

1.0 State Criminal Alien Assistance Program (SCAAP)

BJA administers the State Criminal Alien Assistance Program (SCAAP) in conjunction with the Bureau of Immigration and Customs Enforcement (ICE) and Citizenship and Immigration Services, Department of Homeland Security (DHS). SCAAP provides federal payments to states and localities that incurred correctional officer salary costs for incarcerating undocumented criminal aliens with at least one felony or two misdemeanor convictions for violations of state or local law, and incarcerated for at least 4 consecutive days during the reporting period.

1.1 SCAAP Submission

The SCAAP application user interface is different from that used for the basic SF-424. The applicant to the BJA program office selects the SCAAP solicitation and must submit information about criminal aliens incarcerated, the number of corrections officers, and the number of beds for the previous year.

Only applicants who established a profile with the Applicant Type field set to **interstate, state, intermunicipal, municipal, township, county** and **parish** are eligible SCAAP vendors. All other applicants must modify their applicant type in their profile to apply for a SCAAP grant. Once the applicant locates the SCAAP solicitation and clicks the link to view the solicitation, the pre-application text appears (Figure 13-1).

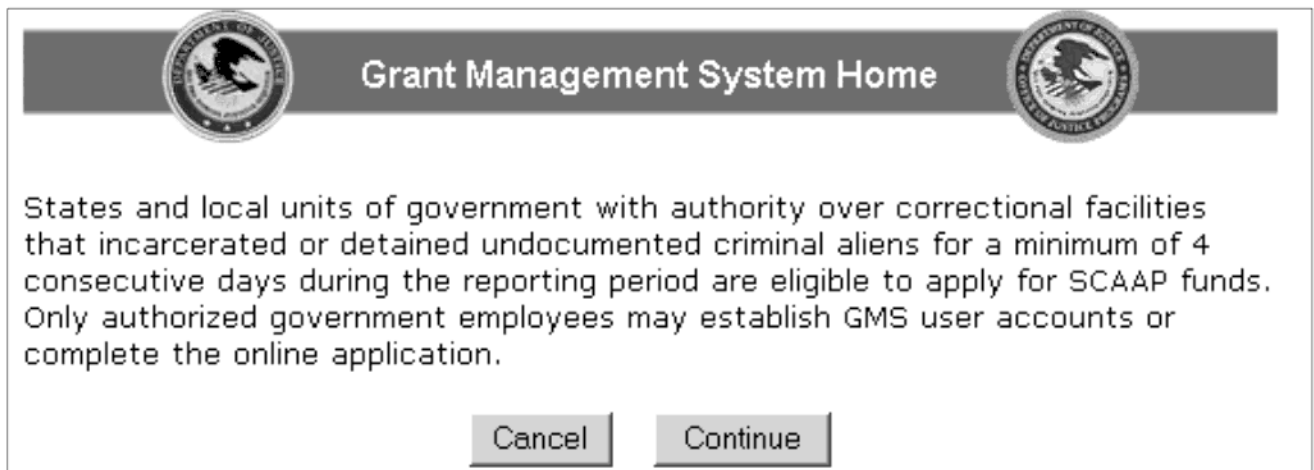


Figure 13-1: Pre-application text (example)

Once the applicant clicks the **Continue** button, the **Applicant Information** page is displayed (Figure 13-2).

BJA FY 2016 State Criminal Alien Assistance Program 2016-10-03-VA-AP

OMB Number: 1121-0243
Expires: 02/29/2004

Application Correspondence Switch to ...

Application Handbook

- Applicant
- Contact
- ACQ Bank
- Inmate
- Facility
- Submit

SCAAP Help
GMS Home
Log Off

Applicant Information

Application Number: (b)(4)

Welcome to the SCAAP on-line application process for Fiscal Year 2016.

Applicant/Organization Information

* Employer Identification Number: (b)(6)
 * Type of Applicant:
 * Organizational Unit:
 * Legal Name (Legal Jurisdiction Name):
 * Vendor Address 1:
 Vendor Address 2:
 * Vendor City:
 Vendor County:
 * Vendor State:
 * Vendor ZIP:

Please enter the CEO information for your jurisdiction below. Remember, this is the CEO of the level of government, not the implementing agency.
 (Note: Hit the TAB key to move between fields)

CEO Of Your Jurisdiction: Governor, Cabinet-level State Official, County Administrator, County Judge, County Commissioner, Mayor, or City Manager

* Prefix: (b)(6)
 Other Prefix:
 * First Name:
 Middle Initial:
 * Last Name:
 Suffix:
 Other Suffix:
 * Title:
 * Phone:
 Phone Ext:
 Fax:
 * Email:
 * Address 1:
 Address 2:
 * City:
 County:
 * State:
 * Zip Code:

*- Indicates required field

Figure 13-2: SCAAP Application Information page

This page provides information about SCAAP and instructions reflecting that year's requirements for SCAAP. The applicant must update the organization and CEO contact information. To proceed, the applicant clicks the **Save Information** button.

The SCAAP Contact Information page is displayed after you click the **Save Information** button (Figure 13-3)

Figure 13-3: SCAAP Contact Information page

GMS provides default data from the applicant’s profile, but the applicant can provide information for an alternate SCAAP contact that may be different from the default. The user can update the information then clicks the **Save Information** button.

The *Financial Institution Information* page is displayed (Figure 13-4). SCAAP applicants submit their ACH information this page. The user updates all data fields, and then clicks the **Save Information** button.

BJA FY 2016 State Criminal Alien Assistance Program 2016-01/13/13 VA AP

Application Correspondence Switch to ...

Application Handbook

- Applicant
- Contact
- ACH Bank
- Inmate
- Facility
- Submit

SCAAP Help
GMS Home
Log Off

Financial Institution Information

Please provide the following financial institution information. All of this information is required to transfer funds to your jurisdiction's account electronically.

* Name of Institution: (b)(6)
 * Address Line 1:
 Address Line 2:
 * City:
 * State:
 * Zip:
 * Bank Phone:
 * ACH Coordinator Name:
 * Routing Number:
 * Account Title:
 * Account Number:
 * Account Type:
 * Is this account Interest Bearing:

* - Indicates required field

Save and Continue Cancel

[Print a Copy](#)

Figure 13-4: Financial Institution Information page

The applicant provides the bank name, address, telephone number, ACH coordinator name, routing information, and account type on the form. The user can click the *Print a Copy* link to view the banking form in a pop-up window (Figure 13-5).

ACH VENDOR/MISCELLANEOUS PAYMENT ENROLLMENT FORM

PAYEE/COMPANY INFORMATION

NAME: City of Anytown	SSN NO. OR TAXPAYER ID NO: 23-4567890
ADDRESS: 123 4th St Anytown Nebraska - 55555	
CONTACT PERSON NAME: Jane Brown	TELEPHONE NUMBER: (123) 456-7890

FINANCIAL INSTITUTION INFORMATION

NAME:	
ADDRESS:	
-	
ACH COORDINATOR NAME:	TELEPHONE NUMBER: 0 -
NINE-DIGIT ROUTING TRANSIT NUMBER:	
DEPOSITOR ACCOUNT TITLE:	
DEPOSITOR ACCOUNT NUMBER:	
TYPE OF ACCOUNT:	Is this account interest bearing ?
CERTIFICATION BY AUTHORIZED BANK OFFICIAL: I certify that the above information regarding Jurisdiction Name and Routing Transit Number is accurate. YES	
PRINT YOUR NAME AND TITLE	
SIGNATURE AND TITLE OF AUTHORIZED BANK OFFICIAL:	TELEPHONE NUMBER: 0 -

The following Automated Clearing House (ACH) must be completed so that funds may be electronically forwarded to your financial institution. This form must be completed on-line, printed and then taken to the institution that will be receiving your jurisdiction's funding. The Bank Official may make any corrections on this form, in ink, and then, provide a certified signature attesting to the accuracy of the information provide by you. No request for funding will be considered complete until this document has been received. Once completed, please mail the hard copy document to:

**Office of Justice Programs
Office of the Comptroller
Attn: Control Desk 20
Room 5303
810 Seventh Street NW
Washington D.C. 20531**

This form is used for Automated Clearing House (ACH) payments with an addendum record that contains payment-related information processed through the Vendor Express Program. Recipients of these payments should bring this information to the attention of their financial institution when presenting this form completion.

PRIVACY ACT STATEMENT

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93-579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the Treasury Department to transmit payment data by electronic means to vendor's financial institution. Failure to provide the requested information may delay or prevent the receipt of payments through the Automated Clearing House System

You **MUST** print this form before you accept your award



Print

Close

Figure 13-5: ACH hard copy form

The user clicks the **Save and Continue** button on the Financial Institution Information page, then the Inmate Information page is displayed (Figure 13-6). This page provides instructions for providing inmate information. The applicant has two options for submitting information about the criminal aliens it incarcerated. The applicant can use GMS to type the inmate information into a form (Figure 13-6, Figure 13-7). Alternatively, the applicant can create an ASCII text file that contains the information, and then upload that file to GMS (Figure 13-9, Figure 13-10, Figure 13-11, and Figure 13-12).

