹

Recommendation 5: Develop objective and reliable needs assessment processes. Needs assessments should specify objective criteria, require documentation, and require that raters indicate how many domains of a problem exist (e.g., does substance abuse affect work, family relationships, medical problems, etc.). They should not ask for judgment calls about the intensity of a problem. Needs assessments should be reliable, thereby resulting in consistent scores across raters.

Recommendation 6: Focus upon Criminogenic Needs to Increase the Utility of the Needs Assessments. Dynamic criminogenic needs are those that have been statistically

correlated with criminal behavior and reduce criminal behavior, if they are successfully treated. Agencies wishing to prevent future offending should focus on the problems associated future offending.³² Such needs are often related to prison misconducts as well.³³

Recommendation 7: Include Gender-Specific Needs in Screening and Assessment Tools. In addition to the considerations raised in recommendation 6, agencies should examine and test needs assessments for the presence of needs pertaining to abuse, parenting, relationships, health, substance abuse, and emotional stability.

V. Addressing Classification Issues that Require Systemic Change

In addition to exploring these building blocks, we learned some very important lessons about systemic issues that hamper the correctional operations and can render even the most valid and comprehensive classification system ineffective. The most prevalent non-classification issues encountered were:

- **Inadequate institutional disciplinary systems.** Inadequate disciplinary codes are a primary contributor to the over-classification of women offenders because of the differences in the institutional behaviors of men and women. Institutional infractions with very different threats to the safety and security of the institution (e.g. assaults) should not be combined and assigned identical codes. For classification purposes, the disciplinary policy should be revised to ensure that the infraction codes are mutually exclusive and exhaustive.
- **Location of Correctional Institutions for Women.** Most state correctional systems have very few correctional facilities for women offenders. Frequently these are located in rural areas, far from the urban communities in which the majority of the women lived prior to their incarceration. This distance creates barriers to family visitations, work- and educational-release opportunities, and access to medical and mental health services. The rural setting sometimes creates cultural barriers within the facility and between staff and inmates. These problems may exacerbate disciplinary problems, if not properly addressed, because women's institutional adjustment is often influenced by relationships (within and outside the facility), concerns for children, and other stress factors.
- **Management of Women Offenders.** In most state correctional agencies, basic training for correctional officers and caseworkers neglects any focus on women offenders.³⁴ Many staff resisted working in the women's facility and had originally. Inexperienced staff, especially, was often quick to write up women for disobedience of a direct order, disrespect to staff, disorderly conduct, yelling, and/or unauthorized possession of property. Although these are relatively minor incidents, multiple infractions of this nature could quickly elevate a woman to medium or close custody.
- **Lack of Programming.** In addition to the concerns about the absence of gender-responsive programming, many correctional systems are hampered by the lack of resources for *any* type of programming. These problems may contribute to over-classification, because participation in work and programs often translates into more successful prison adjustment and lower reclassification scores. Additionally, program participation sometimes is a pre-requisite for a reduced classification. Inmates, who cannot participate in program requirements because the programs are unavailable, will then be held at higher custody levels regardless of the adequacy of the classification system.

V. FUTURE STEPS

The call for “more data and more research” is a common theme among the researchers. The suggestion for continued work to validate classification systems, test alternative risk factors, and develop more relevant needs assessment processes may appear to be redundant and trite. Yet, the requests from state and local correctional systems to assess and fine-tune their classification systems speak to the need to continue this research. Indeed, 30 states still have not validated their classification systems for women.

Furthermore, the research highlighted in this report needs to be replicated in other jurisdictions before making any further generalizations. NIC has long advocated for the validation of any classification system for the population to which it is applied. The inconsistencies in the risk factors observed thus far suggest that there is still much to learn about the classification of women offenders. At the same time, the number of women offenders under correctional supervision continues to grow while resources decline. The need to develop valid and reliable risk and needs assessment systems for managing and serving prison populations with fewer resources becomes more critical each year.

Given these harsh realities, future efforts should focus on assisting agencies to develop systems that are both practical and feasible. Just as researchers dependably call for more research, correctional administrators are consistently asked to “do more with less.” Scarce resources should provide maximum returns, and therefore future initiatives should concentrate on models that require reasonable efforts in terms of training, staffing, validation, and implementation. With these initiatives, it is anticipated that new lessons will be learned and previous lessons will be further refined. If the classification system is to continue to serve as the brain of the correctional system, it must be responsive to risks and needs posed by women as well as men. Unfortunately, there is still much to discover about how to make the systems more gender specific.

1 Beck, A. and Harrison, _ (2001). “Prisoners in 2001.” Washington, D.C.: Bureau of Justice Statistics.

2. Snell, T. and D. Morton (1994). “Women in Prison.” Washington, D.C.: Bureau of Justice Statistics.

³ Morash, M.T., T. Bynum, and B. Koons,(1998) “Women Offenders: Programming Needs and Promising Approaches: NIJ Research in Brief.” Washington, D.C.: National Institute of Justice.

4 See Hardyman, P. and VanVoorhis P. (2002). “Classification Of Women Offenders: A Summary Of Developments In Selected Sites.” Washington, DC: National Institute of Corrections for a full description of the work completed under the two cooperative agreements.

5 Van Voorhis, P., Peiler, J.; Presser L.; Spiropoulis, G.; and Sutherland, J. (2002). “Classification of Women Offenders: A National Assessment of Current Practices and the Experiences of Three States.” Washington, D.C: The National Institute of Corrections; and Hardyman, P. (2001). Validation and Refinement of Objective Prison Classification Systems for Women: The Experience of Four States and Common Themes.” Washington, D.C: The National Institute of Corrections.

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7. Ibid.,Burke and Adams, 1991;and Morash et al., 1998.

8. Alexander, J. & Humphrey, E. (1988). Initial Security Classification Guidelines for Females: Working Paper XVI. Albany, NY: New York State Department of Correctional Services; and Hardyman, P. (1999). Wyoming Department of Corrections Prison Objective Classification System: Final Report on 1999 Revalidation Effort. Washington, D.: Institute on Crime, Justice, and Corrections.

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9. Bowker, L. (1981). Gender Differences in Prison Subcultures. In L. Bowker (ed.) Women and Crime in America. New York, NY: Macmillan.
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 11. Forcier, M. (1995). Massachusetts Department of Correction Female Offender Objective Classification Technican. M. & R. Cook (1984). An Analysis of the Factors Related to the Rate of Violent Crimes Committed by Incarcerated Female Delinquents. In S. Chaneles (ed.), Gender Issues, Sex offenses, and Criminal Justice: Current Trends. New York: Haywarth Press; Kruttschnitt, C. & Krmpotich, S. (1990). Aggressive Behavior Among Female Inmates: An Exploratory Study. Justice Quarterly, 7(2), 371-389; McClellan, D., Farabee, D., & Crouch, B. (1997). Early Victimization, Drug Use, and Criminality. Criminal Justice and Behavior, 24, 455-476; Bonta, J. Pang, B. & Wallace-Capretta, S. (1995). Predictors of Recidivism Among Incarcerated Female Offenders. The Prison Journal, 75, 277-294; and Covington, S. (1998). The Relational Theory of Women's Psychological Development: Implications for the Criminal Justice System. In R. Zaplin (ed.), Female Crime and Delinquency: Critical Perspectives and Effective Interventions. Gaithersburg, MD: Aspen Publishing, Inc.
 12. Ibid, Tischler and Marquart, 1989.
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 14. Brennan, T. (1998). Institutional Classification of Females: Problems and Some Proposals for Reform. In R. Zaplin (ed.), Female Crime and Delinquency: Critical Perspectives and Effective Interventions. Gaithersburg, MD: Aspen Publishing, Inc.; and Clear, T. (1988). "Statistical Prediction in Corrections." Research in Corrections, 1, 1-39.
 15. See Dobash, R., Dobash, R. and Gutteridge, S. (1986). The Imprisonment of Women. Totowa, NJ: Blackwell.
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 17. Andrews, D. and Bonta, J. (1995). The Level of Supervision Inventory-Revised (LSI-R). North Tonawanda, NY: Multi-Health Systems.
 18. Adams, L. and Henning, J. (1982). Illinois Adult Classification System Design. In ACA (ed.) Classification As A Management Tool: Theories and Models for Decision-Makers. College Park, MD: American Correctional Association.
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 20. Brennan, T. (1998). Institutional Classification of Females: Problems and Some Proposals for Reform. In R. Zaplin (ed.), Female Crime and Delinquency: Critical Perspectives and Effective Interventions. Gaithersburg, MD: Aspen Publishing, Inc.
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 22. Van Voorhis, P. and Presser, L. (2001). Classification of Women Offenders: A National Assessment of Current Practices. Washington, D.C.: National Institute of Corrections.
 - 23 Ibid, Andrews, D. & Bonta, J. (1995)

24 Of the gender responsive needs, mental health, relationships, and child abuse strongly correlated with prison misconducts. The classification steering committee did not wish to include child abuse in a custody instrument, however. It was, however, included in the needs assessment for model 3.

25. Hardyman, P. and Tulloch, O. (2000). "Validation of the Oklahoma Department of Correction Objective Classification System For the Female Inmate Population: Final Report." Washington, D.C.: The Institute on Crime, Justice and Corrections at The George Washington University.

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27. Hardyman, P. (2000). "Assessment of the Florida Department of Corrections Risk and Needs System: an Ambitious Internal Classification Design and Implementation Effort." Washington, D.C.: The Institute on Crime, Justice and Corrections. Hardyman, P. and Davies, G.. (2001). "Validation of The Florida Department of Correction Objective Classification System: Draft Report." Washington, D.C.: The Institute on Crime, Justice and Corrections.

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31 Ibid., Owens & Bloom, 2001.

32. Andrews, D. and Bonta, J. (1998). *The Psychology of Criminal Conduct*. 2nd ed., Cincinnati, OH: Anderson Publishing Co.

33. Van Voorhis, P., Peiler, J.; Presser L.; Spiropoulis, G.; and Sutherland, J. (2002). "Classification of Women Offenders: A National Assessment of Current Practices and the Experiences of Three States." Washington, D.C: The National Institute of Corrections.

34. The National Institute of Corrections provides training on women offender issues as a part of its agency planning, operational practices, sexual misconduct, and classification curriculums. However, because of the class limitations, only a small percentage of staff that works at women's correctional facilities has an opportunity to attend. In addition, because of the nature of the training—operational practices and agency planning—the sessions are limited to attendance by more experienced staff.

Classification Of Women Offenders

Building Blocks to Effective Classification of Women Offenders

Validity of the Custody Classification Systems

- Ensure the validity of classification systems for women offenders
- Avoid over-classifying women offenders
- Modify the risk factors and/or custody scale to reflect differences between the women and men

Modification of Custody Factors

- Age
- Criminal History:
 - Number and Severity of Prior Convictions
- Current Offense
- Stability Factors:
 - Employment, Education, Substance Abuse, Relationships, Mental Health

Gender-Specific Needs Assessments

- Develop comprehensive classification systems that assign women to meaningful programs.
- Develop objective and reliable assessment processes that specify objective criteria and require documentation of the each domain of a problem (e.G., Does substance abuse affect work, family relationships, medical problems, etc.).
- Focus on dynamic criminogenic needs to increase the utility of the assessments.
- Include gender-specific needs in screening and assessment tools.

Classification Issues That Require Systemic Change

- Inadequate institutional disciplinary systems
- Location of correctional institutions for women
- Management of women offenders
- Lack of programming

Reentry

Information Systems

**Developing Objective
Classification Systems**

**Developing Classification
Information Systems**

Challenges for Classification

- Multiple sources of information
 - ∕ NCIC
 - ∕ Courts
 - ∕ Law Enforcement
 - ∕ Inmate
- Input required from other disciplines:
 - ∕ Security
 - ∕ Education/programs
 - ∕ Mental health
- Multiple customers for your product
 - ∕ Security
 - ∕ Programs
 - ∕ Work
- *System-wide responsibility balanced with individual facility desires!*

July 10, 2003 2

Corrections Mission!

1. Public safety
2. Safety of staff and inmate
3. Management of offender population
4. Effective utilization of resources

July 10, 2003 3

1. Public Safety

- Assessing and assigning to the appropriate level of security
- Focusing on high-risk offenders
- Monitoring for changes in:
 - ∕ inmate
 - ∕ sentence
- Ensuring accurate release

July 10, 2003 4

2. Staff & Inmate Safety

- Assessment and placement at appropriate facility
- Assessment and assignment to appropriate level of housing
- Separating predators from population
- Separating victims from population

July 10, 2003 5

3. Management of Offender Population

- Continuous assessment & movement of inmates through system
- Timely assignment to work and programs
- Monitoring of trends in the inmate population

July 10, 2003 6

4. Utilization of Resources

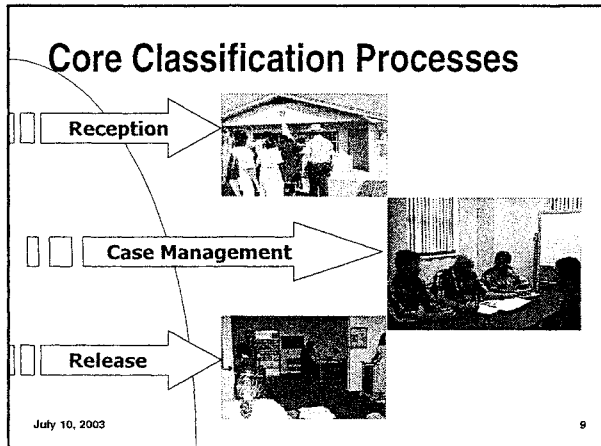
- Keeping work, program and industry assignments full
- Maintaining inmates at lowest appropriate level of facility and housing
- Not over-classifying
- Transitioning to community when appropriate

July 10, 2003 7

What are Typical Operational Responsibilities in Classification?

- Reception processing
- Bed-space management
- Work & program utilization
- Disruptive inmate management
- Transfer process
- Program utilization

July 10, 2003 8



- ### Strategies for Improving Your Classification System!
- Policy Maintenance
 - View From a Macro Level
 - Integrate Systems
 - Improve Linkage
 - Utilize National Models
 - Become More Proactive
 - Design for Special Populations
 - Automate Core Processes
 - Explore New Technology
- July 10, 2003 11

- ### 1. Policy Maintenance
- Look for hidden problems
 - Challenging with staff turnover and reducing budgets
 - Supports public safety
 - Assists in appropriate utilization of resources
- July 10, 2003 12

2. View Your System From a Macro Level

- View your classification system from above
- Assist in planning
- Provides trends
- Better utilization of resources
- However, your macro view drills down to the case management level

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3. System Integration

Example:

- Risk & Needs System
 - takes external and internal risk
 - combines with assessed needs
 - develops inmate management plan
 - creates top priorities for inmate management
- Integrates with inmate interview process and existing database information

July 10, 2003 14

System Integration is Key!

- More accurate information available
- Eliminates duplication
- Increases efficiency

Program Assessment Classification Process Security Operations

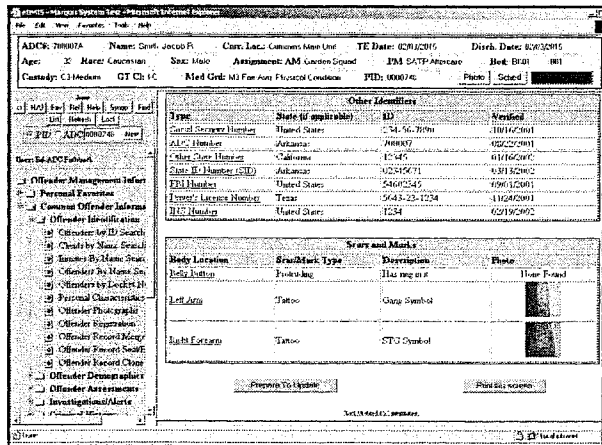
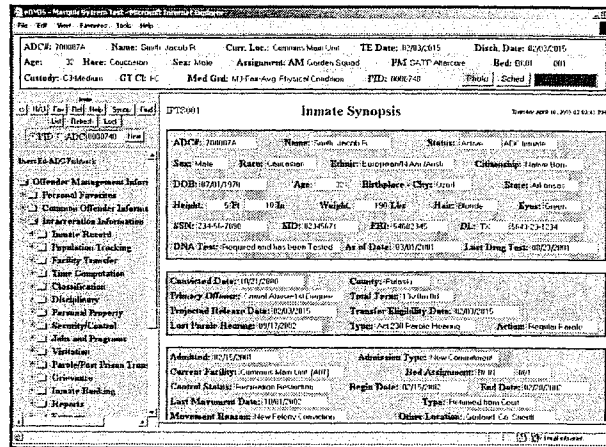
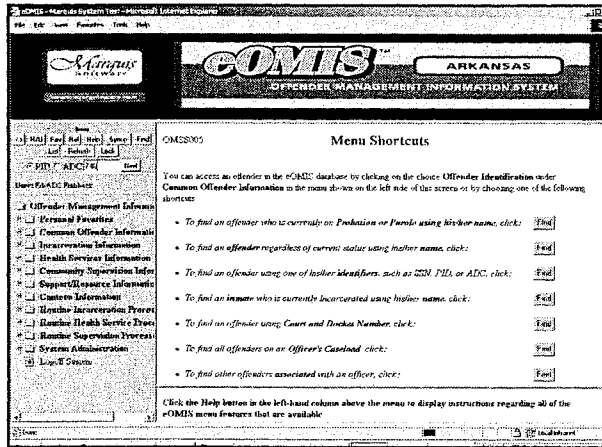
Integrated Monitoring System

NEPECO 2211 POLICE

Visitation Mail Telephone Drug Testing Inmate Discipline Inmate Banking

Security Threat Groups VOLUNTEERS NEEDED Volunteers

16



4. Linkage – External & Internal

- Improve linkage with:
 - Law enforcement
 - Courts
 - Probation and Parole
 - Within your own system
- Significant movement in this direction nationwide (supported by DOJ)
- More critical than ever before
- Closes the loop on offender tracking
- Eliminates repetitive research
- Increases accuracy of risk and needs assessment

July 10, 2003

20

5. Use National Models

- Utilize what others have developed
- NIC provides design, leadership & training for development:
 - Objective Classification Systems
 - Special Populations (Female, Youthful, etc.)
 - Internal Classification/Risk & Needs
 - High Risk Populations

July 10, 2003 21

6. Become More Proactive

- Move from time driven to event driven classification
- Provide for flexible management of the inmate population
- Responsive to needs of your agency
 - beds
 - programs
 - work requirements
- A must do with tough budgets

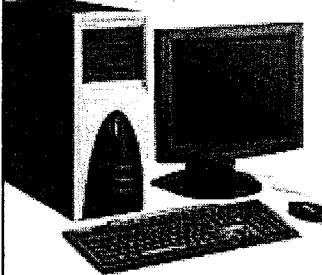
July 10, 2003 22

7. Design for Special Populations

- Enhanced Emphasis on Special Populations
- Typically Ties up Significant Resources
 - Administrative Segregation
 - Youthful Offender
 - Female Offenders
 - Elderly Offenders
 - Special Medical Needs
- Investment in Classification Processes Provides Returns

July 10, 2003 23

8. Automate Core Classification Functions



- Reception Process
- Sentence Calculator
- Custody
- Internal Classification
- Inmate Discipline
- Bed Inventory
- Transfer Process
- Risk/Needs Assessment
- Work Flow Tracking
- Visitation Tracking
- Facility Classification
- Digital Records

9. Electronic Appointment System

- Sets appointments for various classification processes
 - reflects the approval policy of the department
- Examples:
 - Custody
 - Risk and Needs
 - Administrative Segregation
 - Disciplinary Confinement
 - Work Release Review

July 10, 2003 25

10. Look at New Technology

- Increases efficiency
- Improves information sharing
- Improves information accuracy
- Reduces need for resources
- Moves critical information quicker
- Expands access to data
- Can support resource request
- Improves identification

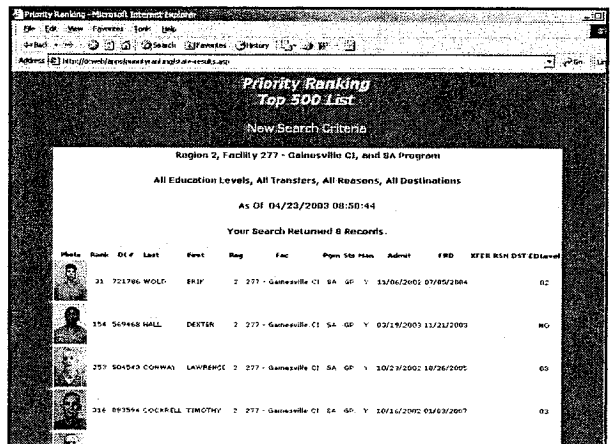
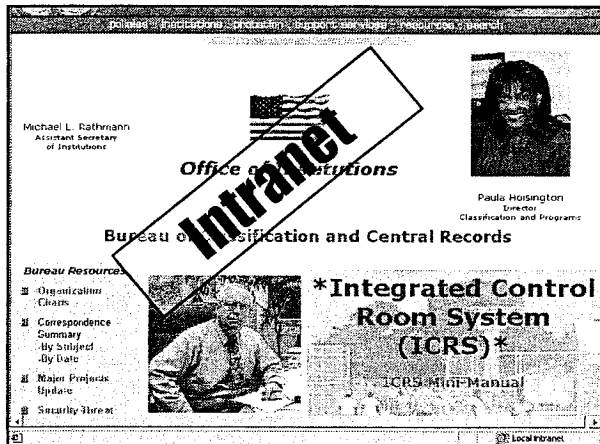
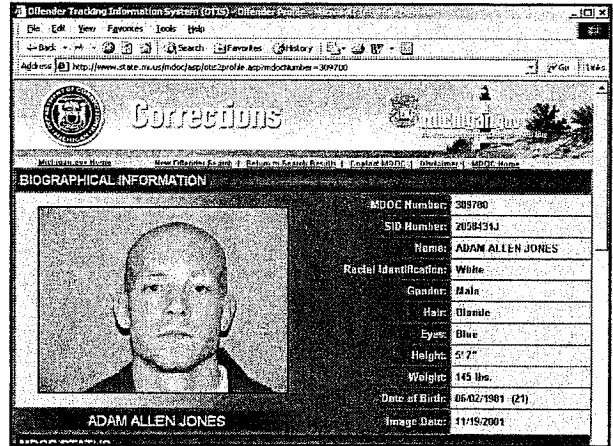
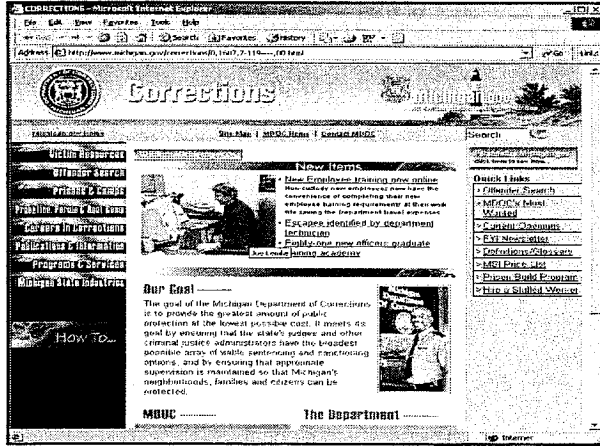
July 10, 2003 26

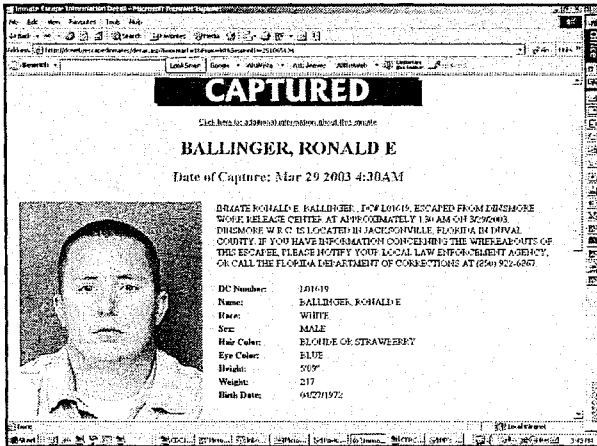
Web Expansion

- New technology
- User friendly
- More flexibility
- Visual
- Less training

July 10, 2003 27

The screenshot shows the Michigan Department of Corrections website. A large, semi-transparent watermark with the word "Internet" is overlaid diagonally across the center. The website layout includes a top navigation bar, a search box, and a left-hand menu with categories like "Offender Search", "Offender Tracking Information System (OTIS)", "Prisoner Release", "Programs & Services", and "Michigan State Institute". The main content area contains text describing the OTIS system and its capabilities. A sidebar on the right lists "Quick Links" to various services.

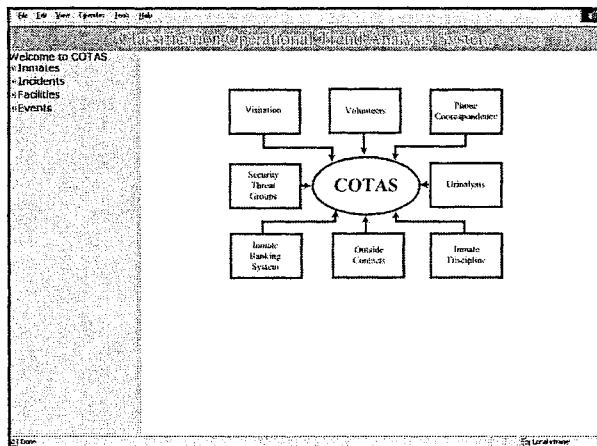




Geographic Information Systems (Crime Mapping)

- Visual medium
- Quick analysis
- Helps to allocate resources
- Provides another tool for management (at headquarters and local level)
- Provides offender profile
 - system wide
 - facility level

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Welcome to COTAS

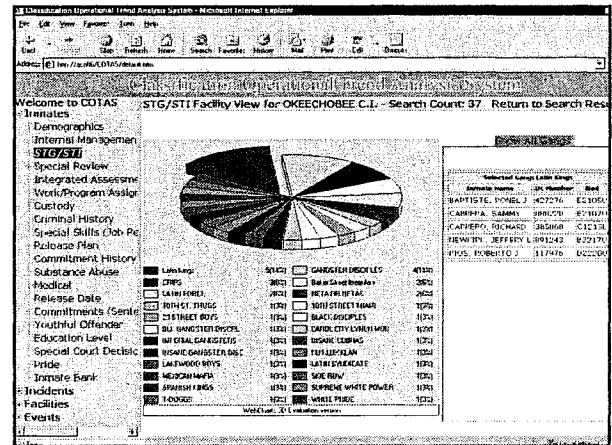
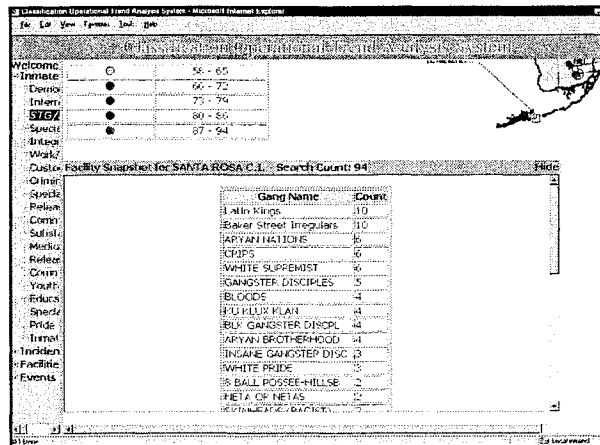
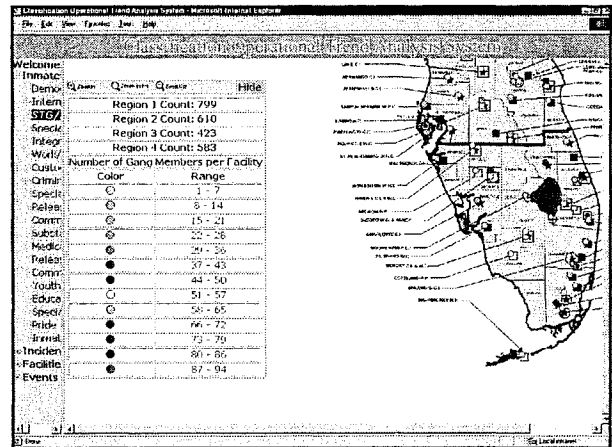
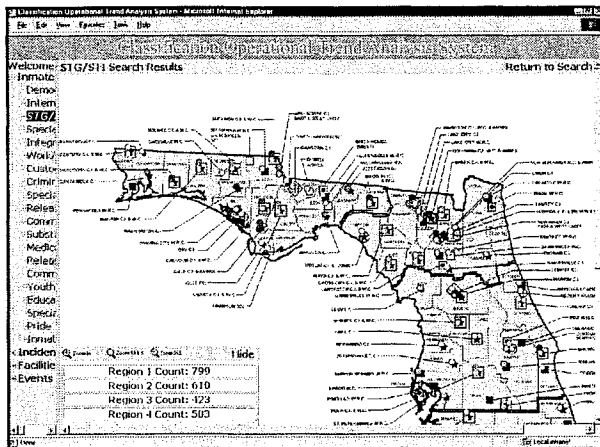
STG/STI Search

- Demographics
- Internal Management
- Special Review
- Integrated Assessment
- Work/Program Assignm: Region
- Custody
- Criminal History
- Special Skills Job Post
- Release Plan
- Commitment History
- Substance Abuse
- Medical
- Release Date
- Commitments (Center)
- Youthful Offender
- Education Level
- Special Court Decision
- Pride
- Transfer Bond
- Incidents
- Facilities
- Events

Gang: [BETH ST GARC] [BETH THACK] [BETH STREET GANG]

Facility: [AP-CA] [AP-CA (A) P] [AP-CA (A) R] [AP-CA (A) P (A)]

[Search]



STG Tracking and Management

visual medium
provides link analysis
photo documentation

July 10, 2003 41

STORMS
Personal Characteristics

DC Number:	204621
Last Name:	SANCHEZ
Middle Name:	SAM
Date of Birth:	8/23/76
STG Name:	LATIN KING - 004
Altname:	
Rank:	Private
Member Status:	Enlisted
Rank Code:	BR170N
Race:	WHITE
Gender:	MALE
Height:	505
Eye Color:	BR170N
Weight:	180
SSN:	856 40 2302 (verified)
FALE #:	80294700
Bank Date:	8/23/76
FBI #:	4340290
Agency/Office:	USMARI116 C.I.
Offender Status:	Unincarcerated
Entry Command:	US13181A
Core Community:	CRISE

Questionnaire

Submit to CD View Validation Worksheet

Type of Questionnaire:	Questionnaire Status:
Interview Date:	Submission Date (CO only):
Phone Number:	Sumcom:
Interview Location Type:	Interview Location:
STG Coordinator Name:	Check if STG Coordinator is Interviewer
Interviewer Name:	Interviewer Title:
DC Number:	Offender Name:
AKA/moniker/alias(es) in OEIS:	Suspected Group:

Comments Question 23:

23. Once in the group, how do you get out?

24. What signals, colors or tattoos are used to...

Select Row

Comments Question 24:


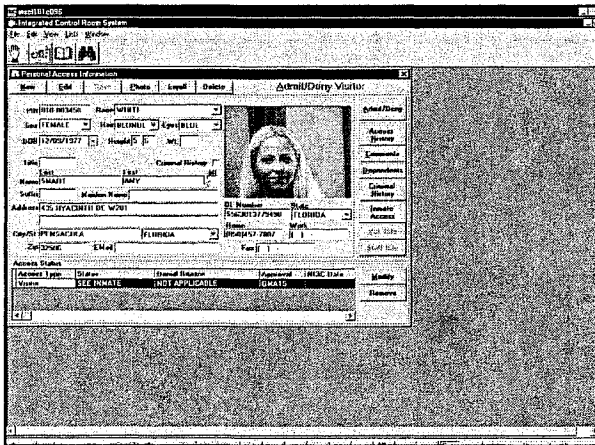
Biometric Based Visitation System

- entral database
- biometric based screening
- automatic tracking of entry and exit

July 10, 2003 45

Biometrics

- Reliable
- Centralized
- Ensures ID

Personal Access Information

PHOTO REFERENCE: Head/WHITE

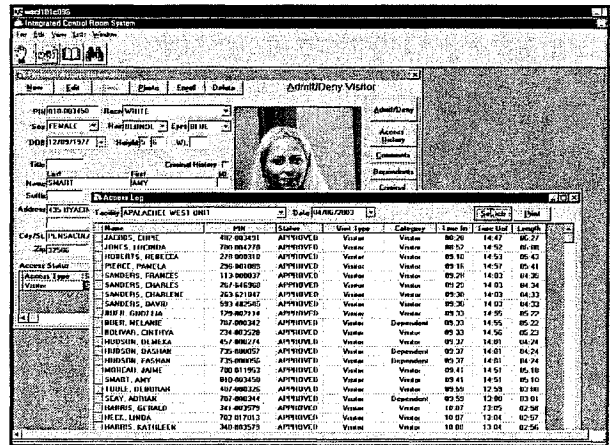
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DOB: [12/02/1977] Height: [5' 00"]

Name: [SMITH] Last: [ARMY]

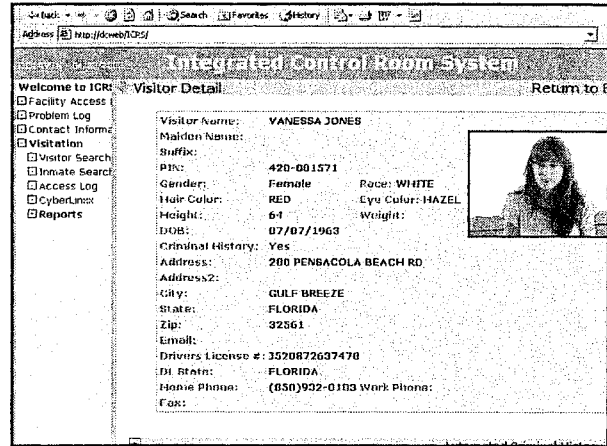
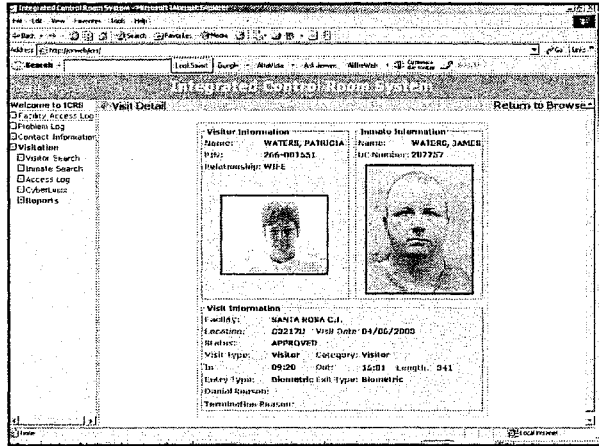
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Access Log

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FLORIDA	PIERCE, PAMELA	290 00100	APPROVED	Visit	Visit	09:16	14:57	05:41
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FLORIDA	SANDERS, CHARLES	263 021047	APPROVED	Visit	Visit	09:22	14:03	04:24
FLORIDA	SANDERS, CHARLENE	263 021047	APPROVED	Visit	Visit	09:30	14:03	04:33
FLORIDA	SANDERS, DAVID	593 02540	APPROVED	Visit	Visit	09:30	14:03	04:33
FLORIDA	BIBB, SANDRA	129 00714	APPROVED	Visit	Visit	09:33	14:56	05:23
FLORIDA	BIBB, MELBAE	702 00242	APPROVED	Visit	Dependent	09:33	14:56	05:23
FLORIDA	HOLMAN, CINDY	234 00228	APPROVED	Visit	Visit	09:33	14:56	05:23
FLORIDA	HUBBARD, DEBRA	457 000274	APPROVED	Visit	Visit	09:37	14:01	04:24
FLORIDA	HUBBARD, DAKINE	772 00002	APPROVED	Visit	Dependent	09:37	14:01	04:24
FLORIDA	HUBBARD, FAYMAN	775 00005	APPROVED	Visit	Dependent	09:37	14:01	04:24
FLORIDA	AMERICAN, ANNE	700 01193	APPROVED	Visit	Visit	09:41	14:51	05:10
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FLORIDA	HARRIS, GERALD	341 002079	APPROVED	Visit	Visit	10:07	12:05	02:58
FLORIDA	WEEK, LINDA	702 01103	APPROVED	Visit	Visit	10:07	12:04	02:57
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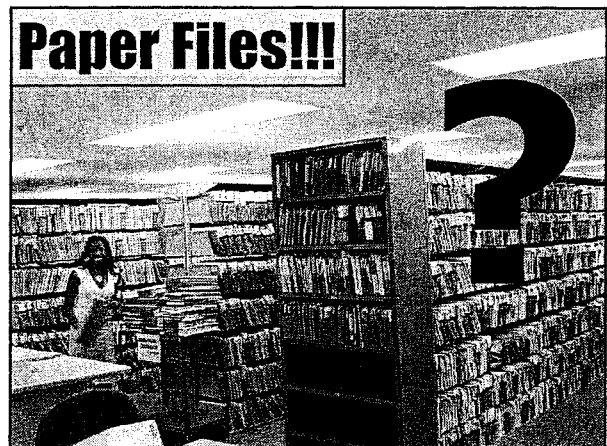


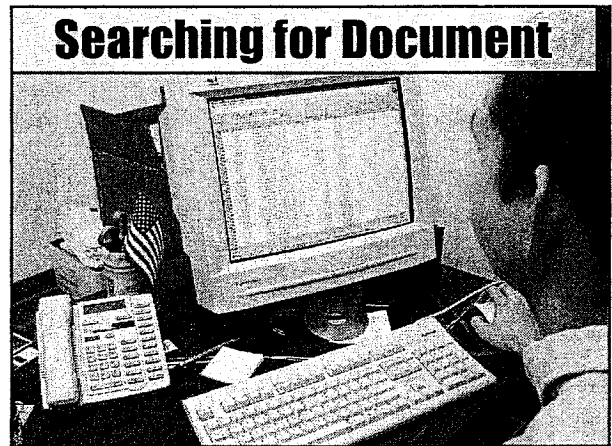
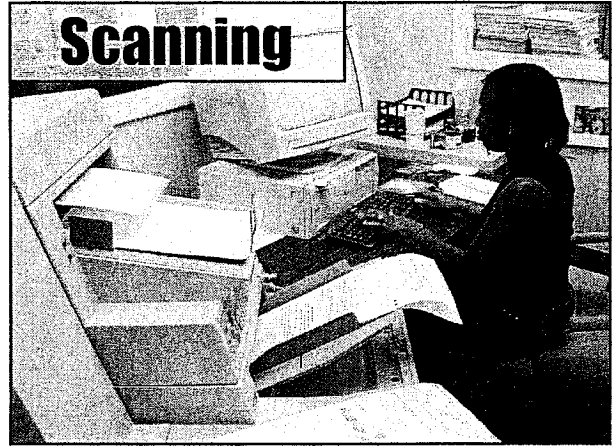
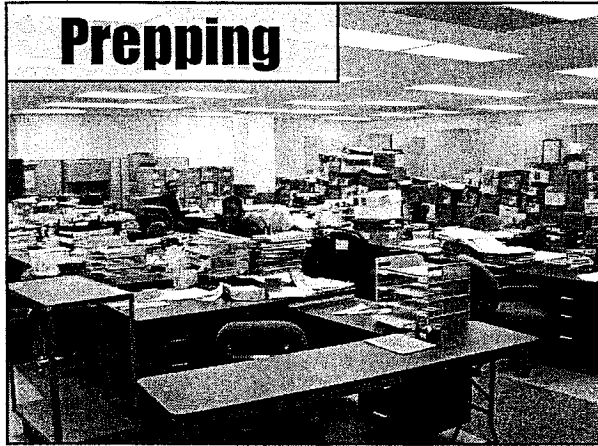
Digital Record Storage

- Saves space
- Provides greater access to inmate files
- Reduces staff requirements
- Speeds up information distribution

July 10, 2003

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Results

IN THE CIRCUIT COURT OF THE FIFTEENTH JUDICIAL CIRCUIT
IN AND FOR DADE COUNTY, FLORIDA

CERAMICAL DIVISION UNIFORM COMMITMENT TO CUSTODY
OF DEPARTMENT OF CORRECTIONS
TERM: 15, 35

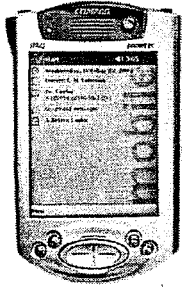
THE STATE OF FLORIDA VS PRINCE O. ALFORZO

PLAINTIFF DEFENDANT

IN THE NAME AND BY THE AUTHORITY OF THE STATE OF FLORIDA, TO THE SHERIFF OF DADE COUNTY,
DEPARTMENT OF CORRECTIONS OF SAID STATE, GRABER

The above named defendant having been charged with the offense specified herein in the above cited
indictment being seen by certified and adequate jury of and returned for said offense by said Court in
the aforesaid certified copies of a indictment returned on Judgment and Sentence which recite in
substantive terms the offense charged against the said defendant, together with the present investigation report prepared in the
custody of the Department of Corrections of the State of Florida in Reception Center operated by the
Department of Corrections, and it is to command you, the Department of Corrections and other officials, to read and take
information for the use of said institution in the institution in the state correctional system to which you are
assigned in the institution of Reception Center, and to receive custody of the said defendant in the institution to which you are
assigned.

Handheld Computing



- ✓ Truly Portable
- ✓ Wireless
- ✓ Real time data
- ✓ Eliminates duplication

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Getting There!

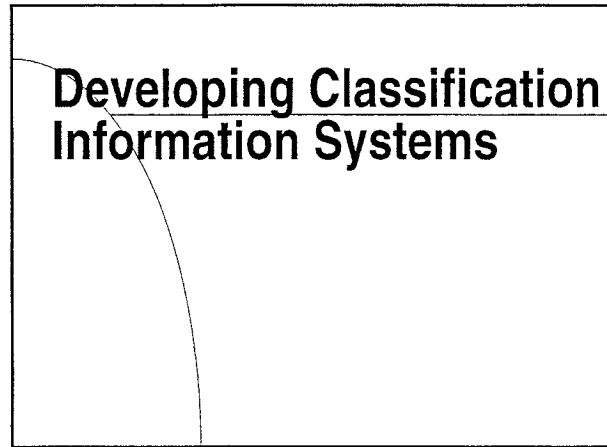
- First Step - assess your classification processes
 - ✓ Reception
 - ✓ Custody
 - ✓ Commitment processing
 - ✓ Internal classification
 - ✓ Needs assessment
 - ✓ Transfer & bed management
 - ✓ Inmate discipline
 - ✓ High risk populations
 - ✓ Inmate records

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Systematically Redesign

- Begin with the end in mind
- What results do you want
- Design for end user
- Measure results
- Report findings
- Ensure accountability
- Is it doing any good?

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Litigation Issues

4.44 DEFINITION: DELIBERATE INDIFFERENCE - CONVICTED PRISONERS (42 U.S.C. § 1983)

Deliberate indifference is established only if there is actual knowledge of a substantial risk that plaintiff (describe serious medical problem or other serious harm that defendant is expected to prevent) and if the defendant disregards that risk by intentionally refusing or failing to take reasonable measures to deal with the problem. Mere negligence or inadvertence does not constitute deliberate indifference.

Committee Comments

See *Farmer v. Brennan*, ___ U.S. ___, 114 S. Ct. 1970 (1994) (clearly limiting deliberate indifference to intentional, knowing or recklessness in the criminal law context which requires actual knowledge of a serious risk). *Wilson v. Seiter*, 501 U.S. 294 (1991). The court is limiting Eighth Amendment claims to those in which plaintiff can show actual subjective intent rather than just recklessness in the tort sense. In *Wilson*, the court characterized as Eighth Amendment violations only acts which are "*deliberate acts intended to chastise or deter*" (emphasis added) or "*punishment which has been administered for a disciplinary purpose*" (emphasis added). *Wilson*, 501 U.S. at 300. The court, continuing to follow the deliberate indifference standard, clearly stated that negligence was not sufficient.

The Committee believes the phrase "deliberate indifference" should probably be defined in most cases, although Eighth Circuit case law does not require it.

11.03.04 MUNICIPAL LIABILITY--FAILURE TO TRAIN--ELEMENTS AND BURDEN OF PROOF

[On the plaintiff's claim for failure to train,] the plaintiff has the burden of proving each of the following by a preponderance of the evidence:

1. the [city's] [county's] training program was not adequate to train its [officers] [employees] to respond properly to the usual and recurring situations with which they must deal;
2. the [city] [county] was deliberately indifferent to the need to train its [officers] [employees] adequately; and
3. the failure to provide proper training was the [proximate] [legal] cause of the deprivation of the plaintiff's rights protected by the Constitution [or laws] of the United States.

11.03.05 MUNICIPAL LIABILITY--DELIBERATE INDIFFERENCE DEFINED (42 U.S.C. § 1983)

"Deliberate indifference" to the rights of others is the conscious or reckless disregard of the consequences of one's acts or omissions.

**SUMMARY OF KEY LEGAL CASES
CONCERNING CLASSIFICATION**

Case	State	Legal Issue	Classification Issue
<i>1. Ruiz v. Lynaugh</i>	Texas	Overall Conditions of Confinement	Lack of Objective Inmate Class System. Have new reforms reduced inmate violence?
<i>2. Calvin R. vs. Illinois</i>	Illinois	Overall Conditions of Confinement	Lack of internal classification system to reduce inmate violence. Has new system been implemented properly?
<i>3. USA v. Michigan</i>	Michigan	Overall Conditions of Confinement	Is court ordered class system working properly? Are inmates being housed according to the system, is the process accurate?
<i>4. Cain v. Michigan</i>	Michigan	Conditions of Confinement for Female Inmates	Are women being over-classified, are the reforms recommended working? Is there a different disciplinary system standard for males versus females?
<i>5. Austin, et al., v. Wilkinson, et al.</i>	Ohio	Conditions of Confinement at Super Max	Is the class criteria used assign inmates to Ohio State Penitentiary Max objective and valid ? Is there a valid internal classification system at the OSP?
<i>6. U.S. v. State of Florida and DOC</i>	Florida	Denying women access to prison guard positions	Are inmates so dangerous that women cannot be allowed to supervise male inmates out of the presence of a male guard?

7. <i>U.S. v. The Parish of Orleans Criminal Sheriff's Office</i>	Louisiana	Denying women access to prison guard positions	Are inmates so dangerous that women cannot be allowed to supervise male inmates out of the presence of a male guard?
8. <i>Busey et al. v. Corrections Corporation of America</i>	DC/Ohio	Wrongful Inmate Deaths	Are inmates transferred to CCA facility properly classified? Does the CCA have a valid internal classification system?
9. <i>Montoya v. Gunter, et al.</i>	California	Wrongful Inmate Death	Was inmate who was killed by another inmate properly classified and housed?
10. <i>Gartrell et al., v. Ashcroft et al.,</i>	DC/Virginia	Restricting Religious Practices	Should DC/BOP inmates placed in another prison system and be required to conform to a grooming code that violates BOP religious freedom accommodations?
11. <i>Holloway, et al., v. King County</i>	Washington	Harassment of female officers	Is the DOC not enforcing its disciplinary and classification systems toward male inmates being supervised by female officers?
12. <i>Ruben Henriquez v. Camden County, et al</i>	New Jersey	Erroneous Detention	Did the lack of a classification system contribute to an inmate remaining in custody after his release date?