To submit the information for individual criminal aliens, the applicant would select the Enter Data option on the Inmate Information page (Figure 13-7).


State Criminal Alien Assistance Program 2005-F1985-NE-AP


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OMB Number: 1121-0243
Expires: 02/29/2004

Inmate Information

Application Number: (b)(4)

BJA strongly recommends that you read the Inmate Reporting Requirements section of the FY 2005 SCAAP Guidelines prior to beginning this portion of the application. Instructions here deal primarily with the mechanics of the upload process and do not address statutory or programmatic requirements and restrictions. For the current ICE Country Code listing, click here: <http://www.ojp.usdoj.gov/BJA/grant/05SCAAPCountryCodes.pdf>

Inmate Data File Overwrite and Deletion: You may select the file upload method that best meets your needs. However, if you switch upload methods at any time, the inmate files uploaded or entered via the previous method will be overwritten and deleted. Additionally, once inmate records are uploaded into GMS via the Direct File Upload method, any subsequent upload deletes and overwrites the previous file in its entirety.

Due Diligence: Applicants are required to certify that they used due diligence in the preparation and submission of their inmate files. For an explanation of this concept, view applicable sections of the FY 2005 Guidelines or click here: <http://www.ojp.usdoj.gov/BJA/grant/scaap.html>

THE TWO INMATE DATA FILE UPLOAD METHODS ARE:

Upload File (Direct File Upload): This method allows you to submit your entire set of qualifying inmate records as a single ASCII formatted file directly into GMS. Click here for information about the required format: <http://www.ojp.usdoj.gov/BJA/grant/05SCAAPFileFormat.pdf>

During the Upload File process, a red flashing bar will appear at the bottom of your screen. This bar will continue to flash until the inmate file upload is complete. Upon completion, you will receive an on-screen status report, listing the total number of inmate records and the number of records that are complete. In addition, the report will provide a detailed list of inmate records (by file number) that are incomplete or have data format errors and the nature of the errors. Upon receipt of the on-screen data report, you must either correct the data errors or submit the file with the errors. You should print the on-screen report for your records. Warning: once inmate records are uploaded using this method, any subsequent upload deletes and overwrites the previous file in its entirety.

Enter Data (Direct Data Entry): This method allows you to manually enter each inmate's data directly into an online template. This approach is best suited for jurisdictions with smaller facilities or small criminal alien populations. Drop-down menus are provided for selecting incarceration dates, date of birth, and country of birth (the complete country names are listed).

Access to Submitted Files: Once your FY 2005 application is submitted, inmate files are no longer available for changes or additions. To ensure that the maximum number of inmate records are considered for payment, please correct any data errors at the time of the file upload and before the Application is submitted. Requests to reopen submitted applications are discouraged and may not be honored by BJA.

For Upload File method, please follow these steps:

Step 1: Click on the "Upload File" radio button.
Step 2: Click on the "Upload" box to attach your file. A pop-up window will appear.
Step 3: Click on the "Browse" button in the pop-up window.
Step 4: Find your file name and double-click on it. The file name will appear in the blank field.
Step 5: Click the save button and a message will appear in the pop-up window, telling you the status of your upload. Click the "X" in the upper right corner of the pop-up box to close it. Your inmate file name will now appear next to the upload button on the main page.
Step 6: Click on the "Save Information" button to continue on to the next phase of the application process.

For Enter Data method, please follow these steps:

Step 1: Click on the "Enter Data" radio button.
Step 2: Click one of the four corresponding boxes. "Add" to add inmate data, "Select All" to select all inmate records entered, "Un-Select All" to un-select all inmate records entered, and "Delete Selected" to delete all selected inmate records.
Step 3: Click on the "Save Information" button to continue on to the next phase of the application process.

I certify that the inmate data and records provided in this SCAAP application are in keeping with all SCAAP program and statutory requirements including the SCAAP 2005 Guidelines. I used due diligence in determining the accuracy of the inmate records contained in this application, and I did not submit inmate records for an otherwise qualifying inmate where the jurisdiction's records indicated the inmate: (1) was born in the United States or one of its territories, (2) had a claim to U.S. citizenship, (3) was a U.S. citizen, or (4) did not qualify as an undocumented criminal alien in accordance with the SCAAP statute. Sanctions, including referral to a U.S. Attorney's Office, recalculation and/or return of awarded funds, or other sanctions, may be made when a jurisdiction knowingly submits false data or makes claims for ineligible inmates.

Inmate Information

How will inmate information be entered? Enter Data Upload File

Select All Deselect All 0 Inmates Entered

X	Unique Inmate ID	Name (Last, First)	Date Incarcerated	Date Released
No Inmates				

Add
Delete Selected

Save Information

Figure 13-6: Inmate Information page, Enter Data selected

The user can add inmate records manually or by attaching a file. To add a record manually, the applicant clicks the **Add** button. A popup is displayed allowing the user to enter information for an inmate (Figure 13-7).

The screenshot shows a form titled "Add Inmate" with a list of required fields on the left and a large text input area on the right. The fields are:

- *INS A-Number: (b)(6)
- * Last Name:
- * First Name:
- Middle Name:
- * Date of Birth:
- * Foreign Country of Birth:
- * Unique Inmate Number:
- FBI Number:
- * Date Taken Into Custody:
- * Date Released From Custody:

Below the list is a legend: "* - Indicates required field". At the bottom are three buttons: "Add Inmate", "Clear Form", and "Done". The "Done" button is highlighted with a dark background, indicating it is the selected option.

Figure 13-7: Inmate Add page: Enter Data selected

The applicant clicks the **Add Inmate** button then the **Done** button to add the inmate to the list of criminal aliens incarcerated (Figure 13-8). The user can also click the **Clear Form** button to remove previously-entered data.

State Criminal Alien Assistance Program 2005-F1981-HE-AP

Application Handbook OMB Number: 1121-0243 Expires: 02/29/2004

Application Number: (b)(4)

Inmate Information

How will inmate information be entered? Enter Data Upload File

Select All Deselect All 1 Inmates Entered

X	Unique Inmate ID	Name (Last, First)	Date Incarcerated	Date Released
<input type="checkbox"/>	(b)(6);(b)(7)(C)	Lastname, Firstname	01/01/2004	01/15/2004

Add Delete Selected Save Information

Figure 13-8: Inmate Information page with inmate information entered (truncated)

Alternatively, the applicant can submit inmate data by using an ASCII text file. This approach may be most useful for applicants who must submit information for many inmates. GMS provides instructions to assist the applicant with creating the ASCII file. To upload the file, the applicant generates the file offline, selects the Upload File radio-button, and then clicks the **Upload** button on the Inmate Information page (Figure 13-9).

State Criminal Alien Assistance Program 2005-F1981-HE-AP

Application Handbook OMB Number: 1121-0243 Expires: 02/29/2004

Application Number: (b)(4)

Inmate Information

How will inmate information be entered? Enter Data Upload File

Inmate List ASCII File : Upload

Save Information

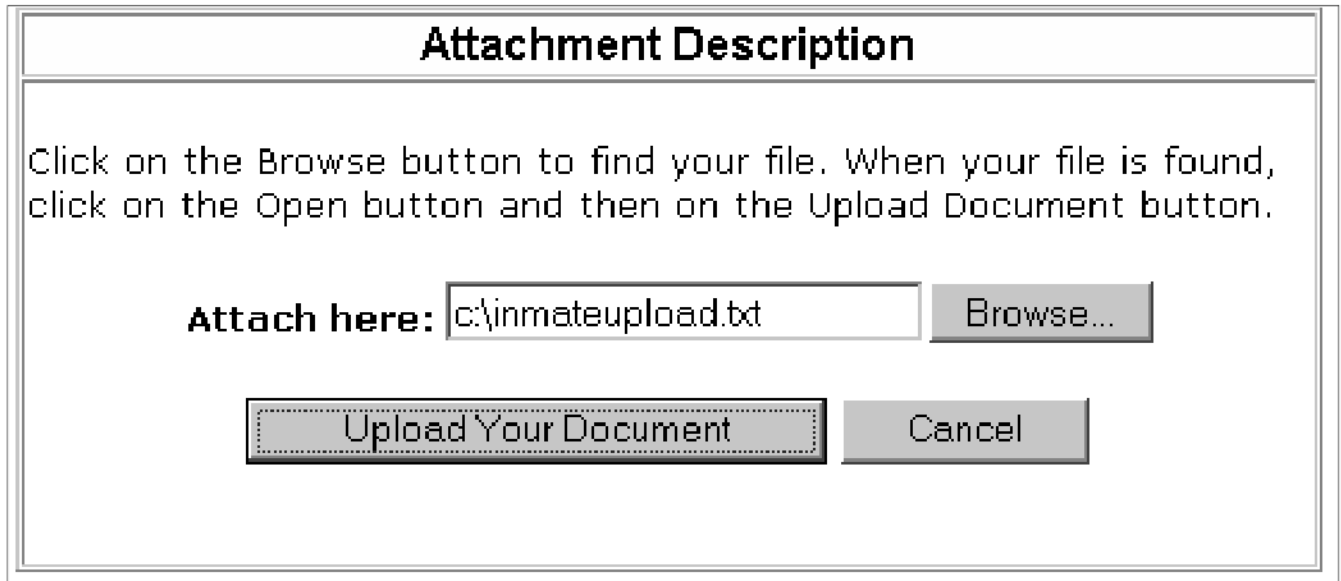
Figure 13-9: Inmate Information Page, Upload File selected (truncated)

The Attachment Description page is displayed (Figure 13-10).

The applicant clicks the **Browse** button. A dialog box appears where the applicant can select the file from a hard drive. Once the **Attach Here** text box shows the path and file name for the

inmate file, the applicant clicks the **Upload Your Document button**. GMS shows a graphic that indicates that GMS is uploading the file. GMS also validates the file to ensure that the data are formatted correctly.

GMS will not accept files with the extensions: *.com, *.bat, *.exe, *.vbs, *.cfg, *.dat, *.db, *.dbf, *.dll, *.ini, *.log, *.ora, *.sys, *.zip. GMS will not allow the Grantee to upload a file larger than 200 MB.



The image shows a screenshot of a web page titled "Attachment Description". The page contains the following text: "Click on the Browse button to find your file. When your file is found, click on the Open button and then on the Upload Document button." Below this text, there is a text input field with the value "c:\inmateupload.txt" and a "Browse..." button to its right. Below the input field, there are two buttons: "Upload Your Document" and "Cancel".

Figure 13-10: Attachment Description page

If the file contains errors in data formatting, GMS shows the applicant a list of the inmates and the errors associated with each record (Figure 13-11). The applicant can correct the errors offline, return to the Attachment Description page (Figure 13-10) and upload the file again. GMS will again validate the file on upload.

File Upload Successful

Your file has been successfully uploaded! The file you uploaded is **inmateupload.txt**.

	Count
Good Inmates	0
Bad Inmates	1
Total Inmates	1

Click [here](#) to review the required inmate record format criteria.

The following errors exist:

Line #	Error Description
1	<ul style="list-style-type: none">• The length of the line must be exactly 158 characters long

Figure 13-11: File Upload Successful page, with error

Once the formatting is correct, GMS informs the applicant that validation was successful (Figure 13-12). On the File Upload page, the applicant clicks the **Close** button to return to the Inmate Information page. The Inmate Information screen will be refreshed.

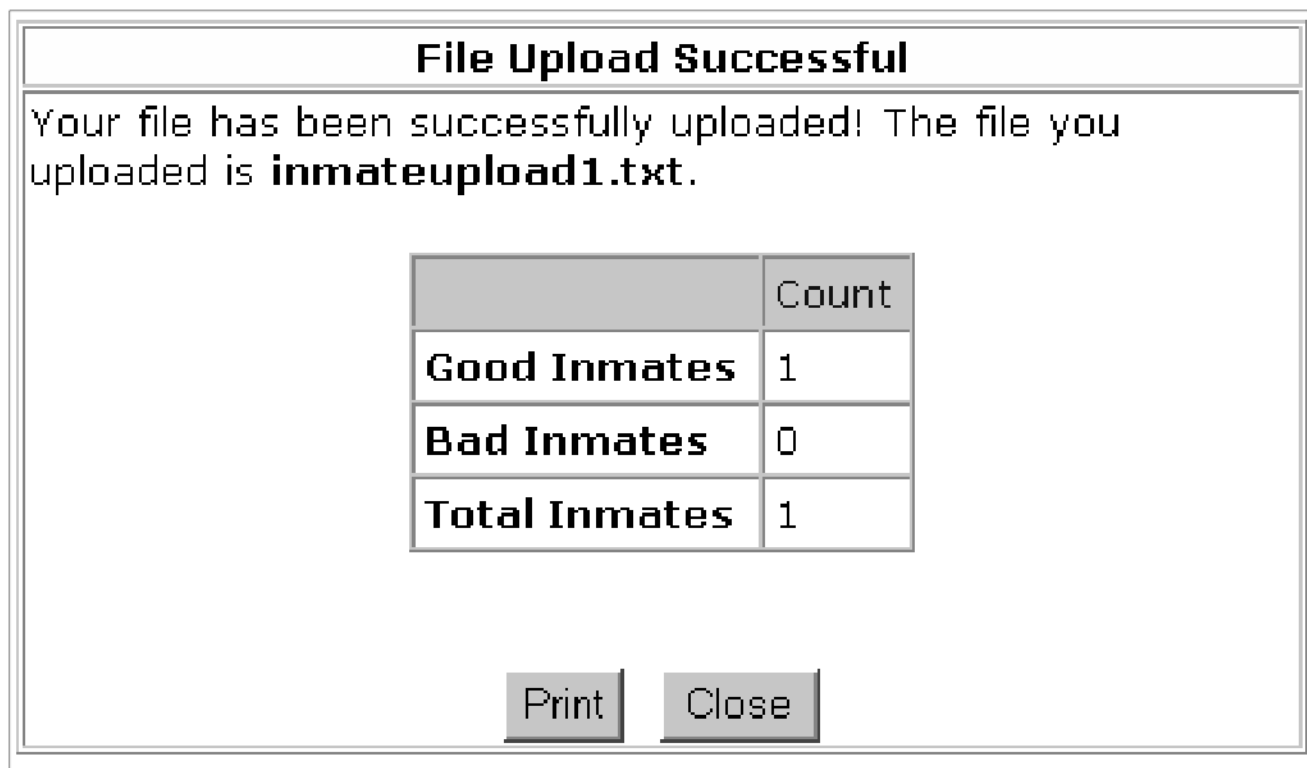




Figure 13-12: File Upload Successful page, with no errors

The user should check the box at the top-right on the Inmate Information screen, and then click the **Save Information**. **GMS displays** the Facility Information page (Figure 13-13). The applicant enters the required information in the text boxes provided.


State Criminal Alien Assistance Program test 2017-H0574-NH-AP


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OMB Number: 1121-0243
Expires: 08/31/2019

Facility Information

Application Number:

The following information for Fiscal Year 2017 SCAAP must reflect your correctional facility(ies) information for the reporting period of **July 01, 2015 through June 30, 2016**.

Correctional Officer Information:
(Use decimal values if needed to express full or partial full-time equivalents (FTE))

* Please report the maximum number of <i>full-time</i> correctional officers your facility(ies) employed during the reporting period:	<input style="width: 90%;" type="text"/>
* Please report the maximum number of <i>part-time</i> correctional officers your facility(ies) employed during the reporting period: (Please report as FTE's)	<input style="width: 90%;" type="text"/>
* Please report the maximum number of <i>contracted full-time</i> correctional officers your facility(ies) employed during the reporting period:	<input style="width: 90%;" type="text"/>
* Please report the maximum number of <i>contracted part-time</i> correctional officers your facility(ies) employed during the reporting period:(Please report as FTE's) ;	<input style="width: 90%;" type="text"/>
Total number of correctional officers your facility(ies) employed during the reporting period: (calculated from above)	<input style="width: 90%;" type="text"/>
* Please enter the total salary costs paid to all correctional officers during the reporting period. Do not use commas: The reported sum should total the jurisdiction's actual salary expenditures for the reporting period, not an estimate or average. Correctional officer salary costs may include premium pay for specialized service, shift differential pay, and fixed-pay increases for time in service. It may also include overtime required by negotiated contract, statute, or regulation such as union agreements, contractual obligations, and required post staffing minimums.	\$ <input style="width: 90%;" type="text"/>

Correctional Officer Attachment Section

Click on the Attach Button to upload an attachment.

Above, please upload the Correction Officer Salary data. This should include the job type, the salary amount and allowable overtime. The figures provided should not include benefits.

Facility(ies) Information

* Total bed count for correctional facility(ies):	<input style="width: 90%;" type="text"/>
* Total number of days for ALL inmates (legal aliens, illegal aliens, unknowns and U.S. citizens) housed in your facility(ies) for the reporting period (Do not report your capacity. BJA Requires an actual count of inmates housed during the reporting period):	<input style="width: 90%;" type="text"/>

Inmate Days Attachment Section

Click on the Attach Button to upload an attachment.