Implementation Strategies

Developing Objective Classification Systems

Effective Implementation Strategies

Effective Implementation Strategies

- Upper Management **MUST BE SOLD!!!**
- Have a "champion" as your project leader
- Bring in your Information Technology Group early

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Effective Implementation Strategies

- Must have commitment of resources
- Careful planning
- Keep it simple
- Testing, Testing, Testing
- Pilot with field staff
 - ◆ If they can't use it, redesign!
 - ◆ There will be changes...plan for them
 - ◆ May need additional pilot testing at other sites

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Effective Implementation Strategies for An Internal classification System

- Select type of internal system for adoption
- Select a pilot site
- Analyze current housing, work and program assignment procedures
- Conduct facility program and work inventory
- Inventory available bed space
- Develop prototype instrument and policies
- Pilot test instrument and procedures
- Develop full implementation plan
- Monitor and evaluate

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Effective Implementation Strategies

- Implement statewide
 - ◆ Conduct hands-on, comprehensive training (including facility managers)
 - ◆ Implement as soon as possible after training (preferably immediately following the training)
 - ◆ Keep special action items for field staff to a minimum
 - ◆ Incorporate new processes into existing ones so that field staff can understand the changes

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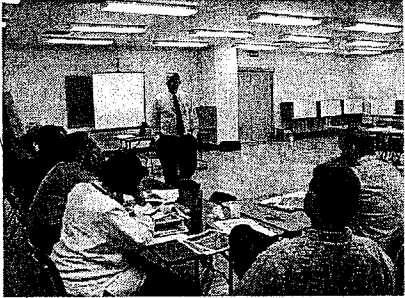
Effective Implementation Strategies

- Evaluate
 - ◆ Implement Accountability System with the process
 - ◆ Make sure the important stuff does what you want it to -- validate it
 - ◆ Make sure the people do want you want them to -- set measurable standards for the important stuff and report it!

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Pilot Test Methodology

- Overview Training



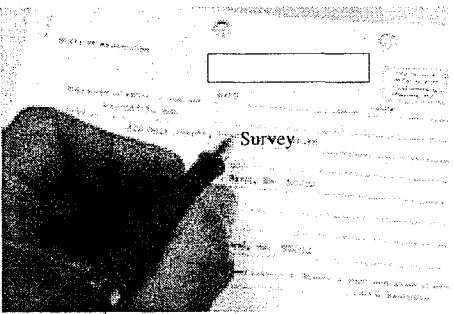
July 11, 2003 7

Hands-On Training



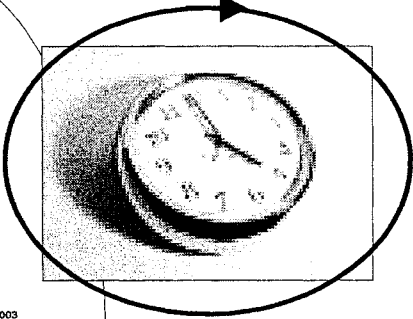
July 11, 2003 8

Satisfaction Survey




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Cycle Time Statistics



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Feedback From Pilot Sites



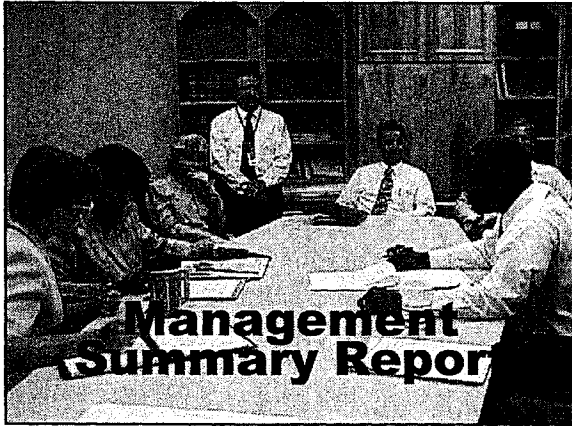
July 11, 2003 11

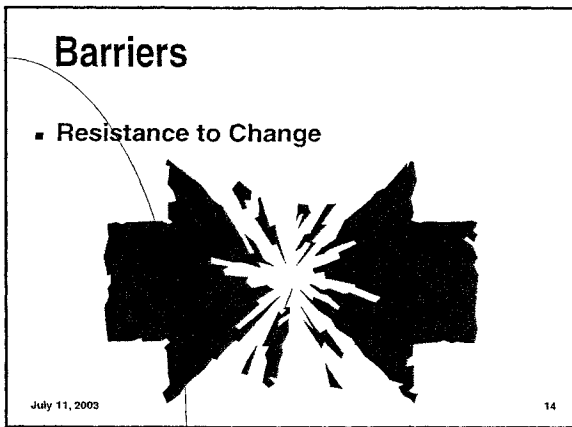
Accountability

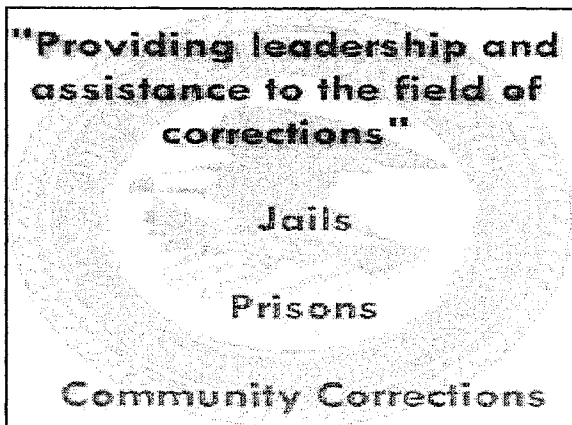
- Performance Results
 - ◆ Weekly Measurements
 - ◆ Monthly Measurements



July 11, 2003







Classification Checklists

Assessment of External Classification System

Checklists

Comprehensive Objective Prison Classification

Assessment of Your External Classification System

Yes No Partial DK

1. **External Classification System Mission:**
 - 1.1 **External Classification System (ECS) assigns offenders to:**
 - **Custody level**
 - **Facility**
 - 1.2 **Internal classification assignments are consistent with an inmate's custody level**
 - **Custody levels are not modified to match Internal classification assignments**
 - 1.3 **ECS facilitates placement of inmates in the**
 - **least restrictive housing and custody level**

2. **ECS Goals and Objectives:**
 - 2.1 **ECS has clearly defined goals**
 - 2.2 **ECS has goals consistent with DOC mission & goals**
 - 2.3 **ECS has measurable goals**

3. **ECS Policies and Procedures (P&P)**
 - 3.1 **DOC has a formal, written ECS policy**
 - 3.2 **DOC has formal, written ECS procedures**
 - 3.3 **Each facility has local written ECS procedures that comply with DOC P&P**
 - 3.4 **There is an up-to-date ECS manual**
 - 3.5 **Staff has ready access to current manual**
 - 3.6 **ECS manual is user-friendly, clear, & concise**
 - 3.7 **Staff have been formally trained on the current instruments**

4. **ECS Process**
 - 4.1 **ECS provides for:**
 - **Initial custody assessment**
 - **Regular and for cause reassessments**
 - **Supervisor reviews staff recommendations**
 - **Specific, documented mandatory overrides**
 - **Specific, documented discretionary overrides**
 - **Supervisor reviews all overrides**
 - **Needs assessment, at intake and annually**
 - **Program plans address community risks**
 - 4.2 **ECS Process is**
 - **Efficient and economically sound**

5. **Inmate Participation**
 - 5.1 **ECS provides for direct inmate participation**
 - 5.2 **Inmates are provided a copy of their custody form**

State: _____

Assessment of Your External Classification System

Yes No Partial DK

6. ECS Instruments

6.1 ECS instruments are:

- Objective
- Reliable
- Valid for both male and female inmates
- Automated
- Easy for staff to use
- Gender specific
- Provide for pre-coded overrides
- Overrides are separated into discretionary and mandatory overrides

7. ECS Documentation and Data Collection

7.1 Quality data are collected to document the entire ECS process

7.2 ECS uses complete, high quality, verified data to determine an inmate's:

- Custody level
- Facility assignment
- Programming

7.3 ECS management reports are produced:

- Weekly
- Monthly
- Special request
- Informative and useful

8. Evaluation, Monitoring and Planning

8.1 ECS policy & procedures are reviewed annually

8.2 ECS has been formally evaluated in past 3 years

8.3 ECS has been validated on DOC population

8.4 ECS is audited at all facilities

8.5 Discretionary override rate does not exceed 20%/yr

9. Legal Issues

9.1 ECS has been reviewed by legal counsel for constitutional requisites

9.2 ECS has successfully withstood court review

10. Three most critical external classification issues:

1. _____ Why: _____

2. _____ Why: _____

3. _____ Why: _____

Assessment of Internal Classification System

Checklists

Comprehensive Objective Prison Classification

Assessment of Your Internal Classification System

Yes No Partial DK

1. **Internal Classification System Mission:**
 - 1.1 **Internal Classification System (ICS) assigns offenders to:**
 - Housing
 - Program assignments
 - Work assignments
 - 1.2 **ICS placements are consistent with external classification designations**
 - 1.3 **ICS facilitates placement of inmates in the least restrictive housing and custody level**

2. **ICS Goals and Objectives:**
 - 2.1 **ICS has clearly defined goals**
 - 2.2 **ICS has goals consistent with DOC mission & goals**
 - 2.3 **ICS has measurable goals**

3. **ICS Policies and Procedures (P&P)**
 - 3.1 **DOC has a formal, written ICS policy**
 - 3.2 **DOC has formal, written ICS procedures**
 - 3.3 **Each facility has local written ICS procedures that comply with DOC P&P**
 - 3.4 **There is an up-to-date ICS manual**
 - 3.5 **Staff has ready access to current manual**
 - 3.6 **ICS manual is user-friendly, clear, & concise**
 - 3.7 **Staff have been formally trained on the current instruments/process**

4. **ICS Process**
 - 4.1 **ICS provides for:**
 - Initial assessment and placement
 - Regular and for cause reassessments
 - Supervisor review of staff recommendations
 - Specific, documented mandatory overrides
 - Specific, documented discretionary overrides
 - Supervisor reviews all overrides
 - Consideration of special populations, e.g., Adm. Segregation, PC, MH, medical, and geriatric
 - 4.2 **ICS Process is**
 - Efficient and economically sound

5. **Inmate Participation**
 - 5.1 **ICS provides for direct inmate participation**
 - 5.2 **Inmates are provided a copy of their assessment**

State: _____

Assessment of Your Internal Classification System

Yes No Partial DK

6. ICS Instruments

6.1 ICS instruments are:

- Objective
- Reliable
- Valid for both male and female inmates
- Automated
- Easy for staff to use
- Provide for pre-coded overrides
- Overrides are separated into discretionary and mandatory overrides

7. ICS Documentation and Data Collection

7.1 Quality data are collected to document the entire ICS process

7.2 ICS uses complete, high quality, verified data to determine an inmate's:

- Housing
- Work
- Programming

7.3 ICS management reports are produced:

- Weekly
- Monthly
- Special request
- Informative and useful
- Accurate

8. Evaluation, Monitoring and Planning

8.1 ICS policy & procedures are reviewed annually

8.2 ICS has been formally evaluated in past 3 years

8.3 ICS has been validated on DOC population

8.4 ICS reliability is assessed annually

8.5 Discretionary override rate does not exceed 15%/yr

8.6 All stakeholders participate in the design, evaluation and review of ICS

9. Legal Issues

9.1 ICS has been reviewed by legal counsel for constitutional requisites

9.2 ICS has successfully withstood court review

10. Three most critical internal classification issues:

1. _____ Why: _____

2. _____ Why: _____

3. _____ Why: _____

Assessment of Intake and Needs Assessment Process

Assessment of Your Intake and Needs Assessment Process

Yes No Partial DK

1. **Intake and Needs Assessment Process Mission:**
 - 1.1 **Intake and Needs Assessment Process (INAP) determines an inmates':**
 - Immediate medical needs
 - Immediate mental health needs
 - Individual, institutional program needs
 - Individual, institutional pre-release needs
 - 1.2 **INAP generates high quality, verified data about an inmate's needs as to:**
 - Medical
 - Mental Health
 - Education
 - Vocational training
 - Substance Abuse
 - Sex offender treatment
 - Family/marital relationships
 - Parenting
 - Work history/experience
 - History of abuse/trauma
 - Intellectual ability
 - Companions – institutional and community
 - Financial management
 - Compulsive behaviors, gambling, eating, etc.
 - Other: _____
 - 1.3 **Program assignments are consistent with inmate's Needs**
 - Custody levels are not modified to permit
 - Inmate's access to programs and services
 - 1.4 **INAP facilities placement of inmates in the least restrictive housing and custody level**
2. **Intake and Need Assessment Process Goals and Objectives:**
 - 2.1 **INAP has clearly defined goals**
 - 2.2 **INAP has goals consistent with DOC mission & goals**
 - 2.3 **INAP has measurable goals**
3. **Intake and Needs Assessment Process Policies and Procedures (P&P)**
 - 3.1 **DOC has a formal, written INAP policy**
 - 3.2 **DOC has formal, written INAP procedures**
 - 3.3 **Each facility has local written need assessment procedures that comply with DOC P&P**
 - 3.4 **Needs assessment manual is up-to-date**
 - 3.5 **Staff have ready access to current manual**
 - 3.6 **Needs manual is user-friendly, clear, & concise**
 - 3.7 **Staff have been formally trained on the current Instruments**

State: _____

Assessment of Your Intake and Needs Assessment Process

Yes No Partial DK

4. INAP Process

4.1 INAP provides for:

- Initial needs assessment
- Regular and for cause reassessments
- Assessments by qualified, trained staff
- Individualized program plans
- Program plans developed jointly by clinicians program staff, and case workers
- Consultation of treatment staff as to housing assignments and transfers
- Program plans address institutional risks
- Program plans address community risks

4.2 INAP Process is

- Efficient and economically sound
- Organized to eliminate duplication and Unnecessary testing/retesting

5. Inmate Participation

5.1 INAP provides for direct inmate participation

5.2 Inmates are provided a copy of their program plan

6. INAP Instruments

6.1 INAP instruments are:

- Objective
- Reliable
- Valid for both male and female inmates
- Automated
- Easy for staff to use
- Gender specific
- Provide for pre-coded overrides
- Overrides are separated into discretionary and mandatory overrides

7. INAP Documentation and Data Collection

7.1 Quality data are collected to document the entire INAP process

7.2 INAP uses complete, high quality, verified data to determine an inmate's needs

7.3 INAP management reports are produced:

- Weekly
- Monthly
- Special request
- Informative and useful

Assessment of Your Intake and Needs Assessment Process

Yes No Partial DK

8. Evaluation, Monitoring and Planning

- 8.1 INAP policy & procedures are reviewed annually
- 8.2 INAP provides data for program planning
- 8.3 INAP provides data for resources allocation
- 8.4 INAP has been normed for your populations
- 8.5 Reliability testing is ongoing

9. Legal Issues

- 9.1 INAP has been reviewed by legal counsel for constitutional requisites
- 9.2 INAP has successfully withstood court review

10. Three most critical intake and needs assessment issues:

- 1. _____ Why: _____
- 2. _____ Why: _____
- 3. _____ Why: _____

Supplementary Reading



Bureau of Justice Statistics Special Report

July 2001, NCJ 188215

Mental Health Treatment in State Prisons, 2000

By Allen J. Beck, Ph.D.
and Laura M. Maruschak
BJS Statisticians

On June 30, 2000, 1,394 of the Nation's 1,558 State public and private adult correctional facilities reported that they provide mental health services to their inmates.* Nearly 70% of facilities housing State prison inmates reported that, as a matter of policy, they screen inmates at intake; 65% conduct psychiatric assessments; 51% provide 24-hour mental health care; 71% provide therapy/counseling by trained mental health professionals; 73% distribute psychotropic medications to their inmates; and 66% help released inmates obtain community mental health services.

One in every 8 State prisoners was receiving some mental health therapy or counseling services at midyear 2000. Nearly 10% were receiving psychotropic medications (including antidepressants, stimulants, sedatives, tranquilizers, or other anti-psychotic drugs). Fewer than 2% of State inmates were housed in a 24-hour mental health unit.

This report is based on the *2000 Census of State and Federal Adult Correctional Facilities*, an enumeration of all 84 Federal facilities, 1,320 State facilities, and 264 private facilities in operation on June 30, 2000. For the first time, the 2000 census included items related to facility policies on mental health screening and treatment.

*Excluded from this report are locally operated jails and Federal confinement facilities.

Highlights

Nearly all State adult confinement facilities screen inmates for mental health problems or provide treatment

Mental health policy	Percent of facilities	
	Confine-ment	Community-based
Any	95%	82%
Screen at intake	78	47
Conduct psychiatric assessments	79	30
Provide 24-hour care	63	20
Provide therapy/counseling	84	35
Distribute psychotropic medications	83	49
Assist releasees	72	51

- Mental health screening and treatment services were more frequently reported by State confinement facilities (95%) than by community-based facilities (82%).

- Community-based facilities, in which at least 50% of the inmates regularly depart unaccompanied, were less likely to report mental health screening (47%), assessment (30%), and therapy/counseling (35%).

1 in 10 State inmates receiving psychotropic medications; 1 in 8 in mental health therapy or counseling

Facility characteristic	Percent of inmates receiving —	
	Therapy/counseling	Psychotropic medications
All	13%	10%
Public	13	10
Private	10	7
Confinement	13	10
Community-based	9	5
Males only	12	9
Females only	27	22
Both	14	13

- On June 30, 2000, an estimated 150,900 State inmates were in mental health therapy/counseling programs; 114,400 inmates were receiving psychotropic medications; and 18,900 were in 24-hour care.

- In 5 States — Maine, Montana, Nebraska, Hawaii, and Oregon — approximately 20% of the State inmates were receiving psychotropic medications.

155 State facilities specialized in psychiatric confinement, but general confinement facilities provided a majority of treatment

	Mental health confinement	Other functions
Number of facilities	155	1,403
Number of inmates	217,420	961,387
Percent receiving —		
24-hour care	7%	0%
Therapy/counseling	19	9
Psychotropic medications	17	7

- 12 facilities reported mental health/psychiatric confinement as their primary function; 143 reported it as a specialty among other functions.

- About two-thirds of all inmates receiving therapy/counseling or medications were in facilities that didn't specialize in providing mental health services in confinement.

Inmates screened at admission and placed in general confinement or specialized facilities

State prison systems typically screen inmates for mental disorders at a reception/diagnostic center prior to placement in a State facility. As of June 30, 2000, 161 facilities reported serving this function, including at least 1 in every State. Nearly all of these facilities (153) reported that they either screened inmates or conducted psychiatric evaluations to determine inmate mental health or emotional status.

In addition, 155 facilities (in 47 States) reported mental health/psychiatric confinement as a special function. Only three States — North Dakota, Rhode Island, and Wyoming — lacked a special psychiatric confinement facility. In these States inmates needing special confinement separate from other inmates are placed in State hospitals, prison infirmaries, or in special needs units within general confinement facilities.

Mental health services most commonly provided in maximum/high-security confinement facilities

Facility policies relating to mental health screening, assessment, and treatment vary by type of facility and security level. Community-based facilities, in which 50% or more of their inmates are regularly permitted to depart unaccompanied, are less likely (82%) than State confinement facilities (95%) to have policies related to mental health screening and care (table 1).

On each mental health policy considered, about half or fewer of the community-based facilities reported having such a policy. The most common policy for community-based facilities was providing assistance to released inmates to obtain mental health services in the community (51%). The least common was providing 24-hour mental health care to inmates (20%).

Table 1. Mental health screening and treatment in State correctional facilities, by type of facility, June 30, 2000

Mental health policy	All facilities		Confinement facilities		Community-based facilities	
	Number	Percent	Number	Percent	Number	Percent
Total	1,558	100.0%	1,109	100.0%	449	100.0%
Any screening/treatment	1,394	91.8%	1,047	95.4%	347	82.2%
Screen inmates at intake	1,055	69.5	855	77.9	200	47.4
Conduct psychiatric assessments	990	65.2	864	78.8	126	29.9
Provide 24-hour mental health care	776	51.1	693	63.2	83	19.7
Provide therapy/counseling	1,073	70.6	926	84.4	147	34.8
Distribute psychotropic medications	1,115	73.4	910	83.0	205	48.6
Help released inmates obtain services	1,006	66.2	790	72.0	216	51.2
No screening/treatment	125	8.2%	50	4.6%	75	17.8%
Not reported	39		12		27	

Note: Excludes 84 Federal facilities and 26 privately operated facilities in which at least half of the inmates were under Federal authority. Includes facilities in which 50 percent or more of their inmates are regularly permitted to depart unaccompanied and those facilities whose primary function is community corrections, work release, or prerelease.

Table 2. Mental health screening and treatment in State confinement facilities, by facility security level, June 30, 2000

Mental health policy	Facility security level					
	Maximum/high		Medium		Minimum/low	
	Number	Percent	Number	Percent	Number	Percent
Total	299	100.0%	489	100.0%	316	100.0%
Any screening/treatment	296	99.0%	482	99.0%	265	86.6%
Screen inmates at intake	261	87.3	402	82.5	190	62.1
Conduct psychiatric assessments	264	88.3	409	84.0	190	62.1
Provide 24-hour mental health care	189	63.2	358	73.5	144	47.1
Provide therapy/counseling	283	94.6	444	91.2	196	64.1
Distribute psychotropic medications	285	95.3	432	88.7	190	62.1
Help released inmates obtain services	253	84.6	363	74.5	172	56.2
No screening/treatment	3	1.0%	5	1.0%	41	13.2%
Not reported	0		2		10	

Note: Excludes five confinement facilities without a designated security level.

Among confinement facilities, the most common forms of treatment were therapy/counseling (84%) and distribution of psychotropic medications (83%). At least three-quarters of the facilities reported screening inmates at intake and conducting psychiatric assessments. Nearly two-thirds of confinement facilities reported that 24-hour mental health care was available to inmates either on or off facility grounds.

Mental health screening and treatment policies were more frequently reported by maximum/high-security facilities than by minimum/low-security facilities (table 2). Almost all maximum-security confinement facilities (99%) reported conducting screening and providing

some form of treatment. The most common (95%) was the distribution of psychotropic medications and providing mental health therapy/counseling.

Overall, 125 facilities reported that they did not provide any mental health services to inmates. Of these facilities, 75 were community-based and 41 were minimum/low-security confinement facilities. The absence of mental health policies within these facilities may reflect the confinement and treatment of mentally ill inmates elsewhere within the State systems. On June 30, 2000, fewer than 1.8% of all State inmates were held in facilities in which mental health services were not available.

Based on inmate self-reports, at midyear 2000 State prisons held 191,000 mentally ill inmates

In the Special Report *Mental Health Treatment of Inmates and Probationers* (NCJ 174463), BJS estimated that 16.2% of State prisoners were mentally ill. Drawing from inmate surveys conducted in 1997, BJS found that 10.1% of State inmates reported a mental or emotional condition and 10.7% said they had stayed overnight in a mental hospital or program. Though these estimates depend on inmate self-reports, they provide an overall measure of the need for mental health treatment in State prisons. Assuming these percentages have not changed since the surveys were conducted, an estimated 191,000 inmates in State prisons were mentally ill as of midyear 2000.

13% of State inmates receiving mental health therapy; 10% receiving psychotropic medications

The 2000 prison census findings reveal a great diversity in the amount and type of treatment being provided among State correctional facilities. Overall, 1.6% of all inmates (or about 10% of all those identified as mentally ill) were receiving 24-hour care in special housing or a psychiatric unit (table 3). Inmates in public facilities (1.8%) and confinement facilities (1.8%) were somewhat more likely than those in private facilities (1.1%) and community-based facilities (0.3%) to be receiving 24-hour care.

Nearly 13% of State inmates (or about 79% of those mentally ill) were receiving mental health therapy or counseling services from a trained professional on a regular basis. The percent receiving therapy was the highest in female-only confinement facilities (with more than 1 in 4 female inmates receiving therapy) and in maximum/high-security facilities (with nearly 1 in 6 inmates in therapy) (table 4).

Table 3. Inmates receiving mental health treatment in State correctional facilities, by facility characteristic, June 30, 2000

Facility characteristic	Number of inmates receiving —					
	24-hour mental health care		Therapy/ counseling		Psychotropic medications	
	Number	Percent	Number	Percent	Number	Percent
Total						
Reported ^a	17,354	1.6%	137,395	12.8%	105,336	9.7%
Estimated ^b	18,900		150,900		114,400	
Facility operation						
Public	16,429	1.8%	118,933	12.8%	92,414	9.8%
Private	734	1.1	7,763	11.4	5,158	7.5
Authority to house						
Males only	13,161	1.5%	102,235	11.7%	75,664	8.5%
Females only	834	1.4	15,262	26.5	12,536	21.5
Both	3,168	4.5	9,199	13.9	9,372	13.2
Type of facility						
Community-based	177	0.3%	4,320	8.7%	2,458	4.8%
Confinement	16,986	1.8	122,376	12.9	95,114	9.8
Facility function^c						
General confinement	11,485	1.3%	109,009	12.8%	82,929	9.6%
Special function						
Reception/diagnostic center	1,029	2.5	6,362	14.7	5,392	11.7
Community corrections	107	0.3	2,588	7.4	1,662	4.6
Medical treatment	332	17.0	164	13.2	430	22.1
Mental health	3,335	47.5	3,373	46.7	3,277	45.3
Alcohol/drug treatment	0	0.0	1,323	7.7	761	4.5
Boot camp/youthful offenders	176	1.3	720	6.3	488	4.4
Other ^d	699	2.1	3,153	9.4	2,631	7.9

^aIncludes inmates receiving mental health treatment in Florida for whom only statewide totals were reported.
^bNational totals were estimated by multiplying the reported percentages by the total number of persons in State custody on June 30, 2000.
^cFacilities could report more than one function. Primary function was the category with the largest number of inmates on June 30, 2000.
^dIncludes transfer facilities, juvenile confinement, protective custody, sex offender treatment, and death row.

Table 4. Inmates receiving mental health treatment in State confinement facilities, by facility characteristic, June 30, 2000

Facility characteristic	Number of inmates receiving —					
	24-hour mental health care		Therapy/ counseling		Psychotropic medications	
	Number	Percent	Number	Percent	Number	Percent
Total^a	16,986	1.8%	122,376	12.9%	95,114	9.8%
Facility operation						
Public	16,270	1.8%	116,296	13.0%	90,721	10.0%
Private	716	1.3	6,080	10.8	4,393	7.7
Authority to house						
Males only	13,064	1.5%	100,371	11.9%	74,736	8.7%
Females only	830	1.5	14,744	27.1	12,119	22.1
Both	3,092	5.9	7,261	14.3	8,259	15.2
Security level						
Maximum/high	6,928	2.4%	44,637	14.9%	35,069	11.5%
Medium	9,608	1.8	65,726	12.6	52,208	9.8
Minimum/low	448	0.4	11,593	9.3	7,355	5.8
Facility size^b						
1,500 or more	6,298	1.4%	59,970	12.8%	45,283	9.3%
750-1,499	5,140	1.6	41,953	13.0	31,816	9.9
250-749	4,582	3.5	16,831	13.4	14,866	11.6
100-249	888	3.3	3,309	12.4	2,867	10.9
Fewer than 100	78	2.3	313	11.0	282	8.8

^aExcludes inmates in mental health treatment in Florida for whom only statewide totals were reported.
^bBased on the average daily population between July 1, 1999, and June 30, 2000.

Facilities also reported that nearly 10% of all inmates (an estimated 114,400 inmates nationwide) were receiving psychotropic medications. The use of these drugs (including antidepressants, stimulants, sedatives, and tranquilizers) was the most common in facilities specializing in mental health confinement (45%), medical treatment facilities (22%), and female-only confinement facilities (22%).

General confinement facilities provided most mental health treatment

The 2000 census identified 155 facilities that specialize in mental health/psychiatric confinement. Twelve of these facilities reported that their primary function (identified by the largest number of inmates) was mental health confinement (table 5). In some States these facilities are used to house mentally ill inmates separately from the general population; in other States they are used to remove inmates in response to acute episodes for a short term. The most severely mentally ill may be transferred to outside agencies (such as State mental hospitals and secure psychiatric hospitals) for long-term treatment.

Facilities with mental health confinement as their primary function are typically smaller than other facilities. Between July 1, 1999, and June 30, 2000, these facilities had an average daily population of 690 inmates, compared to an average of 1,460 in facilities that provide specialized care but hold other inmates as well. On June 30, 2000, these 12 facilities held more than 8,124 inmates, and, on average, were operating at about 88% of their rated capacity.

The majority of inmates receiving therapy/counseling and medications were housed in facilities without a mental health specialty. Nearly 70% of all inmates receiving therapy and 65% of those receiving psychotropic medication were in general confinement or community-based facilities.

Table 5. Characteristics of State correctional facilities providing mental health services, June 30, 2000

Characteristic	Facilities that specialize in mental health/psychiatric confinement ^a			Other facilities	
	Total	Primary	Secondary	Confinement	Community-based
Number of facilities	155	12	143	961	442
Average daily population					
1,500 or more	44	2	42	169	3
750-1,499	54	1	53	310	3
250-749	37	5	32	278	32
100-249	13	3	10	157	114
Fewer than 100	7	1	6	47	290
Mean	1,400	690	1,460	928	130
Number of inmates held on June 30, 2000	217,420	8,124	209,296	902,976	58,411
Number of inmates receiving treatment^b					
In 24-hour care	13,739	3,335	10,404	3,308	116
In therapy/counseling	38,992	3,373	35,619	83,828	3,876
Psychotropic medications	34,426	3,277	31,149	60,976	2,170
Percent of inmates					
In 24-hour care	6.8%	47.5%	5.3%	0.4%	0.2%
In therapy/counseling	19.2	46.7	18.2	11.2	8.1
Psychotropic medications	16.6	45.3	15.6	8.0	4.4
Rated capacity^c	217,682	9,255	208,427	899,528	61,664
Percent of capacity occupied^d	99.9%	87.8%	100.4%	100.4%	94.7%

^aFacilities could report more than one function. Primary function was the category which applied to the largest number of inmates on June 30. Secondary function includes all other facilities that reported mental health/psychiatric confinement as a facility function.

^bExcludes inmates in mental health treatment in Florida for whom only statewide totals were reported.

^cRated capacity is the maximum number of beds or inmates assigned by a rating official.

^dPercent of capacity occupied is the ratio of number of inmates held to the rated capacity on June 30, 2000.

In contrast, most inmates receiving 24-hour mental health care (80%) were receiving that care in a specialized confinement facility.

In 5 States nearly 20% of inmates receiving psychotropic medications

Excluding States in which fewer than 90% of inmates were in facilities reporting on mental health items, the census found that the use of psychotropic medications was most common in Hawaii, Maine, Montana, Nebraska, and Oregon (with nearly 20% of all inmates) and least common in Alabama, Arkansas, and Michigan (with fewer than 5% of inmates receiving medications) (appendix table B).

In four States — Louisiana, Nebraska, Maine, and Wyoming — facilities reported that at least a quarter of all State inmates were receiving mental health therapy or counseling services. Among all States, only Hawaii, which operates an integrated prison and jail system, reported that fewer than 5% of their inmates were receiving mental health therapy/counseling.

Among all correctional facilities, the Louisiana State Penitentiary in Baton Rouge reported the largest number of inmates in therapy (1,736), followed by the California Men's Colony in San Luis Obispo (1,721), the California Medical Facility in Vacaville (1,300), and the Indiana Wabash Valley Correctional Facility (1,021) (appendix table C).

Appendix table A. Mental health screening and treatment in State correctional facilities, June 30, 2000

Region and State	Total*	Number of facilities, by type of policy							No services provided	No data reported
		Screen inmates at intake	Conduct psychiatric assessments	Provide 24-hour mental health care	Provide therapy/counseling	Distribute psychotropic medications	Help released inmates obtain services			
Total	1,558	1,055	990	776	1,073	1,115	1,006	125	39	
Northeast	233	154	163	152	173	178	167	5	3	
Connecticut	20	17	17	13	18	16	16	0	0	
Maine	8	6	5	3	7	7	6	0	0	
Massachusetts	25	20	17	15	21	20	20	0	2	
New Hampshire	8	4	5	4	7	7	7	0	0	
New Jersey	43	27	24	14	23	30	25	3	0	
New York	69	31	52	66	53	43	40	0	0	
Pennsylvania	44	36	29	32	29	40	39	2	0	
Rhode Island	7	7	7	0	7	7	7	0	0	
Vermont	9	6	7	5	8	8	7	0	1	
Midwest	301	190	167	140	207	210	196	25	1	
Illinois	48	30	30	32	31	31	34	4	0	
Indiana	25	17	14	14	15	13	13	4	0	
Iowa	30	11	12	12	10	21	23	2	1	
Kansas	11	9	8	9	9	10	11	0	0	
Michigan	70	39	43	35	40	31	32	10	0	
Minnesota	9	1	1	1	8	9	8	0	0	
Missouri	28	27	0	0	27	27	27	1	0	
Nebraska	9	2	2	0	9	9	0	0	0	
North Dakota	3	2	2	1	2	2	2	1	0	
Ohio	34	34	34	26	33	32	29	0	0	
South Dakota	4	2	3	1	3	4	3	0	0	
Wisconsin	30	16	18	9	20	21	14	3	0	
South	730	527	497	338	514	535	471	59	17	
Alabama	35	16	21	13	21	26	11	3	1	
Arkansas	15	12	12	12	12	12	12	3	0	
Delaware	9	8	8	2	8	8	5	0	1	
District of Columbia	6	2	2	3	2	3	4	2	0	
Florida	106	98	90	1	88	88	85	8	0	
Georgia	83	54	45	38	41	47	48	6	2	
Kentucky	25	15	12	8	13	12	14	1	0	
Louisiana	17	12	11	11	10	11	11	0	5	
Maryland	26	12	14	13	18	18	22	2	0	
Mississippi	28	12	11	5	8	9	2	9	1	
North Carolina	80	49	55	31	68	73	61	0	2	
Oklahoma	52	37	30	25	33	37	20	4	3	
South Carolina	34	19	18	17	21	22	20	5	0	
Tennessee	15	14	14	15	15	15	14	0	0	
Texas	127	117	114	111	114	118	109	2	2	
Virginia	61	44	34	31	34	30	29	14	0	
West Virginia	11	6	6	2	8	6	4	0	0	
West	294	184	163	146	179	192	172	36	18	
Alaska	24	16	10	6	12	19	18	1	1	
Arizona	16	15	13	13	14	14	12	0	1	
California	86	50	35	28	41	36	38	13	12	
Colorado	47	16	30	32	34	38	35	0	3	
Hawaii	10	10	9	9	10	9	1	0	0	
Idaho	13	7	5	6	5	10	7	1	0	
Montana	8	6	5	4	6	6	4	0	1	
Nevada	20	11	10	7	10	9	9	7	0	
New Mexico	10	10	10	8	10	9	8	0	0	
Oregon	13	13	10	7	9	12	11	0	0	
Utah	8	6	5	4	5	6	7	0	0	
Washington	30	17	15	17	17	17	15	13	0	
Wyoming	9	7	6	5	6	7	7	1	0	

*Includes 1,295 State-operated facilities, 22 facilities under joint State and local authority, 3 facilities operated by the District of Columbia, and 238 private facilities with more than 50% of their inmates held for State authorities.

Appendix table B. Inmates receiving mental health treatment in State correctional facilities, June 30, 2000

Region and State	Number of inmates receiving —						Inmates in custody		
	24-hour care		Therapy/counseling		Psychotropic medications		In all facilities	In facilities reporting data*	Percent covered
	Number	Percent	Number	Percent	Number	Percent			
Total	17,354	1.6%	137,385	12.8%	105,336	9.7%	1,178,807	1,088,023	92.3%
Northeast	1,715	1.0 %	20,099	12.6%	14,840	9.2	171,723	160,938	93.7%
Connecticut	341	2.3	2,596	17.8	1,659	11.4	16,984	14,577	85.8
Maine	26	2.8	538	33.0	367	23.5	1,629	1,562	95.9
Massachusetts	309	3.0	2,271	21.8	1,331	12.7	10,500	10,500	100.0
New Hampshire	92	4.9	387	20.7	228	12.2	2,277	1,872	82.2
New Jersey	467	1.8	2,308	9.2	2,541	9.4	27,118	27,118	100.0
New York	262	0.4	6,888	10.2	4,539	6.7	71,662	67,595	94.3
Pennsylvania	178	0.5	4,761	13.0	3,891	10.6	36,895	36,710	99.5
Rhode Island	10	0.3	/	/	/	/	3,347	0	0.0
Vermont	30	3.0	350	34.9	284	28.3	1,311	1,004	76.6
Midwest	3,843	1.7%	32,461	14.3%	21,527	9.3%	233,993	230,640	98.6%
Illinois	672	1.5	4,374	9.9	2,954	6.7	44,150	44,000	99.7
Indiana	354	1.9	4,281	23.5	2,392	13.1	18,195	18,195	100.0
Iowa	134	1.5	1,293	14.3	1,122	12.4	9,086	9,031	99.4
Kansas	218	2.4	2,075	23.1	1,518	16.9	8,992	8,992	100.0
Michigan	760	1.7	4,678	10.5	2,161	4.8	47,639	45,183	94.8
Minnesota	32	0.4	1,222	16.4	1,312	17.6	7,451	7,451	100.0
Missouri	12	0.0	3,331	11.9	1,054	3.8	27,963	27,963	100.0
Nebraska	84	2.4	982	28.0	691	19.7	3,508	3,508	100.0
North Dakota	/	/	/	/	247	39.3	992	628	63.3
Ohio	1,042	2.2	7,165	15.0	4,921	10.3	47,915	47,915	100.0
South Dakota	43	1.7	577	22.3	420	16.2	2,591	2,591	100.0
Wisconsin	492	3.2	2,483	20.4	2,735	18.0	15,511	15,183	97.9
South	7,106	1.6%	54,119	11.9%	41,280	9.1%	510,287	452,197	88.6%
Alabama	556	2.5	1,768	8.4	1,078	4.9	22,395	22,169	99.0
Arkansas	82	0.8	1,117	10.7	424	4.1	10,465	10,465	100.0
Delaware	2	0.0	801	14.5	739	12.5	6,023	5,910	98.1
District of Columbia	38	1.6	503	21.1	213	8.9	2,574	2,385	92.7
Florida	191	0.3	10,689	14.9	7,764	10.8	71,616	71,616	100.0
Georgia	2,070	4.8	5,302	12.1	4,659	10.6	44,235	43,958	99.4
Kentucky	126	1.0	2,626	21.9	2,296	18.5	12,378	12,378	100.0
Louisiana	201	1.2	5,062	27.0	1,626	8.7	19,167	18,757	97.9
Maryland	253	1.3	2,829	14.9	2,344	12.4	22,821	18,933	83.0
Mississippi	580	3.9	1,607	10.9	1,935	13.1	14,823	14,748	99.5
North Carolina	715	2.5	3,747	13.2	2,783	10.2	30,708	27,406	89.2
Oklahoma	187	0.8	3,349	14.6	2,716	11.8	23,858	23,013	96.5
South Carolina	39	0.2	1,122	5.3	28	1.1	21,277	2,627	12.3
Tennessee	399	2.2	430	6.5	1,811	9.9	18,368	18,368	100.0
Texas	1,638	1.5	9,599	7.7	7,838	6.2	155,099	126,084	81.3
Virginia	0	0.0	3,215	10.6	2,540	8.4	31,412	30,368	96.7
West Virginia	29	1.0	353	12.6	486	16.1	3,068	3,012	98.2
West	4,690	1.9%	30,706	13.5%	27,689	11.3%	262,804	244,248	92.9%
Alaska	93	2.9	286	10.8	238	9.0	3,248	2,657	81.8
Arizona	378	1.4	3,874	14.7	2,194	8.3	27,005	26,360	97.6
California	3,144	2.1	18,863	12.5	15,831	10.5	160,727	150,884	93.9
Colorado	274	1.8	2,213	14.9	2,180	14.2	15,655	15,339	98.0
Hawaii	120	3.2	100	2.7	746	19.8	3,761	3,761	100.0
Idaho	1	0.0	547	14.3	728	19.1	3,961	3,813	96.3
Montana	13	0.6	268	12.0	478	21.4	2,368	2,233	94.3
Nevada	54	0.8	599	10.6	529	7.7	9,296	6,914	74.4
New Mexico	138	2.7	803	15.6	427	8.5	5,158	5,028	97.5
Oregon	65	0.8	2,032	21.8	1,796	19.6	9,933	9,181	92.4
Utah	22	1.8	306	29.0	239	19.8	4,824	1,210	25.1
Washington	381	2.6	/	/	1,925	13.1	14,682	14,682	100.0
Wyoming	7	0.3	815	37.3	378	17.3	2,186	2,186	100.0

Note: Percents based on the number of inmates held in facilities reporting data. Totals vary by item: 1,073,455 for 24-hour care; 1,069,605 for therapy/counseling; and 1,088,023 for use of medications.

/Not reported.

*Based on facilities reporting use of psychotropic medications.

Appendix table C. The 35 largest State correctional facilities providing mental health therapy/treatment, June 30, 2000

Name	State	Inmates on June 30	Number of inmates receiving —			Percent of inmates receiving —		
			In 24-hour care	In therapy/ counseling	Psychotropic medications	In 24-hour care	In therapy/ counseling	Psychotropic medications
Total		122,635	3,278	24,557	16,451	2.8%	20.0%	13.4%
Louisiana State Penitentiary, Baton Rouge	LA	5,116	80	1,736	199	1.6%	33.9%	3.9%
CA Men's Colony, San Luis Obispo	CA	6,683	221	1,721	1,621	3.3	25.8	24.3
CA Medical Facility, Vacaville	CA	3,070	1,300	1,300	1,300	42.3	42.3	42.3
Wabash Valley Correctional Facility	IN	2,061	47	1,021	294	2.3	49.5	14.3
Dixon Correctional Center	IL	2,164	600	960	575	27.7	44.4	26.6
CA Institute for Women, Corona	CA	1,954	190	900	600	9.7%	46.1%	30.7%
Mule Creek State Prison	CA	3,566	7	854	769	0.2	23.9	21.6
Substance Abuse Treatment, Corcoran	CA	6,284	14	817	450	0.2	13.0	7.2
CA State Prison, Sacramento	CA	2,975	16	794	763	0.5	26.7	25.6
CA State Prison, Los Angeles	CA	4,210	8	779	594	0.2	18.5	14.1
Wasco State Prison	CA	5,932	/	735	525	0.0%	12.4%	8.9%
Correctional Training Facility, Soledad	CA	7,223	7	726	497	0.1	10.1	6.9
CA Correctional Institution, Tehachapi	CA	5,243	118	719	539	2.3	13.7	10.3
ASP Complex, Eyman	AZ	4,306	100	710	393	2.3	16.5	9.1
CA State Prison, Solano	CA	5,863	9	708	610	0.2	12.1	10.4
Salinas Valley State Prison	CA	4,244	98	707	604	2.3%	16.7%	14.2%
CA Rehabilitation Center, Norco	CA	4,795	7	705	278	0.1	14.7	5.8
Hutchison Correctional Facility	KS	1,874	0	700	498	0.0	37.4	26.6
Valley State Prison for Women	CA	3,476	4	691	392	0.1	19.9	11.3
CA State Prison, San Quentin	CA	5,802	14	689	517	0.2	11.9	8.9
Avenal State Prison	CA	6,555	250	686	428	3.8%	10.5%	6.5%
Centinel State Prison	CA	4,569	2	685	11	0.0	15.0	0.2
KY State Reformatory, La Grange	KY	1,520	121	683	451	8.0	44.9	29.7
OR State Penitentiary, Salem	OR	1,926	43	681	527	2.2	35.4	27.4
Central Women's Facility, Chowchilla	CA	3,445	5	675	636	0.1	19.6	18.5
ASP Complex, Perryville	AZ	1,564	36	674	339	2.3%	43.1%	21.7 %
MS State Penitentiary, Parchman	MS	4,986	7	645	645	0.1	12.9	12.9
North Kern State Prison	CA	4,952	7	625	580	0.1	12.6	11.7
Gatesville Unit	TX	2,051	0	617	506	0.0	30.1	24.7
ASP Complex, Florence	AZ	3,417	3	614	310	0.1	18.0	9.1

Note: Facilities were ranked based on the number of inmates receiving mental health therapy or counseling services on June 30, 2000.
/Not reported.

Methodology

The 2000 Census of State and Federal Adult Correctional Facilities was the sixth enumeration of State institutions sponsored by the Bureau of Justice Statistics. Earlier censuses were completed in 1974, 1979, 1984, 1990, and 1995.

The facility universe was developed from the 1995 census. Each department of corrections was contacted to identify new facilities and facilities that had been closed since June 30, 1995. Data were collected from all facilities, resulting in a final response rate of 100%.

Facilities were included in the census if they had separate staffs; housed

primarily State or Federal prisoners; were physically, functionally, and administratively separate; and operational on June 30, 2000. Overall, the census identified 84 Federal facilities, 1,295 State facilities, 22 facilities under State and local authority, 3 facilities operated by the District of Columbia, and 264 privately operated facilities.

The census included the following types of adult correctional facilities: prisons and penitentiaries; boot camps; prison farms; reception, diagnostic, and classification centers; road camps, forestry and conservation camps; youthful offender facilities (except in California); vocational training facilities;

prison hospitals; drug and alcohol treatment facilities; and State-operated local detention facilities (in Alaska, Connecticut, Delaware, Hawaii, Rhode Island, and Vermont).

Facilities were classified as community based if 50% or more of their inmates were regularly permitted to leave unaccompanied or if their primary function was community corrections. Such facilities included halfway houses and restitution, prerelease, work release, and study release centers.

Correctional facilities were classified as confinement facilities if fewer than 50% of the inmates are regularly permitted to leave unaccompanied. On June 30, 2000, 463 State facilities were community-based and 1,121 were confinement facilities.

All Federal facilities and 26 privately operated facilities that held at least 50% of their inmates for Federal authorities were excluded from this report. Data on policies and the numbers of inmates receiving mental health treatment within these facilities on June 30, 2000, were not available.

This report in portable document format and in ASCII, its tables, and related statistical data are available at the BJS World Wide Web Internet site:

<http://www.ojp.usdoj.gov/bjs/>

The Bureau of Justice Statistics is the statistical agency of the U. S. Department of Justice. Lawrence A. Greenfeld is the acting director.

BJS Selected Findings summarize statistics about a topic of current concern from both BJS and non-BJS data sets.

Allen J. Beck and Laura M. Maruschak wrote this report. Paige Harrison and Erika Westry provided statistical assistance and verification. Tom Hester

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Data collection and processing for the *2000 Census of State and Federal Adult Correctional Facilities* were carried out by Pam Butler and Linda Huang, with assistance from Patricia Torreyson and Bill Bryner, under the supervision of Charlene Sebold, Governments Division, U.S. Census Bureau.

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Bureau of Justice Statistics Special Report

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Mental Health and Treatment of Inmates and Probationers

By Paula M. Ditton
BJS Statistician

At midyear 1998, an estimated 283,800 mentally ill offenders were incarcerated in the Nation's prisons and jails. In recent surveys completed by the Bureau of Justice Statistics, 16% of State prison inmates, 7% of Federal inmates, and 16% of those in local jails reported either a mental condition or an overnight stay in a mental hospital. About 16%, or an estimated 547,800 probationers, said they had had a mental condition or stayed overnight in a mental hospital at some point in their lifetime.

Based on information from personal interviews, State prison inmates with a mental condition were more likely than other inmates to be incarcerated for a violent offense (53% compared to 46%); more likely than other inmates to be under the influence of alcohol or drugs at the time of the current offense (59% compared to 51%); and more than twice as likely as other inmates to have been homeless in the 12 months prior to their arrest (20% compared to 9%). Over three-quarters of mentally ill inmates had been sentenced to time in prison or jail or on probation at least once prior to the current sentence.

Over 30% of male mentally ill inmates and 78% of females reported prior physical or sexual abuse. Since admission 61% of mentally ill inmates in State prison and 41% in local jails reported they had received treatment for a mental condition in the form of counseling, medication, or other mental health services.