Above, please upload the Total Inmate Days data. This should include the nightly head count figure for the entire application period.

* - Indicates required field

* I certify that the facility and correctional officer data provided in this SCAAP application are in keeping with all SCAAP program and statutory requirements included in the SCAAP Guidelines. I further understand that inaccurate, misleading, or fraudulent information provided on this form may result in various sanctions or corrective actions, including the application being disapproved, the award amount being recalculated, or awarded funds being returned to DOJ.

Please download the latest version of [Microsoft Word®](#).

Figure 13-13: Facility Information page

When the facility information is complete, the applicant should check the box at the bottom left, and then click the **Save Information** button. There are two places for attachments on the facility information page. In the Correctional Officer Attachment and the Inmate Days Attachment sections applicants have the option to add one attachment. GMS displays a dialog box that shows the average annual salary for a full-time corrections officer and the average daily inmate count (Figure 13-14).

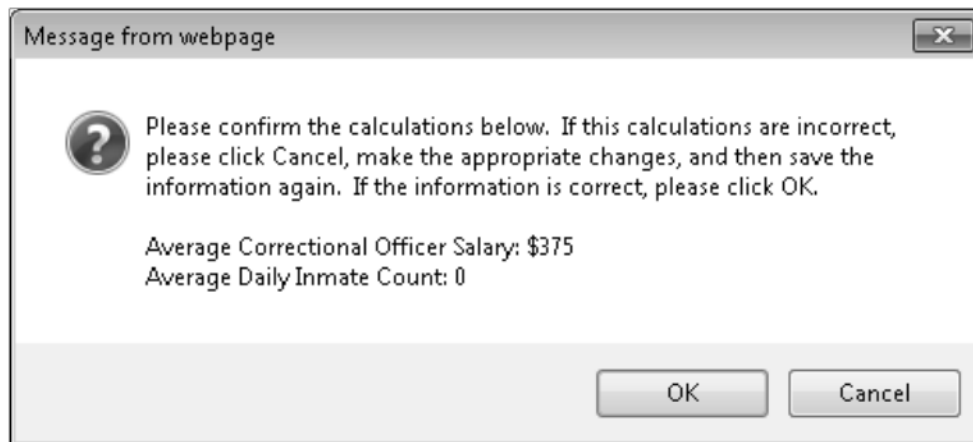


Figure 13-14: Correction officer information confirmation dialog box

The dialog box provides two buttons. The applicant clicks the **OK** button to indicate that the numbers are correct. If the applicant clicks the **Cancel** button, GMS displays the Facility Information page so that the applicant can revise the data to reflect correct amounts.

Once the applicant clicks the **Save Information** button on the Facility Information page, the Application Submittal Information page is displayed (Figure 13-15).



Application

Correspondence

Application: Switch to ...

Application Handbook

OMB Number: 1121-0243
Expires: 08/31/2019

- Applicant
- Contact
- ACH Bank
- Inmate
- Facility
- Submit

Application Submittal Information

Your FY 2017 SCAAP application is complete, but has not yet been submitted. If you want to submit your application, scroll to the bottom of the table and click the submit button.

Application Number: (b)(4)

Please attach the signed CEO letter of compliance with US Code 1373 using the button below.

Upload CEO Letter of Compliance

- SCAAP Help
- SCAAP Definitions
- GMS Home
- Log Off

Status	Requirement
Complete	GMS/SCAAP User Id Approval - BJA is responsible for approving the User ID
Complete	Applicant
Complete	Contact
Complete	ACH Bank
Complete	Inmate
Complete	Facility
Complete	Submit
Incomplete	Submit Application

Your typed name, in lieu of your signature, represents your legal binding acceptance of the terms of this application and your statement of the veracity of the representations made in this application. The document has been duly authorized by the applicant and the applicant will comply with the following:

Assurances

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace requirements.

SCAAP Program Designee

(Note: Hit the TAB key to move between fields)

* - Indicates required field

*Prefix:	(b)(6)
Prefix Other:	
*First Name:	
Middle Initial:	
*Last Name:	
Suffix:	
Other Suffix:	
*Title:	
*Phone Area:	
*Phone Prefix:	
*Phone Suffix:	
Phone Ext:	
*Fax Area:	
*Fax Prefix:	
*Fax Suffix:	
*Email:	
*Address 1:	
Address 2:	
*City:	
*State:	
*Zip:	
*Zip4:	

In submitting this application, I acknowledge that BJA reserves the right to take appropriate administrative action, including intensive monitoring, repayment action, or adjustment to future payments, to resolve any data or application discrepancies discovered now or in the future. Any award resulting from this application will be sent to my jurisdiction's bank account of record, as verified through the on-line registration process and in accordance with applicable E-Government rules and regulations.

Formal acceptance of an award through this online Grants Management System is necessary for the electronic transfer of funds to occur. I understand that I will have 45 calendar days to accept any award, once notice is provided. [See Office of Justice Programs Financial Guide, Part II, Chapter 2 at 22 (requiring acceptance/drawdown of awards within 45 days of notice of award) and Part IV, Chapter 2, Sec. 16.606 State Criminal Alien Assistance Program (SCAAP) (requiring expeditious draw-down of payments.)]

Certification Affecting the Use of SCAAP Funds

As the CEO or authorized designee of this jurisdiction, I understand that the Department of Justice Reauthorization Act of 2005 (Pub. L. 109-162, Title XI) included a requirement, stipulating that all SCAAP funds must be used for correctional purposes only. I acknowledge that my jurisdiction will be required, during the award acceptance process, to provide basic information on how the SCAAP funds will be expended for correctional purposes.

As the CEO or authorized designee of this jurisdiction, I understand the rules and requirements associated with the aforementioned statements and agree to abide by them in all matters dealing with the State Criminal Alien Assistance Program.

Save Information Clear

Please download the latest version of Microsoft Word®.

Figure 13-15: Application Submittal Information page

To read and accept assurances, the applicant clicks the *Assurances* link on the Application Submittal Information. A dialog box appears (Figure 13-16). The applicant reads the assurances and scrolls to the bottom of the window. To accept the assurances, the applicant clicks the **Accept** button.

NOTE: You must click on the "Accept" button at the bottom of the page before closing this window

STANDARD ASSURANCES

The Applicant hereby assures and certifies compliance with all applicable Federal statutes, regulations, policies, guidelines, and requirements, including OMB Circulars A-21, A-87, A-102, A-110, A-122, A-133; Ex. Order 12372 (intergovernmental review of federal programs); and 28 C.F.R. pts. 66 or 70 (administrative requirements for grants and cooperative agreements). The applicant also specifically assures and certifies that:

1. It has the legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay any required non-federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. It will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
3. It will give the awarding agency or the General Accounting Office, through any authorized representative, access to and the right to examine all paper or electronic records related to the financial assistance.
4. It will comply with all lawful requirements imposed by the awarding agency, specifically including any applicable regulations, such as 28 C.F.R. pts. 18, 22, 23, 30, 35, 38, 42, 61, and 63.
5. It will assist the awarding agency (if necessary) in assuring compliance with section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. § 470), Ex. Order 11593 (identification and protection of historic properties), the Archeological and Historical Preservation Act of 1974 (16 U.S.C. § 469 a-1 et seq.), and the National Environmental Policy Act of 1969 (42 U.S.C. § 4321).
6. It will comply (and will require any subgrantees or contractors to comply) with any applicable statutorily-imposed nondiscrimination requirements, which may include the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. § 3789d); the Victims of Crime Act (42 U.S.C. § 10604(e)); The Juvenile Justice and Delinquency Prevention Act of 2002 (42 U.S.C. § 5672(b)); the Civil Rights Act of 1964 (42 U.S.C. § 2000d); the Rehabilitation Act of 1973 (29 U.S.C. § 7 94); the Americans with Disabilities Act of 1990 (42 U.S.C. § 12131-34); the Education Amendments of 1972 (20 U.S.C. §§1681, 1683, 1685-86); and the Age Discrimination Act of 1975 (42 U.S.C. §§ 6101-07); see Ex. Order 13279 (equal protection of the laws for faith-based and community organizations).
7. If a governmental entity:
 - a. it will comply with the requirements of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. § 4601 et seq.), which govern the treatment of persons displaced as a result of federal and federally-assisted programs; and
 - b. it will comply with requirements of 5 U.S.C. §§ 1501-08 and §§ 7324-28, which limit certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by federal assistance.

Accept

Figure 13-16: Assurances page

To read and accept certifications, the applicant clicks the *Certifications* link on the Application Submittal Information page. A dialog box appears (Figure 13-17).

NOTE: You must click on the "Accept" button at the bottom of the page before closing this window

**U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER**

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Accept

Figure 13-17: Certifications page

The applicant reads the certifications and scrolls to the bottom of the window. To accept the certifications, the applicant clicks the **Accept** button. The Application Submittal Information page is displayed.