Highlights

Over a quarter million mentally ill incarcerated in prison or jail

Reported a...	State prison	Federal prison	Jail	Probation
Mental or emotional condition	10.1%	4.8%	10.5%	13.8%
Overnight stay in a mental hospital	10.7	4.7	10.2	8.2
Estimated to be mentally ill*	16.2%	7.4%	16.3%	16.0%

*Reported either a mental or emotional condition or an overnight stay in a mental hospital or program.

- About 10% of prison and jail inmates reported a mental or emotional condition; and 10% said they had stayed overnight in a mental hospital or program.

- Together, 16% or an estimated 283,800 inmates reported either a mental condition or an overnight stay in a mental hospital, and were identified as mentally ill.

Mentally ill inmates were more likely than others to be in prison for a violent offense

Offense	State prisoners	
	Mentally ill inmates	Other inmates
Violent	52.9%	46.1%
Property	24.4	21.5
Drug	12.8	22.2
Public-order	9.9	9.8
Criminal history		
None	18.8%	21.2%
Priors	81.2	78.8

- About 53% of mentally ill inmates were in prison for a violent offense, compared to 46% of other inmates.

- Mentally ill offenders were less likely than others to be incarcerated for a drug-related offense (13% versus 22%).

Nearly 6 in 10 mentally ill offenders reported they were under the influence of alcohol or drugs at the time of their current offense

Before entering prison	State prisoners	
	Mentally ill inmates	Other inmates
Homeless in 12 months prior to arrest	20.1%	8.8%
Physical/sexual abuse		
Male	32.8%	13.1%
Female	78.4	50.9
Alcohol/drug use		
At time of offense	58.7%	51.2%
Drug use		
In month before offense	58.8%	56.1%

- Mentally ill State prison inmates were more than twice as likely as other inmates to report living on the street or in a shelter in the 12 months prior to arrest (20% compared to 9%).

- Nearly 8 in 10 female mentally ill inmates reported physical or sexual abuse. Males with a mental condition were more than twice as likely as other males to report abuse.

Mental health treatment since admission	Mentally ill inmates	
	State prison	Jail
Any treatment	60.5%	40.9%
Medication	50.1	34.1
Counseling	44.1	16.2

- 6 in 10 mentally ill State inmates reported receiving mental treatment since admission to prison.

Survey items used to measure mental illness

- Do you have a mental or emotional condition?
(prison and jail inmates only) Yes
 No
- Have you ever been told by a mental health professional such as a psychiatrist, psychologist, social worker, or psychiatric nurse, that you had a mental or emotional disorder?
(probationers only) Yes
 No
- Because of an emotional or mental problem, have you ever —
Taken a medication prescribed by a psychiatrist or other doctor? Yes
 No
- Been admitted to a mental hospital, unit or treatment program where you stayed overnight? Yes
 No
- Received counseling or therapy from a trained professional? Yes
 No
- Received any other mental health services? Yes
 No

Prevalence of mental illness among correctional populations based on offender self reports

The findings in this report are based on the 1997 Survey of Inmates in State or Federal Correctional Facilities, the 1996 Survey of Inmates in Local Jails, and the 1995 Survey of Adults on Probation. In each survey, offenders selected through nationally representative samples were asked a series of mental health related questions. Respondents were asked if they have a mental or emotional condition and whether they had ever received treatment for a mental or emotional problem, other than treatment related to drug or alcohol abuse. (See survey questions in the box above.)

16% of State prisoners identified as mentally ill

For this report, offenders were identified as mentally ill if they met one of the following two criteria: they reported a current mental or emotional condition, or they reported an overnight stay in a mental hospital or treatment program. An estimated 1 in 10 State prison inmates reported a current mental or emotional condition (table 1). A slightly larger percentage (11%) of State inmates said they had been admitted overnight to a mental hospital or treatment program at some point in their life. Overall, nearly a third of all inmates reported they had a current mental condition or they had received mental health service at some time.

Table 1. Measures of mental illness among State prison inmates, 1997

	State prison inmates	
	Percent	Cumulative percent
Reported a mental or emotional condition	10.1%	10.1%
Because of a mental or emotional problem, inmate had —		
Been admitted to a hospital overnight	10.7%	16.2%
Taken a prescribed medication	18.9	23.9
Received professional counseling or therapy	21.8	29.7
Received other mental health services	3.3	30.2

To take into account underreporting of current mental or emotional problems, past admission to a mental hospital was included as a measure of mental illness. Overall, 16% of State prisoners met these criteria, including 10% who reported a current mental condition and an additional 6% who said they did not have a mental condition but had stayed overnight in a mental hospital, unit, or treatment program.

Previously estimated rates of mental illness among incarcerated populations vary, depending on the methodology of the study, the institution, and the definition of mental illness. Estimates range from 8% to 16% among studies with more rigorous scientific methods, including random sampling and a standardized assessment or psychological testing. (See the box on this page.)

Past estimates of the rate of mental illness among incarcerated populations are higher than those for the U.S. general population. Among a sample of male jail detainees in Cook County (Chicago), Teplin found 9.5% had experienced a severe mental disorder (schizophrenia, mania, or major depression) at some point in their life, compared to 4.4% of males in the U.S. general population. The Epidemiologic Catchment Area program found that 6.7% of prisoners had suffered from schizophrenia at some point, compared to 1.4% of the U.S. household population (Robins and Regier).

Previous studies of the prevalence of severe mental illness in prison or jail

Study	Sample	Mentally ill*
Guy, Platt, Zwerling, and Bullock (1985)	Philadelphia jail pretrial admissions	16%
Teplin (1990)	Cook County jail admissions (males)	10%
Steadman, Fabisiak, Dvoskin, and Holohean (1987)	New York State prisoners	8%

*Generally includes schizophrenia, bipolar disorder, and major depression. See individual studies for variations in definition.

283,800 mentally ill in prison or jail; 547,800 on probation

Using the same criteria described for State prison inmates, 16% of offenders in local jails or on probation and 7% of inmates in Federal prisons were identified as mentally ill in recently completed BJS surveys (table 2). Probationers were somewhat less likely than inmates in State prisons or local jails to report an overnight stay in a mental hospital or treatment program but more likely to report a mental or emotional problem. Federal inmates had lower rates on both measures.

Assuming these rates have not changed since the surveys were conducted, an estimated 283,800 inmates in prison or jail were mentally ill as of June 30, 1998 (table 3). State prisons held an estimated 179,200 mentally ill offenders; Federal prisons held 7,900; and local jails, 96,700. Of those on probation at yearend 1998, an estimated 547,800 were mentally ill.

White inmates more likely than blacks or Hispanics to report a mental illness

Nearly a quarter of white State prison and local jail inmates and a fifth of white offenders on probation were identified as mentally ill (table 4). The rate of mental illness among black and Hispanic inmates and probationers was much lower. Among black offenders,

14% of those in State prison and local jails, and 10% of those on probation were identified as mentally ill. About 11% of Hispanic State prison and local jail inmates, and 9% of Hispanic offenders on probation had a mental illness.

Black and Hispanic inmates in Federal prison were half as likely as white inmates to report a mental illness. About 6% of black inmates and 4% of Hispanic inmates reported a mental condition or an overnight stay in a mental hospital, compared to 12% of white Federal prison inmates.

The prevalence of mental illness also varied by gender, with females reporting a higher rate of mental illness than males. Nearly 24% of female State prison and local jail inmates, and 22% of female probationers were identified as mentally ill, compared to 16% of male State prison and jail inmates and 15% of male probationers.

Offender mental illness highest among the middle-aged

Offenders between ages 45 and 54 were the most likely to be identified as mentally ill. About 20% of State prisoners, 10% of Federal prisoners, 23% of jail inmates, and 21% of probationers between ages 45 and 54 had a mental illness, compared to 14% of State inmates, 7% of Federal inmates, 13% of jail inmates, and 14% of probationers age 24 or younger.

The highest rates of mental illness were among white females in State prison. An estimated 29% of white females, 20% of black females, and 22% of Hispanic females in State prison were identified as mentally ill. Nearly 4 in 10 white female inmates age 24 or younger were mentally ill.

Age	Percent of females in State prison identified as mentally ill		
	White	Black	Hispanic
Total	29%	20%	22%
24 or younger	37	17	23
25-34	23	20	21
35 or older	33	21	23

Table 2. Mental health status of inmates and probationers

	State prison inmates, 1997	Federal prison inmates, 1997	Jail inmates, 1996	Probationers, 1995
Identified as mentally ill*	16.2%	7.4%	16.3%	16.0%
Reported a mental or emotional condition	10.1	4.8	10.5	13.8
Admitted overnight to a mental hospital or treatment program	10.7	4.7	10.2	8.2

*Reported either a mental condition or an overnight stay in a mental hospital or treatment program.

Table 3. Estimated number of mentally ill inmates and probationers, 1998

	Estimated number of offenders*			
	State prison	Federal prison	Local jail	Probation
Identified as mentally ill	179,200	7,900	96,700	547,800
Reported a mental or emotional condition	111,300	5,200	62,100	473,000
Admitted overnight to a mental hospital	118,300	5,000	60,500	281,200

*Based on midyear 1998 counts from the National Prisoner Statistics and Annual Survey of Jails and preliminary yearend 1998 counts from the Annual Probation Survey.

Table 4. Inmates and probationers identified as mentally ill, by gender, race/Hispanic origin, and age

Offender characteristic	Percent identified as mentally ill			
	State inmates	Federal inmates	Jail inmates	Probationers
Gender				
Male	15.8%	7.0%	15.6%	14.7%
Female	23.6	12.5	22.7	21.7
Race/Hispanic origin				
White*	22.6%	11.8%	21.7%	19.6%
Black*	13.5	5.6	13.7	10.4
Hispanic	11.0	4.1	11.1	9.0
Age				
24 or younger	14.4%	6.6%	13.3%	13.8%
25-34	14.8	5.9	15.7	13.8
35-44	18.4	7.5	19.3	19.8
45-54	19.7	10.3	22.7	21.1
55 or older	15.6	8.9	20.4	16.0

*Excludes Hispanics.

Mentally ill more likely than other offenders to have committed a violent offense

Fifty-three percent of mentally ill State prisoners, compared to 46% of other State prisoners, were incarcerated for a violent crime (table 5). Approximately 13% of the mentally ill in State prison had committed murder; 12%, sexual assault; 13%, robbery; and 11%, assault. Among inmates in Federal prison, 33% of the mentally ill were incarcerated for a violent offense, compared to 13% of other Federal inmates. More than 1 in 5 mentally ill Federal prisoners had committed robbery (predominantly bank robbery). Among inmates in local jails, 30% of the mentally ill had committed a violent offense, compared to 26% of other jail inmates. An estimated 28% of mentally ill probationers and 18% of other probationers reported their current offense was a violent crime.

Nearly 1 in 5 violent offenders incarcerated or on probation were identified as mentally ill.

	Percent mentally ill among violent offenders
State prison inmates	18.2%
Federal prison inmates	16.6
Jail inmates	18.5
Probationers	22.8

Unlike those in State prisons, the majority of mentally ill offenders in jail

6 in 10 violent mentally ill State prisoners knew their victim

Mentally ill inmates who were incarcerated for a violent offense were more likely to report that the victim of the offense was a woman, someone they knew, and under age 18. Nearly 61% of mentally ill State prison inmates who had committed a violent offense knew their victim. An estimated 16% had victimized a relative and 12% an intimate, such as a spouse, ex-spouse, boyfriend, or girlfriend.

More than half of the mentally ill reported that they had victimized a female during the current offense. An estimated 15% reported that their youngest victim was a child, age 12 or under, and 12% reported the victim to be between ages 13 and 17. A weapon was used by 44% of the violent State prisoners who were mentally ill.

or on probation had committed a property or public-order offense. Almost a third of mentally ill offenders in jail and on probation had committed a property offense, and a quarter had committed a public-order offense.

Mentally ill offenders were less likely than other inmates to be incarcerated

Victim characteristics and use of weapon, by mental health status of violent State prisoners

	Mentally ill inmates	Other inmates
Gender of victim(s)		
Male	44.3%	51.5%
Female	44.0	37.5
Both males and females	11.7	10.9
Age of youngest victim		
12 or younger	15.4%	10.2%
13-17	11.6	11.0
18-24	17.3	20.7
25-34	25.7	30.9
35-54	23.8	22.8
55 or older	6.2	4.3
Victim-offender relationship		
Knew victim ^a	60.8%	52.1%
Relative	15.6	10.3
Intimate ^b	11.6	8.6
Friend/acquaintance	29.8	27.7
Other ^c	6.5	6.9
Knew none of victims	39.1	47.9
Use of weapon		
Yes	44.0%	41.9%
No	56.0	58.1

^aMore than one victim may have been reported.

^bIncludes spouse, ex-spouse, boyfriend, girlfriend, ex-boyfriend, and ex-girlfriend.

^cIncludes those known by sight only.

for a drug offense. About 13% of mentally ill inmates and 22% of other inmates in State prison were incarcerated for a drug offense. In Federal prison, where the majority of inmates are incarcerated for a drug offense, 40% of those identified as mentally ill and 64% of other Federal inmates were in prison for a drug-related crime.

Table 5. Most serious current offense of inmates and probationers, by mental health status

Most serious offense	State prison		Federal prison		Local jail		Probation	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill probationers	Other probationers
All offenses	100.0 %	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Violent offenses	52.9 %	46.1%	33.1%	13.3%	29.9%	25.6%	28.4%	18.4%
Murder*	13.2	11.4	1.9	1.4	3.5	2.7	0.5	0.9
Sexual assault	12.4	7.9	1.9	0.7	5.2	2.8	6.8	4.1
Robbery	13.0	14.4	20.8	9.1	4.7	6.9	2.0	1.4
Assault	10.9	9.0	3.8	1.1	14.4	11.0	14.0	10.5
Property offenses	24.4 %	21.5%	8.7%	6.7%	31.3%	26.0%	30.4%	28.5%
Burglary	12.1	10.5	1.0	0.3	9.1	7.4	6.4	4.3
Larceny/theft	4.6	4.1	1.3	0.4	8.4	7.9	5.3	8.8
Fraud	3.1	2.6	5.0	4.9	5.2	4.4	11.7	9.2
Drug offenses	12.8 %	22.2%	40.4%	64.4%	15.2%	23.3%	16.1%	20.7%
Possession	5.7	9.4	3.9	11.9	7.3	12.3	7.2	11.0
Trafficking	6.6	12.2	35.7	46.6	7.0	9.6	6.7	9.2
Public-order offenses	9.9 %	9.8%	17.0%	14.6%	23.2%	24.6%	24.7%	31.6%

Note: Detail does not sum to total because of excluded offense categories.

*Includes nonnegligent manslaughter.

Half of mentally ill inmates reported 3 or more prior sentences

Mentally ill inmates reported longer criminal histories than other inmates. Among the mentally ill 52% of State prisoners, 54% of jail inmates, and 49% of Federal inmates reported three or more prior sentences to probation or incarceration (table 6). Among other inmates, 42% of State prisoners and jail inmates and 28% of Federal inmates had three or more prior sentences. About 10% of mentally ill prison inmates and 13% of jail inmates reported 11 or more prior sentences.

Mentally ill more likely than other inmates to be violent recidivists

Among repeat offenders, 53% of mentally ill State inmates had a current or past sentence for a violent offense, compared to 45% of other inmates. Forty-six percent of mentally ill jail inmates and 32% of other jail inmates with a criminal history had a current or past sentence or current charge for a violent crime. Among Federal prisoners with a prior sentence, the mentally ill (44%) were twice as likely as other inmates (22%) to have a current or prior sentence for a violent offense.

Although offenders on probation had shorter criminal histories, nearly 3 in 10 of the mentally ill were recidivists with a current or past sentence for violence.

Criminal history	Probationers	
	Mentally ill	Other
None	43.4%	54.1%
Priors	56.6	45.9
Violent recidivists	29.1	17.1
Other recidivists	27.6	28.8

Homelessness more prevalent among mentally ill offenders

Mentally ill offenders reported high rates of homelessness, unemployment, alcohol and drug use, and physical and sexual abuse prior to their current incarceration. During the year preceding their arrest, 30% of mentally ill inmates in jail and 20% of those in State or Federal prison reported a period of homelessness, when they were living either on the street or in a

shelter (table 7). About 9% of other State prison inmates, 3% of other Federal inmates and 17% of other jail inmates reported a period a homelessness in the year prior to their arrest.

Fewer inmates reported they were homeless at the time of arrest. About 4% of mentally ill State and Federal prison inmates and 7% of jail inmates reported they were living on the street or in a shelter when arrested for their current offense. These rates were at least double those for inmates who were not mentally ill.

About 4 in 10 inmates with a mental condition unemployed before arrest

Mentally ill offenders were less likely than others to report they were working

in the month before arrest. About 38% of mentally ill State and Federal prison inmates and 47% of mentally ill jail inmates were not employed in the month before arrest, while 30% of other State inmates, 28% of other Federal inmates, and 33% of other jail inmates were unemployed.

An estimated 30% of mentally ill and 13% of other inmates in State prison received some type of financial support from government agencies prior to their arrest. More than 15% of the mentally ill received welfare, 17% supplemental security income or other pension, and 3% compensation payments, such as unemployment or workman's compensation.

Table 6. Criminal history of inmates, by mental health status

	State prison		Federal prison		Local jail	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates
Criminal history						
None	18.8%	21.2%	24.3%	38.8%	21.0%	28.4%
Priors	81.2	78.8	75.7	61.2	79.0	71.6
Violent recidivists	53.4	44.9	43.7	21.6	46.0	31.6
Other recidivists	27.8	33.8	32.0	39.6	33.0	40.0
Number of prior probation/ incarceration sentences						
0	18.8%	21.2%	24.3%	38.8%	21.0%	28.4%
1	15.5	19.4	14.0	18.2	14.7	17.9
2	13.8	17.0	12.9	14.7	10.1	11.5
3 to 5	26.3	25.5	23.6	18.9	23.5	19.7
6 to 10	15.6	11.6	15.4	7.3	17.6	14.6
11 or more	10.0	5.3	9.7	2.2	13.2	7.8

Table 7. Homelessness, employment, and sources of income of inmates, by mental health status

	State prison		Federal prison		Local jail	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmate
Homeless						
In year before arrest	20.1%	8.8%	18.6%	3.2%	30.3%	17.3%
At time of arrest	3.9	1.2	3.9	0.3	6.9	2.9
Employed in month before arrest						
Yes	61.2%	69.6%	62.3%	72.5%	52.9%	66.6%
No	38.8	30.4	37.7	27.5	47.1	33.4
Sources of income^a						
Wages	56.7%	65.6%	54.0%	66.4%	62.9%	77.1%
Family/friends	22.0	17.7	20.1	12.3	19.7	15.4
Illegal sources	23.4	27.0	22.5	28.8	19.4	14.4
Welfare	15.4	7.8	13.7	3.9	21.9	12.3
Pension ^b	17.3	4.1	16.5	3.7	18.4	4.9
Compensation payments	3.1	1.9	4.7	1.8	3.0	2.1

^aDetail sums to more than 100% because offenders may have reported more than one source of income. For prisoners detail includes any income received in the month prior to arrest. For jail inmates, detail includes any income received in the year prior to arrest.

^bIncludes Supplemental Security Income, Social Security, or other pension.

Over half of mentally ill prison and jail inmates reported wages as their source of income prior to arrest, 23% of prison inmates and 20% of jail inmates reported income from illegal sources.

Offenders on probation were asked about their current employment and sources of income in the past year. Over half of mentally ill probationers and three-quarters of other probationers were currently employed. An estimated 52% of mentally ill probationers and 27% of other probationers said they received income from government agencies in the past year.

	Probationers	
	Mentally ill	Other
Currently employed		
Yes	55.9%	75.9%
No	44.1	24.1
Sources of income*		
Wages	69.3%	86.8%
Family/friends	17.9	16.3
Welfare	26.4	15.5
Pension	24.5	7.6
Compensation payments	10.2	7.7

*More than one source of income may have been reported.

Family history of incarceration and alcohol or drug use prevalent among mentally ill

Overall, 55% of mentally ill State prison inmates, 42% of Federal prisoners, 52% of jail inmates, and 40% of probationers reported a family member had been incarcerated at some point (table 8). About 47% of other State prison inmates, 39% of other Federal inmates, 45% of other jail inmates, and 34% of other probationers reported a history of family incarceration. Nearly a quarter of mentally ill State inmates said their father or mother had served time in prison or jail; 42% said a brother or sister had been incarcerated.

When compared with other inmates and probationers, the mentally ill also reported higher rates of alcohol and drug abuse by a parent or guardian while they were growing up. Approximately 4 in 10 mentally ill State prisoners, jail inmates, and probationers, and 1 in 3 Federal inmates reported their parent or guardian had abused alcohol

or drugs while they were growing up. About 42% reported alcohol abuse by a parent or guardian, and 13% reported drug abuse.

At some point while growing up, a quarter of mentally ill State prisoners and local jail inmates lived in a foster home, agency, or institution. One in six mentally ill probationers reported living in a foster home or institution for a period of time during their childhood.

Mentally ill report high rates of past physical and sexual abuse

Mentally ill male State prisoners were more than twice as likely as other males to report physical abuse prior to admission to prison (27% versus 11%) and nearly four times as likely to report prior sexual abuse (15% versus 4%, table 9). Among male inmates 25% of the mentally ill in Federal prisons or in jails reported prior physical abuse, compared to 5% of other male Federal inmates and 8% of other male jail inmates. Mentally ill male probationers

Table 8. Family background of inmates and probationers, by mental health status

	State prison		Federal prison		Local jail		Probation	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill probationers	Other probationers
Family member ever incarcerated	54.9%	46.5%	41.5%	38.5%	51.5%	45.1%	40.3%	34.0%
Parent	23.4	17.4	13.4	11.1	23.7	18.9	19.6	11.1
Brother/sister	41.8	36.5	29.5	29.9	36.2	32.8	25.7	25.6
While growing up —								
Ever lived in a foster home, agency, or institution	26.1%	12.2%	18.6%	5.8%	24.1%	11.5%	15.9%	6.5%
Parent or guardian abused alcohol or drugs								
Alcohol only	30.6%	22.2%	24.6%	16.0%	29.3%	21.9%	32.4%	19.2%
Drugs only	2.0	1.8	1.2	0.8	1.7	1.2	1.0	0.4
Both	10.9	5.7	8.5	2.8	11.1	6.1	9.0	2.4

Table 9. Prior physical or sexual abuse of inmates and probationers, by mental health status

Reported by offender	State prison		Federal prison		Local jail		Probation	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill probationers	Other probationers
Ever abused before admission	36.9%	15.2%	34.1%	7.6%	36.5%	12.5%	38.8%	12.1%
Male	32.8	13.1	30.0	5.5	30.7	9.6	31.0	6.5
Female	78.4	50.9	64.1	36.1	72.9	40.3	59.4	35.7
Physically abused	31.0%	12.5%	27.5%	6.4%	30.0%	10.1%	28.1%	9.8%
Male	27.4	10.8	24.5	4.7	25.3	8.0	21.0	5.1
Female	67.6	40.2	50.0	29.4	59.8	30.8	46.7	29.7
Sexually abused	19.0%	5.8%	15.6%	2.7%	23.5%	5.9%	21.9%	5.8%
Male	15.0	4.1	11.6	1.5	17.2	3.4	14.2	2.4
Female	58.9	33.1	45.0	19.3	63.4	29.6	42.3	19.9

Table 10. Prior alcohol and drug use of inmates and probationers, by mental health status

Alcohol/drug use reported by offender	State prison		Federal prison		Local jail		Probation	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill probationers	Other probationers
Alcohol/drug use								
At time of offense	58.7%	51.2%	46.5 %	33.0%	64.6%	56.5%	49.0%	46.4%
Drug use								
In month before offense	58.8%	56.1%	48.1 %	44.6%	57.6%	47.3%	39.5%	30.3%
At time of offense	36.9	31.7	29.3	21.9	38.8	30.4	18.1	12.6
Alcohol use								
At time of offense	42.7%	36.0%	27.9 %	19.8%	44.3%	36.0%	41.4%	39.7%

were 4 times as likely as other probationers to report prior physical abuse (21% and 5%, respectively).

The rate of physical abuse reported by mentally ill female inmates was over twice that reported by males. Nearly 70% of female State prisoners, 50% of female Federal prisoners, 60% of female jail inmates, and 47% of female probationers reported a history of physical abuse.

Nearly 60% of female mentally ill State prisoners, 45% of female Federal prisoners, 63% of female jail inmates and 42% of female probationers reported prior sexual abuse.

6 in 10 mentally ill State inmates under the influence of alcohol or drugs at time of offense

Mentally ill inmates were more likely than others to be under the influence of alcohol or drugs while committing their

current offense. About 60% of mentally ill and 51% of other inmates in State prison were under the influence of alcohol or drugs at the time of their current offense (table 10). Rates of alcohol and drug use at the time of the offense were even higher among mentally ill jail inmates, where 65% of the mentally ill and 57% of other jail inmates were under the influence. Among probationers, 49% of the mentally ill and 46% of others reported alcohol or drug use at the time of the offense.

Like other inmates and probationers, the mentally ill were more often under the influence of alcohol than drugs at the time of the current offense. About 43% of mentally ill State prison inmates and 44% of jail inmates had been drinking when they committed their current offense. Thirty-six percent of other inmates in prison and jail reported they were drinking at the time of the offense.

A third of mentally ill offenders alcohol dependent

Based on the CAGE diagnostic instrument, 34% of mentally ill State prison inmates, 24% of Federal prisoners, 38% of jail inmates and 35% of mentally ill probationers exhibited a history alcohol dependence (table 11).

CAGE is an acronym for four questions used by the diagnostic instrument to assess alcohol dependence or abuse. Respondents are asked if they have ever attempted to (C)ut back on drinking; ever felt (A)nnoyance at others' criticism of their drinking; ever experienced feelings of (G)uilt about drinking; and ever needed a drink first thing in the morning as an (E)ye opener or to steady their nerves. A person's likelihood of alcohol abuse is assessed by the number of positive responses to these four questions. Clinical tests involving hospital admissions, found

Table 11. Alcohol dependence and experiences of inmates and probationers while under the influence of alcohol, by mental health history

	State prison		Federal prison		Local jail		Probation	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill probationers	Other Probationers
History of alcohol dependence*	34.4%	22.4%	23.9%	15.6%	37.9%	24.3%	34.8%	22.1%
Because of your drinking, have you ever —								
Lost a job?	16.7%	9.0%	8.7%	4.7%	18.0%	10.3%	19.4%	5.3%
Had job or school trouble (such as demotion at work or dropping out of school)?	24.0	13.8	15.4	7.1	--	--	25.2	10.5
Been arrested or held at a police station?	35.2	28.3	30.7	18.3	41.5	30.7	45.7	41.1
While drinking have you ever —								
Got into a physical fight ?	45.7%	37.0%	36.4%	21.7%	49.8%	34.1%	43.9%	30.3%
Had as much as a fifth of liquor in 1 day, 20 drinks, 3 six-packs of beer, or 3 bottles of wine?	48.8	39.5	43.9	29.2	52.9	38.0	45.7	33.7

--Not asked of jail inmates.

*Measured by 3 or more positive CAGE responses. For description of the CAGE diagnostic measure see text.

three or more positive CAGE responses carried a .99 predictive value for alcohol abuse or dependence. (See *Substance Abuse and Treatment, State and Federal Prisoners, 1997*, BJS Special Report, NCJ 172871, for additional information on the CAGE instrument.)

Mentally ill inmates and probationers were more commonly alcohol dependent, reporting three or more positive CAGE responses. About 38% of mentally ill jail inmates reported signs of alcohol dependence, while 24% of other jail inmates reported signs of dependence. Among State prison inmates, 34% of the mentally ill and 22% of other inmates reported three or more positive responses.

Mentally ill offenders report negative life experiences related to drinking

In response to questions concerning their life experiences with alcohol, about 17% of mentally ill and 9% of other inmates in State prison said they had lost a job due to drinking. Among jail inmates with a mental condition, 18% had lost a job due to drinking, while 10% of other jail inmates reported losing a job. Nearly 20% of mentally ill probationers had lost a job; 5% of other probationers.

Amid other alcohol-related problems reported by the mentally ill, 35% of State prisoners had been arrested or held at a police station due to drinking, and 46% had gotten into a fight while drinking. Forty-nine percent of mentally ill State prison inmates, 44% of Federal inmates, 53% of jail inmates, and 46% of mentally ill probationers said they had consumed as much as a fifth of liquor (about 20 drinks) in 1 day.

Mentally ill jail inmates more often reported a prior stay in a detoxification unit for alcohol or drugs. An estimated 22% of the mentally ill in jail and 11% of other inmates reported they had been put in a detoxification unit.

Table 12. Maximum sentence length and time served by inmates, by offense and mental health status

Most serious offense	Mean maximum sentence length ^a		Mean time served			
	Mentally ill inmates	Other inmates	To date of interview		Total time to be served until release ^b	
			Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates
Local jail inmates						
All offenses	20 mo	26 mo	6.5 mo	6.7 mo	8.7 mo	10.7 mo
Violent	30 mo	37 mo	8.8 mo	9.3 mo	14.7 mo	16.0 mo
Property	26	26	5.3	8.0	7.4	11.6
Drug	18	25	8.9	8.4	8.6	13.5
Public-order	8	20	5.0	3.3	7.0	5.7
Other	10	8	8.4	1.6	10.0	5.3
State prison inmates						
All offenses	171 mo	159 mo	54.4 mo	49.3 mo	103.4 mo	88.2 mo
Violent	230 mo	225 mo	71.8 mo	69.7 mo	142.5 mo	130.7 mo
Property	128	118	38.8	36.6	75.0	62.2
Drug	103	111	30.3	28.5	49.8	49.5
Public-order	83	81	29.1	27.8	50.8	47.6
Other	120	104	32.5	47.8	60.1	80.6

Note: Because data on sentence length and time served are restricted to persons in prison and jail, they overstate the average sentence and time to be served by those entering prison or jail. Persons with shorter sentences leave prison and jail more quickly, resulting in a longer average sentence among persons in the inmate samples.

^aBased on the total maximum sentence for all consecutive sentences.

^bBased on time served when interviewed plus time to be served until the expected date of release.

Mentally ill expected to serve 15 months longer than other inmates in prison

Overall, mentally ill State prison inmates were sentenced to serve an average of 171 months in prison, or about 12 months longer than other offenders (table 12). On average, violent offenders with a mental illness were sentenced to 230 months (5 months longer than other violent inmates) and property offenders 128 months (10 months longer than other inmates).

Mentally ill jail inmates typically had sentences shorter than other jail inmates. On average, mentally ill inmates had a maximum sentence of 20 months, while other inmates an average of 26 months. Violent, drug, and property offenders identified as mentally ill had average sentences that were 6 to 12 months shorter than other offenders.

On average, mentally ill inmates in State prison are expected to serve more time in prison than other inmates. From the time of admission to prison to the time of the survey, mentally ill offenders had served on average 5 months longer than other offenders in State prison. Based on the time of admission to the time of expected release, mentally ill offenders expected to serve a total of 103 months in prison, 15 months longer than other offenders. The largest differences in time served were among violent and property offenders. The mentally ill expected to serve an average of at least 12 additional months for violent and property offenses.

Unlike State prisoners, mentally ill inmates in local jails expected to serve less time than inmates who are not mentally ill. Overall, both mentally ill jail inmates and other inmates had served about 6½ months from the time of admission to the time of the survey. On average, mentally ill inmates expected to serve a total of 9 months in jail prior to release; other inmates expected to serve about 11 months.

Disciplinary problems common among mentally ill inmates

Mentally ill inmates in State or Federal prison, as well as those in jail, were more likely than others in those facilities to have been involved in a fight, or hit or punched since admission. Among State prisoners 36% of mentally ill inmates reported involvement in a fight, compared to 25% of other inmates (table 13). Mentally ill inmates in Federal prison were over twice as likely as others to report involvement in a fight (21% compared to 9%).

Twenty-four percent of mentally ill State prison inmates had been involved in two or more fights since admission, and 12% reported involvement in four or more fights. Among jail inmates 10% of the mentally ill had been involved in two or more fights, compared 6% of those not mentally ill.

Consistent with their more frequent involvement in fights, disciplinary problems were more common among mentally ill inmates than other inmates. More than 6 in 10 mentally ill State prison inmates had been formally charged with breaking prison rules since admission. About half of other inmates reported they had been charged with breaking the rules. Among Federal prison inmates 41% of the mentally ill had been charged with a rule violation, compared to 33% of inmates not identified as mentally ill.

6 in 10 mentally ill received treatment while incarcerated

An estimated 60% of the mentally ill in State and Federal prison received some form of mental health treatment during their current period of incarceration (table 14). Fifty percent said they had taken prescription medication; 44% had received counseling or therapy; and 24% had been admitted overnight to a mental hospital or treatment program.

Among jail inmates, 41% of those identified as mentally ill had received some form of mental health services

since admission. The majority of those receiving treatment (34%) had been given medication. Fewer jail inmates (16%) than State prisoners (44%) said they had received counseling or therapy since admission.

Just over half of mentally ill probationers had received treatment since their sentence to community supervision. Counseling was the most common form of treatment (44%), followed by medication (37%), and an overnight stay in a mental hospital or treatment program (12%).

When sentenced to probation, an offender may be required by the court or probation agency to meet various conditions of the sentence, such as maintaining employment, submitting to drug testing, or participating in treatment. An estimated 13% of probationers were required to seek mental health treatment as a condition of their sentence. Forty-three percent of those required to participate in treatment had done so by the time of the survey.

Female mentally ill more likely than males to report treatment

Nearly 70% of mentally ill females in State prison, 77% of those in Federal prison, and 56% in local jails received mental health services while incarcerated, while 60% of males in State prison, 57% in Federal prison, and 38% in local jails reported treatment.

White mentally ill inmates reported higher rates of treatment than black or Hispanic offenders. About 64% of white State prison inmates identified as mentally ill had received treatment, compared to 56% of black offenders and 60% of Hispanic offenders.

	Percent of mentally ill receiving mental health services		
	State prison	Federal prison	Local jail
Gender			
Male	59.9%	57.4%	38.4%
Female	67.3	76.5	56.2
Race/Hispanic origin			
White	64.1%	65.4%	44.7%
Black	56.4	50.0	34.2
Hispanic	59.9	62.5	40.6

Table 13. Fights since admission and violation of prison or jail rules, by mental health status

Discipline problem reported by inmate	State prison		Federal prison		Local jail	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates
Number of fights since admission						
None	64.3%	75.6%	79.4%	90.9%	80.9%	86.7%
1	11.4	9.6	11.6	5.2	9.4	7.0
2 to 3	12.8	7.8	5.2	2.5	7.0	4.1
4 or more	11.5	7.1	3.8	1.4	2.6	2.3
Charged with breaking prison or jail rules	62.2%	51.9%	41.2%	32.7%	24.5%	16.0%

Table 14. Mental health treatment in prison or jail or on probation for those identified as mentally ill

	Percent of mentally ill offenders			
	State prison	Federal prison	Local jail	Probation
Since admission, the offender had —				
Been admitted overnight to a mental hospital or treatment program	23.6%	24.0%	9.3%	12.2%
Taken a prescribed medication	50.1	49.1	34.1	36.5
Received counseling or therapy	44.1	45.6	16.2	44.1
Received any mental health service	60.5	59.7	40.9	56.0

Overall, 17% of inmates in State prison, 10% in Federal prison, 11% in local jails, and 12% of those on probation had received some form of mental health services since their current admission to prison or jail or sentence to probation. The most common form of treatment in local jails was medication, reported by 9% of inmates. Probationers were more likely to have received counseling (10%) than to have taken medication (6%) while under supervision. Among State prison inmates 12% said they received medication while incarcerated, and 12% participated in counseling or therapy.

Percent of all offenders who received mental treatment

State prison inmates	17.4%
Federal prison inmates	10.0
Local jail inmates	11.4
Probationers	11.5

Methodology

Data in this report are based on personal interviews conducted through three BJS surveys, the 1997 Survey of Inmates in State and Federal Correctional Facilities, the 1996 Survey of Inmates in Local Jails, and the 1995 Survey of Adults on Probation.

Detailed descriptions of the methodology and sample design of each survey can be found in the following:

Substance Abuse and Treatment of Adults on Probation, 1995 (NCJ 166611); *Profile of Jail Inmates, 1996* (NCJ 164629); and *Substance Abuse and Treatment of State and Federal Prisoners, 1997* (NCJ 172871).

Accuracy of the estimates

The accuracy of the estimates presented in this report depends on two types of error: sampling and nonsampling. Sampling error is the variation that may occur by chance because a sample rather than a complete enumeration of the population was conducted. Nonsampling error can be attributed to many sources, such as nonreponses, differences in the interpretation of questions among inmates, recall difficulties, and processing errors. In any survey the full extent of the nonsampling error is never known. The sampling error, as measured by an estimated standard error, varies by the size of the estimate and the size of the base population. Estimates of the standard errors for selected characteristics have been calculated for each survey (see appendix tables). These standard errors may be used to construct confidence intervals around percentages. For example, the 95% confidence interval around the percentage of State prison inmates who were identified as mentally ill is approximately 16.2% plus or minus 1.96 times 0.40% (or 15.4% to 16.9%).

These standard errors may also be used to test the statistical significance of the difference between two sample

Appendix table 1. Standard errors of mental health status for inmates and probationers

	Estimated standard errors			
	State prison inmates	Federal prison inmates	Jail inmates	Probationers
Identified as mentally ill	0.40%	0.55%	0.61%	0.89%
Reported a mental or emotional condition	0.33	0.45	0.54	0.84
Because of a mental or emotional problem, inmate had —				
Been admitted to a hospital overnight	0.34	0.45	0.47	0.67

Appendix table 2. Standard errors of selected characteristics of mentally ill inmates and probationers

Selected characteristic	Estimated standard errors							
	State prison		Federal prison		Local jail		Probation	
	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill inmates	Other inmates	Mentally ill probationers	Other probationers
Current offense								
Violent	1.36%	0.60%	3.65%	0.75%	1.71%	0.84%	2.74%	1.03%
Property	1.17	0.49	2.19	0.55	1.64	0.76	2.79	1.20
Drug	0.91	0.50	3.81	1.05	1.23	0.72	2.23	1.08
Public-order	0.81	0.36	2.92	0.78	1.55	0.83	2.62	1.24
Criminal history								
Any priors	1.06	0.49	3.33	1.07	1.47	0.89	3.03	1.35
Alcohol/drug use at time of offense	1.35	0.60	3.88	1.04	2.17	1.14	3.04	1.33
History of alcohol dependence	1.29	0.50	3.32	0.79	1.72	0.74	2.89	1.10
Ever abused								
Males	1.37	0.43	3.92	0.52	2.14	0.52	3.24	0.72
Females	1.93	1.30	5.63	4.03	2.38	1.46	5.92	3.03
Involved in fight or was hit or punched after admission	1.31	0.52	3.16	0.63	1.48	0.60	--	--
Homeless								
In year before arrest	1.09	0.34	3.01	0.38	0.91	0.26	--	--
At time of arrest	0.52	0.13	1.50	0.12	1.69	0.63	--	--

statistics by pooling the standard errors of the two sample estimates. For example, the standard error of the difference between mentally ill State prisoners and other inmates who were incarcerated for a violent offense would be 1.49% (or the square root of the sum of the squared standard errors for each group). The difference would be 1.96 times 1.49 (or 2.91%). Since the difference of 6.8% (52.9% minus 46.1%) is greater than 2.91%, the difference would be considered statistically significant.

Estimating the number of mentally ill offenders under correctional supervision

Estimates of the total number of persons in prison, jail and on probation with a mental illness were obtained by multiplying the ratio of inmates or probationers identified as mentally ill from the personal interviews conducted in the three BJS surveys referenced above, by the total number of inmates in State prison, Federal prison, and local jails and the total number of offenders on probation.

For example, the total number of State prison inmates with a mental illness was estimated by multiplying the ratio of mentally ill offenders in State prison (16.2%) obtained from the 1997 Survey of Inmates in State Correctional Facilities, by the total State prison custody population at midyear 1998 (1,102,653) from the National Prisoner Statistics data collection.

Appendix table 3. Standard errors of mental health treatment in prison, jail or on probation for those identified as mentally ill

	Percent of mentally ill offenders			
	State prison	Federal prison	Local jail	Probation
Since admission, the offender had –				
Been admitted overnight to a mental hospital or treatment program	1.15%	3.32%	1.01%	2.00%
Taken a prescribed medication	1.36	3.91	2.22	2.90
Received counseling or therapy	1.35	3.88	1.26	3.03
Received any mental health service	1.33	3.84	2.16	3.03

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The Bureau of Justice Statistics is the statistical agency of the U.S. Department of Justice. Jan M. Chaiken, Ph.D., is director.

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This report and others from the Bureau of Justice Statistics are available through the Internet —

<http://www.ojp.usdoj.gov/bjs/>

The data from the 1997 Surveys of Inmates in State and Federal Correction Facilities, the 1995 Survey of Adults on Probation, and the 1996 Survey of Inmates in Local Jails are available from the National Archive of Criminal Justice Data, maintained by the Institute for Social Research at the University of Michigan, 1-800-999-0960. The archive may also be accessed through the BJS Internet site.



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Prison and Jail Inmates at Midyear 2001

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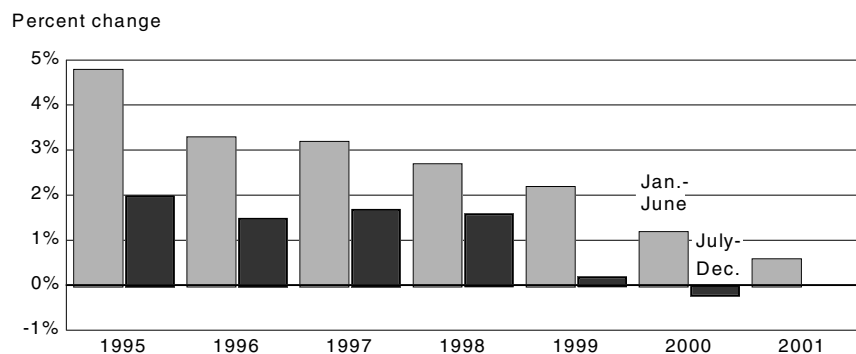
At midyear 2001 the Nation's prisons and jails incarcerated 1,965,495 persons. Prisoners in the custody of the 50 States, the District of Columbia, and the Federal Government accounted for two-thirds of the incarcerated population (1,334,255 inmates). The other third were held in local jails (631,240).

On June 30, 2001, 1,405,531 prisoners were under Federal and State jurisdiction, which includes inmates in custody and persons under the legal authority of a prison system but held outside its facilities. The number under State jurisdiction rose by 0.3% — the smallest annual growth rate in 28 years — while the number under Federal jurisdiction rose by 7.2%. West Virginia (up 8.7%) and Vermont and Nebraska (both up 7.7%) had the largest percentage increases. Twelve States had decreases, including New Jersey (-9.6%), Massachusetts (-3.7%), and New York (-3.5%).

At midyear 2001 local jail authorities held or supervised 702,044 offenders. Ten percent of these offenders (70,804) were supervised outside jail facilities in programs such as community service, work release, weekend reporting, electronic monitoring, and other alternative programs.

Highlights

6-month growth rates for State prisons have dropped sharply since 1995



From yearend 1995 to midyear 2001 —

- 6-month growth rates for all States combined dropped from 4.8% in the first half of 1995 to -0.1% in the last half of 2000.
- The rate of incarceration in prison and jail increased from 1 in every 166 U.S. residents to 1 in every 145.
- State, Federal, and local governments had to accommodate an additional 69,074 inmates per year (or the equivalent of 1,328 new inmates per week).

In the year ending June 30, 2001 —

- The number of inmates held in jail rose by 10,091, in State prison by 10,954, and in Federal prison by 9,245. In the largest State prison systems, the total number of inmates declined: Texas (down 3,661), California (down 525) and New York (down 2,553). Florida (up 774) became the third largest system.

On June 30, 2001 —

- Privately operated prison facilities held 94,948 inmates (up 4.9% since yearend 2000).
- Local jails were operating 10% below their rated capacity. In contrast, at yearend 2000 State prisons were operating between 100% and 115% of capacity, and Federal prisons were 31% above their rated capacity.
- A total of 3,147 State prisoners, down from 3,896 at midyear 2000, were under age 18. A total of 7,613 persons under age 18 were held in adult jails.
- An estimated 12% of black males, 4% of Hispanic males, and 1.8% of white males in their twenties and early thirties were in prison or jail.
- There were 113 female inmates per 100,000 women in the United States, compared to 1,318 male inmates per 100,000 men.

More than 1.96 million inmates were in prisons and local jails

On June 30, 2001, 1,334,255 inmates were in the custody of State and Federal prison authorities, and 631,240 inmates were in the custody of local jail authorities. These data were collected in the 2001 National Prisoner Statistics program and the 2001 Annual Survey of Jails. (See *Methodology*, page 13, for description of data collections.)

Since midyear 2000 the total incarcerated population has increased 1.6% (table 1). Including inmates in public and privately operated facilities, the number of inmates in State prisons increased 0.9%; in Federal prisons, 7.0%; and in local jails, 1.6%. At midyear 2001, 7.2% of inmates were held in Federal prison, up from 5.1% in 1990.

Between 1995 and midyear 2001, the incarcerated population grew on average 4.0% annually. During this period the Federal and State prison populations and the local jail population grew at the average annual rates of 8.6%, 3.4%, and 3.7%, respectively.

In the 12 months before midyear 2001, the number of inmates in prison and jail rose an estimated 30,505 inmates, or 587 inmates per week. Since yearend 1990, the total custody population has risen by 816,793 inmates, the equivalent of 1,490 inmates per week.

The rate of incarceration in prison and jail in 2001 was 690 inmates per 100,000 U.S. residents — up from 686 at midyear 2000. At midyear 2001, 1 in every 145 U.S. residents were incarcerated.

U.S. prison population rose 1% — the smallest annual growth rate since 1972

Between July 1, 2000, and June 30, 2001, the number of inmates under State jurisdiction grew 0.3%, and the number under Federal jurisdiction, 7.2% (table 2). Jurisdiction counts include prisoners in custody and persons under the legal authority of a prison system while being held outside its facilities. Compared to the previous 12-month period ending June 30, 2000, State prison growth rates were significantly smaller (down from 1.5%), while the Federal prison growth rate was down from 9.3%.

Years	Annual increase in the number of prisoners under State or Federal jurisdiction, July 1-June 30	
	Number	Percent
2000-01	14,587	1.0%
1999-00	30,710	2.3
1998-99	56,059	4.4
1997-98	57,726	4.7
1996-97	56,710	4.9
1995-96	57,507	5.2
1994-95	90,881	9.0
1993-94	72,854	7.7
1992-93	69,525	8.1
1991-92	51,020	6.3
1990-91	49,446	6.5

Average growth, 1990-2001 55,184 5.8

Table 1. Number of persons held in State or Federal prisons or in local jails, 1990-2001

Year	Total inmates in custody	Prisoners in custody		Inmates held in local jails	Incarceration rate ^a
		Federal	State		
1990	1,148,702	58,838	684,544	405,320	458
1995	1,585,586	89,538	989,004	507,044	601
1996	1,646,020	95,088	1,032,440	518,492	618
1997	1,743,643	101,755	1,074,809	567,079	648
1998	1,816,931	110,793	1,113,676	592,462	669
1999 ^b	1,893,115	125,682	1,161,490	605,943	691
2000 ^c					
June 30	1,934,990	131,496	1,176,368	621,149	686
December 31	--	133,921	1,175,740	--	--
2001 ^c					
June 30	1,965,495	140,741	1,187,322	631,240	690
Percent change, 6/30/00 - 6/30/01	1.6%	7.0%	0.9%	1.6%	
Annual average increase, 12/31/95 - 6/30/01	4.0%	8.6%	3.4%	3.7%	

Note: Jail counts are for midyear (June 30). Counts for 1994-2001 exclude persons who were supervised outside of a jail facility. State and Federal prisoner counts for 1990-99 are for December 31.

--Not available.

^aPersons in custody per 100,000 residents in each reference year. (See page 4 for effects of 2000 Census).

^bIn 1999, 15 States expanded their reporting criteria to include inmates held in privately operated correctional facilities. For comparisons with previous years, the State count 1,137,544 and the total count 1,869,169 should be used.

^cTotal counts include Federal inmates in non-secure privately operated facilities (5,977 in 2000 and 6,192 in 2001).

Percent change during 6-month periods in the number of prisoners under the jurisdiction of the Federal system, 1995-2001

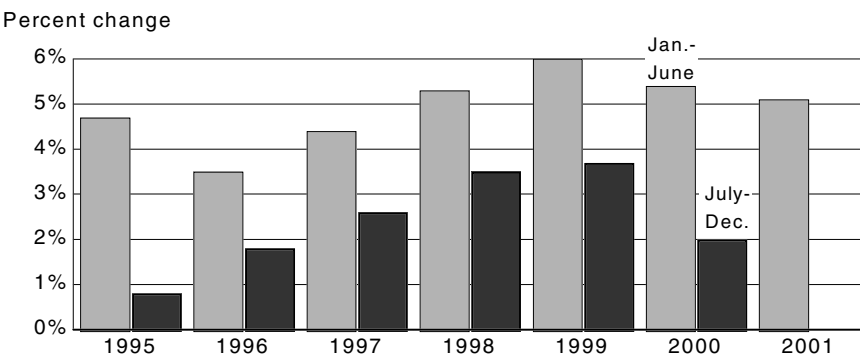


Figure 1

In absolute numbers, the total increase of 14,587 prison inmates between July 1, 2000, and June 30, 2001, was the smallest 12-month increase in the decade and less than a third of the annual average growth (55,184) since 1990.

About two-thirds of the growth in the prison populations during the 12 months ending June 30, 2001, was accounted for by the Federal system (10,258 additional inmates). During this 12-month period, several States experienced growth, including West Virginia (8.7%), Vermont and Nebraska (each 7.7%), and North Dakota (7.6%). Twelve States experienced a decline in their prison population. New Jersey had the largest percentage decrease (-9.6%), followed by Massachusetts (-3.7%), New York (-3.5%), and Kansas (-2.7%).

Since 1995, State growth rates have dropped, while Federal rates have increased

Since January 1, 1995, 6-month growth rates for all States combined have dropped sharply (from 4.8% in the first half of 1995 to -0.2% in the last half of 2000). The 0.6% growth between January and June 2001 offset the decline in the last 6 months of 2000. Throughout the entire 6½ years, State prison growth rates in the first half of each year have been substantially larger than rates in the second half (*Highlights* figure).

During this time, Federal growth rates rose dramatically, reaching a peak of 6.0% in the first 6 months of 1999 (figure 1). Although the Federal rates of growth in the first 6 months of 2000 and 2001 dropped to 5.4% and 5.1% (respectively), the absolute increases in the number of prisoners reached record levels. In the first 6-months of 2001, the Federal system added 7,372 inmates, the largest 6-month growth ever recorded in the number of inmates under Federal jurisdiction.

Table 2. Prisoners under the jurisdiction of State or Federal correctional authorities, June 30 and December 31, 2000, and June 30, 2001

Region and jurisdiction	Total			Percent change from —		Incarceration rate, 6/30/01 ^a
	6/30/01	12/31/00	6/30/00	6/30/00 to 6/30/01	12/31/00 to 6/30/01	
U.S. total	1,405,531	1,391,111	1,390,944	1.0%	1.0%	472
Federal	152,788	145,416	142,530	7.2	5.1	46
State	1,252,743	1,245,695	1,248,414	0.3	0.6	426
Northeast	172,925	174,825	177,965	-2.8%	-1.1%	305
Connecticut ^b	18,875	18,355	18,616	1.4	2.8	384
Maine	1,693	1,679	1,715	-1.3	0.8	126
Massachusetts ^c	10,734	10,722	11,150	-3.7	0.1	247
New Hampshire	2,323	2,257	2,254	3.1	2.9	184
New Jersey ^d	28,108	29,784	31,081	-9.6	-5.6	331
New York	69,158	70,198	71,691	-3.5	-1.5	364
Pennsylvania	37,105	36,847	36,617	1.3	0.7	302
Rhode Island ^b	3,147	3,286	3,186	-1.2	-4.2	179
Vermont ^b	1,782	1,697	1,655	7.7	5.0	221
Midwest	240,213	237,075	236,804	1.4%	1.3%	370
Illinois ^d	45,629	45,281	44,819	1.8	0.8	366
Indiana	20,576	20,125	19,874	3.5	2.2	336
Iowa ^e	8,101	7,955	7,646	6.0	1.8	277
Kansas ^d	8,543	8,344	8,780	-2.7	2.4	317
Michigan	48,371	47,718	47,317	2.2	1.4	484
Minnesota	6,514	6,238	6,219	4.7	4.4	131
Missouri	28,167	27,382	27,292	3.2	2.9	500
Nebraska	3,944	3,895	3,663	7.7	1.3	225
North Dakota	1,080	1,076	1,004	7.6	0.4	158
Ohio ^d	45,684	45,833	46,838	-2.5	-0.3	402
South Dakota	2,673	2,616	2,571	4.0	2.2	353
Wisconsin	20,931	20,612	20,781	0.7	1.5	373
South	563,818	561,373	561,583	0.4%	0.4%	532
Alabama	27,286	26,225	25,786	5.8	4.0	592
Arkansas	12,332	11,915	11,559	6.7	3.5	455
Delaware ^b	7,122	6,921	7,043	1.1	2.9	505
District of Columbia ^b	5,388	7,456	8,575	-37.2	-27.7	592
Florida ^a	72,007	71,319	71,233	1.1	1.0	439
Georgia ^e	45,363	44,232	43,626	4.0	2.6	540
Kentucky	15,400	14,919	15,444	-0.3	3.2	369
Louisiana	35,494	35,207	34,734	2.2	0.8	795
Maryland	23,970	23,538	23,704	1.1	1.8	432
Mississippi	20,672	20,241	19,264	7.3	2.1	689
North Carolina	31,142	31,532	31,070	0.2	-1.2	329
Oklahoma ^d	23,139	23,181	23,009	0.6	-0.2	669
South Carolina	22,267	21,778	22,154	0.5	2.2	526
Tennessee	23,168	22,166	22,566	2.7	4.5	404
Texas	164,465	166,719	168,126	-2.2	-1.4	731
Virginia	30,473	30,168	29,890	2.0	1.0	415
West Virginia	4,130	3,856	3,800	8.7	7.1	225
West	275,787	272,422	272,062	1.4%	1.2%	414
Alaska ^b	4,197	4,173	4,025	4.3	0.6	336
Arizona ^e	27,136	26,510	26,287	3.2	2.4	478
California	163,965	163,001	164,490	-0.3	0.6	468
Colorado ^d	17,122	16,833	16,319	4.9	1.7	388
Hawaii ^b	5,412	5,053	5,051	7.1	7.1	294
Idaho	5,688	5,535	5,465	4.1	2.8	431
Montana	3,250	3,105	3,039	6.9	4.7	359
Nevada	10,291	10,063	9,920	3.7	2.3	485
New Mexico	5,288	5,342	5,277	0.2	-1.0	281
Oregon	11,077	10,580	10,313	7.4	4.7	319
Utah	5,440	5,632	5,450	-0.2	-3.4	235
Washington	15,242	14,915	14,704	3.7	2.2	251
Wyoming	1,679	1,680	1,722	-2.5	-0.1	340

^aThe number of prisoners with a sentence of more than 1 year per 100,000 residents.

^bPrison and jails form an integrated system. Data include total jail and prison population.

^cThe incarceration rate includes an estimated 6,200 inmates sentenced to more than 1 year but held in local jails or houses of corrections.

^d"Sentenced to more than 1 year" includes some inmates "sentenced to 1 year or less."

^ePopulation figures are based on custody counts.

Table 3. Prisoners held in private facilities, December 31, 2000, and June 30, 2001

Region and jurisdiction	Inmates held in private facilities ^a		
	Number		Percent of all inmates ^b
	6/30/01	12/31/00	
U.S. total	94,948	90,542	6.8%
Federal ^c	18,185	15,524	11.9
State	76,763	75,018	6.1
Northeast	3,035	2,509	1.8%
Connecticut	0	0	0.0
Maine	11	11	0.6
Massachusetts	0	0	0.0
New Hampshire	0	0	0.0
New Jersey	2,548	2,498	9.1
New York	0	0	0.0
Pennsylvania	476	0	1.3
Rhode Island	0	0	0.0
Vermont	0	0	0.0
Midwest	7,630	7,836	3.2%
Illinois	0	0	0.0
Indiana	966	991	4.7
Iowa	0	0	0.0
Kansas	0	0	0.0
Michigan	450	449	0.9
Minnesota	0	0	0.0
Missouri	0	0	0.0
Nebraska	0	0	0.0
North Dakota	55	96	5.1
Ohio	1,916	1,918	4.2
South Dakota	45	45	1.7
Wisconsin	4,198	4,337	20.1
South	49,843	48,733	8.8%
Alabama	0	0	0.0
Arkansas	0	1,253	0.0
Delaware	0	0	0.0
District of Columbia	2,538	2,342	47.1
Florida	3,982	3,912	5.5
Georgia	4,582	3,746	10.1
Kentucky	1,804	1,268	11.7
Louisiana	2,940	3,068	8.3
Maryland	128	127	0.5
Mississippi	3,443	3,230	16.7
North Carolina	365	330	3.4
Oklahoma	7,023	6,931	30.4
South Carolina	21	13	0.1
Tennessee	3,703	3,510	16.0
Texas	17,746	17,432	10.8
Virginia	1,568	1,571	5.1
West Virginia	0	0	0.0
West	16,255	15,940	5.9%
Alaska	1,407	1,383	33.5
Arizona	1,420	1,430	5.2
California	4,504	4,547	2.7
Colorado	2,152	2,099	12.6
Hawaii	1,194	1,187	22.1
Idaho	1,362	1,162	23.9
Montana	987	986	30.4
Nevada	482	508	4.7
New Mexico	2,390	2,155	45.2
Oregon	0	0	0.0
Utah	0	208	0.0
Washington	0	0	0.0
Wyoming	357	275	21.3

^aExcludes inmates in publicly operated State or local facilities.

^bBased on the total of inmates under State or Federal jurisdiction.

^cIncludes 6,192 Federal inmates held in privately operated community correctional centers on 6/30/01.

Prison incarceration rates have risen sharply since 1990

The incarceration rate of State and Federal prisoners sentenced to more than 1 year was 472 per 100,000 U.S. residents on June 30, 2001, down from 482 per 100,000 on June 30, 2000. (See *Prison and Jail Inmates at Midyear 2000*, NCJ 185989.) The overall drop reflects the impact of shifting to the 2000 decennial census population estimates. Midyear incarceration rates prior to 2001 were based on estimates from the *1990 Census of Population and Housing*. Using newly released estimates from the 2000 Census, the revised incarceration rate for midyear 2000 was 470 sentenced prisoners per 100,000.

	Estimates (in 1000's) of U.S. resident population on July 1*		Number of sentenced inmates per 100,000 residents at midyear	
	1990 Census	2000 Census	1990 Census	2000 Census
	1999	272,876		468
2000	275,133	282,125	482	470
2001	277,737	284,797	484	472

Twelve States led by Louisiana (795 sentenced prisoners per 100,000 State residents), Texas (731), Mississippi (689), and Oklahoma (669), exceeded the national rate. Three States — Maine (126), Minnesota (131), and North Dakota (158) — had rates that were less than a third of the national rate. The District of Columbia, a totally urban jurisdiction, held 592 sentenced prisoners per 100,000 District residents at midyear 2001. The number of sentenced inmates in the District of Columbia dropped from 7,904 at yearend 2000 to 3,388 at midyear 2001, as a result of an ongoing transfer of responsibility for sentenced felons to the Federal system.

Since 1990 the number of sentenced inmates per 100,000 residents has risen from 292 to 472. During this period prison incarceration rates rose the most in the South (from 316 to 532) and West (from 277 to 414). The rate in the Midwest rose from 239 to 370, and the rate in the Northeast rose from 232 to 305. The number of sentenced Federal prisoners per 100,000 U.S. residents increased from 20 to 46 over the same period.

Privately operated prisons held almost 95,000 State and Federal inmates

On June 30, 2001, 31 States, the District of Columbia, and the Federal system reported a total of 94,948 prisoners held in privately operated facilities (table 3). These private facilities held 6.8% of all State and Federal inmates, up from 6.5% at yearend 2000.

The Federal system (with 18,185 inmates in private facilities), Texas (with 17,746), and Oklahoma (with 7,023) reported the largest number at midyear 2001. Four States — New Mexico (45%), Alaska (34%), Montana (30%), and Oklahoma (30%) — and the District of Columbia (47%) had at least 30% of their prisoners in private facilities. Except for Wisconsin (with 20% of its State inmates in private facilities) and New Jersey (with 9%), the use of private facilities was concentrated among Southern and Western States.

Four States have more than 20% of their inmates held in other States or in Federal facilities

On June 30, 2001, 11,800 State prisoners nationwide had been placed in other States or in Federal facilities — representing about 0.9% of all State prisoners (table 4). In addition to housing inmates out of State to ease prison crowding, State correctional authorities often house inmates under an interstate compact. Such inmates may be housed in other States because of special security needs (that is, for safekeeping from other inmates) or special inmate needs (that is, housing inmates closer to their families).

At midyear 2001 Wisconsin placed the most inmates (4,526), followed by Hawaii (1,225), Alaska (777) and Connecticut (657). Vermont (24.3%), Hawaii (22.6%), Wyoming (22.6%), and Wisconsin (21.6%) had more than 20% of their prison population housed in facilities out of State or in the Federal system.

Female prisoner population has more than doubled since 1990

From July 1, 2000, to June 30, 2001, the number of women under the jurisdiction of State and Federal prison authorities grew from 93,681 to 94,336, an increase of 0.7% (table 5). The number of men rose 1.1%, from 1,296,378 to 1,311,195. At midyear 2001 California, Texas, and the Federal systems housed nearly 4 of every 10 female inmates.

Since 1990 the annual rate of growth of female inmates has averaged 7.5%, higher than the 5.7% average increase of male inmates. While the number of male prisoners has grown 80% since 1990, the number of female prisoners has increased 114%. By June 30, 2001, women accounted for 6.7% of all prisoners, up from 5.7% in 1990.

Relative to their number in the U.S. resident population, men were about 15 times more likely than women to be in a State or Federal prison. On June 30, 2001, the rate for inmates serving a sentence of more than 1 year was 59 female inmates per 100,000 women in the United States, compared to 900 sentenced male inmates per 100,000 men.

Table 5. Prisoners under the jurisdiction of State or Federal correctional authorities, by gender, 1990, 2000, and 2001

	Men	Women
All inmates		
6/30/01	1,311,195	94,336
6/30/00	1,297,179	93,765
12/31/90	729,840	44,065
Percent change		
2000-2001	1.1%	0.6%
Average annual, 1990-2001	5.7%	7.5%
Sentenced to more than 1 year		
6/30/01	1,257,246	86,301
6/30/00	1,240,392	85,431
12/31/90	699,416	40,564
Incarceration rate*		
6/30/01	900	59
6/30/00	897	59
12/31/90	572	32

*The total number of prisoners with a sentence of more than 1 year per 100,000 U.S. residents.

Table 4. State prisoners held out of State or in Federal facilities, December 31, 2000, and June 30, 2001

Region and jurisdiction	Inmates held out of State or in Federal facilities ^a		Percent ^b
	6/30/01	12/31/00	
State	11,800	12,351	0.9%
Northeast	1,403	1,239	0.8%
Connecticut	657	470	3.5
Maine	47	55	2.8
Massachusetts	15	93	0.1
New Hampshire	70	74	3.0
New Jersey	60	69	0.2
New York	0	0	0.0
Pennsylvania	43	41	0.1
Rhode Island	78	47	2.5
Vermont	433	390	24.3
Midwest	5,561	5,849	2.3%
Illinois	36	35	0.1
Indiana	589	592	2.9
Iowa	0	0	0.0
Kansas	93	87	1.1
Michigan	0	0	0.0
Minnesota	159	137	2.4
Missouri	0	60	0.0
Nebraska	29	27	0.7
North Dakota	74	113	6.9
Ohio	33	35	0.1
South Dakota	22	21	0.8
Wisconsin	4,526	4,742	21.6
South	954	1,515	0.2%
Alabama	457	479	1.7
Arkansas	38	325	0.3
Delaware	29	228	0.4
Florida	0	0	0.0
Georgia	0	0	0.0
Kentucky	21	16	0.1
Louisiana	0	0	0.0
Maryland	52	42	0.2
Mississippi	0	0	0.0
North Carolina	0	0	0.0
Oklahoma	69	72	0.3
South Carolina	288	297	1.3
Tennessee	0	0	0.0
Texas	0	0	0.0
Virginia	0	56	0.0
West Virginia	0	0	0.0
West	3,882	3,748	1.4%
Alaska	777	825	18.5
Arizona	96	86	0.4
California	629	624	0.4
Colorado	0	0	0.0
Hawaii	1,225	1,221	22.6
Idaho	126	85	2.2
Montana	38	34	1.2
Nevada	196	191	1.9
New Mexico	40	46	0.8
Oregon	170	155	1.5
Utah	134	118	2.5
Washington	71	65	0.5
Wyoming	380	298	22.6

Note: Totals are based on inmates held in private or public out-of-State facilities and inmates held in Federal facilities. Excludes inmates in publicly operated jails and Federal inmates from the District of Columbia.

^aInmates held in other State facilities include interstate compact cases.

^bBased on the total of inmates under State or Federal jurisdiction.

Number of State inmates under age 18 declining

A total of 3,147 State prisoners were under age 18 on June 30, 2001, down from 3,896 at midyear 2000 (table 6). Overall, fewer than 1% of State inmates were under age 18.

Table 6. Number of inmates under age 18 held in State and Federal prisons, by gender, June 30, 1990, 1995, and 1998-2001

Year	Inmates under age 18		
	Total	Male	Female
1990*	3,600	--	--
1995*	5,309	--	--
1998	4,863	4,668	195
1999	4,194	4,027	167
2000	3,896	3,721	175
2001	3,147	3,010	137

Note: Federal prisons held 39 inmates under age 18 in 1990 but none in 1995, 1998-2001.
 --Not available.
 *Data for 1990 and 1995 were based on Census of State and Federal Correctional Facilities.

Florida (with 395) and Connecticut (with 330) reported the largest number of prisoners under age 18 at midyear 2001, followed by New York (254), North Carolina (212), and Texas (208). Except for South Carolina, all of the States with 100 or more inmates under the age of 18 at midyear 2000 reported the decline in their populations during 12 months ending June 30, 2001. Five States reported increases — New Hampshire (from 0 to 4), New Jersey (from 20 to 28), Delaware (from 19 to 26), Alaska (9 to 16) and Idaho (4 to 8).

	Number of prisoners under age 18		Percent change
	6/30/01	6/30/00	
Florida	395	466	-15.2 %
Connecticut	330	382	-13.6
New York	254	264	-3.8
North Carolina	212	263	-19.4
Texas	208	263	-20.9
Arizona	142	152	-6.6 %
South Carolina	133	131	1.5
Illinois	110	145	-24.1
California	95	106	-10.4
Wisconsin	92	96	-4.2
Mississippi	90	138	-34.8
Ohio	81	106	-23.6

Among States, Louisiana had the highest prison incarceration rate; Maine, the lowest

At midyear 2001 the 10 jurisdictions with the largest prison populations had under their jurisdiction 844,535 inmates, or 60% of the Nation's total prison population (table 7). Texas (164,465), California (163,965) and the Federal system (152,788) accounted for a third of the population. The 10 States with the smallest prison populations held a total of 25,701 inmates, 1.8% of the Nation's total prison population.

Louisiana had the highest prison incarceration rate (795 sentenced inmates per 100,000 residents), followed by Texas (731), Mississippi (689), and Oklahoma (669). Five States had prison incarceration rates below 200, led by Maine (126), Minnesota (131), and North Dakota (158).

Table 7. The 10 highest and lowest jurisdictions for selected characteristics of the prison populations, June 30, 2001

Prison population	Number of inmates ^a	Incarceration rate, 6/30/01	Sentenced prisoners per 100,000 State residents ^b	12-month growth, 6/30/00 to 6/30/01	Percent change	Female prison population	Number of female prisoners ^a
10 highest:							
Texas	164,465	Louisiana	795	West Virginia	8.7%	Texas	13,328
California	163,965	Texas	731	Vermont	7.7	California	10,926
Federal	152,788	Mississippi	689	Nebraska	7.7	Federal	10,801
Florida	72,007	Oklahoma	669	North Dakota	7.6	Florida	4,245
New York	69,158	Alabama	592	Oregon	7.4	New York	3,273
Michigan	48,371	Georgia	540	Mississippi	7.3	Illinois	2,883
Ohio	45,684	South Carolina	526	Federal	7.2	Georgia	2,760
Illinois	45,629	Delaware	505	Hawaii	7.1	Ohio	2,756
Georgia	45,363	Missouri	500	Montana	6.9	Oklahoma	2,362
Pennsylvania	37,105	Nevada	485	Arkansas	6.7	Louisiana	2,239
10 lowest:							
North Dakota	1,080	Maine	126	New Jersey	-9.6%	Maine	60
Wyoming	1,679	Minnesota	131	Massachusetts	-3.7	North Dakota	84
Maine	1,693	North Dakota	158	New York	-3.5	Vermont	97
Vermont	1,782	Rhode Island	179	Kansas	-2.7	New Hampshire	122
New Hampshire	2,323	New Hampshire	184	Wyoming	-2.5	Wyoming	152
South Dakota	2,673	Vermont	221	Ohio	-2.5	Rhode Island	212
Rhode Island	3,147	Nebraska	225	Texas	-2.2	South Dakota	226
Montana	3,250	West Virginia	225	Maine	-1.3	Nebraska	315
Nebraska	3,944	Utah	235	Rhode Island	-1.2	Montana	321
West Virginia	4,130	Massachusetts	247	California	-0.3	Alaska	328

Note: The District of Columbia was excluded as a result of the transfer of responsibility for sentenced felons to the Federal system.
^aAll inmates under legal authority of the prison system, regardless of sentence.
^bThe number of prisoners with a sentence of more than 1 year per 100,000 in the resident population. The Federal system is excluded.

Growth slows as rising State prison releases outpace admissions

Underlying the dramatic slowdown in the rate of growth in State prison populations has been a rise in prison releases. During 2000, 570,966 sentenced prisoners were released from State prisons, up from 526,905 in 1998 — an increase of 8.4% (table 8). At the same time, total admissions to State prison rose by 1.7% (from 572,779 in 1998 to 582,232 in 2000).

In 37 of the 44 States reporting comparable data the difference between annual admissions and releases was reduced. In 11 States the number of releases increased while admissions dropped; in 18 States releases increased faster than admissions; and in 8 States releases decreased more slowly than admissions.

Overall, State prison release rates dropped from 37 per 100 inmates in 1990 to 31 per 100 in 1995 and then remained nearly unchanged (reaching 32 per 100 in 2000). However, as a result of increasing total prison populations, the absolute number of releases increased 25% (from 455,139 in 1995 to 570,966 in 2000). (See *Prisoners in 1999*, NCJ 183476.)

Prior to 1998 growth in prison admissions reflected increasing numbers of offenders returning for parole violations. Between 1990 and 1998, the number of returned parole violators increased 54% (from 133,870 to 206,751), while the number of new court commitments increased 7% (from 323,069 to 347,270). The number of parole violators returned to prison in 2000 totaled 203,569; the number of new court commitments, 350,431. (See *Trends in State Parole, 1990-2000*, NCJ 184735.)

State prison admissions, by type			
Year	All*	New court commitments	Parole violators
1990	460,739	323,069	133,870
1995	521,291	337,492	175,726
1998	572,779	347,270	206,751
1999	573,013	345,648	198,639
2000	582,232	350,431	203,569

*Based on inmates with a sentence of more than 1 year.

Table 8. Number of sentenced prisoners admitted and released from State or Federal jurisdiction, by region and jurisdiction, 1998-2000

Region and jurisdiction	Admissions ^a				Releases ^a			
	2000	1999	1998	Percent change, 1998-00	2000	1999	1998	Percent change 1998-00
U.S. total	625,964	614,985	610,998	2.4%	606,225	574,804	556,367	9.0%
Federal	43,732	41,972	38,219	14.4	35,259	31,816	29,462	19.7
State	582,232	573,013	572,779	1.7	570,966	542,988	526,905	8.4
Northeast	65,363	66,952	67,107	-2.6%	68,775	63,474	60,730	13.2%
Connecticut ^b	6,185	6,306	--	--	5,918	5,283	--	--
Maine	751	731	762	-1.4	677	698	588	15.1
Massachusetts	2,062	2,373	2,836	-27.3	2,889	2,914	2,900	-0.4
New Hampshire	1,051	1,067	987	6.5	1,044	979	986	5.9
New Jersey	13,653	15,106	16,801	-18.7	15,362	14,734	14,041	9.4
New York	27,601	28,181	27,211	1.4	28,833	26,652	26,185	10.1
Pennsylvania	11,777	11,082	10,505	12.1	11,759	10,028	9,159	28.4
Rhode Island ^b	--	1,299	971	--	--	1,347	893	--
Vermont	984	807	728	35.2	946	839	695	36.1
Midwest	117,776	110,852	109,448	7.6%	114,382	106,860	99,781	14.6%
Illinois	29,344	27,499	26,470	10.9	28,876	25,995	24,205	19.3
Indiana	11,876	10,564	10,547	12.6	11,053	10,317	9,263	19.3
Iowa	4,656	3,858	4,079	14.1	4,379	4,715	4,239	3.3
Kansas	5,002	4,890	4,509	10.9	5,231	4,503	4,239	23.4
Michigan	12,169	12,075	13,358	-8.9	10,874	11,243	12,068	-9.9
Minnesota	4,406	4,557	4,307	2.3	4,244	4,475	4,056	4.6
Missouri	14,454	13,526	12,900	12.0	13,346	12,267	11,736	13.7
Nebraska	1,688	1,603	1,771	-4.7	1,503	1,558	1,516	-0.9
North Dakota	605	715	764	-20.8	598	671	645	-7.3
Ohio	23,780	21,302	20,630	15.3	24,793	22,910	20,198	22.7
South Dakota	1,400	1,395	1,328	5.4	1,327	1,311	1,152	15.2
Wisconsin	8,396	8,868	8,785	-4.4	8,158	6,895	6,464	26.2
South	221,097	220,040	215,949	2.4%	214,015	202,919	196,480	8.9%
Alabama	6,296	8,282	7,492	-16.0	7,136	8,194	7,016	1.7
Arkansas	6,941	6,045	6,189	12.2	6,308	5,403	5,524	14.2
Delaware	2,709	2,624	1,853	46.2	2,260	2,180	1,585	42.6
Dist. of Col.	3,156	5,733	5,388	-41.4	3,238	5,471	7,198	-55.0
Florida	35,683	32,225	25,308	41.0	33,994	29,889	22,664	50.0
Georgia	17,373	19,871	15,409	12.7	14,797	17,173	12,131	22.0
Kentucky	8,116	6,867	7,901	2.7	7,733	6,509	7,505	3.0
Louisiana	15,735	15,981	16,948	-7.2	14,536	15,241	13,937	4.3
Maryland	10,327	10,987	10,967	-5.8	10,004	10,327	10,492	-4.7
Mississippi	5,796	5,825	6,626	-12.5	4,940	4,136	4,418	11.8
North Carolina ^b	9,839	10,198	11,292	-12.9	9,687	10,710	11,615	-16.6
Oklahoma	7,426	7,635	7,181	3.4	6,628	6,140	6,846	-3.2
South Carolina	8,460	8,261	8,866	-4.6	8,676	7,942	7,903	9.8
Tennessee ^b	13,675	13,597	--	--	13,893	12,361	--	--
Texas	58,197	56,361	59,340	-1.9	59,776	52,318	55,181	8.3
Virginia	9,791	8,240	10,152	-3.6	9,148	7,685	9,001	1.6
West Virginia	1,577	1,308	1,440	9.5	1,261	1,240	1,103	14.3
West	177,996	175,169	180,275	-1.3%	173,794	169,735	169,914	2.3%
Alaska	2,427	2,405	2,605	-6.8	2,599	2,504	2,615	-0.6
Arizona	9,560	9,021	10,108	-5.4	9,100	8,982	8,559	6.3
California	129,640	130,976	134,068	-3.3	129,621	129,528	129,449	0.1
Colorado	7,036	6,702	6,541	7.6	5,881	5,346	5,683	3.5
Hawaii ^b	1,594	1,533	--	--	1,379	1,332	--	--
Idaho	3,386	2,307	2,621	29.2	2,697	1,724	2,469	9.2
Montana	1,202	1,277	1,254	-4.1	1,031	1,044	1,066	-3.3
Nevada	4,929	4,479	4,773	3.3	4,374	4,536	4,146	5.5
New Mexico ^c	3,161	1,826	2,303	--	3,383	1,997	2,252	--
Oregon	4,059	4,015	3,637	11.6	3,371	3,185	2,613	29.0
Utah	3,270	3,035	3,069	6.5	2,897	2,554	2,945	-1.6
Washington	7,094	6,795	7,012	1.2	6,764	6,344	6,081	11.2
Wyoming	638	798	751	-15.0	697	659	704	-1.0

Note: Excludes escapes, AWOLS, and transfers to or from other jurisdictions.

-- Not calculated.

^aBased on inmates under jurisdiction with a sentence of more than 1 year.

^bComparable data were not available for all three years. Data from the most recent comparable year were used to calculate regional and national totals.

^cData may not be comparable from year to year due to changing reporting methods.

At midyear the Nation's jails supervised 702,044 persons

As defined in this report, jails are locally operated correctional facilities that confine persons before or after adjudication. Inmates sentenced to jail usually have a sentence of 1 year or less, but jails also incarcerate persons in a wide variety of other categories. (See box below.)

Based on the 2001 Annual Survey of Jails, the Nation's local jails held or supervised 702,044 offenders on June 29, 2001 (table 9). Jail authorities supervised 10% of these offenders (70,804) in alternative programs outside the jail facilities. A total of 631,240 persons were housed in local jails.

- Jails —**
- receive individuals pending arraignment and hold them awaiting trial, conviction, or sentencing
 - readmit probation, parole, and bail-bond violators and absconders
 - temporarily detain juveniles pending transfer to juvenile authorities
 - hold mentally ill persons pending their movement to appropriate health facilities
 - hold individuals for the military, for protective custody, for contempt, and for the courts as witnesses
 - release convicted inmates to the community upon completion of sentence
 - transfer inmates to Federal, State, or other authorities
 - house inmates for Federal, State, or other authorities because of crowding of their facilities
 - sometimes operate community-based programs as alternatives to incarceration
 - hold inmates sentenced to short terms (generally under 1 year).

Among persons under community supervision by jail staff in 2001, nearly 25% were required to perform community service (17,561) and 20% to participate in a weekend reporting program (14,381). Fourteen percent of offenders in the community were under electronic monitoring; 9% were under other pretrial supervision; 7% were in a drug, alcohol, mental health, or other type of medical treatment program; and 7% were in a work release or other alternative work program.

Number of jail inmates rose 10,100 in 12 months ending June 29, 2001

Between July 1, 2000, and June 29, 2001, the number of persons held in local jail facilities grew 1.6% — from 621,149 to 631,240 (table 9). The 12-month increase was well below the average growth (3.7%) from midyear 1995 to midyear 2001 (figure 2). The 1.6% growth in 2001 was the smallest annual increase in the last decade. In absolute numbers, the total increase of 10,091 inmates in 2001 was less than the increase in 2000 (15,206).

Table 9. Persons under jail supervision, by confinement status and type of program, midyear 1995, 1999-2001

Confinement status and type of program	Number of persons under jail supervision			
	1995	1999	2000	2001
Total	541,913	687,973	687,033	702,044
Held in jail	507,044	605,943	621,149	631,240
Supervised outside a jail facility^a	34,869	82,030	65,884	70,804
Electronic monitoring	6,788	10,230	10,782	10,017
Home detention ^b	1,376	518	332	539
Day reporting	1,283	5,080	3,969	3,522
Community service	10,253	20,139	13,592	17,561
Weekender programs	1,909	16,089	14,523	14,381
Other pretrial supervision	3,229	10,092	6,279	6,632
Other work programs ^c	9,144	7,780	8,011	5,204
Treatment programs ^d	--	8,500	5,714	5,219
Other/unspecified	887	3,602	2,682	7,729

--Not available.
^aExcludes persons supervised by a probation or parole agency.
^bIncludes only those without electronic monitoring.
^cIncludes persons in work release programs, work gangs, and other work alternative programs.
^dIncludes persons under drug, alcohol, mental health, and other medical treatment.

12-month growth rates for local jails peaked in 1997

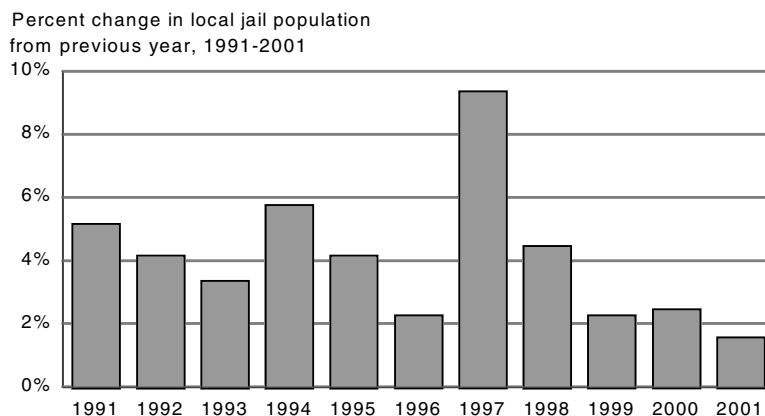


Figure 2

Jail incarceration rates continue to rise

Since 1990 the Nation's jail population on a per capita basis has increased over a third. During this period the number of jail inmates per 100,000 residents rose from 163 to 222.

Year	Number held in jail	Incarceration rate ^a
2001 ^b	631,240	222
2000 ^b	621,149	220
1999	605,943	222
1998	592,462	219
1997	567,079	212
1996	518,492	196
1995	507,044	193
1990	405,320	163

^aNumber of jail inmates per 100,000 U.S. residents on July 1 of each year.

^bRates for 2000 and 2001 are based on estimates from the 2000 Census and updated for July 1 of each year; rates for 1990-99 are based on estimates from the 1990 Census.

When offenders under community supervision by jail authorities are included with those in custody, the rate was 247 offenders per 100,000 U.S. residents at midyear 2001.

A total of 7,613 persons under age 18 were housed in adult jails on June 30,

2001 (table 10). Eighty-nine percent of these young inmates had been convicted or were being held for trial as adults in criminal court.

The average daily population for the year ending June 30, 2001, was 625,966, an increase of 1.2% from 2000 and 22.8% from 1995.

Characteristics of jail inmates changing slowly

Male inmates made up 88.4% of the local jail inmate population at midyear 2001 - over 2 percentage points lower than at midyear 1990 (table 11).

During the 12-month period ending June 29, 2001, the number of female inmates rose 3.1%, while the percent of male inmates rose 1.5%. On average the adult female jail population has grown 6.3% annually since 1990, while the adult male inmate population has grown 3.8%.

At midyear 2001 a majority of local jail inmates were black or Hispanic. White non-Hispanics made up 43.0% of the jail population; black non-Hispanics, 40.6%; Hispanics, 14.7%; and other

racess (Asians, Pacific Islanders, American Indians, and Alaska Natives), 1.6%.

Relative to their number of U.S. residents, men were nearly 8 times more likely than women to have been held in a local jail on June 29, 2001. Black non-Hispanics were 5 times more likely than white non-Hispanics, over 2½ times more likely than Hispanics, and 11 times more likely than persons of other races to have been in jail.

	Estimated count	Incarceration rate ^a
Total	631,240	222
Gender		
Male	558,110	399
Female	73,130	50
Race/Hispanic origin		
White ^b	271,700	138
Black ^b	256,200	703
Hispanic	93,000	263
Other ^c	10,300	61

Note: Inmate counts were estimated and rounded to the nearest 100. Resident population figures by gender are based on the 2000 Census and then estimated for July 1, 2000. Figures by race/Hispanic origin are counts from the 2000 Census as enumerated on April 1, 2000.

^aNumber of inmates per 100,000 residents in each group.

^bNon-Hispanic only.

^cIncludes American Indians, Alaska Natives, Native Hawaiians, and other Pacific Islanders.

Table 10. Average daily population and the number of men, women, and juveniles in local jails, midyear 1990, 1995, and 2000-2001

	1990	1995	2000	2001
Average daily population^a	408,075	509,828	618,319	625,966
Number of inmates, June 30^b	405,320	507,044	621,149	631,240
Adults	403,019	499,300	613,534	623,628
Male	365,821	448,000	543,120	551,007
Female	37,198	51,300	70,414	72,621
Juveniles ^c	2,301	7,800	7,615	7,613
Held as adults ^d	--	5,900	6,126	6,757
Held as juveniles	2,301	1,800	1,489	856

Note: Data are for June 30 in 1995 and 2000 and for June 29 in 1990 and 2001. Detailed data for 1995 were estimated and rounded to the nearest 100.

--Not available.

^aThe average daily population is the sum of the number of inmates in a jail each day for a year, divided by the total number of days in the year.

^bInmate counts for 1990 include an unknown number of persons who were under jail supervision but not confined.

^cJuveniles are persons defined by State statute as being under a certain age, usually 18, and subject initially to juvenile court authority even if tried as adults in criminal court. In 1994 the definition was changed to include all persons under age 18.

^dIncludes juveniles who were tried or awaiting trial as adults.

Table 11. Gender, race, Hispanic origin, and conviction status of local jail inmates, midyear 1990, 1995, and 2000-2001

Characteristic	Percent of jail inmates			
	1990	1995	2000	2001
Total	100%	100%	100%	100%
Gender				
Male	90.8%	89.8%	88.6%	88.4%
Female	9.2	10.2	11.4	11.6
Race/Hispanic origin				
White, non-Hispanic	41.8%	40.1%	41.9%	43.0%
Black, non-Hispanic	42.5	43.5	41.3	40.6
Hispanic	14.3	14.7	15.1	14.7
Other*	1.3	1.7	1.6	1.6
Conviction status (adults only)				
Convicted	48.5%	44.0%	44.0%	41.5%
Male	44.1	39.7	39.0	36.6
Female	4.5	4.3	5.0	4.9
Unconvicted	51.5	56.0	56.0	58.5
Male	46.7	50.0	50.0	51.9
Female	4.8	6.0	6.0	6.6

Note: Detail may not add to total because of rounding.

*Includes American Indians, Alaska Natives, Asians, and Pacific Islanders.

On June 29, 2001, an estimated 58.5% of the Nation's adult jail inmates were awaiting court action on their current charge. An estimated 258,700 adults held in local jails were serving a sentence in jail, awaiting sentencing, or serving time for a probation or parole violation.

At midyear 2001, 90% of jail capacity was occupied

In the 12 months ending June 29, 2001, more beds than inmates were added to the Nation's jails. At midyear 2001 the rated capacity of the Nation's local jails was estimated at 699,309, an increase of 21,522 in 12 months (table 12).

Rated capacity is the maximum number of beds or inmates allocated by State or local rating officials to each jail facility. The growth in jail capacity during the 12-month period ending on June 29, 2001, was less than the average growth of 25,591 beds every 12 months since midyear 1995, and was less than the growth in beds during 2000 (25,466).

As of June 29, 2001, 90% of the local jail capacity was occupied.* As a ratio of all inmates housed in jail facilities to total capacity, the percentage occupied decreased by 14 percentage points from 1990 to 2001. At midyear 1990 local jails operated at 4% above their rated capacity.

*On December 31, 2000, State prisons were operating between 100% and 115% of capacity, while Federal prisons were operating at 31% above capacity. See *Prisoners in 2000*, August 2001, NCJ 188207.

Jail jurisdictions that on average held between 500-999 inmates reported the highest occupancy rates. At midyear 2001 occupancy was 90% of rated capacity in jail jurisdictions with an average daily population of 1,000 or more inmates, compared to 67% in those with fewer than 50 inmates.

Size of jurisdiction*	Percent of capacity occupied	
	2001	2000
Total	90%	92%
Fewer than 50 inmates	67	66
50-99	87	80
100-249	92	94
250-499	90	96
500-999	94	94
1,000 or more	92	94

*Based on the average daily population in the year ending June 30.

Table 12. Rated capacity of local jails and percent of capacity occupied, 1990 and 1995-2001

Year	Rated capacity ^a	Amount of capacity added ^b	Percent of capacity occupied ^c
2001	699,309	21,522	90%
2000	677,787	25,466	92
1999	652,321	39,541	93
1998	612,780	26,216	97
1997	586,564	23,593	97
1996	562,971	17,208	92
1995	545,763	41,439	93
1990	389,171		104
Average annual increase 1995-2001	4.2%	25,591	

Note: Capacity data for 1990, 1995-98 and 2000-01 are survey estimates subject to sampling error. See appendix tables for more details.

^aRated capacity is the number of beds or inmates assigned by a rating official to facilities within each jurisdiction.

^bThe number of beds added during the 12 months before June 30 of each year.

^cThe number of inmates divided by the rated capacity times 100.

The 50 largest jail jurisdictions housed a third of all jail inmates

On June 29, 2001, the Nation's 50 largest jail jurisdictions held 32.6% (205,875) of all jail inmates (table 13). Twenty-two States had at least one jurisdiction which ranked in the top 50 for average daily population. States with more than one jurisdiction among the Nation's 50 largest jurisdictions are California (10), Florida (7), Texas (7), Georgia (3), Ohio (3), Pennsylvania (3), and Tennessee (2).

The two jurisdictions with the most inmates, Los Angeles County and New York City, together held approximately 34,200 inmates, or 5.4% of the national total.

Twenty-three jurisdictions among the 50 largest experienced a decrease in the number of inmates held between July 1, 2000, and June 29, 2001. Jurisdictions with the largest decreases were Oklahoma County, Oklahoma (down 22.4%), Harris County, Texas (down 21.1%), Tarrant County, Texas (down 16.6%), Shelby County, Tennessee (down 13.0%), and San Diego County, California (down 10.2%).

The jurisdiction with the largest increase in jail population was Reeves County, Texas, whose population was up 75.7% and whose rated capacity increased by 87.1% (as a result of a new addition to the jail). Other jail jurisdictions with substantial population increases were Essex County, New Jersey (up 21.2%), King County, Washington (up 17.0%), and York County, Pennsylvania (up 16.0%).

Nineteen of the 50 largest jail jurisdictions operated at over 100% of their rated capacity. On June 29, 2001, Clark County, Nevada, operated at 171% of their capacity; Franklin County, Ohio, operated at 143%; and Maricopa County, Arizona, operated at 134% of capacity.

Table 13. The 50 largest local jail jurisdictions: Number of inmates held, average daily population, and rated capacity, midyear 1999-2001

Jurisdiction	Number of inmates held ^a			Average daily population ^b			Rated capacity ^c			Percent of capacity occupied at midyear ^d		
	1999	2000	2001	1999	2000	2001	1999	2000	2001	1999	2000	2001
Total	206,794	206,713	205,875	207,814	207,481	206,619	227,351	226,833	228,554	91%	91%	90%
Los Angeles County, CA	20,398	18,957	19,944	20,683	19,662	19,327	24,320	24,320	24,440	84%	78%	82%
New York City, NY	16,321	14,349	14,249	17,562	15,530	14,490	22,584	22,558	22,574	72	64	63
Cook County, IL	9,047	10,000	10,356	9,430	9,801	10,212	9,677	9,798	9,798	93	102	106
Harris County, TX	8,419	7,854	6,197	7,772	8,234	7,124	8,700	8,602	8,602	97	91	72
Maricopa County, AZ	6,502	7,012	6,951	6,770	6,660	7,055	7,671	5,293	5,194	85	132	134
Philadelphia City, PA	6,272	6,568	7,047	6,270	6,484	7,041	5,600	5,600	5,600	112	117	126
Dade County, FL	6,862	6,402	6,720	7,127	6,851	6,410	8,127	8,140	8,179	84	79	82
Dallas County, TX	6,492	6,900	6,354	6,400	7,299	6,275	7,666	8,187	6,585	85	84	96
Orleans Parish, LA	6,624	6,293	5,899	6,935	6,381	5,875	7,250	7,250	7,477	91	87	79
San Bernardino County, CA	4,752	5,581	5,220	4,924	5,124	5,300	4,754	4,957	4,957	100	113	105
Shelby County, TN	6,091	5,428	4,721	5,840	5,795	5,176	6,470	6,901	6,392	94	79	74
San Diego County, CA	5,495	5,335	4,790	5,666	5,317	4,895	5,994	6,104	4,726	92	87	101
Orange County, CA	4,853	4,982	4,498	5,194	4,807	4,792	3,812	3,821	4,109	127	130	109
Broward County, FL	4,358	4,861	5,008	4,424	4,813	4,745	5,130	5,280	5,562	85	92	90
Orange County, FL	4,197	4,063	4,228	3,880	4,131	4,172	3,905	3,940	3,940	107	103	107
Santa Clara County, CA	4,817	4,114	4,132	4,748	4,343	4,122	4,094	3,910	3,629	118	105	114
Alameda County, CA	4,562	4,216	3,844	4,333	4,229	3,856	4,809	4,354	4,354	95	97	88
Hillsborough County, FL	3,275	3,528	3,463	3,213	3,350	3,502	3,369	3,369	3,373	97	105	103
Tarrant County, TX	3,462	3,626	3,024	3,693	3,807	3,484	4,546	4,548	5,089	76	80	59
Milwaukee County, WI	3,366	3,378	3,398	2,747	3,394	3,444	4,066	3,790	3,790	89	89	90
Bexar County, TX	3,517	3,672	3,448	3,536	3,561	3,418	3,670	3,670	4,231	96	100	81
Baltimore City, MD	3,149	3,467	3,648	3,544	3,193	3,287	3,744	3,777	3,861	84	92	94
Sacramento County, CA	3,097	3,172	3,183	3,318	3,020	3,217	4,218	4,732	4,488	73	67	71
De Kalb County, GA	2,734	3,070	3,119	3,005	2,948	3,146	3,636	3,636	3,636	75	84	86
Jacksonville City, FL	2,846	2,892	2,850	2,758	2,730	3,025	3,113	3,200	3,089	91	90	92
King County, WA	2,406	2,484	2,929	2,345	2,400	2,885	2,143	2,143	3,641	112	116	80
Allegheny County, PA	2,171	2,405	2,402	2,086	2,288	2,868	2,713	2,757	2,923	80	87	82
Fulton County, GA	3,380	2,869	2,813	3,692	3,008	2,785	2,330	2,550	2,550	145	113	110
Pinellas County, FL	2,525	2,488	2,771	2,432	2,504	2,728	2,261	3,183	3,303	112	78	84
Wayne County, MI	2,588	2,650	2,619	2,650	2,800	2,680	2,643	2,668	2,874	98	99	91
Travis County, TX	2,516	2,915	2,827	2,531	2,572	2,659	1,958	1,958	2,246	128	149	126
Riverside County, CA	2,552	2,619	2,790	2,582	2,574	2,641	2,879	2,468	2,659	89	106	105
Kern County, CA	2,568	2,591	2,672	2,025	2,553	2,621	2,698	2,684	2,698	95	97	99
Davidson County, TN	--	2,752	2,790	--	2,794	2,615	--	2,868	2,866	--	96	97
Clark County, NV	2,245	2,262	2,538	2,312	2,378	2,538	1,488	1,488	1,488	151	152	171
Marion County, IN ^e	2,343	2,521	2,514	2,303	2,425	2,451	2,389	2,390	2,403	98	105	105
Essex County, NJ	1,648	2,084	2,526	2,016	1,771	2,408	1,756	1,503	2,410	94	139	105
Palm Beach County, FL	2,574	2,448	2,353	2,543	2,565	2,353	3,255	2,619	2,619	79	93	90
Fresno County, CA	2,220	2,301	2,331	2,254	2,250	2,346	2,382	2,348	2,482	93	98	94
Suffolk County, MA	2,448	2,297	2,360	1,800	2,312	2,300	1,798	2,452	2,452	136	94	96
Cobb County, GA	1,970	2,074	2,274	1,931	2,053	2,274	2,229	2,224	2,224	89	93	102
Franklin County, OH	--	2,216	2,405	--	2,156	2,271	--	2,639	1,681	--	84	143
El Paso County, TX	2,049	2,102	2,046	2,059	2,000	2,148	2,464	2,464	1,978	83	85	103
Multnomah County, OR	1,990	2,001	1,884	1,893	2,036	2,036	2,073	2,073	2,073	96	97	91
Cuyahoga County, OH	1,840	1,914	2,135	1,750	1,980	2,000	1,777	1,749	1,749	104	109	122
Hamilton County, OH	2,073	2,041	1,916	2,007	2,093	1,985	2,465	2,465	2,465	84	83	78
Reeves County, TX	1,131	1,142	2,007	1,080	1,125	1,968	1,085	1,168	2,185	104	98	92
York County, PA	1,550	1,647	1,911	1,358	1,558	1,931	1,600	1,725	1,950	97	95	98
Salt Lake County, UT	1,480	1,745	1,888	1,500	1,522	1,875	2,400	1,930	1,960	62	90	96
Oklahoma County, OK	2,136	2,425	1,883	2,100	2,300	1,863	2,410	2,580	3,000	89	94	63

Note: Jurisdictions are ordered by their average daily population in 2001. -- Not available.