On the Application Submittal Information page, the applicant types the information for the SCAAP program designee. The user then clicks the checkbox at the bottom-right of the page, and then clicks the **Save Information** button. There is an optional attachment section at the top of the Application Submittal Information. If all application information is complete, GMS updates the Application Submittal Information page to inform the applicant that the application is complete. Once the applicant has permission to submit the application, the applicant clicks the **Submit** button.

The **Application Submittal Information** page will be refreshed. The user then clicks the **Submit Application** button to submit the application.

1.2 Internal Review of SCAAP applications

1.2.1 SCAAP Not-Initiated and Initial Review phases

After the applicant has submitted the SCAAP application, it moves into the Not-Initiated phase. To locate the application in this phase, the BJA-SCAAP Grant Manager user should perform an application search. On the gray tool bar, select Search → **Application Search** (Figure 13-18).

The screenshot shows the 'Application Search' page within the U.S. Department of Justice Office of Justice Programs system. The user is logged in as 'BJA - SCAAP Grant Manager'. The page features a search form with the following fields and options:

- Fiscal Year:** A dropdown menu with options: 1996, 1997, 1998, 1999, 2000, 2001, 2002, 2003.
- Program Office:** A dropdown menu with the selected option 'BJA'.
- Solicitation:** A dropdown menu with options: BJA FT 16 JIS TTA, BJA FY 16 JRI: 1, BJA FY 16 JRI: 2, BJA FY 00 Comm Pros, BJA FY 00 Cong Mend, BJA FY 00 Cong Mend, BJA FY 00 Leadership, BJA FY 00 SCAAP. A 'Reload' button is located below this dropdown.
- State:** A dropdown menu with options: AL, AK, AS, AZ, AR, CA, CO, CT.
- Award Number:** An empty text input field.
- Grants.gov Tracking Number:** An empty text input field.
- Application Number:** An empty text input field.
- Legal Name:** An empty text input field.
- Vendor Number:** An empty text input field.

At the bottom of the search form are 'Submit' and 'Reset' buttons. To the right of the search form, there is a 'Notes' section with the following text:

- To select multiple entries for fiscal year, solicitation, or states, hold down CTRL and then left click the entries you wish to select.
- If you wish to filter solicitations based on fiscal year and program office, choose the desired fiscal years and program office and then click the "Reload" button. The page will reload with the appropriate entries for the solicitations.

Figure 13-18: Application Search

Note: The SCAAP module was not implemented with inboxes for the Not-Initiated phase, so internal SCAAP users must find applications in this phase by performing an application search until the application reaches the next phase, Initial Review.

On the Application Search screen, the user enters the desired search criteria, and then clicks the **Submit** button. On the search results screen, the user should click the application number link for an application. The **Application Information** page is displayed (Figure 13-19).

The screenshot displays the 'Application Information' page within the U.S. Department of Justice Office of Justice Programs system. The user is logged in as 'BJA - SCAAP Grant Manager'. The application number is (b)(4). The page is divided into several sections: 'Initial Review' with links for 'Back to Search Results', 'Application Detail' with links for 'Vendor Information', 'Audit Trail', 'Correspondence', and 'Notes', and 'Add Correspondence' with 'Add Note' and 'Select Upload' options. The main content area shows 'Jurisdiction: (b)(6)', 'State: (b)(6)', and 'CEO Title: (b)(6)'. Below this is 'Facility Data' with the following statistics: 'Total All Inmate Days: 1', 'Total Bed Count: 1', 'Total Correction Staff: 4', 'Total Salary Cost: \$1.00', and 'Average Salary Cost: \$0.25'. There is a 'Note' field and a 'Signed ACH Document' dropdown menu set to 'Select a File'. At the bottom, there are three buttons: 'Approve', 'Change Request', and 'Deny'. A 'View' link for 'Inmate Information' is also present.

Figure 13-19: Application Information

On the Application Information screen, the user can click either the **Approve** button to move the application to the next review phase, click the **Change Request** button to send the application back to the applicant for changes, or click the **Deny** button to prevent the application from undergoing further internal review. The user can also click the *View* link to view the inmate information pdf format.

The user can click the *Vendor Information* side link to view the **SCAAP-Vendor Details** page (Figure 13-20). On this page the user can click the **Flag Vendor** button flag the SCAAP vendor.

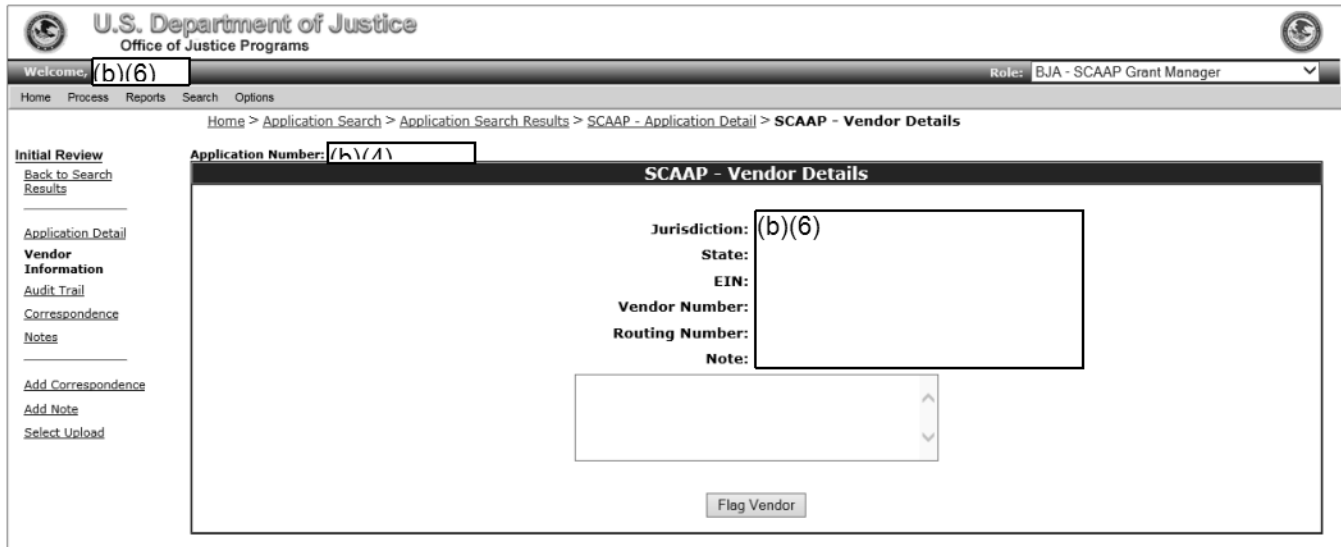


Figure 13-20: SCAAP-Vendor Details page

The user can click the *Audit Trail* to view the SCAAP application **audit trail** page (Figure 13-21).

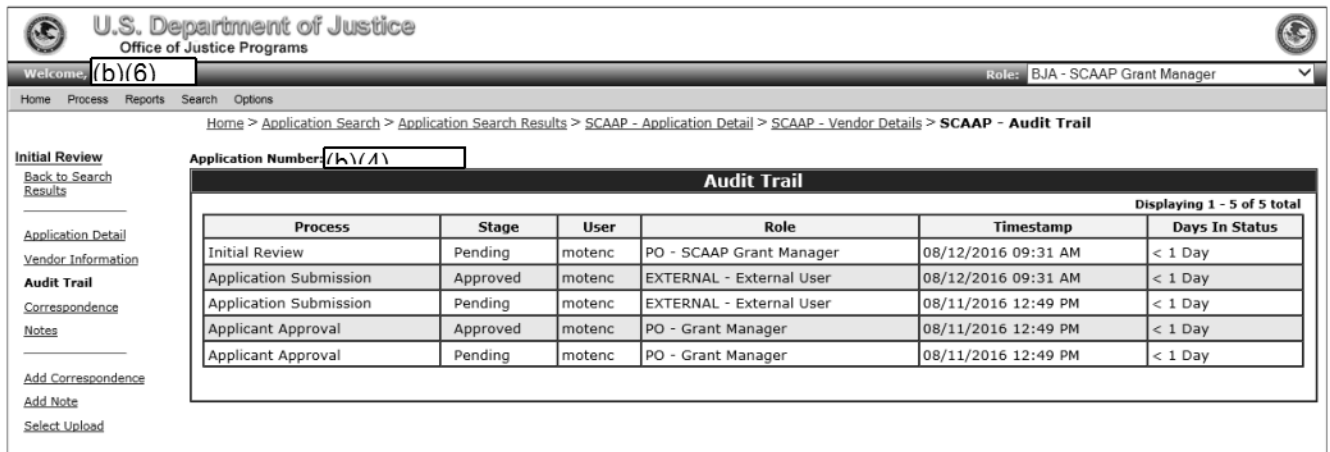


Figure 13-21: Audit Trail page

The user can click the *Add Correspondence* side link to document communication with the applicant. The **Add Correspondence** page is displayed (Figure 13-22). The user should complete the *Subject* and *Message* text boxes, and then click the **Submit** button to save the information. The user can also click the **Reset** button to remove previously-entered data.

U.S. Department of Justice
Office of Justice Programs

Welcome, (b)(6) Role: BJA - SCAAP Grant Manager

Home Process Reports Search Options

Home > Application Search > Application Search Results > SCAAP - Application Detail > SCAAP - Vendor Details > SCAAP - Audit Trail > SCAAP - Correspondence > **Add Correspondence**

Application Number: (b)(4)

Add Correspondence

Subject:

Date: 08/12/2016

Message:

Submit Reset

Figure 13-22: Add Correspondence

The user can click the *Correspondence* side link. The **SCAAP Correspondence page** is displayed (Figure 13-23).

U.S. Department of Justice
Office of Justice Programs

Welcome, (b)(6) Role: BJA - SCAAP Grant Manager

Home Process Reports Search Options

Home > Application Search > Application Search Results > SCAAP - Application Detail > SCAAP - Vendor Details > SCAAP - Audit Trail > **SCAAP - Correspondence**

Application Number: (b)(4)

SCAAP - Correspondence

Displaying 1 - 1 of 1 total

User	Subject	Timestamp
(b)(6)	test	08/12/2016 10:14 AM

(b)(6)

Figure 13-23: SCAAP Correspondence page

The user should click the subject text link to view the message text in the provided text box.

The user can click the *Add Note* side link. The **Add Note** page is displayed (Figure 13-24). The user should complete the *Subject* and *Notes* text boxes, then click the **Submit** button to save the information. The user can also click the **Reset** button to remove previously-entered data.

U.S. Department of Justice
Office of Justice Programs

Welcome, (b)(6) Role: BJA - SCAAP Grant Manager

Home > Application Search > Application Search Results > SCAAP - Application Detail > SCAAP - Vendor Details > SCAAP - Audit Trail > SCAAP - Correspondence > Add Note

Application Number: (b)(4)

Add Note

Subject:

Date: 08/12/2016

Notes:

Submit Reset

Figure 13-24: Add Note

The user can click the *Notes* side link. The **SCAAP Notes** page is displayed (Figure 13-25). The user should click the subject text link to view the message text in the provided text box. The user can click the *Application Detail* link to return to the Application Information page.

U.S. Department of Justice
Office of Justice Programs

Welcome, (b)(6) Role: BJA - SCAAP Grant Manager

Home > Application Search > Application Search Results > SCAAP - Application Detail > SCAAP - Vendor Details > SCAAP - Audit Trail > SCAAP - Correspondence > Add Note > SCAAP - Notes

Application Number: (b)(4)

SCAAP - Notes

Displaying 1 - 4 of 4 total

User	Subject	Timestamp
(b)(6)		

(b)(6)

Figure 13-25: SCAAP Notes page

If the SCAAP-Grant Manager had previously *denied* or *change requested* the application in the Not-Initiated phase, the user can perform an application search to locate the application. The user then clicks an application number link in the search results. The user can then click the **Reopen** button on the **SCAAP Application Information** page to undo the *Deny* or *Change Request* action (Figure 13-26).

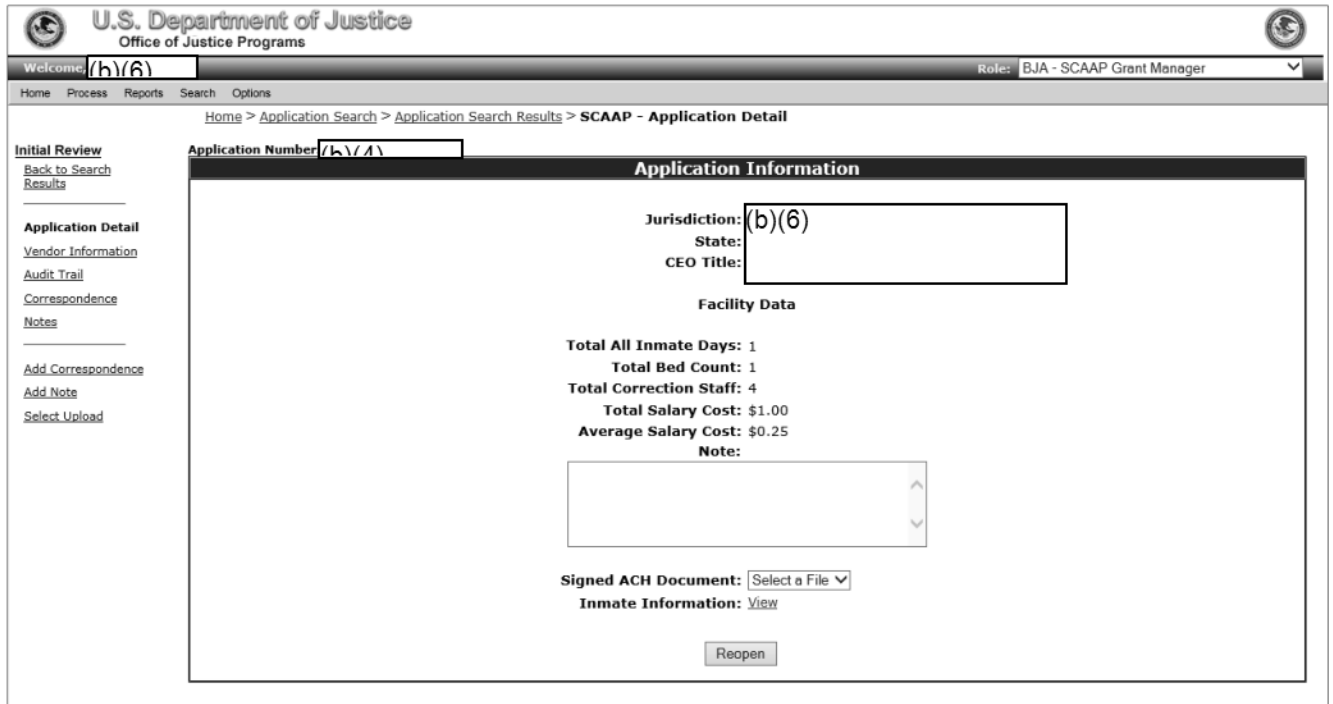


Figure 13-26: SCAAP Application Information

The user can perform an additional application search to locate the application, and then perform additional actions (Approve, Change Request, or Deny) as necessary.

When a SCAAP application is approved in in the Not-Initiated phase, it moves to the *Initial Review* phase. BJA-Grant Manager can then perform the same actions on the application in the Initial Review phase as in the Not-Initiated phase (Approve, Change Request, or Deny). The user should use the application search in a similar manner to locate and take action on applications in the Initial Review phase.

After SCAAP-Grant Manager approves an application in the Initial Review phase, it moves to the Initial Review phase for *BJA-SCAAP Program Manager*. The application will first appear in the *Pending* inbox for the program manager (Figure 13-27).

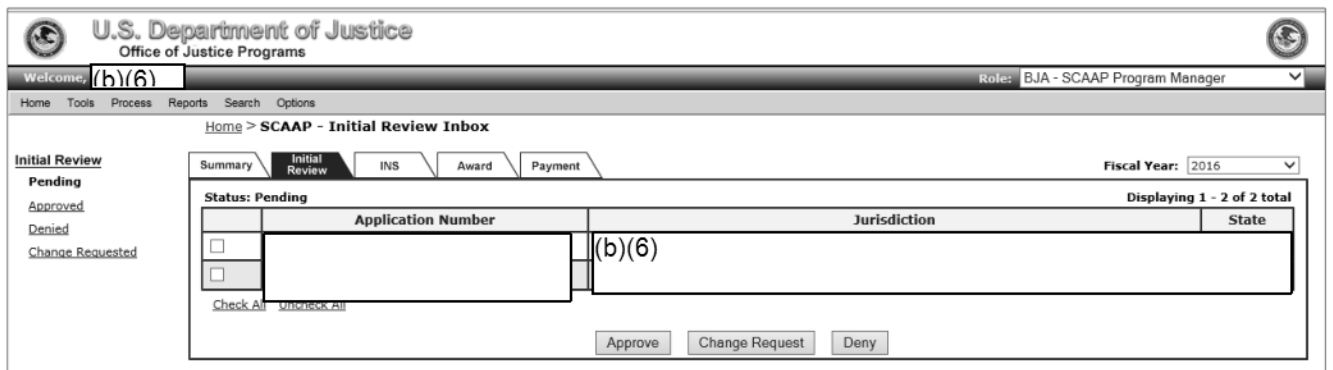


Figure 13-27: SCAAP Initial Review Inbox

The SCAAP-Program Manager can perform the same actions (Approve, Change Request, Deny, or Reopen) in the Initial Review phase as the grant manager. The only difference is the program

manager can access the applications in the various inboxes, namely the *Pending*, *Change Requested*, and *Denied* inboxes. Below is a list of actions the SCAAP program manager can take in the Initial Review (IR) phase and the corresponding inbox the application moves to.