^aNumber of inmates held in jail facilities. Totals for 1999 include estimates for Davidson County, TN, and Franklin County, OH.

^bBased on the average daily population for the year ending June 30. The average daily population is the sum of the number of inmates in jail each day for a year, divided by the number of days in the year.

^cRated capacity is the number of beds or inmates assigned by a rating official to facilities within each jurisdiction.

^dThe number of inmates divided by the rated capacity multiplied by 100.

^eFigures for 1999 and 2000 have been updated to include Marion County Jail II - CCA.

An estimated 12% of black males in their twenties and early thirties were in prison or jail in 2001

When total incarceration rates are estimated separately by age group, black males in their twenties and thirties are found to have high rates relative to other groups. Among the more than 1.96 million offenders incarcerated on June 30, 2001, an estimated 601,800 were black males between the ages of 20 and 39 (table 14).

Expressed in terms of percentages, 13.4% of black non-Hispanic males age 25 to 29 were in prison or jail, compared to 4.1% of Hispanic males and about 1.8% of white males in the same age group (table 15).

Although incarceration rates drop with age, the percentage of black males age 45 to 54 in prison or jail in 2001 was an estimated 3.4% — nearly twice the highest rate (1.9%) among white males (age 30 to 34).

Female incarceration rates, though significantly lower than male rates at every age, reveal similar racial and ethnic disparities. Black non-Hispanic females (with a prison and jail rate of 380 per 100,000) were 3 times more likely than Hispanic females (119 per 100,000) and 5½ times more likely than white females (67 per 100,000) to be incarcerated in 2001. These differences among white, black, and Hispanic females were consistent across all age groups.

Among black non-Hispanic females, the rate was highest (1,389 per 100,000) among those age 30 to 34. This rate was only slightly lower than the highest rate among white males (1,934 per 100,000).

Black incarceration rate highest in Wisconsin; Hispanic rate highest in New Hampshire

Louisiana led the Nation at midyear 2001 with 1,013 prison and jail inmates per 100,000 State residents, followed by Texas (966) and Georgia (952) (table 16). Maine (222), Minnesota (225), and Vermont (226) held the fewest inmates relative to their State populations.

When incarceration rates by State are estimated separately by gender, race, and Hispanic origin, male rates are found to be 11½ times higher than female rates; black rates 6 times higher than white rates; and Hispanic rates 2 times higher than white rates. The largest differences in incarceration

rates between men and women are in Massachusetts (18 times higher for men) and Maine (17 times higher for men). The largest differences in rates between whites and blacks are in Connecticut, New Jersey, and Minnesota (approximately 13 times higher for blacks), and between whites and Hispanics in Connecticut and Pennsylvania (7 times higher for Hispanics), Massachusetts and North Dakota (6 times higher).

Wisconsin led the Nation with an estimated 4,058 black prison and jail inmates per 100,000 black State residents, followed by Iowa (with 3,302) and Texas (3,287). New Hampshire with 1,747 Hispanic inmates per 100,000 Hispanic residents, Pennsylvania (1,680), and Connecticut (1,434) had the highest Hispanic rates.

Table 14. Number of inmates in State or Federal prisons and local jails, by gender, race, Hispanic origin, and age, June 30, 2001

Age	Number of inmates in State or Federal prisons or local jails							
	Male				Female			
	Total ^a	White ^b	Black ^b	Hispanic	Total ^a	White ^b	Black ^b	Hispanic
Total	1,800,300	684,800	803,400	283,000	161,200	67,700	69,500	19,900
18-19	84,200	27,400	37,800	15,700	4,100	2,000	1,400	500
20-24	326,900	104,700	151,400	61,900	21,000	9,100	7,700	3,800
25-29	340,800	110,300	163,600	59,200	31,300	12,000	13,700	4,100
30-34	339,900	129,900	150,700	53,900	40,100	15,900	19,100	4,200
35-39	296,400	120,300	136,100	38,000	31,800	13,400	14,400	3,300
40-44	195,100	82,200	82,800	27,400	17,300	7,600	7,400	1,900
45-54	160,700	77,600	61,100	20,400	12,100	5,800	4,500	1,600
55 or older	47,400	29,200	12,700	5,100	2,600	1,800	800	200

Note: Based on custody counts from National Prisoners Statistics (NPS-1A), 2001, and Annual Survey of Jails, 2001, and estimates by age from Survey of Inmates in Local Jails, 1996, and Survey of Inmates in State Correctional Facilities, 1997 and Federal Justice Statistics Program (FJSP) for inmates on

September 30, 2000. Estimates were rounded to the nearest 100.
^aIncludes American Indians, Alaska Natives, Asians, Native Hawaiians, and other Pacific Islanders.
^bExcludes Hispanics.

Table 15. Number of inmates in State or Federal prisons and local jails per 100,000 residents, by gender, race, Hispanic origin, and age, June 30, 2001

Age	Number of inmates per 100,000 residents of each group							
	Male				Female			
	Total ^a	White ^b	Black ^b	Hispanic	Total ^a	White ^b	Black ^b	Hispanic
Total	1,318	705	4,848	1,668	113	67	380	119
18-19	1,984	986	6,201	2,439	101	77	236	90
20-24	3,349	1,641	11,232	4,005	225	149	544	270
25-29	3,699	1,821	13,391	4,140	338	200	1,007	303
30-34	3,420	1,934	11,973	3,692	401	238	1,389	313
35-39	2,637	1,511	10,054	2,671	282	169	965	252
40-44	1,719	983	6,356	2,303	151	91	510	164
45-54	882	551	3,351	1,309	64	40	205	99
55 or older	184	138	604	310	8	7	25	8

Note: Based on the latest available estimates of the U.S. resident population for July 1, 2000, from the 1990 census and adjusted for the census undercount.

^aIncludes American Indians, Alaska Natives, Asians, Native Hawaiians, and other Pacific Islanders.
^bExcludes Hispanics.

Table 16. Number of inmates in State prisons and local jails per 100,000 residents, by gender, race, and Hispanic origin, and State, June 30, 2001

Region and jurisdiction	Number of inmates per 100,000 residents in each group					
	All ^a	Male ^b	Female	White ^b	Black ^b	Hispanic ^b
State	639	1,208	105	366	2,209	759
Northeast	491	950	66	201	1,947	1,045
Connecticut	524	1,003	79	190	2,427	1,434
Maine	222	434	25	201	926	518
Massachusetts	359	707	39	206	1,562	1,309
New Hampshire ^c	325	629	42	286	2,649	1,747
New Jersey	503	966	75	161	2,117	693
New York	546	1,060	69	173	1,638	1,021
Pennsylvania	533	1,022	77	244	2,570	1,680
Rhode Island	315	619	40	198	1,672	657
Vermont ^d	226	433	31	218	1,794	270
Midwest	525	993	80	318	2,228	498
Illinois	512	973	76	251	1,889	381
Indiana	545	1,030	85	391	2,236	454
Iowa	376	698	65	284	3,302	816
Kansas	489	916	73	345	2,469	515
Michigan	644	1,238	79	369	2,247	568
Minnesota ^c	225	425	34	139	1,755	474
Missouri	623	1,179	104	430	2,160	481
Nebraska	349	646	61	229	1,973	803
North Dakota	265	480	44	189	1,321	1,214
Ohio	558	1,059	88	324	2,279	560
South Dakota	501	896	115	385	2,022	700
Wisconsin ^c	605	1,131	99	350	4,058	974
South	790	1,497	136	453	2,205	593
Alabama	792	1,512	125	417	1,877	276
Arkansas	597	1,125	102	393	1,759	333
Delaware ^c	895	1,700	162	427	2,799	807
District of Columbia	963	1,965	71	52	1,504	103
Florida	772	1,481	136	536	2,591	235
Georgia	952	1,823	154	519	2,149	290
Kentucky	569	1,070	97	429	2,392	517
Louisiana ^d	1,013	1,913	167	379	2,251	966
Maryland ^d	657	1,281	93	248	1,686	589
Mississippi	852	1,619	144	399	1,645	516
North Carolina ^c	560	1,079	79	265	1,612	395
Oklahoma	812	1,472	179	644	2,980	575
South Carolina ^c	756	1,456	113	349	1,740	297
Tennessee	647	1,211	124	392	1,991	363
Texas	966	1,808	180	640	3,287	800
Virginia	720	1,356	130	361	2,268	242
West Virginia	339	630	61	294	1,708	371
West	636	1,184	116	456	2,685	840
Alaska	667	1,207	107	464	1,864	439
Arizona	720	1,358	134	544	2,849	1,003
California	697	1,302	123	470	2,757	827
Colorado	597	1,109	111	394	2,751	1,069
Hawaii	416	750	87	455	609	215
Idaho	613	1,145	103	551	1,573	1,311
Montana	468	845	97	417	2,118	691
Nevada	734	1,369	156	646	2,769	587
New Mexico	605	1,113	120	344	2,666	819
Oregon	498	930	87	458	2,763	645
Utah	424	770	91	372	2,341	795
Washington ^c	457	841	91	374	2,141	748
Wyoming	521	930	109	443	2,477	1,049

^aBased on the estimated number of U.S. residents on July 1, 2001, using the 2000 Census of Population and Housing totals and adjusting for population change since April 2000.

^bBased on the number of U.S. residents by gender, race, and Hispanic origin on April 1, 2000, as enumerated in the 2000 Census of Population and Housing.

^cReported State prison custody counts for whites and blacks were adjusted to exclude Hispanics. (See *Methodology*.)

^dState prison custody counts for Hispanics were estimated. (See *Methodology*.)

Methodology

National Prisoner Statistics (NPS)

The Bureau of Justice Statistics, with the U.S. Census Bureau as its collection agent, obtains yearend and midyear counts of prisoners from departments of correction in each of the 50 States, the District of Columbia, and the Federal Bureau of Prisons.

In an effort to collect comparable data from all jurisdictions, NPS distinguishes between prisoners in *custody* from those under *jurisdiction*. To have custody of a prisoner, a State must hold that person in one of its facilities. To have jurisdiction, a State has legal authority over the prisoner. Prisoners under a State's jurisdiction may be in the custody of a local jail, another State's prison, or other correctional facility such as a privately operated institution. Some States are unable to provide both custody and jurisdiction counts. (See *National Prisoner Statistics jurisdiction notes*.)

Excluded from NPS counts are persons confined in locally administered confinement facilities who are under the jurisdiction of local authorities. NPS counts include all inmates in State-operated facilities in Alaska, Connecticut, Delaware, Hawaii, Rhode Island, and Vermont, which have combined jail-prison systems.

Annual Survey of Jails, 2001

In each of the years between the full censuses, a sample survey of jails is conducted to estimate baseline characteristics of the Nation's jails and the inmates housed in these jails.

Based on information from the *1999 Census of Jails*, a sample of jail jurisdictions was selected for the 2001 survey. A jurisdiction is a county (parish in Louisiana) or municipal government that administers one or more local jails. The sample included all jail facilities (948) in 878 jurisdictions.

In drawing the sample, all multi-jurisdictional (47) jails were included in the sample with certainty. These jails are operated jointly by two or more jurisdictions. Other jurisdictions (357) were included automatically in the sample if their jails held juvenile inmates on census day and had an average daily population of 250 or more inmates, or if their jails held only adults and had an average daily population of 500 or more.

The remaining jurisdictions were stratified into two groups: jurisdictions with jails holding at least one juvenile on June 30, 1999, and jurisdictions with jails holding adults only. Using stratified probability sampling, 474 jurisdictions were then selected from 10 strata based on the average daily population in the 1999 census.

Data were obtained by mailed and web-based survey questionnaires. After follow-up phone calls to respondents, the response rate for the survey was 100% for critical items such as rated capacity, average daily population, and number of inmates confined.

Survey estimates have an associated sampling error because not all jurisdictions were contacted for the survey. Different samples could yield somewhat different results. Standard error is a measure of the variation among the estimates from all possible samples, stating the precision with which an estimate from a particular sample approximates the average of all possible samples. The estimated relative sampling error for the total number of persons under the

Appendix table 1. Standard error estimates for the Annual Survey of Jails, 2001

Characteristic	Survey estimates	Standard error	Relative standard error (percent)
Total	702,044	3,322	0.47%
Held in jail	631,240	2,721	0.43
Supervised outside a jail facility	70,804	1,603	2.26
Excluding weekenders	56,422	1,540	2.73
Weekenders	14,381	468	3.25
Average daily population	625,966	2,648	0.42
Rated capacity	699,309	4,043	0.58

*Detail may not sum to total due to rounding.

jurisdiction of jail authorities of 702,044 on June 29, 2001, was 0.47%; for persons held in the custody of jail authorities of 631,240 was 0.43%. (See appendix tables 1 and 2, below.)

Estimating incarceration rates by gender, race and Hispanic origin

The number of prison and jail inmates by State was estimated for men, women, whites, blacks, and Hispanics. Estimates for midyear 2001 were produced by combining custody data from the National Prisoners Statistics (NPS1-A) and from the 1999 Census of Jails. The following procedures were used:

1. Jail custody counts by State were estimated for 2001 using the certainty jurisdictions in the 2000 and 2001 Annual Survey of Jails. These jurisdictions (covering 71% of all inmates) provide estimates of growth in 41 of the 45 States and the District of Columbia that operate local jails. In States without certainty jails regional growth rates were applied.
2. Estimates by gender were calculated by multiplying the gender distribution in 1999 by the 2001 State jail totals

and then adjusting for the increase in percent female in 2001. The jail estimates were then added to prison custody counts (including inmates held in private facilities).

3. Jail counts by race and Hispanic origin for 2001 were estimated using the totals aggregated by State in 1999, converting them to percentages, and multiplying by the 2001 State totals. The estimates were then adjusted for the changes in race/Hispanic origin since 1999.

4. Estimates of prisoners by race and Hispanic origin were obtained by estimating Hispanic counts in States reporting race counts only. The revised distributions by race/Hispanic origin were converted to percents and multiplied by the custody counts in 2001.

5. Incarceration rates were calculated by dividing the inmate estimates for each group by the latest available resident population data. For all inmates, State resident population figures were available for July 1, 2001. For rates by gender, race, and Hispanic origin, State population data were based on the 2000 Census as enumerated on April 1, 2000.

Appendix table 2. Standard error estimates by selected characteristic, Annual Survey of Jails, 2001

Characteristic	Total*	Survey estimates	Standard error	Relative standard error (percent)
Gender				
Male	558,110	558,110	2,458	0.44%
Female	73,130	73,130	537	0.73
Adults				
	623,628	623,628	2,724	0.44%
Juveniles				
Held as adults	7,613	7,613	245	3.22%
Held as juveniles	6,757	6,757	660	9.77
	856	856	666	77.81
Race/Hispanic origin^a				
White, non-Hispanic	271,700	249,913	2,772	1.11%
Black, non-Hispanic	256,200	235,645	2,108	0.89
Hispanic	93,000	85,579	1,133	1.32
Other ^b	10,300	9,512	509	5.35
Conviction status (adults)				
Awaiting trial or in other unconvicted category				
	364,900	339,461	2,440	0.72%
Convicted				
	258,700	240,916	2,141	0.89

*Total estimates were based on reported data adjusted for non-response. Detail may not sum to total due to rounding.
^aExcludes persons of unknown race or Hispanic origin.
^bIncludes American Indians, Alaska Natives, Asians, and Pacific Islanders.

National Prisoner Statistics jurisdiction notes

Alabama — Counts are for September 29, 2000, and June 30, 2001.

Alaska — Prisons and jails form one integrated system. All NPS data include jail and prison populations. Jurisdiction counts exclude inmates held in local jails that are operated by communities.

Arizona — Counts are based on custody data.

California — Jurisdiction counts include felons and unsentenced inmates temporarily housed in local jails or in hospitals.

Colorado — Counts include 2,152 inmates in private facilities under contract to local jails and 271 inmates in the Youthful Offender System, which was established primarily for violent juvenile offenders. Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year or less.

Connecticut — Prisons and jails form one integrated system. All NPS data include jail and prison populations. Counts exclude inmates in halfway houses (729).

Delaware — Prisons and jails form one integrated system. All NPS data include jail and prison populations. Racial categories include 301 inmates of Hispanic origin.

District of Columbia — Prisons and jails form one integrated system. All NPS data include jail and prison populations. Counts exclude inmates held in the Federal system as a result of the ongoing transfer of responsibility for sentenced felons. Custody counts exclude 1,635 jail inmates included in the 2001 Annual Survey of Jails.

Federal — Custody counts include inmates housed in privately operated secure facilities under contract with BOP or with a State or local government that has an intergovernmental agreement. Custody counts exclude offenders under home confinement.

Florida — Counts are based on custody data.

Georgia — Counts are based on custody data.

Hawaii — Prisons and jails form one integrated system. All NPS data include jail and prison populations.

Illinois — Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year.

Iowa — Counts are based on custody data.

Kansas — Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year or less.

Louisiana — Data system does not include Hispanic origin.

Maryland — Counts by sentence length are estimates extracted from actual sentence length breakdowns from automated data and applied to totals based on manual data. Data system does not include Hispanic origin.

Massachusetts — Counts are for July 1, 2001. Jurisdiction counts exclude approximately 6,200 male inmates in the county system (local jails and houses of correction) serving a sentence of over 1 year. These male inmates are included in Massachusetts' incarceration rate. By law offenders may be sentenced to terms up to 2½ years in locally operated jails and correctional institutions.

Michigan — Jurisdiction counts exclude inmates who are out to court and inmates housed in local jails awaiting return to prison.

Minnesota — Racial categories include 330 inmates of Hispanic origin.

Mississippi — Jurisdiction counts for midyear 2000 were revised to include inmates in Department of Corrections Community Corrections Programs (earned release supervision, intensive supervision, and medical releases).

New Hampshire — Racial categories include 107 inmates of Hispanic origin.

New Jersey — Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year.

North Carolina — Counts by sentence length are estimates.

Ohio — Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year or less.

Oklahoma — Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year or less.

Oregon — Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year or less.

Pennsylvania — Inmates in contracted group homes were included in custody counts in 2000 but reported as held in private facilities in 2001.

Rhode Island — Prisons and jails form one integrated system. All NPS data include jail and prison populations.

Tennessee — Jurisdiction and custody counts for June 30, 1999, were revised to reflect NPS definitions.

Texas — Jurisdiction counts include inmates serving time in a pre-parole transfer (PPT) or intermediary sanctions facility (SAFPF), temporary releases to counties, and "paper ready" inmates in local jails. Counts of inmates with sentences of more than 1 year include an undetermined number with a sentence of 1 year or less.

Vermont — Prisons and jails form an integrated system. All NPS data include jail and prison populations. Inmates of Hispanic origin were reported in racial categories only.

Washington — Racial categories include 1,816 inmates of Hispanic origin.

Wisconsin — Custody counts exclude inmates held in non-Wisconsin DOC facilities under contract. Counts for June 30 and December 31, 2000,

This report in portable document format and in ASCII, its tables, and related statistical data are available at the BJS World Wide Web Internet site:
<http://www.ojp.usdoj.gov/bjs/>

have been revised as a result of data cleansing efforts during 2001. Racial categories include 1,126 inmates of Hispanic origin.

The Bureau of Justice Statistics is the statistical agency of the U.S. Department of Justice. Lawrence A. Greenfeld is acting director.

BJS Bulletins present the first release of findings from permanent data collection programs such as the National Prisoner Statistics program and the Annual Survey of Jails.

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Probation and Parole in the United States, 2001

By Lauren E. Glaze
BJS Statistician

The total Federal, State, and local adult correctional population — incarcerated or in the community — grew by 147,700 during 2001 to reach a new high of nearly 6.6 million. About 3.1% of the U.S. adult population, or 1 in every 32 adults, were incarcerated or on probation or parole at yearend 2001.

A total of 3,932,751 adult men and women were on probation at yearend 2001, representing a growth of 2.8% during the year. The adult parole population grew 1.0%, rising to a total of 731,147 by December 31, 2001. Since 1995 the parole population has been the slowest growing correctional population, up 1.2% per year, compared to jails (up 3.7% annually) prisons (up 3.6% annually), and probation (up 3.4% annually).

Persons under adult correctional supervision, 1990, 1995-2002

Year	Total estimated correctional population ^a	Community supervision		Incarceration	
		Probation	Parole	Jail	Prison
1990	4,350,300	2,670,234	531,407	405,320	743,382
1995	5,342,900	3,077,861	679,421	507,044	1,078,542
1996	5,490,700	3,164,996	679,733	518,492	1,127,528
1997 ^b	5,734,900	3,296,513	694,787	567,079	1,176,564
1998 ^b	6,134,200	3,670,441	696,385	592,462	1,224,469
1999 ^b	6,340,800	3,779,922	714,457	605,943	1,287,172
2000	6,445,100	3,826,209	723,898	621,149	1,316,333
2001	6,592,800	3,932,751	731,147	631,240	1,330,980
Percent change 2000-01	2.3%	2.8%	1.0%	1.6%	1.1%
Average annual percent change 1995-2001	3.6%	3.4%	1.2%	3.7%	3.6%

Note: Counts are for December 31, except for jail counts, which are for June 30. Jail and prison counts include inmates held in private facilities. Totals in 1998 through 2001 exclude probationers held in jail or prison.

^aBecause some offenders may have multiple statuses, totals were rounded to the nearest 100.

^bCoverage of probation agencies was expanded. For counts based on the same reporting agencies, use 3,266,837 in 1997 (to compare with 1996); 3,417,613 in 1998 (to compare with 1997); and 3,773,624 in 1999 (to compare with 1998). The average annual percent change was adjusted for the change in coverage.

Highlights

Probation —

- The adult probation population grew 2.8% in 2001, an increase of 106,542 probationers, less than the average annual growth of 3.4% since 1995.
- 53% of all probationers had been convicted of a felony, 45% of a misdemeanor, and 1% of other infractions. Twenty-five percent were on probation for a drug law violation, and 18% for driving while intoxicated.
- Four States had an increase of 10% or more in their probation population in 2001, led by Maine (up 15%) and Colorado, Kentucky, and Virginia (all up 12%). The adult probation population decreased in 17 States, led by Nevada with the only double-digit decrease (down 14%).
- Idaho had the highest rate of probationers per 100,000 residents, 3,747; New Hampshire had the lowest, 385.

Parole —

- Overall, the Nation's parole population grew by about 7,250 in 2001, or 1.0%.
- Mandatory releases from prison as a result of a sentencing statute or good-time provision comprised 55% of those entering parole in 2001; in 1995 they were 45%.
- A total of 11 States had double-digit increases in their parole population in 2001. Two States had a parole population increase of 20% or more: Oklahoma, up 87%, and Idaho, up 20%.
- Seventeen States had a decrease in their parole population. Two States — West Virginia (down 16%) and North Carolina (down 12%) — had a decrease of more than 10%.

Over 4.6 million adult men and women were on probation or parole

At yearend 2001 the number of adult men and women in the United States who were being supervised in the community reached a record high 4,663,898, up from 3,757,282 on December 31, 1995. These data were collected in the 2001 Annual Probation Survey and the 2001 Annual Parole Survey conducted by the Bureau of Justice Statistics (BJS).

In 2001 the number of adults under supervision in the community increased 2.5%, which was less than the average annual increase of 3.7% since 1995.

The total adult correctional population, including those incarcerated and those being supervised in the community, reached a new high of 6,592,800 at the end of 2001. At yearend 2001, 3.1%, or about 1 in every 32 adults in the United States, were in State or Federal prisons, local jails, or under the supervision of probation or parole authorities, up from 2.7% in 1995.

Texas and California led the Nation in number of adults supervised in the community

More than 1 million persons being supervised in the community in 2001, or about 1 in 5 probationers and parolees, were in Texas and California (table 1). Texas led the Nation with 551,372 persons on probation or parole, followed by California with 468,672.

Washington and Texas led the Nation with the largest percentage of its adult population under community supervision (each with 3.6% at yearend 2001), followed by Delaware (3.4%). California's community supervision rate of 1.9% was about half that of Texas.

Twelve States reported that fewer than 1% of their adult populations were on probation or parole. New Hampshire had the lowest rate of supervision in the community (486 offenders per 100,000 adults).

Number under supervision
per 100,000 adult residents

New Hampshire	486
West Virginia	508
North Dakota	638
Virginia	784
Mississippi	827
Kentucky	885
Utah	891
Maine	909
New Mexico	914
Nevada	936
Kansas	971
Massachusetts	980

4 States reported an increase of 10% or more in their probation population

Maine reported an increase of 15% in the number of adults on probation during 2001. Colorado, Virginia, and Kentucky (each up 12%) also reported an increase of at least 10% in their adult probation populations.

Seventeen States had fewer adults on probation at the end of 2001 than at the beginning of the year, led by Nevada, down 14%, the only double-digit decrease during 2001 (table 2).

Table 1. Community corrections among the States, yearend 2001

10 States with the largest 2001 community corrections populations	Number supervised	10 States with the largest percent increase	Percent increase, 2000-01	10 States with the highest rates of supervision, 2001	Persons supervised per 100,000 adult U.S. residents*	10 States with the lowest rates of supervision, 2001	Persons supervised per 100,000 adult U.S. residents*
Probation:							
Texas	443,684	Maine	14.8%	Idaho	3,747	New Hampshire	385
California	350,768	Colorado	12.1	Washington	3,551	West Virginia	441
Florida	294,626	Kentucky	12.1	Delaware	3,321	North Dakota	613
New York	196,835	Virginia	11.6	Minnesota	3,081	Nevada	654
Ohio	195,403	Wyoming	8.8	Rhode Island	3,049	Utah	667
Michigan	176,406	South Dakota	5.9	Texas	2,873	Virginia	694
Washington	159,119	Arizona	5.5	Indiana	2,481	Kentucky	716
Illinois	141,508	Utah	5.4	Michigan	2,385	Mississippi	741
New Jersey	132,846	New York	5.3	Florida	2,304	Kansas	769
Pennsylvania	125,928	Missouri	4.6	Ohio	2,302	New Mexico	782
Parole:							
California	117,904	Oklahoma	86.6%	Pennsylvania	921	Maine	3
Texas	107,688	Idaho	19.7	Louisiana	719	Washington	3
Pennsylvania	86,238	Arkansas	19.0	Oregon	713	North Dakota	25
New York	56,719	Montana	14.3	Texas	697	Nebraska	42
Illinois	30,157	Connecticut	13.8	Arkansas	512	Rhode Island	46
Louisiana	23,330	Rhode Island	13.3	California	467	Florida	46
Georgia	20,809	Kentucky	12.7	New York	396	North Carolina	47
Oregon	18,761	Mississippi	12.0	Georgia	335	West Virginia	67
Ohio	17,885	Nevada	11.4	Maryland	333	Massachusetts	76
Michigan	16,501	Nebraska	11.3	Illinois	326	Connecticut	82

Note: This table excludes the District of Columbia, a wholly urban jurisdiction, and Georgia probation counts, which included case-based counts for private agencies.

*Rates are computed using the estimated U.S. adult resident population on July 1, 2001.

106,542 probationers added in 2001

During 2001 the probation population grew 106,500, an increase of 2.8% (table 3). This was more than double the annual increase recorded in 2000 (46,287) and slightly lower than the average increase since 1995 (up 113,148 per year).

At yearend 2001 the probation supervision rate totaled 1,849 probationers per 100,000 adult U.S. residents — the equivalent of 1 in every 54 adults. Idaho with 3,747 probationers per 100,000 adult State residents had the highest rate of probation supervision; New Hampshire (with 385 per 100,000) had the lowest.

More than 2.1 million adults entered probation supervision during 2001, an increase of over 78,500 probation entries from 2000. Since 1995 the annual number of entries to probation has risen by 34%, an increase of more than 532,000.

	Entries to probation supervision
1995	1,578,182
1996	1,651,544
1997	1,725,431
1998	1,771,952
1999	2,041,167
2000	2,032,089
2001	2,110,550

Table 3. Change in the number of adults on probation, 1995-2001		
Year	Annual increase	
	Number	Percent change
1995	96,839	3.2%
1996	87,135	2.8
1997	101,841	3.2
1998 ^a	121,100	3.7
1999 ^a	109,481	3.0
2000	46,287	1.2
2001	106,542	2.8
Total increase, 1995-2001 ^b	854,890	27.8%
Average annual increase, 1995-2001 ^c	113,148	3.4%

^aSurvey coverage was expanded to include 186 additional agencies in 1998 and 1999. Annual increases reflect comparable reporting agencies in each year.
^bBased on the overall survey counts in 1995 and 2001.
^cBased on comparable reporting agencies, excluding 176,005 probationers in 2001 who were in agencies added since 1995.

Table 2. Adults on probation, 2001

Region and jurisdiction	Probation population, 1/1/01	2001		Probation population, 12/31/01	Percent change, 2001	Number on probation per 100,000 adult residents, 12/31/01
		Entries	Exits			
U.S. total	3,826,209	2,110,550	1,999,164	3,932,751	2.8%	1,849
Federal	31,669	13,828	13,893	31,561	-0.3%	15
State	3,794,540	2,096,722	1,985,271	3,901,190	2.8	1,834
Northeast	573,280	232,600	209,691	596,189	4.0%	1,462
Connecticut	47,636	22,752	20,556	49,832	4.6	1,928
Maine	7,788	7,179	6,028	8,939	14.8	906
Massachusetts	45,233	39,871	40,985	44,119	-2.5	904
New Hampshire ^{a,b}	3,629	2,798	2,762	3,665	1.0	385
New Jersey	130,610	55,010	52,774	132,846	1.7	2,075
New York	186,955	43,199	33,319	196,835	5.3	1,374
Pennsylvania ^b	121,176	48,245	43,493	125,928	3.9	1,344
Rhode Island ^a	20,922	8,482	4,645	24,759	--	3,049
Vermont	9,331	5,063	5,128	9,266	-0.7	1,988
Midwest	896,061	569,740	550,868	914,606	2.1%	1,903
Illinois	139,029	62,911	60,432	141,508	1.8	1,532
Indiana	109,251	90,845	87,395	112,701	3.2	2,481
Iowa	21,147	18,870	19,220	20,797	-1.7	950
Kansas	15,992	21,338	22,080	15,250	-4.6	769
Michigan ^b	170,276	118,999	112,536	176,406	3.6	2,385
Minnesota	115,906	62,194	64,487	113,613	-2.0	3,081
Missouri	53,299	25,741	23,273	55,767	4.6	1,327
Nebraska	21,483	14,570	15,206	20,847	-3.0	1,651
North Dakota	2,847	1,782	1,728	2,901	1.9	613
Ohio ^b	189,375	123,269	117,247	195,403	3.2	2,302
South Dakota	4,214	3,404	3,156	4,462	5.9	805
Wisconsin	53,242	25,817	24,108	54,951	3.2	1,362
South	1,573,215	921,288	874,971	1,616,358	2.7%	2,117
Alabama	40,178	16,019	15,580	40,617	1.1	1,215
Arkansas	28,409	11,308	13,159	26,558	-6.5	1,319
Delaware	20,052	11,792	11,849	19,995	-0.3	3,321
District of Columbia	10,664	8,542	8,738	10,468	-1.8	2,291
Florida ^b	296,139	245,593	244,827	294,626	-0.5	2,304
Georgia ^{b,d}	321,407	203,155	166,532	358,030	--	--
Kentucky	19,620	11,255	8,884	21,993	12.1	716
Louisiana	35,854	11,857	11,967	35,744	-0.3	1,101
Maryland	81,523	42,602	43,417	80,708	-1.0	2,006
Mississippi	15,118	8,074	7,757	15,435	2.1	741
North Carolina	105,949	61,596	56,869	110,676	4.5	1,776
Oklahoma ^{a,b}	30,969	15,086	15,786	30,269	-2.3	1,179
South Carolina	44,632	14,815	17,039	42,408	-5.0	1,388
Tennessee	40,682	24,374	23,070	41,089	1.0	946
Texas	441,848	202,476	200,640	443,684	0.4	2,873
Virginia	33,955	29,642	25,715	37,882	11.6	694
West Virginia ^b	6,216	3,102	3,142	6,176	-0.6	441
West	751,984	373,094	349,741	774,037	2.9%	1,630
Alaska	4,779	908	832	4,855	1.6	1,091
Arizona	59,810	39,464	36,192	63,082	5.5	1,598
California ^a	343,145	157,440	149,817	350,768	2.2	1,388
Colorado ^b	50,460	29,125	23,018	56,567	12.1	1,702
Hawaii	15,525	5,813	5,757	15,581	0.4	1,675
Idaho ^c	35,103	30,324	29,757	35,670	1.6	3,747
Montana	6,108	3,526	3,376	6,258	2.5	928
Nevada	12,189	5,528	7,263	10,454	-14.2	654
New Mexico	10,461	7,735	6,561	10,335	-1.2	782
Oregon ^a	46,023	17,419	16,902	46,540	1.1	1,770
Utah	9,800	5,036	4,505	10,331	5.4	667
Washington ^b	154,466	68,401	63,748	159,119	3.0	3,551
Wyoming	4,115	2,376	2,014	4,477	8.8	1,223

Note: Because of incomplete data, the population for some jurisdictions on December 31, 2001, does not equal the population on January 1, 2001 plus entries, minus exits.

--Not calculated.

^aAll data were estimated.

^bData for entries and exits were estimated for nonreporting agencies.

^cCounts include estimates for misdemeanors based on annual admissions.

^dCounts include private agency cases and may overstate the number under supervision.

**At yearend 2001, 1 in 5 probationers were women;
1 in 3 were black**

Nationwide, women represented a slightly larger percentage of the probation population in 2001 than in 1990. Women were 22% of adults on probation in 2001 (870,000), up from 18% in 1990.

At yearend 2001 about half of all probationers were white (2,175,600); a third were black (1,228,700); and an eighth were of Hispanic origin (469,800). Persons of other races comprised about 2% of probationers (58,600).

Half of all probationers convicted of a felony; a quarter convicted of a drug law violation

Probationers are criminal offenders who have been sentenced to a period of conditional supervision in the community. At yearend 2001, 53% had been convicted of a felony offense.

More than half of those on probation (54%) had a direct sentence to probation; 25% had received a sentence to incarceration that had been suspended; and 9% had received a split sentence that included incarceration followed by probation. An additional 10% had entered probation before completion of all court proceedings (including those who entered probation before final verdict).

Approximately 3 of every 4 probationers were under active supervision and were required to regularly report to a probation authority in person, by mail, or by telephone. The percent of probationers required to report regularly has dropped steadily, from 83% in 1990 to 79% in 1995 and to 74% in 2001.

At yearend 2001 at least 1 in 10 probationers had absconded — though still on probation, they had failed to report and could not be located. Among all persons on probation, absconders have increased from 6% in 1990 to 10% in 2001.

In 2001, 25% of probationers had a drug law violation; 18% were sentenced for driving while intoxicated or under the influence of alcohol; 7% for minor traffic offenses; and 7% for domestic violence.

More than 3 out of 5 of the nearly 2 million adults discharged from probation in 2001 had successfully met the conditions of their supervision. Approximately 13% of those discharged from probation supervision were incarcerated because of a rule violation or new offense. An additional 3% of those discharged had absconded, and 11% had their probation sentence revoked without incarceration.

Table 4. Characteristics of adults on probation, 1990, 1995, and 2001

Characteristic	1990	1995	2001
Total	100%	100%	100%
Gender			
Male	82%	79%	78%
Female	18	21	22
Race^a			
White	52%	53%	55%
Black	30	31	31
Hispanic	18	14	12
American Indian/ Alaska Native	1	1	1
Asian/Pacific Islander ^b	--	--	1
Status of supervision			
Active	83%	79%	74%
Inactive	9	8	11
Absconded	6	9	10
Supervised out of State	2	2	2
Other	**	2	3
Adults entering probation			
Without incarceration	87%	72%	76%
With incarceration	8	13	17
Other types	5	15	7
Adults leaving probation			
Successful completions	69%	62%	62%
Returned to incarceration	14	21	13
With new sentence	3	5	3
With the same sentence	9	13	7
Unknown	2	3	4
Absconder ^c	7	**	3
Other unsuccessful	2	**	11
Death	--	1	1
Other	7	16	10
Type of offense of adults on probation^d			
Felony	48%	54%	53%
Misdemeanor	52	44	45
Other infractions	1	2	1
Most serious offense			
Driving while intoxicated	21%	16%	18%
Drug law violations	**	**	25
Minor traffic offenses	**	**	7
Domestic violence	**	**	7
Other	79	84	43
Status of probation			
Direct imposition	38%	48%	54%
Split sentence	6	15	9
Sentence suspended	41	26	25
Imposition suspended	14	6	10
Other	1	4	1

Note: For every characteristic there were persons of unknown status or type. Detail may not sum to total because of rounding.
**Not available.

--Less than 0.5%.

^aIn 2001 race/Hispanic origin was collected as a single item.

For comparison, percents were recalculated for prior years.

^bIncludes Native Hawaiians.

^cIn 1995 absconder status was reported among "other."

^dIn 2001 type of offense was limited to three categories. Driving while intoxicated was reported among the most serious offense. For comparison, percents were recalculated for prior years.

Table 5. Adults on parole, 2001

Region and jurisdiction	Parole population, 1/1/01	2001		Parole population, 12/31/01	Percent change, 2001	Number on parole per 100,000 adult residents, 12/31/01
		Entries	Exits			
U.S. total	723,898	473,688	464,666	731,147	1.0%	344
Federal	76,069	28,066	25,586	78,013	2.6%	37
State	647,829	445,622	439,080	653,134	0.8	307
Northeast	159,653	69,416	66,081	162,986	2.1%	400
Connecticut	1,868	1,986	1,728	2,126	13.8	82
Maine	28	1	2	27	-3.6	3
Massachusetts	3,703	3,715	3,698	3,718	0.4	76
New Hampshire ^{a,b}	944	492	483	953	1.0	100
New Jersey	11,709	10,810	10,588	11,931	1.9	186
New York	57,858	25,644	26,783	56,719	-2.0	396
Pennsylvania ^b	82,345	26,015	22,122	86,238	4.7	921
Rhode Island	331	439	395	375	13.3	46
Vermont	867	313	281	899	3.7	193
Midwest	103,331	86,909	85,412	104,828	1.4%	218
Illinois	30,196	33,685	33,724	30,157	-0.1	326
Indiana ^c	4,917	5,734	5,312	5,339	8.6	118
Iowa ^{b,c}	2,763	3,019	2,706	3,076	11.3	141
Kansas ^c	3,829	4,492	4,330	3,991	4.2	201
Michigan	15,753	9,998	9,250	16,501	4.7	223
Minnesota	3,072	3,515	3,431	3,156	2.7	86
Missouri	12,563	8,479	8,178	12,864	2.4	306
Nebraska	476	699	645	530	11.3	42
North Dakota	110	240	234	116	5.5	25
Ohio	18,248	10,567	10,930	17,885	-2.0	211
South Dakota ^a	1,481	937	886	1,532	3.4	277
Wisconsin	9,923	5,544	5,786	9,681	-2.4	240
South	225,955	102,933	104,277	223,416	-1.1%	293
Alabama	5,484	2,403	2,224	5,663	3.3	169
Arkansas	8,659	7,928	6,286	10,301	19.0	512
Delaware	579	123	172	530	-8.5	88
District of Columbia	5,332	2,272	3,151	4,453	--	974
Florida	5,982	4,674	4,456	5,891	-1.5	46
Georgia	21,556	9,975	10,223	20,809	-3.5	335
Kentucky	4,614	2,896	2,308	5,202	12.7	169
Louisiana	22,860	13,814	13,344	23,330	2.1	719
Maryland	13,666	7,871	8,122	13,415	-1.8	333
Mississippi ^c	1,596	841	649	1,788	12.0	86
North Carolina	3,352	3,684	4,082	2,954	-11.9	47
Oklahoma ^a	1,825	2,314	733	3,406	86.6	133
South Carolina	4,378	1,132	1,410	4,100	-6.3	134
Tennessee	8,093	3,765	3,397	8,074	-0.2	186
Texas ^a	111,719	35,289	39,320	107,688	-3.6	697
Virginia	5,148	3,457	3,732	4,873	-5.3	89
West Virginia	1,112	495	668	939	-15.6	67
West	158,890	186,364	183,310	161,904	1.9%	341
Alaska	525	311	314	522	-0.6	117
Arizona ^c	3,474	6,737	6,675	3,536	1.8	96
California ^c	117,647	156,267	156,132	117,904	0.2	467
Colorado	5,500	4,605	4,372	5,733	4.2	173
Hawaii	2,504	1,028	924	2,608	4.2	280
Idaho	1,409	1,145	868	1,686	19.7	177
Montana ^c	621	582	493	710	14.3	105
Nevada	4,056	2,957	2,494	4,519	11.4	283
New Mexico	1,670	1,744	1,510	1,742	4.3	132
Oregon	17,579	8,046	6,864	18,761	6.7	713
Utah	3,231	2,574	2,334	3,471	7.4	224
Washington ^a	160	13	18	155	-3.1	3
Wyoming	514	355	312	557	8.4	152

Note: Because of incomplete data, the population on December 31, 2001, does not equal the population on January 1, 2001, plus entries, minus exits.

--Not calculated.

^aAll data were estimated.

^bData for entries and exits were estimated for nonreporting agencies.

^cData do not include parolees in one or more of the following categories: absconder, out of State, or inactive.

Parole population up by fewer than 7,500 during 2001

Also serving time in the community at the end of 2001 were 731,147 adults on parole (table 5). Parole is a period of conditional supervised release following a prison term. Prisoners may be released to parole either by a parole board decision or by mandatory conditional release.

The 1.0% growth in parole during 2001 — a net increase of 7,249 parolees — was slightly smaller than the average annual increase of 1.2% in parole since 1995 (table 6). Nearly all parolees had been convicted of a felony (95%).

11 States had double-digit increases in their parole populations; 2 had similar decreases

For the year ending December 31, 2001, 11 States reported an increase of 10% or more in their parole population. Oklahoma led with 87%, followed by two other States with increases of 19% or higher: Idaho (20%) and Arkansas (19%).

A total of 17 States reported a decrease in their adult parole population during 2001. Two States reported double-digit decreases, led by West Virginia (down 16%) and North Carolina (down 12%).

Table 6. Change in the number of adults on parole, 1995-2001

Year	Annual increase	
	Number	Percent change
1995	-10,950	-1.6%
1996	312	0.0
1997	15,054	2.2
1998	1,598	0.2
1999	18,072	2.6
2000	9,441	1.3
2001	7,249	1.0
Total increase, 1995-2001	51,726	7.6%
Average annual increase, 1995-2001	8,621	1.2%

Women accounted for more than 1 of every 8 adults on parole in 2001

About 1 of every 8 adults on parole in 2001 (90,700) were women (table 7). Women represented a larger percentage of the parole population (12%) in 2001 than in 1990 when they were 8%.

More than 2 out of 5 adults on parole on December 31, 2001, (299,400) were black; more than 1 in 3 were white (285,500). Nineteen percent of parolees were Hispanic (136,500). About 2% were of other races (9,800).

Since 1990 discretionary releases to parole have dropped, while mandatory releases have risen

Discretionary releases of prisoners to parole supervision by a parole board have decreased from 59% of adults entering parole in 1990 to 36%, or 161,100, in 2001. Mandatory releases to parole supervision increased from 41% in 1990 to 55% (248,000) in 2001.

At yearend 2001 more than 4 of every 5 parolees were under active supervision and were required to maintain regular contact with the paroling agency. About 7% of parolees were absconders and could not be located.

40% of parolees discharged from supervision were incarcerated

Of the more than 464,500 parolees discharged from supervision in 2001, 46% had successfully met the conditions of their supervision, while 40% had been returned to incarceration either because of a rule violation or new offense. An additional 9% had absconded and 2% had failed to successfully meet the conditions of supervision but were discharged without incarceration.

The success rate among those discharged from parole dropped from 50% in 1990 to 46%; however, the percent incarcerated also dropped (from 46% to 40%). These declines were offset by increases in absconders (from 1% to 9%).

Correctional supervision rate highest in Texas and lowest in New Hampshire

Texas led the Nation at yearend 2001 with 4,818 adults under correctional supervision per 100,000 adult State residents, followed by Idaho (4,786) and Delaware (4,545) (table 8). New Hampshire (924 per 100,000), West Virginia (940), and North Dakota (1,008) had the fewest adults on probation or parole or in prison or jail relative to their State populations.

Offenders on probation or parole represented nearly 71% of all persons under correctional supervision at yearend. The 10 States with the highest rates of correctional supervision were also the 10 States with the highest rates of probation supervision.

10 States with the highest correctional supervision rate	Probation supervision, yearend 2001	
	Rate*	Rank
Texas	2,873	6
Idaho	3,747	1
Delaware	3,321	3
Washington	3,551	2
Minnesota	3,081	4
Michigan	2,385	8
Rhode Island	3,049	5
Indiana	2,481	7
Florida	2,304	9
Ohio	2,302	10

* Number under probation supervision per 100,000 adult State residents.

Except for Texas, with 27% of its correctional population in prison or jail, States with the highest correctional supervision rate had an appreciably lower percentage of their correctional populations incarcerated. Minnesota with the 3,474 persons under supervision per 100,000 adult residents had the lowest percentage incarcerated (8.9% of all persons under supervision).

Table 7. Characteristics of adults on parole, 1990, 1995, and 2001

Characteristic	1990	1995	2001
Total	100%	100%	100%
Gender			
Male	92%	90%	88%
Female	8	10	12
Race^a			
White	36%	34%	39%
Black	46	45	41
Hispanic	18	21	19
American Indian/ Alaska Native	1	1	1
Asian/Pacific Islander*	--	--	1
Status of supervision			
Active	82%	78%	84%
Inactive	6	11	4
Absconded	6	6	7
Supervised out of State	6	4	5
Other	**	--	--
Sentence length			
Less than 1 year	5%	6%	5%
1 year or more	95	94	95
Adults entering parole			
Discretionary parole	59%	50%	36%
Mandatory parole	41	45	55
Reinstatement	**	4	7
Other	**	2	2
Adults leaving parole			
Successful completion	50%	45%	46%
Returned to incarceration	46	41	40
With new sentence	17	12	9
Other	29	29	30
Absconder ^b	1	**	9
Other unsuccessful	1	**	2
Transferred	1	2	1
Death	1	1	1
Other	**	10	1

Note: For every characteristic there were persons of unknown status or type. Detail may not sum to total because of rounding.