Application in:	Action:	Moves to:
<i>Pending</i> inbox	Approve	<i>INS-Pending</i> inbox
<i>Pending</i> inbox	Change Request	<i>IR-Change Requested</i> inbox
<i>Pending</i> inbox	Deny	<i>IR-Denied</i> inbox
<i>Change Requested</i> inbox	Reopen	<i>IR-Pending</i> inbox
<i>Denied</i> inbox	Reopen	<i>IR-Pending</i> inbox

1.2.2 SCAAP INS review phase

After the program manager approves an application in the initial review phase, it moves to the *Pending* inbox in the INS tab (Figure 13-28).

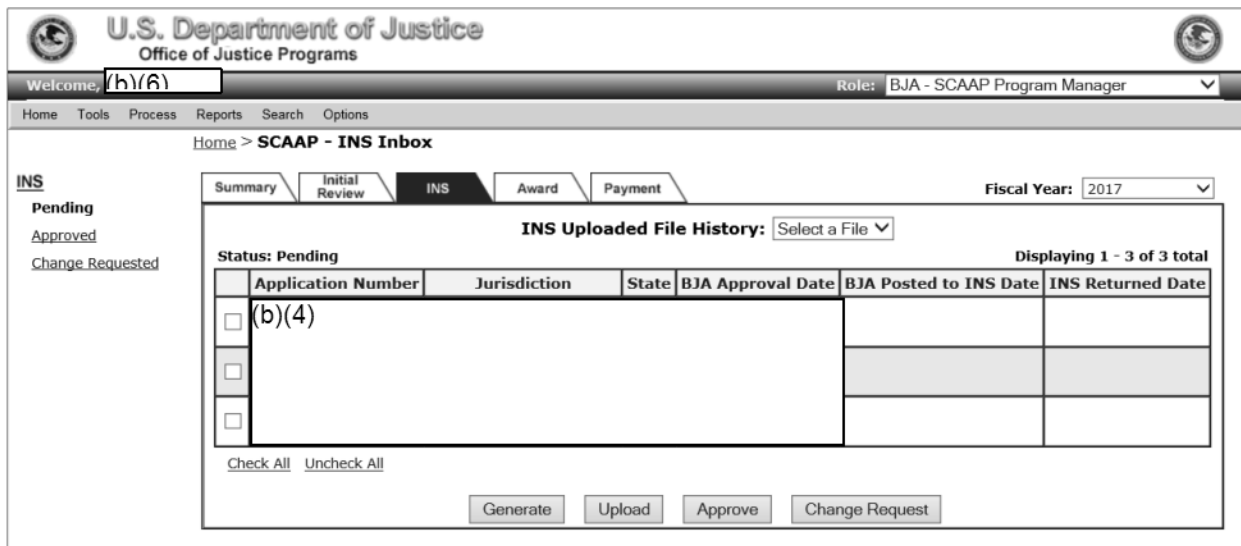


Figure 13-28: SCAAP – INS Inbox

The INS (formerly Immigration and Naturalization Service) phase allows for the transition of SCAAP inmate data from all GMS applications for a given fiscal year to be converted to a text file so that it can be sent to the applicable immigration agency.

Below is a list of actions the SCAAP program manager can take in the INS phase and the corresponding inbox the application moves to.

Application in:	Action:	Moves to:
<i>Pending</i> inbox	Approve	<i>Award Generation-Pending</i> inbox

<i>Pending</i> inbox	Change Request	<i>INS-Change Requested</i> inbox
<i>Pending</i> inbox	Generate	<i>N/A. Generates text file</i>
<i>Pending</i> inbox	Upload	<i>N/A. Upload of text file.</i>
<i>Approved</i> inbox	No action. Read-only	<i>N/A</i>
<i>Change Requested</i> inbox	Reopen	<i>INS-Pending</i> inbox

As the text file must be pulled from all SCAAP applications for the fiscal year at one time, BJA will wait until all SCAAP applications reach the INS-Pending inbox before generating the INS text file. Once all applications are in the INS-Pending inbox, the SCAAP program manager can click the **Generate** button. The user's browser will be prompted to open or save the file. The file will contain all SCAAP application inmate data in a specialized-format (Figure 13-29).



Figure 13-29: SCAAP - INS text file

The user should save the file locally so that it can be sent to the applicable immigration agency for additional processing.

Once the immigration agency has completed processing the INS file, they will return it to BJA. BJA program manager will return to the INS-Pending inbox and can click the **Upload** button. The *INS Return Data Upload* page is displayed (Figure 13-30).

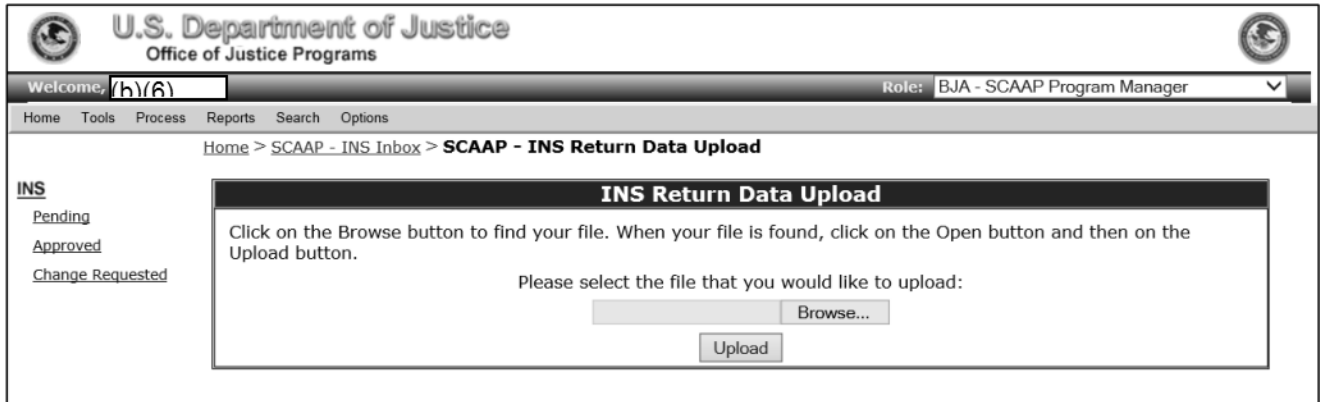


Figure 13-30: INS Return Data Upload page

The user should click the **Browse** button, select the local INS file, and then click the **Upload** button.

The *INS Return Data Results* page is displayed (Figure 13-31).