**Not available.

--Less than 0.5%.

^aIn 2001 race/Hispanic origin was collected as a single item. For comparison, percents were estimated for prior years.

^bIn 1995 absconder status was reported among "other."

Other States with a low percentage incarcerated included Vermont and Rhode Island (with 12%) and Washington State (with 15%). Mississippi with 60% of its correctional population incarcerated had the highest percentage among States, followed by Virginia (55%) and Nevada (51%).

Table 8. Total under adult correctional supervision and number supervised per 100,000 adult residents, by jurisdiction, yearend 2001

Region and jurisdiction	Total under correctional supervision, 12/31/01	Number on probation or parole ^a	Number in prison or jail	Supervision rate per 100,000 adults ^b	Percent of correctional population incarcerated
U.S. total	6,592,800	4,630,600	1,962,200	3,100	29.8%
Federal	259,400	109,600	149,900	122	57.8%
State	6,333,400	4,521,000	1,812,400	2,978	28.6
Northeast	1,020,800	757,800	262,900	2,503	25.8%
Connecticut	69,500	52,000	17,500	2,688	25.2
Maine	11,800	9,000	2,800	1,197	24.1
Massachusetts	70,500	47,800	22,700	1,444	32.2
New Hampshire	8,800	4,600	4,200	924	47.5
New Jersey	187,400	144,800	42,600	2,927	22.7
New York	355,400	253,600	101,800	2,481	28.6
Pennsylvania	278,700	212,200	66,500	2,975	23.9
Rhode Island	27,200	23,800	3,400	3,344	12.4
Vermont	11,600	10,200	1,400	2,482	12.1
Midwest	1,354,600	1,014,200	340,300	2,819	25.1%
Illinois	234,300	171,700	62,700	2,536	26.7
Indiana	151,600	118,000	33,600	3,339	22.2
Iowa	34,700	23,900	10,800	1,586	31.2
Kansas	32,400	19,200	13,200	1,637	40.7
Michigan	256,900	192,100	64,800	3,473	25.2
Minnesota	128,100	116,800	11,400	3,474	8.9
Missouri	104,100	68,600	35,400	2,476	34.1
Nebraska	27,400	21,400	6,000	2,169	22.0
North Dakota	4,800	3,000	1,700	1,008	36.7
Ohio	272,000	208,900	63,100	3,205	23.2
South Dakota	9,900	6,000	3,900	1,791	39.6
Wisconsin	98,200	64,600	33,600	2,434	34.2
South	2,624,000	1,822,100	801,800	3,437	30.6%
Alabama	81,500	45,200	36,300	2,438	44.6
Arkansas	52,800	36,300	16,400	2,622	31.2
Delaware	27,400	20,500	6,800	4,545	25.0
District of Columbia	17,700	14,900	2,700	3,863	15.5
Florida	424,500	297,400	127,000	3,319	29.9
Georgia	459,200	378,800	80,400	--	--
Kentucky	49,500	27,100	22,300	1,611	45.2
Louisiana	104,400	59,100	45,400	3,218	43.4
Maryland	129,300	94,100	35,200	3,214	27.2
Mississippi	41,000	16,400	24,600	1,969	60.0
North Carolina	160,100	113,600	46,500	2,569	29.0
Oklahoma	61,500	33,700	27,800	2,394	45.2
South Carolina	77,500	46,500	31,000	2,535	40.0
Tennessee	85,100	48,100	37,000	1,959	43.5
Texas	744,200	540,400	203,800	4,818	27.4
Virginia	95,300	42,800	52,500	1,746	55.1
West Virginia	13,200	7,100	6,000	940	45.9
West	1,334,100	926,800	407,300	2,809	30.5%
Alaska	9,800	5,400	4,400	2,210	45.3
Arizona	105,400	66,600	38,800	2,671	36.8
California	704,900	468,700	236,300	2,790	33.5
Colorado	84,400	57,700	26,600	2,539	31.6
Hawaii	23,300	18,200	5,100	2,505	22.0
Idaho	45,600	37,300	8,200	4,786	18.0
Montana	11,400	7,000	4,400	1,684	38.7
Nevada	30,200	14,900	15,300	1,891	50.7
New Mexico	23,000	12,100	11,000	1,744	47.6
Oregon	82,300	64,600	17,600	3,127	21.4
Utah	21,700	12,000	9,600	1,400	44.5
Washington	184,500	157,200	27,300	4,118	14.8
Wyoming	7,600	5,000	2,600	2,074	33.6

Note: Counts are for December 31, 2001, except for jail counts which were for June 29. Jail counts by State were estimated based on the *Census of Jails, 1999*, and the *Annual Survey of Jails, 2000 and 2001*. Because some offenders under supervision may have multiple statuses, counts were rounded to the nearest 100. Detail may not sum to total because of rounding.

--Not calculated.

^aExcludes by State and region 23,355 probationers in jail and 9,962 probationers in prison.

^bBased on the estimated number of adult State residents on July 1, 2001, using the *2000 Census of Population and Housing* and adjusting for population change since April 2000.

Methodology

The Annual Probation and Parole Surveys provide a count of the total number of persons supervised in the community on January 1 and December 31, 2001, and a count of the number entering and leaving supervision during the year. These surveys cover all 50 States, the District of Columbia, and the Federal system.

Data for the Federal system are from the Administrative Office of the U.S. Courts as provided to the BJS Federal Justice Statistics Program.

Because many States update their population counts, the January 1, 2001, numbers may differ from those previously published for December 31, 2000.

Probation

The 2001 Annual Probation Survey was sent to 477 respondents — 36 central State reporters and 441 separate State, county, or court agencies. States with multiple reporters were Alabama (3), Arizona (2), Colorado (9), Florida (44), Georgia (5), Idaho (2), Kentucky (3), Michigan (132), Missouri (2), New Mexico (2), Ohio (190), Oklahoma (3), Tennessee (3), Washington (35), and West Virginia (2).

Since 1997 the survey coverage has been expanded to include 186 additional agencies previously excluded from the survey. At yearend 2001, 176,005 probationers were under the supervision of these agencies. For year-to-year comparisons, use total counts based on the same reporting agencies — 3,266,837 in 1997 to compare with the final 1996 counts; 3,417,613 in 1998 to compare with final 1997; and 3,773,624 in 1999 to compare with final 1998.

Parole

The 2001 Annual Parole Survey was sent to 54 respondents, including 52 central reporters, the California Youth Authority, and 1 municipal agency. States with multiple reporters were Alabama (2) and California (2).

Federal parole as defined here includes supervised release, parole, military parole, special parole, and mandatory release.

The Bureau of Justice Statistics is the statistical agency of the U.S. Department of Justice. Lawrence A. Greenfeld is the director.

BJS Bulletins present the first release of findings from permanent data collection programs such as the Annual Probation and Parole Surveys.

Lauren E. Glaze wrote this report while under the supervision of Allen J. Beck. Jennifer C. Karberg provided statistical verification. Data collection and processing were conducted by Lauren Glaze with assistance from Lara E. Reynolds. Tom Hester edited the report. Jayne Robinson administered final production.

August 2002, NCJ 195669

This report in portable document format and in ASCII, its tables, and related statistical data are available at the BJS World Wide Web Internet site:
<http://www.ojp.usdoj.gov/bjs/>

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Bureau of Justice Statistics Special Report

June 2002, NCJ 193427

Recidivism of Prisoners Released in 1994

By Patrick A. Langan, Ph.D.
David J. Levin, Ph.D.
BJS Statisticians

This study of the rearrest, reconviction, and reincarceration of prisoners tracked 272,111 former inmates for 3 years after their release in 1994. The 272,111 — representing two-thirds of all prisoners released in the United States that year — were discharged from prisons in 15 States:

Arizona	Maryland	North Carolina
California	Michigan	Ohio
Delaware	Minnesota	Oregon
Florida	New Jersey	Texas
Illinois	New York	Virginia

Four measures of recidivism

The study uses four measures of recidivism: rearrest, reconviction, resentence to prison, and return to prison with or without a new sentence. Except where expressly stated otherwise, all four study measures of recidivism —

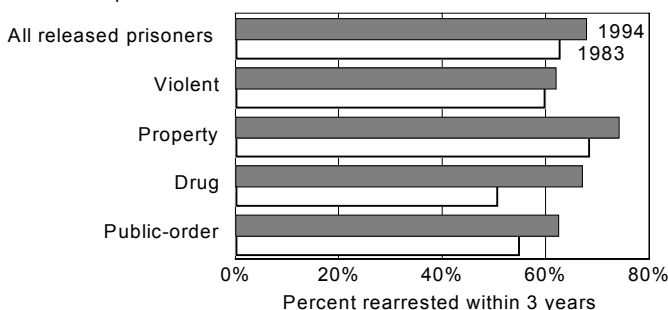
- refer to the 3-year period following the prisoner's release in 1994
- include both "in-State" and "out-of-State" recidivism.

"In-State" recidivism refers to new offenses committed within the State that released the prisoner. "Out-of-State" recidivism refers to new offenses in States other than the one where the prisoner served time.

Highlights

Among nearly 300,000 prisoners released in 15 States in 1994, 67.5% were rearrested within 3 years. A study of 1983 releases estimated 62.5%.

Offense of prisoners released in 1983 and 1994



- Within 3 years from their release in 1994 —

67.5% of the prisoners were rearrested for a new offense (almost exclusively a felony or a serious misdemeanor)

46.9% were reconvicted for a new crime

25.4% were resented to prison for a new crime

51.8% were back in prison, serving time for a new prison sentence or for a technical violation of their release, like failing a drug test, missing an appointment with their parole officer, or being arrested for a new crime.

- Released prisoners with the highest rearrest rates were robbers (70.2%), burglars (74.0%), larcenists (74.6%),

motor vehicle thieves (78.8%), those in prison for possessing or selling stolen property (77.4%), and those in prison for possessing, using, or selling illegal weapons (70.2%).

- Released prisoners with the lowest rearrest rates were those in prison for homicide (40.7%), rape (46.0%), other sexual assault (41.4%), and driving under the influence (51.5%).

- Within 3 years, 2.5% of released rapists were arrested for another rape, and 1.2% of those who had served time for homicide were arrested for homicide.

- The 272,111 offenders discharged in 1994 had accumulated 4.1 million arrest charges before their most recent imprisonment and another 744,000 charges within 3 years of release.

Three of the recidivism measures — rearrest, reconviction, resentence to prison — are based exclusively on official criminal records kept in State and FBI criminal history repositories. One recidivism measure — return to prison with or without a new prison sentence — is formed from a combination of records from criminal history repositories plus prison records kept by State departments of corrections.

More highlights

- Within 3 years of their release in 1994, 61.7% of offenders sentenced for violence were arrested for a new offense, though not necessarily another violent offense. Property offenders had the highest rearrest rate, 73.8%; released drug offenders, 66.7%; and public-order offenders (mostly those in prison for driving while intoxicated or a weapons offense), a 62.2% rate.
- Men were more likely to be rearrested (68.4%) than women (57.6%); blacks (72.9%) more likely than whites (62.7%); non-Hispanics (71.4%) more likely than Hispanics (64.6%); younger prisoners more likely than older ones; and prisoners with longer prior records more likely than those with shorter records.
- An estimated 7.6% of all released prisoners were rearrested for a new crime in a State other than the one that released them. They were charged with committing 55,760 such crimes.
- No evidence was found that spending more time in prison raises the recidivism rate. The evidence was mixed regarding whether serving more time reduces recidivism.

To an unknown extent, recidivism rates based on State and FBI criminal history repositories understate actual levels of recidivism. The police agency making the arrest or the court disposing of the case may fail to send the notifying document to the State or FBI repository. Even if the document is sent, the repository may be unable to match the person in the document to the correct person in the repository or may neglect to enter the new information. For these reasons, studies such as this one that rely on these repositories for complete criminal history information will understate recidivism rates.

Characteristics of the 272,111 released prisoners

Of offenders released from prisons in 15 States in 1994:

- 91.3% were male (table 1)
- 50.4% were white
- 48.5% were black
- 24.5% were Hispanic
- 44.1% were under age 30.

The 272,111 were in prison for a wide variety of offenses, primarily felonies:

- 22.5% for a violent offense (for example, murder, sexual assault, and robbery)
- 33.5% for a property offense (for example, burglary, auto theft, and fraud)
- 32.6% for a drug offense (primarily drug trafficking and possession)
- 9.7% for a public-order offense (roughly 33% driving while intoxicated/driving under the influence, 32% a weapons offense, 8% a traffic offense, 9% a probation violation, and the remainder, such crimes as escape, obstruction of justice, court offense, parole violation, contributing to the delinquency of a minor, bigamy, and habitual offender)

1.7% for some other offense (for example, an unspecified felony or misdemeanor).

Table 1. Profile of prisoners released in 1994 from prisons in 15 States

Characteristic	Percent of released inmates
Gender	
Male	91.3%
Female	8.7
Race	
White	50.4%
Black	48.5
Other	1.1
Ethnicity	
Hispanic	24.5%
Non-Hispanic	75.5
Age at release	
14-17	0.3%
18-24	21.0
25-29	22.8
30-34	22.7
35-39	16.2
40-44	9.4
45 or older	7.6
Offense for which inmate was serving a sentence	
Violent	22.5%
Property	33.5
Drugs	32.6
Public-order	9.7
Other	1.7
Sentence length	
Mean	58.9 mos
Median	48.0 mos
Time served before release	
Mean*	20.3 mos
Median*	13.3 mos
Percent of sentence served before release*	35.2%
Prior arrest	93.1%
Mean number of prior arrests	8.8
Median number	6.0
Prior conviction	81.4%
Mean number	3.8
Median number	3.0
Prior prison sentence	43.6%
Number released in 15 States	272,111

Note: "Prior" does not include the arrest, conviction, or prison sentence for which the 272,111 were in prison in 1994. Calculation of prior conviction excludes Ohio. Calculation of sentence length (defined as total maximum sentence) and time served is based on "first releases" only and excludes Michigan (which reported minimum, not maximum, sentence) and Ohio (which did not report data to identify "first releases").

*Excludes credited jail time.

The average prison sentence length was nearly 5 years. On average, the prisoners were released after serving 35% of their sentence, or about 20 months.

Seventy percent had 5 or more prior arrests (not including the arrest that brought them to prison), and half had 2 or more prior convictions (not including the conviction that resulted in their prison sentence).

For 56.4% of the released prisoners the prison sentence they were serving when released was their first-ever sentence to prison. Almost 44% had served a prior prison sentence.

Recidivism rates at different lengths of time after release

Within the first 6 months of their release, 29.9% of the 272,111 offenders were rearrested for a felony or serious misdemeanor (table 2 and figure 1).

Within the first year the cumulative total grew to 44.1% and within the first 2 years, 59.2%. Within the first 3 years of their release, an estimated 67.5% of the 272,111 released prisoners were rearrested at least once.

The first year is the period when much of the recidivism occurs, accounting for nearly two-thirds of all the recidivism of the first 3 years.

Within the first year of release, an estimated 21.5% of the 272,111 released offenders were reconvicted for a new felony or misdemeanor; within the first 2 years, a combined total of 36.4% were reconvicted; and within the first 3 years, a combined total of 46.9% were reconvicted.

Table 2. Recidivism rates of prisoners released in 1994 from prisons in 15 States, by time after release

Time after release	Cumulative percent of released prisoners who were —		
	Rearrested	Reconvicted ^a	Returned to prison with new sentence ^b
6 months	29.9%	10.6%	5.0%
1 year	44.1	21.5	10.4
2 years	59.2	36.4	18.8
3 years	67.5	46.9	25.4

^aBecause of missing data, prisoners released in Ohio were excluded from the calculation of percent reconvicted.

^b"New prison sentence" includes new sentences to State or Federal prisons but not to local jails. Because of missing data, prisoners released in Ohio and Virginia were excluded from the calculation of "Percent returned to prison with a new prison sentence."

Not all of the reconvicted prisoners were sentenced to another prison term for their new crime. Some were sentenced to confinement in a local jail. Some were sentenced to neither prison nor jail but to probation, which allowed them to remain free in their communities but under the supervision of a probation officer.

Within the first year of release, 10.4% of the 272,111 released prisoners were back in prison as a result of a conviction and prison sentence for a new crime; within the first 2 years, 18.8%; and within the first 3 years, 25.4%.

The number of crimes committed by the 272,111 released prisoners

How many crimes the 272,111 prisoners ever committed — both prior to and following their release — is unknown. The best estimate available from official sources is the volume of criminal charges found in arrest records. The volume of arrest charges is not the same thing as the volume of arrests.

The volume of arrests is the number of different times a person was arrested. The volume of arrest charges is the sum of the charges over all the different times the person was arrested.

Arrest records provide an incomplete measure of actual criminal activity. While people are sometimes arrested for crimes they did not commit, research indicates that offenders commit more crimes than their arrest records show.*

*Alfred Blumstein and others, *Criminal Careers and "Career Criminals,"* vol. 1, Washington, DC: National Academy Press, 1986, p. 55.

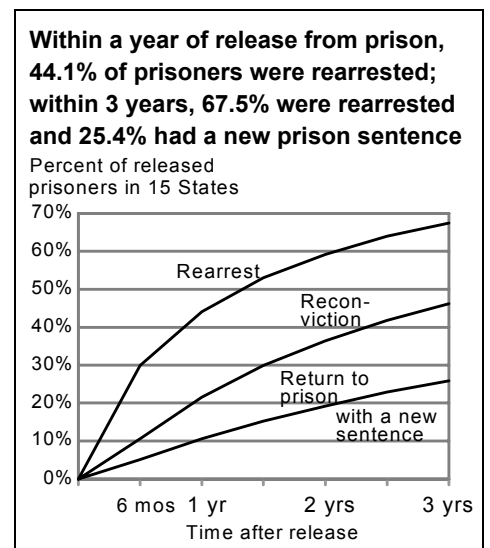


Figure 1

New arrest charges following release from prison

The 67.5% of releases rearrested within 3 years, or 183,675 persons, were charged with 744,480 new crimes, or an average of 4 new crimes each (table 3). Over 100,000 were new charges for a violent crime, including 2,900 new homicides, 2,400 new kidnappings, 2,400 rapes, 3,200 other sexual assaults, 21,200 robberies, 54,600 assaults, and nearly 13,900 other violent crimes.

During the 3-year follow-up period, the released prisoners had new arrest charges for 40,300 burglaries and about 16,000 thefts of motor vehicles. They also had 79,400 new charges for drug possession, 46,200 new charges for drug trafficking, about 26,000 new charges for a weapons offense (such as illegal possession of a firearm), and approximately 5,800 new charges for driving while under the influence of drugs or alcohol.

The 744,480 new charges during the 3-year follow-up period consisted of 688,720 committed in the same State that released the prisoner plus 55,760 committed in other States.

Old arrest charges prior to their release from prison

Prior to entering prison, the 272,111 released prisoners had been arrested for about 4.1 million crimes, as indicated by the number of arrest charges in their criminal history files. The 4.1 million included the arrest charges that brought them to prison, plus all previous charges. Roughly 550,000 of the 4.1 million prior arrest charges were for a violent crime, including 18,000 prior charges for homicide, 10,700 prior charges for kidnapping, 44,400 prior charges for a violent sex offense (21,600 rapes and 22,800 sexual assaults), and 172,300 prior charges for robbery.

Combining new and old arrest charges

Over their adult criminal history (both prior to and following their release) the 272,111 offenders were arrested for nearly 4.9 million offenses altogether: 4.1 million prior to release plus nearly 0.8 million after release. That is an average of about 17.9 charges each.

A small fraction of offenders was responsible for a large number of the 4.9 million crimes. An estimated 6.4% of the prisoners were each charged with 45 or more offenses before and after their release in 1994 (table 4). These high-rate offenders accounted for nearly 14% of all arrest charges.

Table 3. Number of arrest charges for 272,111 State prisoners released in 1994, by type of charge

Arrest charge	Number of arrest charges			
	Prior to release		In first 3 years after release	
	In-State plus out-of-State charges	Out-of-State charges only	In-State plus out-of-State charges	Out-of-State charges only
All offenses	4,132,174	338,877	744,480	55,760
Violent offenses	550,004	42,330	100,531	6,433
Homicide*	18,001	1,267	2,871	180
Kidnaping	10,733	1,124	2,362	151
Rape	21,638	2,165	2,444	181
Other sexual assault	22,778	1,934	3,151	332
Robbery	172,274	14,361	21,245	1,309
Assault	243,654	19,973	54,604	3,846
Other violent	60,926	1,505	13,854	434
Property offenses	1,477,442	120,007	208,451	15,760
Burglary	360,861	31,400	40,303	2,904
Larceny/theft	508,222	46,589	79,158	5,919
Motor vehicle theft	125,239	1,198	15,797	1,198
Arson	6,523	387	758	39
Fraud	141,636	19,905	21,360	2,388
Stolen property	173,731	13,288	21,993	2,082
Other property	161,230	7,240	29,082	1,230
Drug offenses	919,586	43,516	191,347	9,556
Possession	380,117	21,819	79,435	4,255
Trafficking	223,192	10,274	46,220	2,835
Other/unspecified	316,277	11,423	65,692	2,466
Public-order offenses	703,996	76,049	155,751	13,863
Weapons	161,318	11,543	25,647	1,914
Probation/parole violations	13,466	3,119	20,939	874
Traffic offenses	57,571	8,515	13,097	1,288
Driving under the influence	43,123	10,335	5,788	1,526
Other public-order	428,518	42,537	90,280	8,261
Other offenses	82,392	12,198	20,049	3,519
Unknown	398,754	44,777	68,351	6,629

Note: Table is based on 272,111 prisoners released in 1994 in 15 States.

All had at least 1 charge prior to release, and 183,675 (67.5%) also had at least 1 charge after release.

*Homicide includes murder, nonnegligent manslaughter, and negligent manslaughter.

Offenders with 25 or more charges represented nearly 24% of all offenders but about 52% of all charges.

By contrast, released prisoners with fewer than 5 arrest charges represented nearly 14% of all prisoners but

accounted for about 6.4% of the 4.9 million arrest charges.

How many of the 272,111 were ever arrested for violence

Although 22.5% of the 272,111 were released from prison in 1994 following an arrest and conviction for a violent crime, 53.7% of all the prisoners had a prior arrest for violence, and 21.6% were arrested for a violent crime after their release. Altogether, 67.8% of the prisoners released in 1994 had a record of violence.

Nature of violent record	Percent arrested for a violent offense
Prior arrest charge	53.7%
Most serious charge when released	22.5
Arrest charge within 3 years of release	21.6
Ever charged	67.8

Note: "Prior" does not include the arrest that ultimately led to the 272,111 being in prison in 1994.

The 67.8% is less than the sum of three categories — 22.5% in prison for violence plus 53.7% with prior violence plus 21.6% rearrested for violence — because some prisoners were in more than one category.

The fraction of all crimes that released prisoners accounted for

The study cannot measure precisely what fraction of all crime the former prisoners were responsible for during the 3 years following their release. The closest measure is the fraction of all arrests for seven serious crimes (murder, rape, robbery, aggravated assault, burglary, larceny, and motor vehicle theft). The number of "arrests" is not the number of "arrest charges" but the number of different days on which a person was arrested.

In 13 States (because of missing data Florida and Illinois could not be in this analysis) from 1994 to 1997, 234,358 released prisoners accounted for 140,534 arrests (table 5). During the period in the 13 States, 2,994,868 adults were arrested for the 7 serious crimes according to the FBI.

Table 4. Total number of arrest charges for 272,111 State prisoners released in 1994

Total number of arrest charges*	Percent of all released prisoners	Cumulative percent	
		Released prisoners	Arrest charges
45 or more	6.4%	6.4%	13.7%
35-44	5.6	12.0	34.4
25-34	11.9	23.9	52.3
20-24	10.1	34.0	66.1
15-19	13.7	47.7	76.1
10-14	17.9	65.6	88.1
5-9	20.7	86.3	93.6
1-4	13.7	100	100
Total number	272,111	272,111	4,876,654

*Arrest charges include those prior to release and those in the 3 years following release.

Table 5. Percent of adult arrests that prisoners released in 1994 in 13 States accounted for following their release

Year arrested	Arrests in the 13 States for 7 crimes from 1994 to 1997		
	Total	Number accounted for by released prisoners in the 13 States ^a	Percent of all arrests for the 7 crimes that the released prisoners accounted for
Total, 1994-1997	2,994,868	140,534	4.7%
1994 ^b	462,793	28,411	6.1
1995	899,582	43,682	4.9
1996	840,980	34,800	4.1
1997	791,513	33,641	4.3

Note: Number of arrests is based on 234,358 released prisoners. Arrests of these released prisoners in 1997 are counted in the 1997 figures regardless of whether the arrest occurred beyond the 3-year follow-up period.

^aIncludes only arrests in the State in which the prisoner was released. For arrests involving multiple charges, only the most serious charge was counted. The 7 crimes, listed from most to least serious, are: murder (including nonnegligent manslaughter), rape, robbery, aggravated assault, burglary, larceny, and motor vehicle theft.

^bBecause on average there were 6 months of exposure to rearrest, the estimated total number of arrests in 1994 was divided by 2.

Table 6. Percent of adult arrests for 7 crimes that released prisoners in 13 States accounted for, by type of crime and year

Crime arrested for	Year of arrest and percent of adult arrests in 13 States that were arrests of prisoners released in 1994				
	Total 1994-97	1994	1995	1996	1997
Murder and nonnegligent manslaughter	7.7%	10.9%	8.4%	6.5%	5.8%
Rape	4.4	5.4	5.6	3.3	3.6
Robbery	9.0	9.9	9.2	7.5	10.0
Aggravated assault	4.5	4.4	4.6	4.3	4.6
Burglary	7.5	12.4	7.5	6.3	5.7
Larceny/theft	3.2	4.2	3.4	2.8	3.0
Motor vehicle theft	6.2	9.9	6.1	5.6	4.7

Note: For each percentage the numerator is the number of arrests for the crime among prisoners released in 1994 in the 13 States, and the denominator is the estimated total number of adult arrests for the crime in the 13 States. Also, percentages for 1994 were adjusted for the partial-year exposure to rearrest. The number of arrests is based on 234,358 released prisoners. Arrests of these released prisoners in 1997 are counted in the 1997 figures even if the arrest occurred beyond the 3-year follow-up period.

Table 7. Number of out-of-State rearrest charges against prisoners released in 1994 in 14 States, by State where rearrested

State of rearrest	Out-of-State rearrest charges	State of rearrest	Out-of-State rearrest charges
Total	55,760	Nebraska	0
Alabama	573	Nevada	2,288
Alaska	45	New Hampshire	25
Arizona	3,943	New Jersey	424
Arkansas	320	New Mexico	1,040
California	3,819	New York	5,858
Colorado	1,506	North Carolina	284
Connecticut	530	North Dakota	96
Delaware	414	Ohio	1,477
District of Columbia	1,596	Oklahoma	641
Florida	1,101	Oregon	165
Georgia	3,447	Pennsylvania	2,907
Hawaii	209	Rhode Island	17
Idaho	345	South Carolina	2,623
Illinois	1,285	South Dakota	168
Indiana	314	Tennessee	717
Iowa	0	Texas	1,633
Kansas	424	Utah	1,919
Kentucky	923	Vermont	33
Louisiana	945	Virginia	2,152
Maine	19	Washington	2,805
Maryland	1,082	West Virginia	106
Massachusetts	139	Wisconsin	1,713
Michigan	489	Wyoming	128
Minnesota	744	Federal	114
Mississippi	379	Guam	0
Missouri	1,249	Puerto Rico	31
Montana	141	Virgin Islands	9
		Unknown	406

Note: The data pertain just to out-of-State rearrest charges among prisoners released from prisons in 14 States in 1994; charges against New York released prisoners could not be included. Rearrest charges in the same State that had released the prisoner were not included.

Therefore, rearrests of the released prisoners were 4.7% of all arrests for serious crime from 1994 to 1997.

According to arrest records compiled in this study, of the 272,111 prisoners released in 1994, 719 were rearrested for homicide in the 13 States in 1995. The FBI reports that the number of adult arrests for homicide in the 13 States in 1995 was 8,521 altogether. The released prisoners accounted for 8.4% of all the homicides in the 13 States in 1995 (table 6). Similarly, prisoners released in 1994 accounted for 5.4% of all the arrests for rape in the 13 States in 1994 and 9.0% of all the arrests for robbery in the 13 States from 1994 to 1997.

Although these percentages may seem small, they are actually the product of high rates of criminality. For example, to account for the 8.4% of 1995 homicides, the 234,358 released prisoners were arrested for homicide at a rate 53 times higher than the homicide

arrest rate for the adult population.

Note also that the 8.4% does not include homicides by (a) prisoners released in 1995, (b) prisoners released before 1994, or (c) released prisoners who had crossed State lines. The percentage of homicides attributable to released prisoners would be substantially greater if it included persons in categories *a*, *b*, and *c*.

Released prisoners who crossed State lines to commit new crimes

Some released prisoners crossed State lines and committed new crimes. For example, some of the prisoners released in Delaware in 1994 were arrested for new crimes in Pennsylvania in 1995; Oregon released some prisoners in 1994 who were rearrested in 1996 for new crimes in the State of Washington.

For 14 of the 15 States in the study (all but New York), it was possible to determine what fraction of the released prisoners had at least one out-of-State arrest for a new crime. These 14 States account for 241,810 of the 272,111 released prisoners.

Within 3 years following their release, just over 7.6% of the 241,810 — or 18,460 released prisoners — were rearrested for a new crime committed in a State other than the one that released them. The 7.6% consisted of about 3.9% rearrested both in the State that released them and in another State (9,500 persons) plus an additional 3.7% only rearrested in another State (8,960 persons). The 18,460 are distinct from the 144,738 only rearrested in the State that released them.

The 18,460 released prisoners were rearrested for committing a total of 55,760 new crimes outside the State that released them. An estimated 5,858 of the new crimes were committed in New York by prisoners who had been released in the study's 14 other States (table 7). Other States most affected by released prisoners crossing State lines to commit crimes were Arizona (3,943 new crimes by released prisoners from other States in this study), California (3,819), Georgia (3,447), Pennsylvania (2,907), Washington (2,805), South Carolina (2,623), Nevada (2,288), Virginia (2,152), Utah (1,919), Texas (1,633), and the District of Columbia (1,596).

A variety of factors such as large size and proximity to other States in the study explains why States like New York, California, and Arizona stand out. For example, a relatively large number of the new arrests took place in Georgia, which was not in the study. But Georgia is close to two States in the study, North Carolina and Florida.

Table 8. Rate of recidivism of State prisoners released in 1994, by prisoner characteristics

Prisoner characteristic	Percent of all released prisoners	Percent of released prisoners who, within 3 years, were —			
		Re-arrested	Reconvicted ^a	Returned to prison with a new prison sentence ^b	Returned to prison with or without a new prison sentence ^c
All released prisoners	100%	67.5%	46.9%	25.4%	51.8%
Gender					
Male	91.3%	68.4%	47.6%	26.2%	53.0%
Female	8.7	57.6	39.9	17.3	39.4
Race					
White	50.4%	62.7%	43.3%	22.6%	49.9%
Black	48.5	72.9	51.1	28.5	54.2
Other	1.1	55.2	34.2	13.3	49.5
Ethnicity					
Hispanic	24.5%	64.6%	43.9%	24.7%	51.9%
Non-Hispanic	75.5	71.4	50.7	26.8	57.3
Age at release					
14-17	0.3%	82.1%	55.7%	38.6%	56.6%
18-24	21.0	75.4	52.0	30.2	52.0
25-29	22.8	70.5	50.1	26.9	52.5
30-34	22.7	68.8	48.8	25.9	54.8
35-39	16.2	66.2	46.3	24.0	52.0
40-44	9.4	58.4	38.0	18.3	50.0
45 or older	7.6	45.3	29.7	16.9	40.9
Number of released prisoners	272,111	272,111	260,226	254,720	227,788

Note: Data on sex were reported for 100% of 272,111 releases, data on race for 97.6%, Hispanic origin for 81.9%, and age at release for 99.9%.

^aBecause of missing data, prisoners released in 1 State (Ohio) were excluded from the calculation of "Percent reconvicted."

^b"New prison sentence" does include new sentences to State or Federal prisons but does not include sentences to local jails. Because of missing data, prisoners released in 2 States (Ohio and Virginia) were excluded from the calculation of "Percent returned to prison with a new prison sentence."

^c"With or without a new prison sentence" includes both prisoners with new sentences to State or Federal prisons plus prisoners returned for technical violations. Because of missing data, prisoners released from 6 States (Arizona, Delaware, Maryland, New Jersey, Ohio, and Virginia) were excluded from the calculation of "Percent returned to prison with or without a new prison sentence." New York State custody records did not always distinguish prison returns from jail returns. Consequently, some persons received in New York jails were probably mistakenly classified as prison returns. Also, California with a relatively high return-to-prison rate affects the overall rate of 51.8%. When California is excluded, the return-to-prison rate falls to 40.1%.

Overall recidivism rate for the 272,111

Rearrest — An estimated 67.5% of the 272,111 released prisoners were rearrested for a new crime (either a felony or a serious misdemeanor) within 3 years following their release (table 8).

Reconviction — A total of 46.9% were reconvicted in State or Federal court for a new crime (a felony or misdemeanor).

Resentence — Over a quarter — 25.4% — were back in prison as a result of another prison sentence.

Sentences to State or Federal prisons but not to local jails are included in the 25.4%.

Return to prison with or without a new prison sentence — A total of 51.8% were back in prison because they had received another prison sentence or because they had violated a technical condition of their release, such as failing a drug test, missing an appointment with their parole officer, or being rearrested for a new crime. The percentage returned to prison solely for a technical violation, 26.4%, is approximated by taking the difference between the 51.8% and the 25.4%.

Recidivism rate according to demographic characteristics

Gender Men were more likely than women to be —

rearrested (68.4% versus 57.6%)
reconvicted (47.6% versus 39.9%)
resentenced to prison for a new crime (26.2% versus 17.3%)
returned to prison with or without a new prison sentence (53.0% versus 39.4%).

Race Blacks were more likely than whites to be —

rearrested (72.9% versus 62.7%)
reconvicted (51.1% versus 43.3%)
returned to prison with a new prison sentence (28.5% versus 22.6%)
returned to prison with or without a new prison sentence (54.2% versus 49.9%).

Hispanic origin Non-Hispanics were more likely than Hispanics to be —

rearrested (71.4% versus 64.6%)
reconvicted (50.7% versus 43.9%)
returned to prison with or without a new prison sentence (57.3% versus 51.9%).

However, Hispanics (24.7%) and non-Hispanics (26.8%) did not differ significantly in terms of likelihood of being returned to prison with a new prison sentence.

Age The younger the prisoner when released, the higher the rate of recidivism. For example, over 80% of those under age 18 were rearrested, compared to 45.3% of those 45 or older.

What they were in prison for

Of the 272,111 offenders, 1.7% were in prison for homicide (table 9). Following their release, 40.7% of these convicted homicide offenders were rearrested for a new crime (not necessarily a new homicide) within 3 years.

Convicted rapists made up 1.2% of the 272,111, and 46.0% of these released rapists were rearrested within 3 years for some type of felony or serious misdemeanor (not necessarily another violent sex offense).

Table 9. Rate of recidivism of State prisoners released in 1994, by most serious offense for which released

Most serious offense for which released	Percent of all released prisoners	Percent of released prisoners who, within 3 years, were —			
		Re-arrested	Reconvicted ^a	Returned to prison with a new prison sentence ^b	Returned to prison with or without a new prison sentence ^c
All released prisoners	100%	67.5%	46.9%	25.4%	51.8%
Violent offenses	22.5%	61.7%	39.9%	20.4%	48.8%
Homicide	1.7	40.7	20.5	10.8	31.4
Kidnaping	0.4	59.4	37.8	25.1	29.5
Rape	1.2	46.0	27.4	12.6	43.5
Other sexual assault	2.4	41.4	22.3	10.5	36.0
Robbery	9.9	70.2	46.5	25.0	54.7
Assault	6.5	65.1	44.2	21.0	51.2
Other violent	0.4	51.7	29.8	12.7	40.9
Property offenses	33.5%	73.8%	53.4%	30.5%	56.4%
Burglary	15.2	74.0	54.2	30.8	56.1
Larceny/theft	9.7	74.6	55.7	32.6	60.0
Motor vehicle theft	3.5	78.8	54.3	31.3	59.1
Arson	0.5	57.7	41.0	20.1	38.7
Fraud	2.9	66.3	42.1	22.8	45.4
Stolen property	1.4	77.4	57.2	31.8	62.1
Other property	0.3	71.1	47.6	28.5	40.0
Drug offenses	32.6%	66.7%	47.0%	25.2%	49.2%
Possession	7.5	67.5	46.6	23.9	42.6
Trafficking	20.2	64.2	44.0	24.8	46.1
Other/unspecified	4.9	75.5	60.5	28.8	71.8
Public-order offenses	9.7%	62.2%	42.0%	21.6%	48.0%
Weapons	3.1	70.2	46.6	24.3	55.5
Driving under the influence	3.3	51.5	31.7	16.6	43.7
Other public-order	3.3	65.1	48.0	24.4	43.6
Other offenses	1.7%	64.7%	42.1%	20.7%	66.9%

^aBecause of missing data, prisoners released in 1 State (Ohio) were excluded from the calculation of "Percent reconvicted."

^b"New prison sentence" does include new sentences to State or Federal prisons but does not include sentences to local jails. Because of missing data, prisoners released in 2 States (Ohio and Virginia) were excluded from the calculation of "Percent returned to prison with a new prison sentence."

^c"With or without a new prison sentence" includes both prisoners with new sentences to State or Federal prisons plus prisoners returned for technical violations. Because of missing data, prisoners released from 6 States (Arizona, Delaware, Maryland, New Jersey, Ohio, and Virginia) were excluded from the calculation of "Percent returned to prison with or without a new prison sentence." New York State custody records did not always distinguish prison returns from jail returns. Consequently, some persons received in New York jails were probably mistakenly classified as prison returns. Also, California with a relatively high return-to-prison rate affects the overall rate of 51.8%. When California is excluded, the return-to-prison rate falls to 40.1%.

Over a third of the released prisoners had been in prison for a property offense (for example, burglary, auto theft, fraud). Released property offenders had higher recidivism rates than those released for violent, drug, or public-order offenses. An estimated 73.8% of the property offenders released in 1994 were rearrested within 3 years, compared to 61.7% of the violent offenders, 62.2% of the public-order offenders, and 66.7% of the drug offenders. Property offenders also had higher rates of reconviction and

reincarceration than other types of offenders.

Released prisoners with the highest rearrest rates were —

- robbers (70.2%)
- burglars (74.0%)
- larcenists (74.6%)
- motor vehicle thieves (78.8%)
- possessors/sellers of stolen property (77.4%)
- possessors/sellers of illegal weapons (70.2%).

What these high-rate offenders have in common is that they were all in prison for what are generally thought of as crimes for money. By contrast, many of those with the lowest rearrest rates — persons convicted of homicide (40.7%), rapists (46.0%), other sexual assaulters (41.4%), other violent offenders (51.7%), and those convicted of driving under the influence (51.5%) — were in prison for crimes not generally motivated by desire for material gain.

An exception to the pattern was drug traffickers. Their motive often is to make money, yet their rearrest rate (64.2%) was not above average.

What prisoners were rearrested for

Within the first 3 years of the release, of the 272,111 prisoners —

- 21.6% were rearrested for a violent offense
- 31.9%, for a property offense
- 30.3%, for a drug offense
- 28.3%, for a public-order offense (table 10).

These four percentages exceed 67.5% of released prisoners overall because some were rearrested for more than one type of offense. For example, a released Minnesota prisoner was rearrested for receiving stolen property (a property offense) in 1995 and for assault (a violent offense) in 1996. Similarly, a released Delaware prisoner was rearrested for cocaine trafficking (a drug offense) in 1995 and then for aggravated assault (a violent offense) in 1996.

Within the first 3 years of release, of the 272,111 prisoners —

- 0.8% were rearrested for homicide
- 0.6%, for rape
- 13.7%, for assault
- 9.9%, for burglary.

Within 3 years, 2.5% of the 3,138 released rapists were rearrested for another rape, and 1.2% of the 4,443 persons who had served time for homicide were rearrested for a homicide. Among other offenses, the

Table 10. Rearrest rates of State prisoners released in 1994, by most serious offense for which released and charge at rearrest

Rearrest charge	Percent of prisoners rearrested within 3 years of release whose most serious offense at time of release was —												
	All offenses ^a	Violent offense					Property offense						Public-order offense ^g
		Total ^b	Homicide ^c	Rape ^d	Robbery	Assault ^d	Total ^e	Burglary	Larceny/theft	Motor vehicle theft	Fraud	Drug offense ^f	
All charges ^a	67.5 %	61.7 %	40.7 %	46.0 %	70.2 %	65.1 %	73.8 %	74.0 %	74.6 %	78.8 %	66.3 %	66.7 %	62.2 %
Violent offenses^b	21.6 %	27.5 %	16.7 %	18.6 %	29.6 %	31.4 %	21.9 %	21.9 %	22.3 %	26.5 %	14.8 %	18.4 %	18.5 %
Homicide ^c	0.8	1.1	1.2	0.7	1.1	1.6	0.8	0.7	0.6	2.4	0.5	0.7	0.6
Rape ^d	0.6	1.1	0	2.5	1.2	1.0	0.7	0.8	0.5	1.6	0.3	0.3	0.4
Robbery	6.2	8.5	3.4	3.9	13.4	6.1	6.3	5.9	7.3	8.4	3.3	4.9	4.6
Assault ^d	13.7	16.4	11.9	8.7	15.1	22.0	13.7	13.8	14.4	16.1	9.0	12.4	12.1
Property offenses^e	31.9 %	25.5 %	10.8 %	14.8 %	32.9 %	25.6 %	46.3 %	45.4 %	47.8 %	45.7 %	44.8 %	24.0 %	22.9 %
Burglary	9.9	6.9	2.0	4.4	8.7	7.7	17.6	23.4	13.9	11.1	9.1	5.5	5.0
Larceny/theft	16.3	12.0	4.1	6.2	16.5	10.6	26.1	23.0	33.9	18.9	23.4	11.5	8.9
Motor vehicle theft	4.5	3.9	1.0	2.3	5.3	4.4	6.0	5.5	4.7	11.5	4.5	3.5	4.1
Fraud	4.7	3.2	2.1	1.8	4.0	3.2	7.1	5.1	6.8	6.6	19.0	3.3	5.1
Drug offenses^f	30.3 %	22.6 %	13.0 %	11.2 %	29.4 %	21.5 %	27.2 %	27.6 %	27.1 %	33.9 %	18.5 %	41.2 %	22.1 %
Public-order offenses^g	28.3 %	27.4 %	17.7 %	20.5 %	29.3 %	31.1 %	29.2 %	30.3 %	25.5 %	33.5 %	26.3 %	27.7 %	31.2 %
Number of released prisoners	272,111	61,107	4,443	3,138	26,862	17,708	91,061	41,257	26,259	9,478	7,853	88,516	26,329

Note: The numerator for each percent is the number of persons rearrested for a new charge, and the denominator is the number released for each type of offense. Detail may not add to totals because persons may be rearrested for more than one type of charge.

^aAll offenses include any offense type listed in footnotes b through g plus "other" and "unknown" offenses.

^bTotal violent offenses include homicide, kidnaping, rape, other sexual assault, robbery, assaults, and other violence.

^cHomicide includes murder, voluntary manslaughter, vehicular manslaughter, negligent manslaughter, nonnegligent manslaughter, unspecified manslaughter, and unspecified homicide.

^dDoes not include sexual assault.

^eTotal property offenses include burglary, larceny, motor vehicle theft, fraud, forgery, embezzlement, arson, stolen property, and other forms of property offenses.

^fDrug offenses include drug trafficking, drug possession, and other forms of drug offenses.

^gPublic-order offenses include traffic offenses, weapon offenses, probation and parole violations, court-related offenses, disorderly conduct, and other such offenses.

percentages rearrested for the same category of offense for which they were just in prison were —

- 13.4% of released robbers
- 22.0% of released assaulters
- 23.4% of released burglars
- 33.9% of released larcenists
- 11.5% of released thieves of motor vehicles
- 19.0% of released defrauders
- 41.2% of released drug offenders.

Of the 3,138 released rapists —

- overall 46.0% were rearrested for a new crime within 3 years
- 18.6% were rearrested for a new violent offense
- 2.5% were rearrested for another rape
- 8.7% were rearrested for a new non-sexual assault
- 11.2% were rearrested for a drug offense.

Specialists

"Specialists" are prisoners who, after being released, commit the same crime they were just in prison for, while "non-specialists" are those whose new offense differs from what they were in prison for. Degrees of both specialization and non-specialization can be seen in the types of offenses the prisoners were rearrested for following their release.

For example, a degree of specializing is evident in the fact that, of all the different offense categories, the released robber was the one most likely to be rearrested for robbery (13.4%), the released assaulter was the one most likely to be rearrested for assault (22.0%), the released burglar was the one most likely to be rearrested for burglary (23.4%), and the released motor vehicle thief was

the one most likely to be rearrested for vehicle theft (11.5%).

There is also ample reason for viewing the released prisoners as non-specialists. For example, of the 4,443 prisoners who were in prison for killing someone, more were subsequently rearrested for a property offense (10.8%) or drug offense (13.0%) than were rearrested for another homicide (1.2%). Of the 3,138 released rapists, more were rearrested for something other than rape (for example, 8.7% for nonsexual assault and 6.2% for theft) than were rearrested for another rape (2.5%).

Another way of investigating specialization is with odds ratios. To illustrate, of the 3,138 released rapists, 78 (2.5%) were rearrested for rape, and the remaining 3,060 were either rearrested for something else or not rearrested. The odds of a released rapist being

Table 11. Relative likelihood of rearrest for same offense as release offense, among State prisoners released in 1994

Rearrest charge	Relative likelihood of rearrest
Violent offenses	1.3
Homicide	1.4
Rape	4.2
Other sexual assault	5.9
Robbery	2.7
Assault	1.9
Property offenses	2.7
Burglary	3.7
Larceny/theft	3.0
Motor vehicle theft	2.9
Fraud	5.3
Stolen property	3.4
Drug offenses	2.1
Public-order offenses	1.2

Note: Each ratio expresses the odds of rearrest among prisoners released on a similar offense relative to the odds of rearrest among those released on a different type of offense. For each type of rearrest charge, the numerator is the odds of rearrest for that charge among prisoners released for the same type of offense; the denominator is the odds of rearrest for that charge among prisoners released for a different type of offense.

rearrested for rape are $((78 / 3,138) / ((3,138-78) / 3,138))$, or .0254902. By contrast, of the 268,631 non-rapists (the 268,631 does not include 342 released prisoners who were in prison for an unknown offense), 1,639 were rearrested for rape, and the remaining 266,814 were either rearrested for something else or were not rearrested. Their odds of being rearrested for rape are $((1,639 / 268,631) / ((268,631-1,639) / 268,631))$, or .0061387. The ratio of the two odds — .0254902 / .0061387 — indicates that a rapist's odds are 4.2 times a non-rapist's odds of being rearrested for rape (.0254902 / .0061387 = 4.2) (table 11).

Odds ratios are frequently misinterpreted. The "4.2" does not mean that a rapist's odds of committing a new rape are 4.2 times "greater" than a non-rapist's odds. A released rapist's odds of committing a new rape are actually 3.2 (not 4.2) times greater than a non-rapist's odds of a rape. Either

statistic — 4.2 or 3.2 — suggests a degree of specializing among rapists. A degree of specializing is evident in the statistics for other offenses as well. For example, a released robber's odds of rearrest for robbery are 2.7 times a non-robber's odds of rearrest for robbery. Put another way, a released robber's odds of repeating his crime are 1.7 times "greater" than the odds of a non-robber leaving prison and committing a robbery. Similarly, the odds of a released violent offender being rearrested for another violent crime are 1.3 times the odds (or 30% "greater" than the odds) of a nonviolent offender being arrested for a violent crime.

Number of prior arrests

The number of times a prisoner has been arrested in the past is a good predictor of whether that prisoner will continue to commit crimes after being released. Prisoners with just 1 prior arrest have a 40.6% rearrest rate within 3 years (table 12). With 2 priors, the percentage rearrested is 47.5%. With 3 it goes up to 55.2%. With additional priors, it continues to rise, reaching 82.1% among released prisoners with more than 15 prior arrests in their criminal history record.

The number of past arrests a prisoner has also provides a good predictor of how quickly that prisoner will resume

his or her criminality after being released. A measure of how quickly prisoners resume their criminality can be constructed by combining information from 1-year and 3-year arrest rates.

To illustrate: Prisoners with 1 prior arrest have a 20.6% 1-year arrest rate and a 40.6% 3-year rearrest rate. The first-year rate (20.6%) is 51% of the cumulative rate at the end of the third year (40.6%). In other words, 51% of the recidivism of prisoners with 1 prior arrest occurs within the first year. The comparable figure for prisoners with 2 priors is 55%; 3 priors, 58%; 4 priors, 59%; 5 priors, 62%. Among those with 16 or more prior arrests, 74% of their recidivism occurs in the first year ($61.0\% / 82.1\% = 74\%$). The pattern here is clear: the longer the prior record, the greater the likelihood that the recidivating prisoner will commit another crime soon after release.

Prior prison sentence

For 56% of the 272,111, the prison sentence they were serving when released in 1994 was their first-ever prison sentence (not shown in table). Of these "first-timers," 63.8% were rearrested following their release. Among those who had been in prison at least once before, a higher percentage — 73.5% — were rearrested.

Table 12. Rearrest rates of State prisoners released in 1994, by number of prior arrests

Number of arrests prior to release	Percent of all releases	Percent of releases who were rearrested within —	
		3 years	1 year
All released prisoners	100%	67.5%	44.2%
1 prior arrest	6.9	40.6	20.6
2	7.4	47.5	26.2
3	7.8	55.2	32.2
4	7.7	59.6	35.1
5	7.7	64.2	39.7
6	7.4	67.4	43.2
7-10	20.9	70.3	45.5
11-15	16.2	79.1	54.5
16 or more	18.0	82.1	61.0

Note: Percents are based on 272,111 released prisoners. By definition, all 272,111 had at least one arrest prior to their release. Consequently, "0 prior arrests" does not apply.

Time served in prison

No evidence was found that spending more time in prison raises the recidivism rate. The evidence was mixed regarding the question of whether spending more time in prison reduces the recidivism rate.

Recidivism rates did not differ significantly among those released after serving 6 months or less (66.0%), those released after 7 to 12 months (64.8%), those released after 13 to 18 months (64.2%), those released after 19 to 24 months (65.4%), and those released after 25 to 30 months (68.3%) (table 13).

Those who served the longest time — 61 months or more — had a significantly lower rearrest rate (54.2%) than every other category of prisoners defined by time in confinement.

Also, both those who served 31 to 36 months (62.6%) and those who served 37 to 60 months (63.2%) had a significantly lower rearrest rate than those who served 25 to 30 months (68.3%).

Methodology

Step 1: Draw the sample

In 1998 BJS (the Bureau of Justice Statistics in the U.S. Department of Justice) asked 15 State departments of corrections to participate in a national study of recidivism by supplying BJS with information on all prison releases in 1994. (For Illinois, releases were for fiscal year 1994 rather than calendar year 1994.) The States are large and diverse, collectively accounting for the majority of prisoners released in 1994.

Eleven of the 15 were chosen because they were in an earlier BJS recidivism study (*Recidivism of Prisoners*

Released in 1983, April 1989, NCJ 116261). Inclusion of the 11 makes possible a comparison of recidivism

Table 13. Rate of rearrest of 162,195 State prisoners released in 1994, by time served in prison

Time served in prison	Percent of all "first releases"	
	All	Rearrested within 3 years
Total	100%	64.6%
6 months or less	23.5	66.0
7-12	25.8	64.8
13-18	15.6	64.2
19-24	9.5	65.4
25-30	6.8	68.3
31-36	4.7	62.6
37-60	9.6	63.2
61 months or more	4.5	54.2

Note: A first release includes only those offenders leaving prison for the first time since beginning their sentence. It excludes those who left prison in 1994 but who had previously been released under the same sentence and had returned to prison for violating the conditions of release. The table excludes Michigan and Ohio releases.

Comparison of recidivism rates for prisoners released in 1983 and 1994

In a previous BJS study, 108,580 State prisoners released from prison in 11 States in 1983 were tracked for 3 years (Allen J. Beck and Bernard E. Shipley, *Recidivism of Prisoners Released in 1983*, BJS Special Report, NCJ 116261, April 1989). All 11 are among the 15 States in this report.

Rearrest The overall rearrest rate rose significantly. Of the 108,580 prisoners released in 1983, 62.5% were rearrested within 3 years. Of the 272,111 released in 1994, the figure is 67.5%. Likewise, there was a significant rise from 1983 to 1994 in the rearrest rate for released property

offenders (68.1% and 73.8%, respectively), released drug offenders (50.4% and 66.7%), and released public-order offenders (54.6% and 62.2%). However, the rearrest rate did not rise significantly for released violent offenders (59.6% and 61.7%).

Reconviction The overall reconviction rate did not change significantly. Among prisoners released in 1983, 46.8% were subsequently reconvicted; among those released in 1994, 46.9%.

Likewise, the reconviction rate did not change between 1983 and 1994 for released violent offenders (41.9% and 39.9%), released property offenders (53.0% and 53.4%), and released public-order offenders (41.5% and 42.0%).

Recidivism rates by offense type and year of release

Most serious offense for which released	Percent of prisoners released in —		Percent rearrested within 3 years, among prisoners released in —		Percent reconvicted within 3 years, among prisoners released in —	
	1983	1994	1983	1994	1983	1994
All released prisoners	100%	100%	62.5%	67.5%	46.8%	46.9%
Violent	34.6	22.5	59.6	61.7	41.9	39.9
Property	48.3	33.5	68.1	73.8	53.0	53.4
Drug	9.5	32.6	50.4	66.7	35.3	47.0
Public-order	6.4	9.7	54.6	62.2	41.5	42.0
Other	1.1	1.7	76.8	64.7	62.9	42.1
Number of released prisoners	108,580	272,111				

The only significant change in reconviction rates was the increase for drug offenders. Among drug offenders released in 1983, 35.3% were reconvicted for a new crime (not necessarily another drug offense). Among those released in 1994, the reconviction percentage was higher — 47.0%.

rates between prisoners released in 1994 and those released earlier.

Altogether the 15 States released 302,309 prisoners in 1994. The 15 States supplied BJS with a computerized record on each of the 302,309 containing the prisoner's name, date of birth, sex, race, department of corrections identification number, State identification number, FBI identification number, what offense he/she was in prison for, how long the sentence was, the date the prisoner entered the prison, the month and day the prisoner was released in 1994, and so forth. Using the 302,309 records, BJS drew a sample for each State (appendix table 1). The sample totaled 38,624 out of the 302,309 released prisoners.

For drawing the sample, each of the 302,309 was placed into 1 of 13 offense categories corresponding to the conviction offense that brought the prison term. (For those with multiple conviction offenses, the offense with the longest prison sentence was designated as the conviction offense.) For example, each of the 5,386 whose conviction offense was homicide went into the "homicide" category. Each of the 10,510 convicted violent sex offenders was placed in the "rape/sexual assault" category.

Each of the 13 categories was sampled within each State. A target set for each category determined the size of the sample (appendix table 2). For the homicide category, the target in each State was a sample of 80 released homicide offenders. For rape/sexual assault, the target was all the violent sex offenders. For robbery, the target for each State was a sample of 180 released robbers.

A major deviation from the targeted sample sizes occurred for California; it was necessary to double sample sizes to improve the precision of estimates. In other major deviations, all the released prisoners, not a sample of them, in Delaware and Minnesota were selected to be in the database.

To extrapolate from the sample to the universe from which the sample was drawn, each case was assigned a weight corresponding to the inverse of the probability of selection. For example, the 80 sampled Florida homicide offenders were 80 out of 362 homicide offenders released in Florida in 1994. The inverse of their probability of selection was 362/80, or 4.525. Each sampled homicide offender in Florida therefore represented 4.525 released Florida homicide offenders.

Step 2: Obtain criminal history records from States that released prisoners

BJS contacted the State agency that held criminal history files and asked for the computerized "RAP" sheet (Record of Arrest and Prosecution) on each prisoner sampled from the State. Using individual identifiers (not including fingerprints) supplied by BJS to match released prisoners to criminal history files, these agencies provided BJS with computerized RAP sheets on 37,647 (97%) of the 38,624 released prisoners. Among other things, these RAP sheets typically contained the person's name, date of birth, gender, race, date of each arrest in the State, each arrest charge (designated by the penal code and/or a literal version of the penal code) and level (felony or misdemeanor), date of each court

adjudication, each adjudicated offense and level, each court outcome (guilty or not guilty), and sentence (prison, jail, probation, sentence length).

RAP sheets do not provide a complete record of every instance where a person was arrested or prosecuted in the State. Arrests and prosecutions of juveniles are generally not included. Arrests and prosecutions are routinely included for felonies or serious misdemeanors but not for petty offenses (such as minor traffic violations, drunkenness, and vagrancy). The latest year covered in the RAP sheets varied by State, depending on when the sheets were sent to BJS. All RAP sheets covered all of 1997. Many went beyond 1997.

Step 3: Obtain criminal history records from FBI

After receiving a State's RAP sheets, BJS asked the FBI for the computerized RAP sheets it had on the sampled prisoner. The FBI identification numbers from the department of corrections (on 29,053 releases) or from criminal history repositories (on an additional 2,695 releases) helped the FBI to match sampled prisoners to criminal history records in the FBI database called "Triple I," or "III". Without the number, the FBI performed matches using other identifiers. BJS supplied the FBI with the FBI identification number, name, date of birth, and

Appendix table 1. Population, sample, and analysis subset, by State

	Prisoners released in 1994		
	Total number	Selected from total in the sample	Selected from sample to be in this report
Total	302,309	38,624	33,796
Arizona	7,418	2,000	1,433
California	105,527	7,183	7,048
Delaware	721	721	659
Florida	24,751	2,893	2,564
Illinois	18,606	2,615	2,317
Maryland	11,639	2,117	1,599
Michigan	8,049	2,315	1,965
Minnesota	1,929	1,929	1,730
New Jersey	13,567	2,289	2,130
New York	31,406	2,639	2,466
N. Carolina	25,797	2,314	2,047
Ohio	19,313	2,664	1,822
Oregon	5,009	2,292	1,560
Texas	22,852	2,550	2,430
Virginia	5,725	2,103	2,026

Appendix table 2. Targeted sample sizes by offense type

Most serious release offense	Targeted sample size in each State
Homicide	80
Rape/Sexual assault	All
Robbery	180
Aggravated assault	180
Burglary	220
Larceny/motor vehicle theft	220
Fraud	60
Drug trafficking	380
Drug possession	120
Weapons offense	40
Driving under the influence	120
Other public order	120
Other	120

Note: For one State (California), targeted sample sizes are 2 times those shown.

other identifiers on 35,985 of the 38,624 prisoners. (The 35,985 did not include New York's 2,639 prisoners because New York law prevented BJS from supplying the FBI with identifiers.) The FBI supplied BJS with RAP sheets on 34,439 (96% of the 35,985 released prisoners).

Although the 34,439 computerized RAP sheets contained records of all arrests and prosecutions, the BJS study used only the out-of-State records of arrests and prosecutions that took place outside the State that released the prisoner. The in-State records in the FBI RAP sheets were not used because in-State records were already available in the RAP sheets supplied by the State that released the prisoner. The unique value of the FBI RAP sheets was the *out-of-State* records (both prior to and following release) they contained on arrests and prosecutions.

A least one RAP sheet was found on 38,049 (nearly 99%) of the 38,624 prisoners. For 34,037 (88%), a RAP sheet was found in both repositories (the percentage would have been greater than 88% had New York's released prisoners been included).

Step 4: Create the study database

The information obtained from the 3 sources — the 15 departments of corrections, the 15 criminal history repositories, and the FBI — was combined into a single database. The database is a rectangular file with 6,520 variables on 38,624 released prisoners. Of the 6,520 variables, 6,435 document a prisoner's entire adult criminal history record: each arrest date and any court records of conviction or nonconviction arising from the arrest that day. Arrests are arranged from the earliest arrest date to the latest. The database documents a maximum of 99 separate arrest dates. (For the 10 prisoners out of the 38,624 who were arrested on more than 99 separate dates — the maximum was 175 for one person — the database documents their 99 latest.)

The database identifies the total number of offenses the person was charged with on each day of arrest, what each offense was, the level of each offense (felony versus misdemeanor), and other characteristics of each offense. If the person was arrested for more than three offenses that day, only the three most serious — as determined by a hierarchy of seriousness — are separately identified.

The hierarchy defines felonies as more serious than misdemeanors. Within these levels, for arrests and prosecutorial charges, the hierarchy from most to least serious is as follows: homicide, rape/other sexual assault, robbery, aggravated assault, burglary, larceny/motor vehicle theft, fraud, drug trafficking, drug possession, weapons offense, driving under the influence, other public-order, and other.

For each arrest date, the database also documents any court adjudications that resulted from the arrest that day. The date of the adjudication is recorded, along with the number of adjudicated charges, what the separate adjudicated offenses were, the level of each offense, how each charge was disposed of (convicted, not convicted), how each offense was sentenced (prison, jail, probation, sentence length), and other details about each offense. If the person was charged in court with more than three offenses on the adjudication date, only the three most serious — as determined by a hierarchy of seriousness — are separately identified. The hierarchy defines charges resulting in conviction as more serious than charges resulting in non-conviction. For each of those categories, felony charges are defined as more serious than misdemeanor charges, within the levels of the previously described hierarchy of offense seriousness.

Adding North Carolina arrests to the database

Sometimes in RAP sheets for North Carolina prisoners, the date of arrest in a custody record submitted by

correctional authorities did not match a date on any arrest record for that person. In such cases, BJS created an arrest record using the arrest date from the custody record. This was the only instance in which an imputed value appeared in the database.

Adding information to the database to identify technical violators

Court records in State and FBI RAP sheets indicated that 25.4% of released prisoners were back in prison with a new prison sentence (table 8). To document how many were back for any reason (either a new sentence or a parole violation), data were obtained from the National Corrections Reporting Program (NCRP) that identifies all persons entering prison in a year. Individual identifiers (for example, Department of Corrections identification number, date of birth, sex, race) were used to match sampled prisoners to persons entering prison according to NCRP data.

Because of incomplete NCRP data in New York, additional information on prison returns was obtained from custody records in New York State RAP sheets. Based on three sources —

1. courts records in State and FBI RAP sheets for nine States,
2. NCRP records for nine States, and
3. custody records in New York State RAP sheets —

51.8% of released prisoners in the nine States were back in prison for either a new prison sentence or a technical violation (table 8). The percentage returned to prison solely for a technical violation (26.4%) is approximated by taking the difference between the 51.8% and the 25.4%.

New York State custody records did not always distinguish prison returns from jail returns. Consequently, some persons received in New York jails were probably mistakenly classified as prison returns. Also, the 51.8% return-to-prison rate is heavily affected by the inclusion of one large State, California, with a relatively high rate. When California is excluded, the return-to-prison rate falls to 40.1%.

Step 5: Data analysis

This report is based on 33,796 of the 38,624 sampled prisoners released in 1994. Persons selected for inclusion had to meet all four of these criteria:

1. A RAP sheet on the prisoner was found in the State criminal history repository.
2. The released prisoner was alive through the 3-year follow-up period. As a result of this requirement, 133 prisoners were excluded.
3. The prisoner's sentence (or, as it is called in the database, the "total maximum sentence length") was greater than 1 year (missing sentences were treated as greater than 1 year).
4. The prisoner's 1994 release was not recorded by the State department of corrections as any of these: release to custody/detainer/warrant, absent without leave, escape, transfer, administrative release, or release on appeal.

Weighted, the 33,796 prisoners meeting the 4 selection criteria represent 272,111 prisoners released in the study's 15 States in 1994. Correctional practitioners might refer to the sampled prisoners with the shorthand term "releases with sentences greater than a year." The 272,111 are an estimated two-thirds of all the Nation's "releases with sentences greater than a year" in 1994.

Note on missing court dates in FBI RAP sheets

FBI RAP sheets often failed to contain the date of adjudication. When the data was not reported, for analysis purposes only, BJS temporarily assigned a court date based on the arrest date in the arrest record. National statistics indicate that there are 173 days on average from arrest to adjudication. Therefore, during analysis, court records without a court date were temporarily assigned a date 173 days past the date of arrest.

Appendix table 3. Estimates of 1 standard error for table 8

Prisoner characteristic	Percent of all released prisoners	Percent of released prisoners who, within 3 years, were —			
		Re-arrested	Reconvicted	Returned to prison with a new prison sentence	Returned to prison with or without a new prison sentence
All released prisoners	0%	0.4%	0.5%	0.4%	0.5%
Gender					
Male	0.3%	0.4%	0.5%	0.4%	0.5%
Female	0.3	1.6	1.6	1.3	1.8
Race					
White	0.4%	0.6%	0.7%	0.6%	0.7%
Black	0.4	0.5	0.6	0.6	0.7
Other	0.1	4.1	4.0	2.5	4.7
Ethnicity					
Hispanic	0.4%	1.0%	1.1%	1.0%	1.2%
Non-Hispanic	0.4	0.5	0.6	0.6	0.6
Age at release					
14-17	0.1%	4.9%	6.3%	6.6%	6.7%
18-24	0.3	0.8	1.0	0.9	1.1
25-29	0.4	0.8	1.0	0.9	1.1
30-34	0.4	0.8	1.0	0.9	1.1
35-39	0.3	1.0	1.2	1.0	1.3
40-44	0.3	1.4	1.5	1.2	1.7
45 or older	0.2	1.5	1.5	1.4	1.8

Appendix table 4. Estimate of 1 standard error for table 9

Most serious offense for which released	Percent of all released prisoners	Percent of released prisoners who, within 3 years, were —			
		Re-arrested	Reconvicted	Returned to prison with a new prison sentence	Returned to prison with or without a new prison sentence
All released prisoners	0%	0.4%	0.5%	0.4%	0.5%
Violent offenses	0.1%	0.7%	0.8%	0.7%	0.8%
Homicide	0	1.7	1.4	1.1	1.9
Kidnaping	0.1	9.2	9.2	9.5	10.3
Rape	0	0	0	0	0
Other sexual assault	0.0	0.1	0.1	0	0.1
Robbery	0	1.2	1.4	1.2	1.5
Assault	0	1.2	1.3	1.1	1.4
Other violent	0.1	7.5	7.1	5.6	9.3
Property offenses	0.1%	0.7%	0.8%	0.8%	0.8%
Burglary	0	1.0	1.2	1.1	1.2
Larceny/theft	0.2	1.2	1.5	1.5	1.6
Motor vehicle theft	0.2	2.2	2.7	2.5	2.5
Arson	0.1	6.5	6.2	5.8	7.3
Fraud	0	2.1	2.2	2.0	2.3
Stolen property	0.1	3.2	4.1	4.2	4.3
Other property	0	3.8	4.3	4.5	5.0
Drug offenses	0.2%	0.8%	0.8%	0.8%	0.9%
Possession	0.1	1.6	1.6	1.4	1.7
Trafficking	0.1	0.8	0.9	0.8	1.0
Other/unspecified	0.2	2.7	3.4	3.2	3.3
Public-order offenses	0%	1.3%	1.4%	1.2%	1.5%
Weapons	0	2.8	3.2	2.8	3.3
Driving under the influence	0	2.1	1.9	1.6	2.2
Other public-order	0	1.6	1.7	1.6	1.7
Other offenses	0.2%	5.3%	5.8%	4.8%	5.7%

Note: Values of 0 generally mean less than .05%.

Definition of 3-year follow-up period

For analytic purposes, "3 years" was defined as 1,096 days from the day of release from prison. Any rearrest, reconviction, or re-imprisonment occurring after 1,096 days from the 1994 release was not included. A conviction after 1,096 days was not counted even if it resulted from an arrest within the period.

Comparing recidivism rates

For virtually every number in the report there is a margin of error arising from the fact that the number is based on a sample rather than a complete enumeration. For example, the estimate that 67.5% of all released prisoners were rearrested within 3 years has a margin of error (or 95%-confidence interval) of approximately plus or minus 1 percentage point. In this report where the text states or implies that one recidivism rate is higher or lower than another, the difference had been tested and found to be "statistically significant," meaning it was an unlikely result of sampling. The 95%-confidence intervals used to test differences between recidivism rates were obtained from statistical software (called "SUDAAN") designed for estimating sampling error from complex sample surveys. Standard errors used to construct 95%-confidence intervals are shown in appendix tables 3 and 4.

Where this report compares these recidivism rates to those for prisoners released in 1983, the 95%-confidence intervals for 1994 recidivism rates were used as the 95%-confidence intervals for 1983 rates which were no longer available.

Offense definitions

All offense categories except homicide include attempts.

Violent offenses: homicide, kidnaping, rape, other sexual assault, robbery, assault and other violent.

Homicide: Murder is (1) intentionally causing the death of another person without extreme provocation or legal justification or (2) causing the death of another while committing or attempting to commit another crime.

Nonnegligent (or voluntary) manslaughter is intentionally and without legal justification causing the death of another when acting under extreme provocation. The combined category of murder and nonnegligent manslaughter.

Negligent (or involuntary) manslaughter is causing the death of another person through recklessness or gross negligence, without intending to cause death. Includes vehicular manslaughter, but excludes vehicular murder (intentionally killing someone with a motor vehicle), which should be classified as murder).

Kidnaping: the unlawful seizure, transportation, or detention of a person against his or her will, or of a minor without the consent of his or her guardian. Includes forcible detainment, false imprisonment, abduction, or unlawful restraint. Does not require that ransom or extortion be the purpose of the act.

Rape: includes forcible intercourse (vaginal, anal, or oral) with a female or male. Includes forcible sodomy or penetration with a foreign object (sometimes called "deviate sexual assault"); excludes statutory rape or any other nonforcible sexual acts with a minor or with someone unable to give legal or factual consent.

Other sexual assault: (1) forcible or violent sexual acts not involving intercourse with an adult or minor, (2) nonforcible sexual acts with a minor (such as statutory rape or incest with a minor), and (3) nonforcible sexual acts with someone unable to give legal or factual consent because of mental or physical defect or intoxication.

Robbery: the unlawful taking of property that is in the immediate possession of another, by force or the threat of force. Includes forcible purse snatching, but excludes nonforcible purse snatching.

Assault: Aggravated assault includes (1) intentionally and without legal justification causing serious bodily injury, with or without a deadly weapon or (2) using a deadly or dangerous weapon to threaten, attempt, or cause bodily injury, regardless of the degree of injury, if any. Includes attempted murder, aggravated battery,

felonious assault, and assault with a deadly weapon.

Simple assault: intentionally and without legal justification causing less than serious bodily injury without a deadly or dangerous weapon, or attempting or threatening bodily injury without a dangerous or deadly weapon.

Other violent: includes offenses such as intimidation, illegal abortion, extortion, cruelty towards a child or wife, hit-and-run driving with bodily injury, and miscellaneous crimes against the person.

Property offenses: burglary, larceny, motor vehicle theft, arson, fraud/ forgery/embezzlement, stolen property, and other property.

Burglary: the unlawful entry of a fixed structure used for regular residence, industry, or business, with or without the use of force, to commit a felony or theft.

Larceny: the unlawful taking of property other than a motor vehicle from the possession of another, by stealth, without force or deceit. Includes pocket picking, nonforcible purse snatching, shoplifting, and thefts from motor vehicles. Excludes receiving and/or reselling stolen property, and thefts through fraud or deceit.

Motor vehicle theft: the unlawful taking of a self-propelled road vehicle owned by another. Includes the theft of automobiles, trucks, and motorcycles, but not the theft of boats, aircraft, or farm equipment (classified as larceny/theft). Also includes receiving, possessing, stripping, transporting, and reselling stolen vehicles, and unauthorized use of a vehicle (joyriding).

Arson: intentionally damaging or destroying property by fire or explosion.

Fraud, forgery, and embezzlement: using deceit or intentional misrepresentation to unlawfully deprive a persons of his or her property or legal rights. Includes offenses such as check fraud, confidence game, counterfeiting, and credit card fraud.

Stolen property: all types of knowingly dealing in stolen property, such as receiving, transporting, possessing, concealing, and selling, excluding motor vehicle theft) and illegal drugs.

Other property: includes possession of burglary tools, damage to property, smuggling, and miscellaneous property crime.

Drug offenses: drug trafficking, drug possession, and other drug offenses.

Drug trafficking: includes manufacturing, distributing, selling, smuggling, and possession with intent to sell.

Drug possession: includes possession of an illegal drug, but excludes possession with intent to sell.

Other drug offenses: includes offenses involving drug paraphernalia and forged or unauthorized prescriptions.

Public-order offenses: are those that violate the peace or order of the community or threaten the public health or safety through unacceptable conduct, interference with governmental authority, or the violation of civil rights or liberties. In this study, persons in prison in 1994 for "public-order" offenses were roughly 33% driving while intoxicated/driving under the influence, 33% weapons offense, 8% traffic offense, and 9% probation violation.

Weapons offenses: unlawful sale, distribution, manufacture, alteration, transportation, possession, or use of a deadly or dangerous weapon or accessory.

Traffic offenses: illegal driving behaviors that do not include vehicular manslaughter or DUI/DWI.

DUI/DWI: driving under the influence and driving while intoxicated.

Other public-order offenses: includes probation or parole violation, traffic offenses (not including DWI or DUI), escape, obstruction of justice, court offenses, nonviolent sex offenses, commercialized vice, family offenses, liquor law

violations, bribery, invasion of privacy, disorderly conduct, contributing to the delinquency of a minor and miscellaneous public-order offenses. In this study, persons in prison in 1994 for "other public-order" offenses were roughly 25% probation violation, 24% traffic offense (not including DWI or DUI), 12% escape (including flight to avoid prosecution), 9% obstruction of justice, and 6% court offenses.

Other offenses: all offenses unlisted above.

This report in portable document format and in ASCII, its tables, and related statistical data are available at the BJS World Wide Web Internet site: <<http://www.ojp.usdoj.gov/bjs/>>

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The Bureau of Justice Statistics is the statistical agency of the U.S. Department of Justice. Lawrence A. Greenfeld is acting director.

Patrick A. Langan, Senior Statistician, and David J. Levin, Statistician, both of BJS, analyzed the data and wrote and verified this report. Jodi M. Brown, a former BJS statistician, assisted in data processing. Data and assistance interpreting criminal histories were contributed by the Information Technology Management Section of the FBI's Criminal Justice Information Services Division and officials of criminal history repositories and departments of corrections in the 15 States that participated in the study. The Regional Justice Information Service assisted in data collection and processing. The FBI and the Corrections Program Office of the Office of Justice Programs contributed funding for the study.

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Bureau of Justice Statistics Special Report

October 2001, NCJ 184735

Trends in State Parole, 1990-2000

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BJS Statisticians

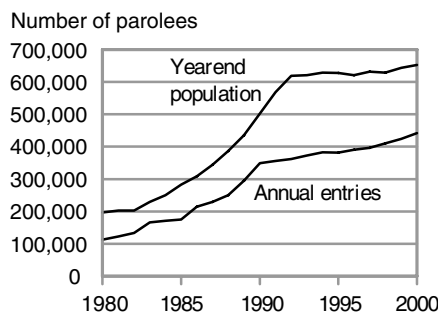
By the end of 2000, 16 States had abolished discretionary release from prison by a parole board for all offenders. Another four States had abolished discretionary parole for certain violent offenses or other crimes against a person. As a result of the movement away from release by parole boards (discretionary parole), release determined by statute (mandatory parole) became the most common method of release from State prison. After 1990 mandatory parole increased from 29% of releases to 41% in 1999, while discretionary parole decreased from 39% to 24%.

Despite changes in release policies, 652,199 adults were under State parole supervision at yearend 2000, more than a 3-fold increase since 1980, when 196,786 adults were on parole. About 312 adults per 100,000 adult U.S. residents were under parole supervision in 2000, compared to 121 in 1980 and 271 in 1990. While the average annual rate of growth in State parole from 1980 to 2000 was 6.2%, the largest increase occurred between 1980 and 1992, when the number of adults on parole grew 10% annually. After 1992 growth in the number of adults on State parole slowed, increasing at an average annual rate of 0.7%.

This report focuses on trends in the State parole population after 1990, the effect of sentencing policies on community release, and the implications for success or failure of offenders under community supervision.

Highlights

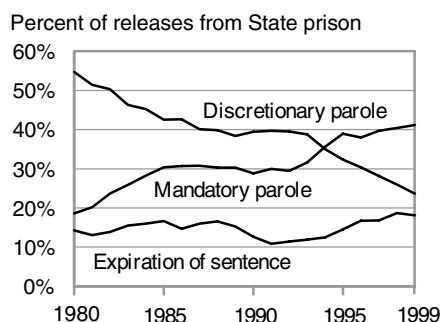
State parole population has remained stable since 1992



- After more than a decade of rapid growth, the number of adults under State parole supervision has nearly stabilized — increasing by 33,510 (0.7% per year) since 1992.

- During the 1980's, entries to State parole supervision tripled, growing from around 113,000 to 349,000 in 1990. During the 1990's, parole entries continued to rise (up 2.4% per year), but were offset by an increase in parole discharges (up 4.6% a year).

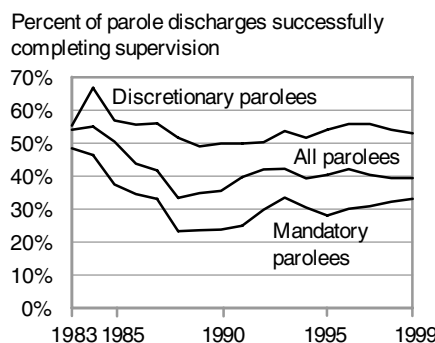
Since 1990 mandatory parole releases have increased, while discretionary releases have decreased



- Between 1990 and 1999, the number of discretionary parole releases from prison dropped (from 159,731 to 128,708), while the number of mandatory parole releases nearly doubled (from 116,857 to 223,342).

- In 1999 nearly 100,000 inmates released from State prisons served their entire prison term (18%), up from 51,288 (13%) in 1990.

42% of parole discharges in 1999 successfully completed supervision



- Among State parole discharges in 1999, over half of discretionary parolees successfully completed their term of supervision, compared to a third of mandatory parolees.

- Success rates were higher among parole discharges who were first prison releases (63%), age 55 or older (54%), and female (48%), than among those who were re-releases (21%), under age 25 (36%), and male (39%).

Table 1. Number of persons in State prison and on parole, yearend 1980, 1985, and 1990-2000

Year	State prisoners ^a		State parolees ^b	
	Number	Percent change	Number	Percent change
1980	305,458		196,786	
1985	462,284		283,139	
1990	708,393		502,134	
1991	753,951	6.4%	568,887	13.3%
1992	802,241	6.4	618,689	8.8
1993	879,714	9.7	620,390	0.3
1994	959,668	9.1	628,941	1.4
1995	1,025,624	6.9	627,960	-0.2
1996	1,076,375	4.9	620,498	-1.2
1997	1,127,686	4.8	631,275	1.7
1998	1,176,055	4.3	629,216	-0.3
1999	1,228,455	4.5	643,452	2.3
2000	1,236,476	0.7	652,199	1.4
Percent change,				
1980-90		131.9%	155.2%	
1990-2000		74.5%	29.9%	
Average annual change,				
1980-90		8.8%	9.8%	
1990-2000		5.7%	2.6%	

Note: Counts are for December 31 of each year and may have been revised based on the most recently reported counts.

^aBased on prisoners under the jurisdiction of State correctional authorities.

^bAdult State parolees only.

Parole defined

Parole — a period of conditional supervised release following a prison term. Prisoners may be released to parole either by a parole board decision (discretionary parole) or according to provisions of a statute (mandatory parole).

Discretionary parole — parole boards have discretionary authority to conditionally release prisoners based on a statutory or administrative determination of eligibility.

Mandatory parole — generally occurs in jurisdictions using determinate sentencing statutes. Inmates are conditionally released from prison after serving a portion of their original sentence minus any good time earned.

Data sources

National Corrections Reporting Program (NCRP) — collects individual inmate records for prison admissions and releases and parole admissions and discharges.

Annual Parole Survey (APS) — provides a count of the total number of persons under parole supervision on January 1 and December 31, and a count of the number entering and leaving supervision during each year.

National Prisoner Statistics (NPS-1) — provides yearend jurisdiction-level data on the number of prisoners in State and Federal correctional facilities and the number of parole violators returned to prison during each year.

Survey of Inmates in State Adult Correctional Facilities — provides self-reported data on individual characteristics of State inmates admitted to prison while under parole supervision and on characteristics of soon to be released inmates.

States have reduced the discretion of parole boards in determining prison release

From 1990 to 2000, the State parole population grew at a slower rate than the State prison population. During this period, parolees increased 30%, compared to a 75% increase for State prisoners (table 1). On average, the parole population increased 2.6% per year, while the prison population rose 5.7% per year. The low rate of growth in parole supervision reflects changes in sentencing and parole release policies that have resulted in increasing lengths of stay in prison and declining prison release rates. (See *Prisoners in 1999*, August 2000, NCJ 183476.)

Historically, most State inmates were released to parole supervision after serving a portion of an indeterminate sentence based on a parole board decision. (See box on this page for definitions.) In 1977, 69% of offenders released from State prison were released by a parole board. In 44 States and the District of Columbia, parole boards were responsible for the majority of prison releases. In other States most inmates were released through expiration of sentence (Louisiana, Missouri, and Wyoming), to probation (Idaho), or to mandatory parole (Alaska and Arizona).

States began moving away from discretionary release policies in the 1980's in favor of determinate sentences and mandatory supervised release. By 1989 eight States had abolished discretionary parole. In 20 States the majority of prison releases were through expiration of sentence or mandatory parole release. As a percentage of all State prison releases, discretionary parole releases decreased from 55% in 1980 to 38% in 1989, while mandatory parole releases increased from 19% to 30%.

Continuing the shift away from release by a parole board, an additional eight States abolished discretionary parole in the 1990's. Most of the remaining States further restricted parole by setting specific standards offenders must meet to be eligible for release.

States that have abolished discretionary parole, 2000

All offenders		Certain violent offenders
Arizona	Minnesota	Alaska
California ^a	Mississippi	Louisiana
Delaware	North Carolina	New York
Florida ^b	Ohio ^d	Tennessee
Illinois	Oregon	
Indiana	Virginia	
Kansas ^c	Washington	
Maine	Wisconsin	

^aIn 1976 the Uniform Determinate Sentencing Act abolished discretionary parole for all offenses except some violent crimes with a long sentence or a sentence to life.

^bIn 1995 parole eligibility was abolished for offenses with a life sentence and a 25-year mandatory term.

^cExcludes a few offenses, primarily 1st-degree murder and intentional 2nd-degree murder.

^dExcludes murder and aggravated murder.

By yearend 2000, 29 States and the District of Columbia had adopted the Federal truth-in-sentencing standard that requires Part 1 violent offenders to serve not less than 85% of their sentence in prison before becoming eligible for release (table 2). Part 1 violent offenses, as defined by the Federal Bureau of Investigation's Uniform Crime Reports, include murder, nonnegligent manslaughter, rape, robbery, and aggravated assault. By adopting this standard, States could receive truth-in-sentencing funds under the Violent Offender Incarceration and Truth-in-Sentencing (VOITIS) incentive grant program as established by the 1994 Crime Act. VOITIS grants can be used by States to build or expand prison capacity.

Five States (Delaware, Minnesota, Tennessee, Utah, and Washington) enacted truth-in-sentencing laws prior to passage of the Crime Act. The remaining States passed truth-in-sentencing laws after 1994. (See *Truth in Sentencing in State Prisons*, January 1999, NCJ 170032.)

At yearend 2000 nearly three-quarters of the parole population was in the District of Columbia and the 29 States that met the Federal 85%-standard. Nine of the ten States with the largest parole populations in 2000 met the Federal truth-in-sentencing standard for violent offenders. Texas, with the second largest parole population, required violent offenders to serve 50% of their sentence.

Overall, 11 States more than doubled their parole populations from 1990 to 2000; 6 of the 11 were Federal truth-in-sentencing States. In absolute numbers, 6 Federal truth-in-sentencing States (California, Illinois, Louisiana, New York, Ohio, and Pennsylvania) had an increase of 11,000 or more parolees. Thirteen States (9 of which were Federal truth-in-sentencing States) experienced a decline of at least 10% during this period.

Table 2. Number of adults on parole, by State, yearend 1990, 1995, and 2000

	Parole population ^a			Percent change 1990-2000	Number per 100,000 adults ^b
	1990	1995	2000		
All States	502,134	641,038	652,199	29.9%	312
Truth-in-sentencing States ^c					
Arizona	2,474	4,109	3,474	40.4%	92
California	68,120	91,807	117,647	72.7	478
Connecticut	416	1,233	1,868	349.6	73
Delaware	1,002	1,033	579	-42.2	98
District of Columbia	5,157	6,340	5,684	10.2	1,244
Florida	5,237	11,197	6,046	15.5	49
Georgia	20,406	19,434	21,556	5.6	358
Illinois	18,882	29,541	30,199	59.9	329
Iowa	1,991	2,340	2,763	38.8	126
Kansas	5,647	6,094	3,829	-32.2	194
Louisiana	9,754	19,028	22,860	134.4	704
Maine	18	55	28	55.6	3
Michigan	11,083	13,862	15,753	42.1	215
Minnesota	1,701	2,117	3,072	80.7	85
Mississippi	3,321	1,510	1,596	-51.9	77
Missouri	8,939	13,001	12,357	38.2	297
New Jersey	23,172	37,867	14,899	-35.7	235
New Mexico	1,283	1,366	1,670	30.2	127
New York	42,360	55,568	57,858	36.6	405
North Carolina	10,409	18,501	3,352	-67.8	55
North Dakota	130	114	116	-10.8	24
Ohio	6,601	7,432	18,248	176.4	216
Oregon	7,972	15,019	17,832	123.7	693
Pennsylvania	57,298	73,234	82,002	43.1	876
South Carolina	3,770	5,545	4,240	12.5	141
Tennessee	10,221	8,851	8,094	-20.8	189
Utah	1,543	2,700	3,266	111.7	216
Virginia	8,671	10,188	5,148	-40.6	96
Washington	9,114	875	160	-98.2	4
Wisconsin	4,111	7,548	9,430	129.4	236
Other States ^d					
Alabama	6,291	7,793	5,494	-12.7%	165
Alaska	551	459	507	-7.9	116
Arkansas	3,559	4,685	9,453	165.6	474
Colorado	2,140	3,024	5,500	157.0	172
Hawaii	1,383	1,689	2,504	81.1	273
Idaho	318	619	1,443	354.5	156
Indiana	3,291	3,200	4,917	49.4	109
Kentucky	3,239	4,257	4,909	51.6	161
Maryland	11,106	15,748	14,143	27.3	359
Massachusetts	4,816	5,256	3,703	-23.1	76
Montana	685	744	621	-9.3	92
Nebraska	596	661	473	-20.6	38
Nevada	2,702	2,863	4,056	50.1	273
New Hampshire	527	785	944	79.3	102
Oklahoma	2,752	2,356	1,825	-33.7	71
Rhode Island	369	591	353	-4.3	44
South Dakota	681	688	1,481	117.6	268
Texas	104,693	103,089	111,719	6.7	747
Vermont	297	618	902	204.2	196
West Virginia	991	923	1,112	12.3	79
Wyoming	358	403	514	43.8	141

^aBased on the *Annual Parole Survey*.

^bParolees per 100,000 adult U.S. residents based on State populations for April 1, 2000.

^cStates met Federal truth-in-sentencing standards under the Violent Offender Incarceration and Truth-in-Sentencing incentive grants program in fiscal year 2000.

^dSome States may have truth in sentencing but did not meet the Federal standard.

See *Truth in Sentencing in State Prisons*, NCJ 170032.

Four States accounted for nearly two-thirds of the growth in parole during the 1990's

Four States (California, New York, Pennsylvania, and Texas) supervised over half of all State parolees at yearend 2000. Together, these States accounted for 64% of the growth in State parole from 1990 to 2000.

Sixteen States experienced a decline in their parole populations. Washington State (down 98%), followed by North Carolina (down 68%) and Mississippi (down 52%), had the largest declines, as the result of abolishing discretionary parole.

At yearend 2000 nearly 1 in every 320 adults were under State parole supervision. Overall, there were 312 parolees per 100,000 adult U.S. residents in 2000, up from 271 per 100,000 residents in 1990.

Among States, Pennsylvania (with 876 parolees per 100,000 State residents), Texas (with 747), and Louisiana (with 704) had the highest rates of parole supervision. Excluding Maine and Washington, which abolished parole in 1975 and 1984, respectively, North Dakota had the lowest rate of parole supervision (24 per 100,000 State residents), followed by Nebraska (with 38), Rhode Island (with 44), and Florida (with 49).

Since 1990 discretionary releases have declined; mandatory parole and expiration of sentence releases have increased

Regardless of their method of release, nearly all State prisoners (at least 95%) will be released from prison at some point; nearly 80% will be released to parole supervision. (See *Prisoners in 1998*, August 1999, NCJ 175687.) As a percentage of all releases, mandatory parole releases increased from 29% in 1990 to 41% in 1999 (figure 1). Discretionary parole releases dropped from 39% to 24%, while releases due to expiration of sentence rose from 13% to 18%.

In the 1980's discretionary parole was the primary method of release from State prison (table 3). Between 1985 and 1990 discretionary parole releases increased from 88,069 to 159,731. The number released by State parole boards peaked in 1992 (at 170,095) and declined each year thereafter, dropping to 128,708 in 1999.

Consistent with the adoption of truth in sentencing and other mandatory release statutes, mandatory parole releases have steadily increased, from 26,735 in 1980 to 116,857 in 1990. By 1995 the number of mandatory releases exceeded the number of discretionary releases. In 1999, 223,342 State prisoners were released by mandatory parole, a 91%-increase from 1990.

Growth in prison releases linked to drug offenders

Overall, the number of prison releases rose from 405,374 in 1990 to 542,950 in 1999. Based on the most serious offense for which prisoners had served time, drug offenders comprised an increasing percentage of prison releases. Nearly 33% of State prison releases in 1999 were drug offenders (up from 26% in 1990 and 11% in 1985) (figure 2). The number of drug offenders released rose from 23,000 in 1985 to 105,800 in 1990. After 1990 the number of drug offenders continued to go up, reaching 177,000 in 1999.

As a percentage of all releases from prison, violent offenders have remained stable, while property

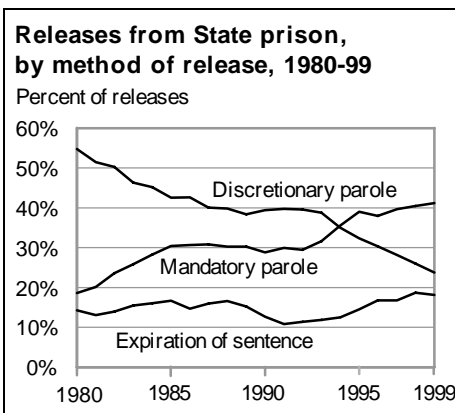


Figure 1

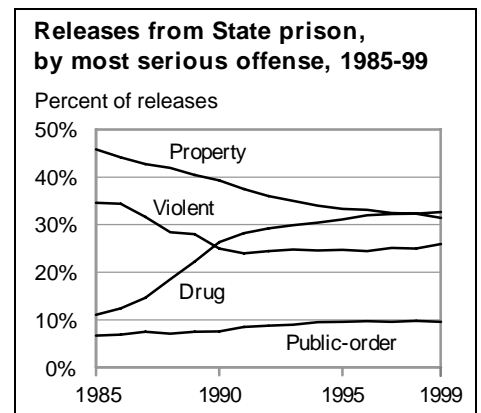


Figure 2

Table 3. Method of release from State prison, for selected years, 1980-99

Year	All releases*	Discretionary parole	Mandatory parole	Other conditional	Expiration of sentence
1980	143,543	78,602	26,735	9,363	20,460
1985	206,988	88,069	62,851	15,371	34,489
1990	405,374	159,731	116,857	62,851	51,288
1992	430,198	170,095	126,836	60,800	48,971
1995	455,140	147,139	177,402	46,195	66,017
1999	542,950	128,708	223,342	66,337	98,218

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison. Counts are for December 31 for each year.
 *Includes releases to probation, commutations, and other unspecified releases and excludes escapees, AWOL's, and transfers.

offenders have dropped sharply. Nearly 25% of releases were violent offenders in 1999 (down from 26% in 1990), and 31% were property offenders (down from 39%).

Between 1990 and 1999, annual releases from State prison to parole supervision grew by an estimated 78,900 inmates (table 4). Drug offenders accounted for 61% of the increase, followed by violent offenders (23%), and public-order offenders (15%). The number of property offenders released to parole declined from 1990 to 1999.

About 98,000 State prisoners were released unconditionally through an expiration of their sentence in 1999, up

from 48,971 released in 1990. These inmates were released without any parole supervision. Of those released in 1999, 32% were violent offenders, 32% property offenders, 24% drug offenders, and 12% public-order offenders.

Prison releases have served more time and a greater portion of their sentence before release

Among all State inmates released from prison for their first time on their current offense (“first releases”), the average time served in prison increased from 22 months in 1990 to 29 months in 1999 (table 5). Released inmates had also served an average

of 5 months in local jails prior to their admission to prison. Overall, released inmates had served a total of 34 months in 1999 — 6 months longer than released inmates in 1990.

Murderers released in 1999 served on average 14 months longer than those released in 1990 (106 months versus 92 months). Rape offenders served 17 months longer (79 months compared to 62 months). Drug offenders served 27 months in 1999, compared to 20 months in 1990.

Reflecting statutory and policy changes that required offenders to serve a larger portion of their sentence before release, all offenders released for the first time in 1999 served on average 49% of their sentence, up from 38% in 1990.

Of the four major offense categories, violent offenders served the highest percentage (55%) in 1999, followed by public-order (51%), property (46%), and drug offenders (43%). Offenders convicted of assault served the highest percentage of their sentence (about 59%), followed by offenders convicted of rape (58%).

Table 4. Partitioning the growth in method of release from State prison, by offense, 1990-99

Most serious offense	Parole supervision*		Expiration of sentence	
	Change, 1990-99	Percent of total	Change, 1990-99	Percent of total
All offenses	78,900	100.0%	46,900	100.0%
Violent	19,800	23.3	15,500	33.0
Property	-1,100		9,100	19.3
Drug	52,100	61.4	14,900	31.7
Public-order	13,000	15.3	7,600	16.1

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison. Counts are for December 31 for each year.

*Includes all releases to parole, probation, and other conditional supervision.

Table 5. Sentence length and time served for first releases from State prison, 1990 and 1999

	Mean sentence length ^a		Mean time served in —				Total time served ^c		Percent of sentence served ^d	
	1990	1999	Jail ^b		Prison		1990	1999	1990	1999
			1990	1999	1990	1999				
All offenses	69 mo	65 mo	6 mo	5 mo	22 mo	29 mo	28 mo	34 mo	38.0%	48.7%
Violent offenses	99 mo	87 mo	7 mo	6 mo	39 mo	45 mo	46 mo	51 mo	43.8%	55.0%
Murder ^e	209	192	9	10	83	96	92	106	43.1	53.1
Manslaughter	88	102	5	6	31	49	37	56	41.0	52.5
Rape	128	124	7	6	55	73	62	79	45.5	58.3
Other sexual assault	77	76	5	6	30	42	36	47	43.8	57.0
Robbery	104	97	7	6	41	48	48	55	42.8	51.6
Assault	64	62	6	6	23	33	30	39	43.9	58.7
Property offenses	65 mo	58 mo	6 mo	5 mo	18 mo	25 mo	24 mo	29 mo	34.4%	45.6%
Burglary	79	73	6	5	22	31	29	36	33.9	44.3
Larceny/theft	52	45	6	4	14	19	20	24	35.5	46.9
Motor vehicle theft	56	44	7	5	13	20	20	25	33.1	52.5
Fraud	56	49	6	4	14	19	20	23	33.2	41.7
Drug offenses	57 mo	59 mo	6 mo	5 mo	14 mo	22 mo	20 mo	27 mo	32.9%	42.8%
Possession	61	56	6	5	12	20	18	25	29.0	42.4
Trafficking	60	64	6	5	16	24	22	29	34.8	42.0
Public-order offenses	40 mo	42 mo.	5 mo	4 mo	14 mo	19 mo	18 mo	23 mo	42.6%	51.1%

Note: Based on prisoners with a sentence of more than 1 year who were released for the first time on the current sentence. Excludes prisoners released from prison by escape, death, transfer, appeal, or detainee.

^aMaximum sentence length for the most serious offense. Excludes sentences of life, life without parole, life plus additional years, and death.

^bTime served in jail and credited toward the current sentence.

^cBased on time served in jail and in prison. Detail may not add to total because of rounding.

^dBased on total sentence length (not shown) for all consecutive sentences.

^eIncludes nonnegligent manslaughter.

Table 6. Time served, maximum sentence, and percent of sentence served for Part 1 violent offenders, by State, 1993, 1996, and 1999

	Mean maximum sentence ^a			Mean time served			Percent of sentence served ^b		
	1993	1996	1999	1993	1996	1999	1993	1996	1999
All States	108 mo	99 mo	103 mo	46 mo	50 mo	53 mo	46%	52%	56%
Truth-in-sentencing States ^c	89 mo	88 mo	93 mo	41 mo	46 mo	50 mo	50%	54%	58%
Arizona	69	71	60	43	48	49	62	68	81
California	58	63	60	33	36	37	57	57	61
Connecticut	71	74	80	38	49	64	54	65	80
Delaware	--	--	--	42	42	46	--	--	--
Florida	74	84	91	31	45	53	42	54	58
Georgia	150	134	117	63	67	76	42	50	65
Illinois	91	99	107	40	45	48	44	45	45
Iowa	192	135	146	39	48	58	20	36	40
Kansas	--	--	--	29	33	41	--	--	--
Louisiana	104	98	96	67	68	45	64	69	48
Maine	--	--	--	43	44	39	--	--	--
Michigan	43	50	52	46	53	59	/	/	/
Minnesota	50	56	60	34	37	39	68	67	65
Mississippi	106	118	128	45	58	57	43	49	44
Missouri	96	98	99	74	78	85	77	80	86
New Jersey	121	108	120	47	46	53	39	43	44
New Mexico	70	67	77	38	37	57	54	56	74
New York	94	96	98	50	53	66	53	56	68
North Carolina	136	121	120	33	44	52	24	36	44
North Dakota	47	60	38	31	47	29	66	78	76
Ohio	237	226	165	61	71	64	26	32	39
Oregon	111	65	62	43	37	42	39	58	67
Pennsylvania	117	119	140	54	61	80	46	51	57
South Carolina	100	90	104	44	44	46	44	48	44
Tennessee	130	121	131	48	58	65	37	48	50
Utah	121	90	100	43	36	35	36	40	36
Virginia	107	97	113	41	50	62	38	51	55
Washington	41	47	49	31	34	38	76	72	78
Wisconsin	84	82	80	41	43	51	49	52	64
Other States ^d	129 mo	113 mo	104 mo	53 mo	54 mo	55 mo	42%	48%	54%
Alabama	--	--	--	--	--	--	--	--	--
Alaska	115	124	88	65	71	63	57	57	72
Arkansas	131	109	157	35	37	56	27	34	36
Colorado	98	89	96	39	40	50	40	45	52
Hawaii	138	124	125	64	57	59	47	46	47
Idaho	104	90	98	59	80	36	57	89	37
Indiana	108	111	102	54	56	46	50	51	45
Kentucky	242	156	196	77	71	/	32	45	/
Maryland	118	106	99	63	59	57	53	56	58
Massachusetts	123	110	98	51	61	61	42	55	63
Montana	89	119	--	61	54	60	69	46	--
Nebraska	118	123	140	55	49	61	47	40	44
Nevada	--	86	107	--	34	41	--	40	39
New Hampshire	98	89	100	36	39	48	37	44	48
Oklahoma	104	110	111	34	42	47	33	38	42
Rhode Island	80	80	68	44	50	46	55	63	67
South Dakota	101	78	72	36	37	29	35	48	40
Texas	157	123	97	48	57	59	31	46	61
Vermont	100	113	121	29	56	54	29	50	45
West Virginia	171	108	139	76	50	62	44	46	45
Wyoming	140	123	137	69	69	55	49	56	40

Note: Data were obtained from the Violent Offender Incarceration and Truth-in-Sentencing (VOITIS) Incentive Grant Program. Includes only offenders with a sentence of more than 1 year released for the first time on the current sentence. Excludes persons released from prison by escape, death, transfer, appeal or detainer. Part 1 violent crimes include murder/nonnegligent manslaughter, rape, robbery, and aggravated assault.
--Not reported.

/Not calculated.

^aExcludes sentences of life or death.

^bBased on States that reported both mean maximum sentence and mean time served.

^cStates met the Federal 85% requirement for VOITIS grants in fiscal year 2000 based on 1999 data. Excludes the District of Columbia.

^dRequirement for percent of sentence served may vary by State and by type of offender.

Time served by released Part 1 violent offenders increased in 33 States between 1993 and 1999

Through the VOITIS program, 33 States reported an increase in average time served by released Part 1 violent prisoners between 1993 and 1999 (table 6). Overall, time served by released Part 1 violent offenders rose from 46 months to 53 months. The average time served for violent offenders released in 1999 ranged from 29 months in North Dakota to 85 months in Missouri.

The percent of the total sentence served increased from 46% in 1993 to 56% in 1999. Part 1 violent offenders in Missouri (86%), Arizona (81%), and Connecticut (80%) served the highest percent of their sentences before release. Violent offenders in Utah and Arkansas served the lowest percent of their sentences before release (36%).

On average, in 1999 released violent offenders in Federal truth-in-sentencing States served 50 months (or 58% of the average maximum sentence), while violent offenders in other States served 55 months (54% of the maximum sentence). Between 1993 and 1999, the percent of sentence served by released violent inmates rose in 21 of the 25 truth-in-sentencing States that reported data and in 12 of the 21 States not meeting the 85%-standard.

Inmates released by parole boards served longer than those released by mandatory parole

In 1999 prisoners released by discretionary parole for the first time on the current sentence had served an average of 35 months in prison and jail, while those released through mandatory parole had served 33 months (table 7). Among discretionary

releases, time served rose for all types of offenders during the 1990's. In 1999 violent offenders released by discretionary parole served 10 months longer than violent offenders released in 1990; property offenders served 6 months longer; drug offenders, 8 months; and public-order offenders, 3 months.

Among mandatory parole releases, time served also increased for all types of offenses — violent and public-order offenders served 6 months longer in 1999 than in 1990, while property and drug offenders served 7 months longer.

Although the average time served by discretionary releases exceeded the time served by mandatory parole releases in both years, discretionary releases served a smaller percentage of their prison sentences before release. In 1999 discretionary releases served 37% of their total prison sentence (up from 34% in 1990); mandatory releases served 61% of their sentence (up from 55%).

Prisoners released due to expiration of sentence had served longer in 1999 (36 months) than in 1990 (31 months). Violent offenders released through expiration of sentence had the largest increase (8 months) in time served in prison. In 1999 violent offenders released through expiration of sentence served, on average, 68% of their total maximum sentence, up from 53% in 1990.

Among discretionary and mandatory parole releases, black offenders served longer than whites

Time served by prisoners released for the first time on their current sentence in 1999 varied among white, black, and Hispanic prisoners. Overall, black non-Hispanic offenders released by

Table 7. Sentence length and time served for first releases from State prison, by method of release, 1990 and 1999

Type of release and offense	1990			1999		
	Mean sentence length ^a	Mean total time served ^b	Percent of sentence served ^c	Mean sentence length ^a	Mean total time served ^b	Percent of sentence served ^c
Discretionary release	82 mo	29 mo	34%	89 mo	35 mo	37%
Violent	118	49	40	126	59	44
Property	77	25	31	83	31	34
Drug	70	20	29	80	28	33
Public-order	44	18	37	49	21	39
Mandatory release	42 mo	27 mo	55%	48 mo	33 mo	61%
Violent	64	41	59	66	47	63
Property	38	23	52	43	30	59
Drug	33	20	50	40	27	59
Public-order	27	19	61	38	25	61
Expiration of sentence	56 mo	31 mo	53%	49 mo	36 mo	67%
Violent	81	44	53	69	52	68
Property	50	27	52	41	30	65
Drug	35	21	57	41	29	65
Public-order	43	28	62	35	25	66

Note: Based on prisoners with a sentence of more than 1 year. Excludes persons released from prison by escape, death, transfer, appeal, or detainee.

^aExcludes sentences of life without parole, life plus additional years, life and death.

^bIncludes time served in prison and jail.

^cBased on total sentence length (not shown) for all consecutive sentences.

Table 8. Mean time served in prison for first releases to State parole, by method of release, 1999

Most serious offense	Discretionary parole releases					Mandatory parole releases				
	Male	Female	White ^a	Black ^a	Hispanic	Male	Female	White ^a	Black ^a	Hispanic
All offenses	36 mo	26 mo	34 mo	37 mo	33 mo	34 mo	24 mo	31 mo	38 mo	30 mo
Violent offenses	60 mo	45 mo	58 mo	62 mo	47 mo	48 mo	36 mo	47 mo	53 mo	41 mo
Murder ^b	122	91	126	116	113	104	87	112	105	97
Manslaughter	58	52	52	67	39	50	42	46	53	52
Rape	93	--	80	122	54	86	--	82	98	71
Other sexual assault	52	41	52	54	40	46	44	49	43	42
Robbery	61	40	62	61	45	51	33	52	56	39
Assault	46	34	43	48	41	32	27	30	36	29
Property offenses	32 mo	21 mo	30 mo	32 mo	30 mo	31 mo	22 mo	29 mo	33 mo	29 mo
Burglary	39	27	37	41	36	37	24	35	41	34
Larceny/theft	25	19	24	23	22	26	20	25	27	24
Motor vehicle theft	26	21	26	26	27	24	19	23	28	24
Fraud	26	20	24	25	26	27	22	25	27	23
Drug offenses	29 mo	24 mo	27 mo	28 mo	31 mo	27 mo	21 mo	22 mo	31 mo	26 mo
Possession	27	23	24	26	34	27	20	20	34	27
Trafficking	29	24	28	28	29	31	26	25	36	29
Public-order offenses	21 mo	19 mo	19 mo	22 mo	22 mo	26 mo	21 mo	24 mo	29 mo	24 mo

Note: Based on prisoners with a sentence of more than 1 year. Excludes prisoners released from prison by escape, death, transfer, appeal, or detainee. Includes time served in prison and jail.

--Not calculated.

^aExcludes persons of Hispanic origin.

^bIncludes nonnegligent manslaughter.

discretionary parole in 1999 served 37 months; white non-Hispanics served 34 months; and Hispanics 33 months (table 8). Black offenders released by mandatory parole served 7 months longer than whites (38 months compared to 31 months). Hispanics served 30 months.

Among released violent offenders, blacks served 4 months longer than whites before a discretionary parole release (62 months compared to 58 months) and 6 months longer before a mandatory parole (53 months compared to 47 months). Hispanic prisoners served the shortest amount of time for violent offenses before release (47 months before a discretionary parole release and 41 months before a mandatory release).

In 1999 Hispanics served longer than other groups for drug offenses before a discretionary parole release (31 months versus 27 for whites and 28 for blacks). Black drug offenders served more time before a mandatory release (31 months), than whites (22 months) and Hispanics (26 months).

Women released in 1999 served less time in State prison than men, regardless of the method of release. On average, women released by discretionary parole served 26 months, and

men served 36 months. Women released by mandatory parole served 24 months and men served 34 months.

For violent offenses, women served 45 months prior to discretionary release compared to 36 months among women who received a mandatory parole. Women in prison for drug offenses served 24 months before a discretionary release and 21 months before a mandatory release.

Over half of prison releases had a prior incarceration; more than a quarter were parole violators

A majority of released State prisoners had been in prison before and were returned to prison for new offenses or parole violations. According to inmates in State prison in 1997, 56% of those who expected to be released to the community by yearend 1999 had one or more prior incarcerations, and 25% had 3 or more prior incarcerations (table 9). Among those expecting to

Table 9. Characteristics of State prisoners expected to be released by yearend 1999

Characteristic	Percent of expected releases
Most serious offense	
Violent	33.2%
Property	26.6
Drug	26.7
Public-order	13.3
Other	0.2
Number of prior incarcerations	
0	44.0%
1	20.6
2	9.9
3 to 5	15.3
6 or more	10.2
Criminal justice status at time of arrest	
None	46.4%
On probation	26.2
On parole	26.7
Escape	0.7

Note: Based on data from the *Survey of Inmates in State Adult Correctional Facilities, 1997*.

Table 10. Substance abuse, mental illness, and homelessness among State prisoners expected to be released by yearend 1999

Characteristic	Percent of expected releases
Alcohol or drug involved at time of offense	83.9%
Alcohol abuse	
Alcohol use at time of offense	41.5%
Alcohol dependent	24.9
Drug use	
In month before offense	58.8%
At time of offense	45.3
Intravenous use in the past	24.8
Committed offense for money for drugs	20.9
Mentally ill	14.3%
Homeless at time of arrest	11.6%

Note: Based on data from the *Survey of Inmates in State Adult Correctional Facilities, 1997*.

Table 11. State parole entries and discharges, 1980 and 1990-2000

Year	Entries	Discharges
1980	113,383	105,215
1990	349,030	274,697
1991	355,748	300,084
1992	362,466	325,470
1993	372,823	366,038
1994	382,999	374,183
1995	381,878	368,746
1996	390,537	372,875
1997	396,651	389,074
1998	409,922	402,946
1999	423,850	410,613
2000	441,605	432,183

Note: Based on the *Annual Parole Survey*, 1980-2000. Counts are for entries and discharges between January 1 and December 31 of each year.

return to the community by 1999, 27% had been on parole and 26% on probation at the time of arrest for their current incarceration.

These criminal records were compounded by histories of drug and alcohol abuse, mental illness, and homelessness (table 10). Among prisoners expected to be released to the community by yearend 1999, 84% reported being involved in drugs or alcohol at the time of the offense. Nearly 25% were determined to be alcohol dependent, and 21% had committed the offense to obtain money for drugs. Fourteen percent were determined to be mentally ill, and 12% reported being homeless at the time of arrest.

State parole entries and discharges rose during the 1990's

During 2000 there were 441,605 entries to State parole, a 27% increase over the number that entered parole in 1990 (table 11). The number of discharges from State parole rose from 274,697 in 1990 to 432,183 in 2000, an increase of 57%. During the 1990's, State parole entries increased an average of 2.4% per year, while parole discharges increased an average of 4.6% per year.

Discharges include parolees who are successful as well as those who are unsuccessful (including revocations, returns to prison or jail, and absconders). Discharges also include parolees transferred to other jurisdictions and those who die while under supervision.

Re-releases an increasing portion of State parole entries

Among parole entries, the percentage who had been re-released rose between 1990 and 1999. Re-releases are persons leaving prison after having served time either for a violation of parole or other conditional release or for a new offense committed while under parole supervision. In 1990, 27% of entries to parole were re-releases; in 1999, 45% were re-releases (figure 3). During 1999 an estimated 192,400 re-releases entered parole, an increase of 103% over the 94,900 re-releases in 1990.

Entries to State parole, by type of prison release, 1985-99

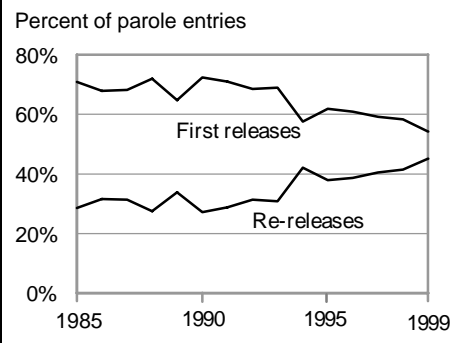


Figure 3

After having been returned to prison for a parole or conditional release violation, re-releases served on average 13 months in prison in 1999 (table 12). From 1990 to 1999 their average time served in prison following re-admission increased by 2 months. In both years about 7 in 10 re-releases had served less than 12 months in prison.

Table 12. Criminal justice characteristics of State parole entries, 1990 and 1999

Characteristic	Percent of entries	
	1990	1999
Most serious offense		
Violent	24.8%	24.4%
Property	38.7	30.8
Drug	27.2	35.3
Public-order	7.4	9.0
Other	2.0	0.5
Method of release		
Discretionary parole	59.8%	41.7%
Mandatory parole	40.2	58.3
Type of release		
First release	72.4%	54.2%
Re-release	27.2	45.4
Other	0.5	0.4
Time served in State prison		
First releases		
Less than 12 mos.	47.0%	34.0%
12-23	25.2	27.7
24-59	20.3	26.1
60 or more	7.5	12.3
Mean time served	22 mo	29 mo
Re-releases		
Less than 12 mos.	74.2%	72.3%
12-23	15.8	13.7
24-59	8.1	10.3
60 or more	1.9	3.7
Mean time served	11 mo	13 mo

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison. Data are from the *National Corrections Reporting Program*.

Table 13. Demographic characteristics of State parole entries, 1990 and 1999

Characteristic	Percent of entries	
	1990	1999
Gender		
Male	92.1%	90.1%
Female	7.9	9.9
Race/Hispanic origin		
White non-Hispanic	34.2%	35.4%
Black non-Hispanic	48.8	47.3
Hispanic	16.3	16.1
Other	0.7	1.2
Age at prison release		
17 or younger	0.2%	0.1%
18-24	23.4	16.3
25-29	26.6	19.0
30-34	22.2	19.7
35-39	13.9	19.2
40-44	7.3	13.5
45-54	4.9	10.2
55 or older	1.5	2.1
Mean age	31 yrs	34 yrs
Education		
8th grade or less	16.8%	11.0%
Some high school	45.4	39.8
High school graduate	29.6	42.2
Some college or more	8.2	7.0

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison. Data are from the *National Corrections Reporting Program*.

State parole entries older in 1999 than in 1990

The average age of prisoners released to parole increased from 31 years in 1990 to 34 years in 1999 (table 13). In 1999 an estimated 109,300 State prisoners age 40 or older were paroled, — 26% of all entries to parole. This was more than double the 47,800 prisoners age 40 or older who entered parole in 1990.

The number of parole entries among inmates under age 35 declined over the period. In 1999, 233,500 State prisoners under age 35 entered parole, down from 252,700. The largest decline was among inmates age 25 to 29. In 1990 they represented 27% of all parole entries; in 1999, 19%.

Female entries to parole increased during the 1990's

In 1999, 10% of entries to State parole were female, up from 8% in 1990. The number of women who entered parole increased from an estimated 27,600 in 1990 to 42,000 in 1999. Although the 52% increase in the number of female parole entries outpaced that of males (up 19%), there were 381,900 male entries in 1999.

An increasing percentage of women entering parole had served time for drug offenses (table 14). In 1990, 36% of female parole entries were drug offenders; by 1999, 42% were drug offenders. Women first released to parole were less likely to be property offenders in 1999 (35%) than in 1990 (42%). As a percentage of women entering parole, violent offenders remained unchanged (16%).

Among parole entries, the racial and ethnic distributions remained nearly stable during the 1990's. In 1999, 35% of parole entries were white, 47% were black, and 16% were Hispanic. Violent offenders accounted for approximately a quarter of first releases among whites, blacks, and Hispanics in both 1990 and 1999.

Drug offenders represented an increasing percentage of parole entries, among all groups. In 1999 drug offenders comprised 39% of black parole entries (up from 31% in 1990); 43% of Hispanic entries (up from 41%); and 21% of white entries (up from 18%).

Parole success rates unchanged since 1990

Of the 410,613 discharges from State parole in 1999, 42% successfully completed their term of supervision, 43% were returned to prison or jail, and 10% absconded. In 1990, 45% of State parole discharges were successful. Between 1990 and 1999 the percent successful among State parole discharges has ranged from 42% to 49%, without any distinct trend.

States differed in their rate of success among parole discharges (table 15). States with the highest rates of success in 1999 were Massachusetts and Mississippi (at 83% each), followed by North Carolina (80%) and North Dakota (79%). Utah (18%) and California (21%) had the lowest rates of success in 1999.

When comparing State success rates for parole discharges, differences may be due to variations in parole populations, such as age at prison release, criminal history, and most serious offense. Success rates may also differ based on the intensity of supervision and the parole agency policies related to revocation of technical violators.

Table 14. Most serious offense of first releases to State parole, 1990 and 1999

Most serious offense	First releases to State parole in 1990					First releases to State parole in 1999				
	Male	Female	White ^a	Black ^a	Hispanic	Male	Female	White ^a	Black ^a	Hispanic
All offenses	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Violent offenses	26.1%	15.9%	23.7%	27.0%	22.4%	28.7%	15.9%	25.9%	28.4%	26.7%
Murder ^b	1.8	2.2	1.7	2.0	1.9	1.4	1.3	1.0	1.6	1.6
Manslaughter	1.0	1.6	1.4	0.9	0.7	1.1	1.2	1.3	0.9	0.9
Rape	2.1	0.1	2.3	1.7	1.7	1.8	0.2	2.3	1.2	1.3
Other sexual assault	2.9	0.4	4.5	1.4	2.0	3.8	0.4	5.6	1.7	3.5
Robbery	11.1	6.4	6.8	14.0	9.9	9.5	4.9	5.5	12.2	8.0
Assault	6.1	4.3	5.5	6.3	5.4	9.4	6.2	8.1	9.3	9.6
Property offenses	37.6%	41.5%	44.9%	35.3%	28.3%	28.7%	35.3%	38.6%	24.9%	20.4%
Burglary	18.4	6.1	20.6	15.0	16.3	13.4	6.4	16.7	10.3	10.6
Larceny/theft	9.2	17.3	10.7	10.5	5.9	6.5	12.8	8.8	6.9	3.7
Motor vehicle theft	2.7	0.9	2.8	2.3	2.7	2.2	1.2	2.3	1.7	2.5
Fraud	3.9	14.8	6.7	4.2	1.6	3.3	12.4	6.3	3.5	1.3
Drug offenses	26.6%	36.2%	18.4%	30.6%	40.5%	31.3%	41.7%	20.9%	38.7%	42.6%
Possession	7.9	11.0	6.0	10.2	7.7	8.5	12.0	7.4	10.1	9.4
Trafficking	14.0	17.7	8.2	15.5	26.8	17.4	20.0	9.2	21.9	26.6
Public-order offenses	8.5%	5.1%	11.2%	6.1%	7.3%	10.9%	6.5%	14.2%	7.6%	9.8%

Note: Based on prisoners with a sentence of more than 1 year who were released for the first time on the current sentence. Excludes prisoners released from prison by escape, death, transfer, appeal, or detainee. Detail may not add to total because of rounding and exclusion of other/unspecified offenses.

^aExcludes persons of Hispanic origin.
^bIncludes nonnegligent manslaughter.

Table 15. Percent successful among State parole discharges, by State, 1990, 1995, and 1999

Region and jurisdiction	Percent successful of all parole discharges		
	1990	1995	1999
All States	44.6%	44.3%	41.9%
Northeast			
Connecticut	55.0%	55.3%	57.7%
Maine	/	/	/
Massachusetts	75.8	71.3	82.9
New Hampshire	60.1	67.3	--
New Jersey	61.3	43.1	55.1
New York	48.9	51.9	54.9
Pennsylvania	79.2	70.3	/
Rhode Island	62.6	64.8	65.9
Vermont	38.2	48.6	65.8
Midwest			
Illinois	47.0%	66.3%	62.9%
Indiana	73.0	74.6	63.0
Iowa	69.8	68.0	60.9
Kansas	11.5	37.4	32.3
Michigan	52.7	60.0	51.9
Minnesota	73.3	66.6	55.7
Missouri	52.5	66.4	40.4
Nebraska	68.2	57.3	62.9
North Dakota	76.6	75.7	79.1
Ohio	52.4	50.0	43.6
South Dakota	66.8	70.6	62.6
Wisconsin	72.6	59.1	63.4
South			
Alabama	28.8%	/	72.1%
Arkansas	68.1	40.1	39.6
Delaware	82.8	--	/
Dist. of Columbia	40.1	48.8	--
Florida	61.2	40.9	56.5
Georgia	62.2	60.2	63.4
Kentucky	22.6	31.6	33.7
Louisiana	61.5	47.8	46.9
Maryland	67.2	64.6	47.0
Mississippi	62.6	78.2	82.7
North Carolina	78.8	68.4	79.8
Oklahoma	69.2	67.0	75.4
South Carolina	54.7	55.9	65.3
Tennessee	35.9	25.8	42.3
Texas	35.1	41.0	54.9
Virginia	68.0	57.8	63.2
West Virginia	48.2	46.0	65.2
West			
Alaska	44.0%	39.5%	33.7%
Arizona	62.3	48.9	61.9
California	19.4	20.9	21.3
Colorado	58.2	48.9	36.3
Hawaii	13.1	40.5	32.4
Idaho	61.5	26.0	46.4
Montana	55.3	--	59.9
Nevada	70.4	74.6	66.8
New Mexico	37.8	28.9	28.5
Oregon	27.9	39.6	50.6
Utah	21.8	23.7	18.5
Washington	47.9	29.4	/
Wyoming	66.1	48.5	59.6

Note: Based on the *Annual Parole Survey*. Counts are for discharges between January 1 and December 31 of each year.

--Not reported.
/Not calculated.

Success rates highest among first releases and discretionary parole releases

In every year during the 1990's, first releases to State parole were more likely to have been successful than re-releases. Among State parole discharges in 1990, 56% of first releases successfully completed their supervision, compared to 15% of re-releases. Of all those exiting parole in 1999, 63% of first releases were successful, compared to 21% of re-releases (table 16).

Success rates also varied by method of release. In every year between 1990 and 1999, State prisoners released by a parole board had higher success rates than those released through mandatory parole. Among parole

discharges in 1999, 54% of discretionary parolees were successful compared to 33% of those who had received mandatory parole. Between 1990 and 1999 the percent successful among discretionary parolees varied between 50% and 56%, while the percent successful among mandatory parolees varied between 24% and 33%.

Among parole discharges in 1999 who had been released from prison for the first time on their current offense, mandatory parolees had a higher success rate (79%) than discretionary parolees (61%) (table 17). Discretionary parolees in 1999 who had been re-released from prison were more likely to be successful (37%) than mandatory parolees (17%).

Table 16. Percent successful among State parole discharges, by method of release from prison, 1990-99

Year	All discharges ^a	Type of release ^b		Method of release ^b	
		First release	Re-release	Discretionary parole	Mandatory parole
1990	44.6%	56.4%	14.6%	51.6%	23.8%
1991	46.8	60.7	17.1	52.6	24.9
1992	48.6	57.4	22.5	50.7	29.8
1993	46.9	65.4	23.0	54.8	33.5
1994	44.3	56.7	19.1	52.2	30.4
1995	44.3	63.4	18.0	54.3	28.0
1996	45.2	67.4	19.4	55.9	30.2
1997	43.4	63.4	18.7	55.8	30.8
1998	43.8	62.9	20.5	55.3	32.2
1999	41.9	63.5	21.1	54.1	33.1

^aData are from the *Annual Parole Survey*.

^bData are from the *National Corrections Reporting Program*.

Table 17. Percent successful among State parole discharges, by type and method of release, 1990-99

Year	First release		Re-release	
	Discretionary	Mandatory	Discretionary	Mandatory
1990	59.6%	51.5%	26.7%	11.7%
1991	58.5	51.9	33.5	13.7
1992	49.4	59.8	43.3	16.6
1993	58.8	88.8	41.8	17.4
1994	53.2	81.6	43.9	13.7
1995	57.8	81.5	40.4	12.7
1996	60.2	84.3	42.7	14.0
1997	60.9	78.9	39.2	13.5
1998	61.7	78.6	38.1	16.2
1999	61.4	78.6	36.7	16.6

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison. Data are from the *National Corrections Reporting Program*.

Among parole discharges, success rates rose for blacks and Hispanics; dropped for whites

Between 1990 and 1999 the success rates among State parole discharges increased from 33% to 39% among blacks and increased from 31% to 51% among Hispanics, but dropped from 44% to 41% among whites (table 18). The 11 percentage-point difference in success rates between white and black parole discharges in 1990 narrowed to less than 2 percentage points in 1999.

Table 18. Percent successful among State parole discharges, by selected characteristics, 1990 and 1999

Characteristic	Percent successful	
	1990	1999
Gender		
Male	35.9%	39.3%
Female	37.1	47.7
Race/Hispanic origin		
White non-Hispanic	44.1%	40.9%
Black non-Hispanic	33.2	39.0
Hispanic	31.0	50.6
Other	33.6	42.2
Age at parole discharge		
17 or younger	26.2%	42.9%
18-24	33.4	36.3
25-29	34.8	42.6
30-34	34.1	39.0
35-39	36.8	38.3
40-44	38.4	39.5
45-54	46.2	43.1
55 or older	56.6	54.5
Method of release		
Discretionary parole	51.6%	54.1%
Mandatory parole	23.8	33.1
Type of release		
First release	56.4%	63.5%
Re-release	14.6	21.1
Most serious offense		
Violent	39.1%	41.0%
Property	33.8	36.5
Drug	33.7	40.9
Public-order	46.1	47.1
Time served in prison*		
Less than 12 months	74.6%	74.0%
12-23 months	67.7	68.7
24-59 months	59.1	62.7
60 months or more	49.5	62.0

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison. Data are from the *National Corrections Reporting Program*.
*First releases only.

Hispanic parolees, who had the lowest rate of success in 1990, had the highest rate in 1999.

For female parole discharges, the rate of success rose over 10 percentage points (from 37% in 1990 to 48% in 1999). The success rate among male parole discharges increased from 36% to 39%.

Older parole discharges had the highest rates of success in both years. Accounting for 2.1% of discharges in 1999, parolees age 55 or older had the highest rate of successful completion (55%). Among parole discharges in other age groups, success rates fluctuated between 36% and 43%.

Success rates highest among first releases serving less than 12 months in prison

Among parole discharges, 74% of first releases who had served less than 12 months in prison successfully completed parole, the highest success rate among paroled first releases. As the length of time served in prison increased for first releases, the success rate declined, with offenders with the longest time served (5 years or more) having the lowest success rate (62%). The rate of success for this group still exceeded the overall success rate of 42% for all parolees.

In 1999 parole discharges served an average of 26 months under supervision, up from 23 months in 1990

Among first releases from prison, successful parole board releases served, on average, 34 months in 1999; while successful mandatory parole releases served 21 months. Unsuccessful parole discharges released by a parole board served an average 26 months, while those released by mandatory parole served 19 months. Overall, successful parole discharges in 1999 served an average of 27 months under parole supervision and unsuccessful discharges served 24 months.

Regardless of outcome, State parole discharges who had been released by a parole board served longer under supervision in 1999 than in 1990.

Method of release	Average time served on parole*	
	1990	1999
All releases	23 mo	26 mo
Successful releases	25 mo	27 mo
Discretionary	27	34
Mandatory	21	21
Unsuccessful releases	21 mo	24 mo
Discretionary	19	26
Mandatory	22	19

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison.
*First releases only.

Rates of successful termination higher when California is excluded

The size and make-up of California's parole population, combined with the low percent of successful terminations (25% in 1999), affect the national rate of success for parole discharges. If data from California are removed from the analysis, the comparative rates of success for discretionary and mandatory parole change dramatically.

When California data are excluded, the success rate for all parole discharges rises to 53% (from 42%), and the rate for mandatory parolees increases to 64% (from 33%) in 1999.

Overall, California accounted for nearly 30% of all State parole discharges during 1999. Discretionary parole, though available as a method of release, is rarely used in California. In 1999 more than 99% of California's parole discharges had received mandatory parole.

Percent successful among parole discharges in California and all other States, 1995-99

Year	California	Parole in all other States	
	All parole	All	Mandatory Discretionary
1995	22.7%	52.8%	64.0% 54.2%
1996	23.8	56.6	71.6 55.8
1997	22.8	55.9	67.2 55.8
1998	24.3	54.5	65.7 55.2
1999	25.2	53.3	63.9 53.9

Note: Based on prisoners with a sentence of more than 1 year who were released from State prison.

Table 19. Percent parole violators among admissions to State prison, 1990 and 1999

Region and jurisdiction	Percent of admissions that were parole violators	
	1990	1999
All States^a	28.8%	34.8%
Northeast		
Connecticut	43.4%	17.4%
Maine	21.3	40.9
Massachusetts	31.4	22.7
New Hampshire	19.3	31.6
New Jersey	20.8	35.5
New York	18.1	31.5
Pennsylvania	26.1	36.1
Rhode Island	24.9	19.0
Vermont	14.5	17.0
Midwest		
Illinois	25.4%	27.3%
Indiana	5.3	9.6
Iowa	26.7	19.3
Kansas	35.0	38.2
Michigan	23.2	36.8
Minnesota	23.1	32.1
Missouri	26.2	38.8
Nebraska	16.3	16.1
North Dakota	13.8	18.7
Ohio	12.9	17.6
South Dakota	17.7	20.7
Wisconsin	19.2	31.2
South		
Alabama	25.9%	9.3%
Arkansas	22.4	25.3
Delaware	6.2	25.3
Florida	5.3	6.9
Georgia	21.1	20.5
Kentucky	27.5	31.9
Louisiana	14.7	53.1
Maryland	13.8	32.6
Mississippi	13.9	9.7
North Carolina	13.0	12.8
Oklahoma	3.4	14.1
South Carolina	22.8	24.1
Tennessee	32.9	36.2
Texas	37.1	21.0
Virginia	10.2	11.1
West Virginia	13.0	9.7
West		
Alaska	14.0%	44.2%
Arizona	14.0	23.0
California	58.1	67.2
Colorado	20.9	37.1
Hawaii	27.7	49.1
Idaho	20.4	32.2
Montana ^b	19.9	--
Nevada	18.6	17.7
New Mexico	28.4	35.7
Oregon	48.0	25.1
Utah	51.0	55.3
Washington	13.0	10.5
Wyoming	6.4	34.5

Note: Based on data from the *National Prisoners Statistics (NPS-1)* series.

--Not reported.

^aExcludes the District of Columbia.

^bParole violators comprised 9.5% of admissions in 1999; however, data on other persons returned after post-custody supervision were not available.

Number of parole violators returned to prison continued to rise during the 1990's

In 1999, 197,606 parole violators were returned to State prison, up from 27,177 in 1980 and 131,502 in 1990. As a percentage of all admissions to State prison, parole violators more than doubled from 17% in 1980 to 35% in 1999 (figure 4).

Between 1990 and 1999 the number of parole violators rose 50%, while the number of new court commitments rose 7%. On average, the number of parole violators grew 4% per year, while the number of new court commitments rose 0.8% per year.

In 1999 parole violators accounted for more than 50% of State prison admission in California (67%), Utah (55%), and Louisiana (53%) (table 19). In five States — Florida (7%), Alabama (9%), Indiana (10%), Mississippi (10%) and West Virginia (10%) — parole violators comprised 10% or less of all admissions.

In 35 States parole violators increased as a percentage of admissions between 1990 and 1999. As a percentage of all admissions, parole violators rose the most in Louisiana (from 15% in 1990 to 53% in 1999).

Nearly a quarter of State prisoners in 1997 were parole violators

Based on personal interviews of State inmates, an estimated 24% of prisoners in 1997 said they were on parole at the time of the offense for which they were serving time in prison (up from 22% in 1991). Of the 1,129,180 inmates under the jurisdiction of State prison authorities at yearend 1997, approximately 271,000 were parole violators.

Parole violators in prison in 1997 were older and more likely to have committed a public order or drug offense than parole violators in 1991 (table 20). In 1997 about 25% of parole violators in prison were age 40 or older, compared to 17% in 1991. In 1997 an estimated

Admissions to State prison, by type of admission, 1980-99

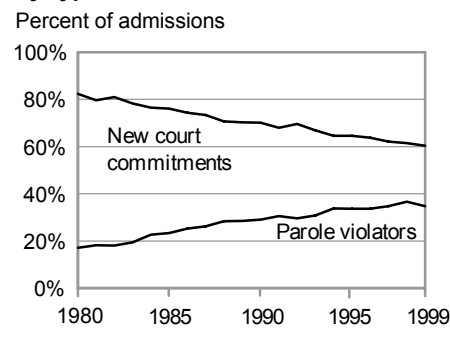


Figure 4

34% were serving time for a violent offense and 23% for a drug offense. In 1991, 36% of parole violators were in prison for a violent offense; 19% for a drug offense. In both years, more than 42% of parole violators reported having been incarcerated 3 or more times in the past.

Table 20. Characteristics of parole violators in State prison, 1991 and 1997

Characteristic	Percent of parole violators	
	1991	1997
Gender		
Male	96.0%	95.3%
Female	4.0	4.7
Race/Hispanic origin		
White non-Hispanic	31.2%	27.5%
Black non-Hispanic	48.4	51.8
Hispanic	17.9	18.3
Other	2.5	2.4
Age at prison release		
17 or younger	0.2%	0.1%
18-24	15.1	9.4
25-29	26.1	20.8
30-34	25.9	24.1
35-39	16.0	20.3
40-44	9.0	13.9
45-54	5.9	9.3
55 or older	1.9	2.0
Most serious offense		
Violent	35.9%	33.7%
Property	35.8	30.1
Drug	19.3	23.1
Public-order	8.7	12.9
Other	0.3	0.2
Number of prior incarcerations		
1	37.8%	42.3%
2	19.4	14.0
3 to 5	26.8	26.3
6 or more	16.0	17.3

Note: Data are from the *Survey of Inmates in State Adult Correctional Facilities, 1991 and 1997*.

70% of parole violators in prison in 1997 returned for a new offense

Among parole violators in State prison in 1997, 215,964 (85%) reported that their parole had been revoked or taken away for violating the conditions of their release. Of that number, 70% said that their parole had been revoked because

of an arrest or conviction for a new offense; 22% said they had absconded or otherwise failed to report to a parole officer; 16% said they had a drug-related violation; and 18% reported other reasons such as possession of a gun, maintaining contact with known felons, or failure to maintain employment (table 21).

Table 21. Reasons for revocation among parole violators in State prison, for all States, California, New York, and Texas, 1997

Reason for revocation	All States	California	New York	Texas
Arrest/conviction for new offense	69.9%	60.3%	87.1%	78.8%
Drug related violations	16.1%	23.1%	11.4%	10.7%
Positive test for drug use	7.9	12.2	5.6	4.3
Possession of drug(s)	6.6	8.9	5.6	5.6
Failure to report for drug testing	2.3	4.6	1.3	1.3
Failure to report for alcohol or drug treatment	1.7	1.1	1.9	1.2
Absconders	22.3%	26.6%	18.4%	19.7%
Failure to report/absconded	18.6	24.7	17.2	17.2
Left jurisdiction without permission	5.6	3.9	2.5	4.0
Other reasons	17.8%	20.7%	10.6%	13.8%
Failure to report for counseling	2.4	1.2	2.0	1.9
Failure to maintain employment	1.2	0.7	0.6	0.9
Failure to meet financial obligations	2.3	0.2	0.0	2.7
Maintained contact with known offenders	1.2	1.6	0.4	0.8
Possession of gun(s)	3.5	3.8	1.9	2.3

Note: Data are from the *Survey of Inmates in State Adult Correctional Facilities, 1997*. Excludes 37,440 parole violators who reported that their parole had not been revoked. Detail adds to more than 100% because some inmates may have had more than 1 violation of parole.

Table 22. Characteristics of parole violators in State prison for all States, California, New York, and Texas, 1997

Characteristic	All States	California	New York	Texas
Gender				
Male	95.3%	92.9%	96.7%	94.6%
Female	4.7	7.1	3.3	5.4
Race/Hispanic origin				
White non-Hispanic	27.5%	30.8%	11.1%	23.1%
Black non-Hispanic	51.8	33.4	54.2	50.3
Hispanic	18.3	31.9	33.1	26.0
Other	2.4	3.9	1.6	0.6
Age at prison release				
17 or younger	0.1%	0.2%	0.0%	0.0%
18-24	9.4	8.8	8.6	6.1
25-29	20.8	19.8	19.8	19.1
30-34	24.1	25.5	26.0	23.3
35-39	20.3	22.9	20.3	21.1
40-44	13.9	12.8	13.3	15.5
45-54	9.3	8.0	10.2	12.3
55 or older	2.0	2.0	1.8	2.5
Most serious offense*				
Violent	33.7%	24.4%	40.9%	33.3%
Property	30.1	25.3	15.6	36.8
Drug	23.1	27.1	33.6	21.3
Public-order	12.9	22.9	9.4	8.6
Number of prior incarcerations				
1	42.3%	28.9%	52.9%	44.1%
2	14.0	12.6	12.6	14.1
3 to 5	26.3	27.7	26.7	28.4
6 or more	17.3	30.7	7.8	13.5

Note: Data are from the *Survey of Inmates in State Adult Correctional Facilities, 1997*. *Excludes other/unspecified offenses.

Half of parole violators incarcerated in 3 States

The three largest State prison systems (California, Texas, and New York) held over half of all parole violators in prison in 1997. California held 22% of all parole violators in prison, Texas, 21%, and New York, 8%. Within each of these States, the percentage of prisoners who were parole violators was higher than the national level: 39% in Texas, 38% in California, and 28% in New York, compared to 24% nationally.

Among parole violators returned to prison, those held in California (60%) were the least likely to have been arrested or convicted for a new offense and the most likely to have been returned for a drug violation (23%). About 11% of parole violators in New York and Texas reported a drug violation as a reason for their return to prison.

Characteristics of parole violators varied among the 3 largest States

A higher percentage of parole violators in California (7.1%) were women than in Texas (5.4%) and New York (3.3%) (table 22). Nationally, 4.7% of parole violators in State prison in 1997 were women.

New York had the highest percentage of parole violators in prison who were black (54%), followed by Texas (50%) and California (33%). In New York, 11% of parole violators were white; in Texas, 23%; in California, 31%. The percent Hispanic among parole violators ranged from 26% to 33% in the three States.

New York had the highest percentage of parole violators convicted of a violent offense (41%), compared to 33% in Texas and 24% in California. New York also had the highest percentage of parole violators returned for a drug offense (34%), compared to 27% in California and 21% in Texas.

Among the three largest States, parole violators in California had the longest criminal histories. More than 58% of parole violators in California had been incarcerated at least 3 times in the past, compared to 42% in Texas and 35% in New York. Nationwide, 44% of parole violators reported three or more prior incarcerations.

Methodology

National Corrections Reporting Program (NCRP)

The National Corrections Reporting Program collects individual level data for persons admitted to and released from State prisons and offenders exiting parole supervision, in each year. NCRP is the only national collection that provides data on offense, sentence length, and time served for State prisoners and parole discharges. While NCRP collects data on all offenders, this report includes data on prisoners with a total sentence of more than a year.

In 1999 release data were reported by 37 States and the California Youth Authority: Alabama, Alaska, Arkansas, California, Colorado, Florida, Georgia, Hawaii, Illinois, Iowa, Kentucky, Louisiana, Maine, Maryland, Michigan, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Hampshire, New Jersey, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, South Carolina, South Dakota, Tennessee, Texas, Virginia, Washington, West Virginia, and Wisconsin.

These 37 States reported a total of 499,886 releases from prison in the National Prisoner Statistics series, which represented 91% of all releases in 1999. Between 35 and 39 States provided data on releases from 1990 to 1999. Data were reported on maximum sentence length for 93% of 227,100 first releases reported to the NCRP in 1990 and 93% of the 243,055 first releases reported in 1999. Data were reported on time served in jail for 77% in 1990 and 85% in 1999 and time served in prison for 95% in 1990 and 99% in 1999.

In 1999, 27 States and the California Youth Authority reported data on parole discharges: Alabama, Arkansas, California, Colorado, Illinois, Kentucky, Louisiana, Maryland, Massachusetts, Michigan, Mississippi, Missouri, Nebraska, New Jersey, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, South Carolina, South Dakota, Tennessee, Texas, Virginia, West Virginia, and Wisconsin.

These 27 States reported 335,646 parole discharges in the 1999 Annual Parole Survey, which represented 86% of all State parole discharges in that year. From 1990 to 1999, 27 to 31 States submitted data on parole discharges. States that reported only successful discharges or only unsuccessful discharges were excluded from calculations of success rates.

Annual Parole Survey

The Annual Parole Survey provides a count of the total number of persons supervised in the community on January 1 and December 31, and a count of the number entering and leaving supervision during the collection year. The survey covered all 50 States, the District of Columbia, and the Federal System, for all years from 1980-2000.

The 2000 parole survey was sent to 54 respondents, including 52 central reporters, the California Youth Authority, and one municipal agency. States with multiple reporters were Alabama (2) and California (2). The 2000 survey had a 100% response rate.

National Prisoners Statistics (NPS-1)

The National Prisoners Statistics (NPS-1) series obtains yearend and midyear counts of prisoners from departments of correction in each of the 50 States, the District of Columbia, and the Federal Bureau of Prisons. Excluded from NPS-1 counts are persons confined in locally administered confinement facilities who are under the jurisdiction of local authorities.

NPS-1 also collects comparable data on prison admissions and releases with a sentence of more than 1 year. Admission counts include data on new court commitments, parole violators returned to prison, and other types of admission. Data on method of release from State prison include counts for mandatory parole, discretionary parole, other conditional releases, and unconditional releases from prison. Transfers, AWOL's and escapees are excluded from the release data in this report.

Surveys of Inmates in State and Federal Correctional Facilities, 1991 and 1997

The Surveys of Inmates in State and Federal Correctional Facilities, conducted every 5 to 6 years, provide detailed data on individual characteristics of prison inmates. Based on scientifically selected samples of facilities and of inmates held in them, these surveys provide detailed information unavailable from any other source.

To determine characteristics of inmates to be released by yearend 1999 — including gender, age, race/Hispanic origin, offense, criminal history, substance abuse, mental illness and homelessness — information was drawn for this report from the 1997 survey. Comparisons of parole violators and reasons for revocation in California, New York, and Texas (self-representing States in the sample) were also based on data from the 1997 survey.

For descriptions of the 1991 and 1997 surveys and information on the sample designs and accuracy of the estimates, see *Comparing Federal and State Prison Inmates, 1991*, September 1994, NCJ 145864, and *Substance Abuse and Treatment of State and Federal Prisoners, 1997*, January 1999, NCJ 172871.

The Bureau of Justice Statistics is the statistical agency of the U.S. Department of Justice. Lawrence A. Greenfeld is acting director.

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Timothy A. Hughes, Doris James Wilson, and Allen J. Beck wrote this report. Paige Harrison provided statistical review and verification. Ellen Goldberg and Tom Hester edited and produced the report. Jayne E. Robinson administered final production.

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The data from the National Corrections Reporting Program, 1983-1998, are available from the National Archive of Criminal Justice Data, maintained by the Institute for Social Research at the University of Michigan, 1-800-999-0960. The archive may also be accessed through the BJS Internet site.

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