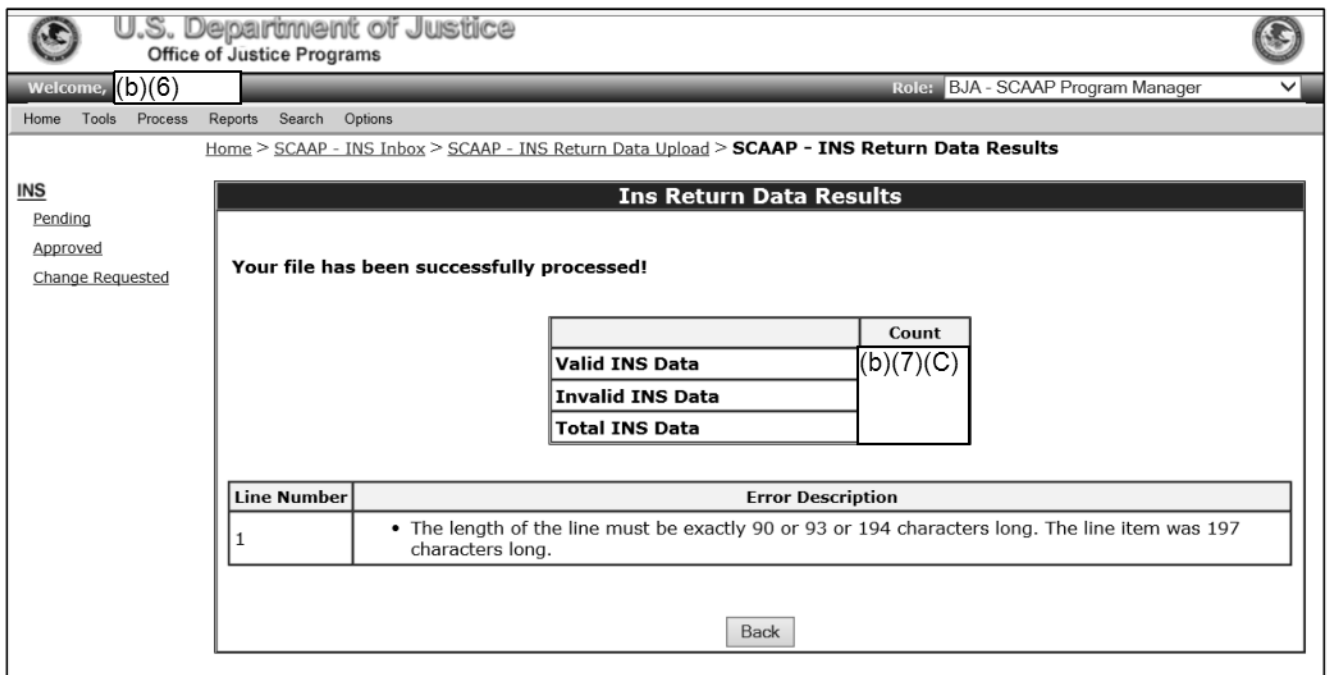


Figure 13-31: INS Return Data Results page

This page lists the number of valid and invalid inmate records along with any validation errors that were encountered. The user can click the **Back** button to return to the INS-Pending inbox. The uploaded file will appear in the *INS Uploaded File History* menu (Figure 13-32).

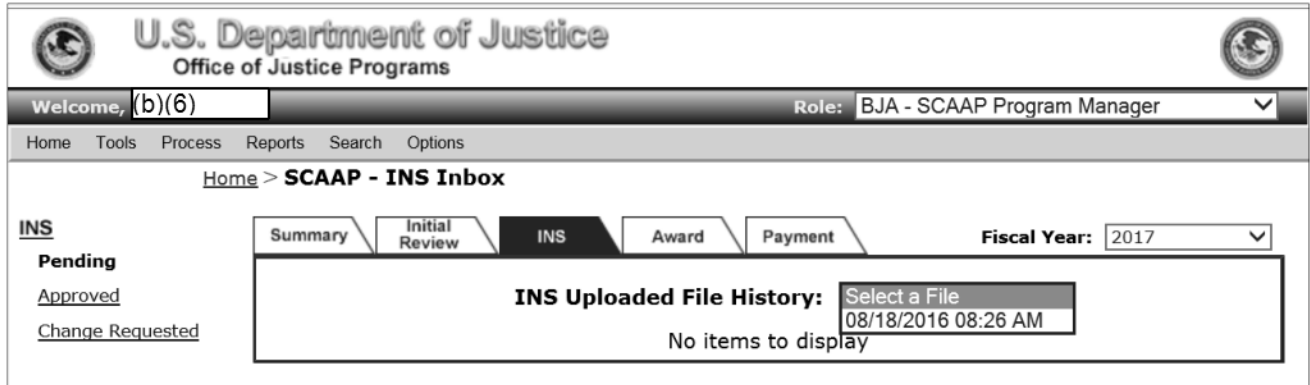


Figure 13-32: INS Uploaded File History

The user can select the time/date stamp to view the file. The user can correct any errors in the file and reattempt the upload at a later time.

Once the SCAAP program manager is satisfied that all SCAAP inmate data is valid and has been uploaded, the SCAAP applications can be approved to the Award Generation review phase.

1.2.3 SCAAP Award Generation phase

After program manager approves an application in the INS phase, it moves to the *Pending* inbox in the Award phase (Figure 13-33).

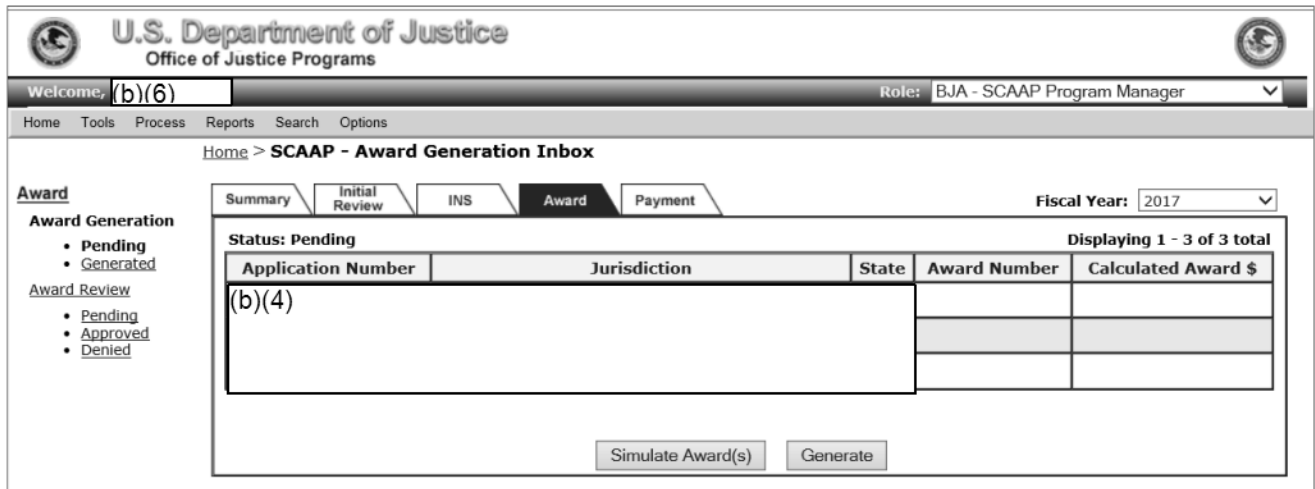


Figure 13-33: SCAAP – Award Generation Inbox

BJA determines the award amounts during this phase. The first part is the *Award Generation* phase in the *Award* phase.

Below is a list of actions the SCAAP program manager can take in the Award Generation phase and the corresponding inbox the application moves to.

Application in:	Action:	Moves to:
<i>Obligation Generation</i> <i>Pending</i> inbox	Simulate Award	<i>N/A. Simulates the award calculation</i>

<i>Obligation Generation Pending inbox</i>	Generate	<i>INS-Change Requested inbox</i>
<i>Obligation Generation Generated inbox</i>	No action. Read-only	<i>N/A</i>

To generate the award amounts, the SCAAP program manager can click the **Generate** button, which will move all SCAAP applications to the pending inbox in the *Award Review* phase.

1.2.4 SCAAP Award Review phase

After the program manager has generated the award amounts, all SCAAP applications move to the *Pending* inbox in **Award Review** phase (Figure 13-34), which is the second part of the Award phase.

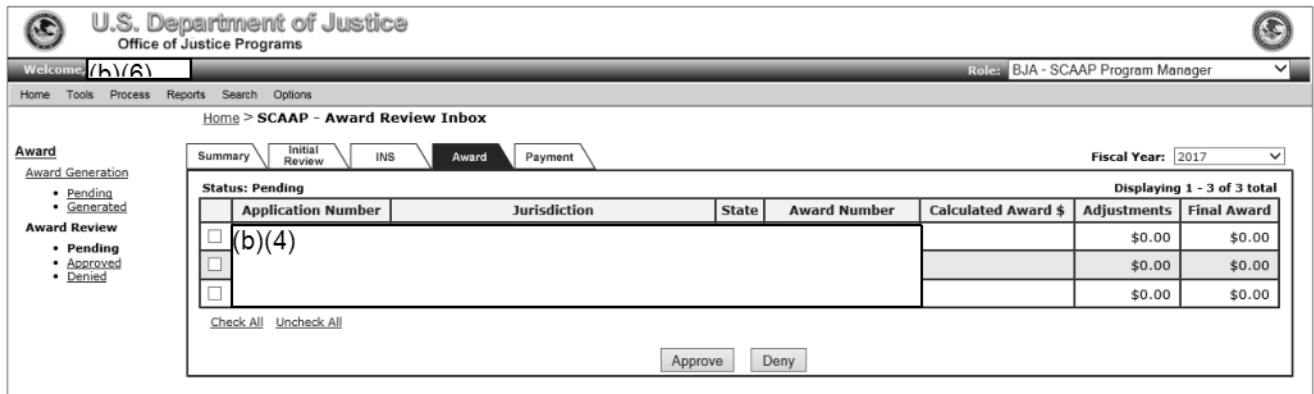


Figure 13-34: SCAAP – Award Review Inbox

Below is a list of actions the SCAAP program manager can take in the Award Review phase and the corresponding inbox the application moves to:

Application in:	Action:	Moves to:
<i>Pending</i> inbox	Approve	<i>Payment-Pending Vendor Verification</i> inbox
<i>Pending</i> inbox	Deny	<i>Award Review-Denied</i> inbox
<i>Approved</i> inbox	No action. Read-only	<i>N/A</i>
<i>Denied</i> inbox	Reopen	<i>Award Review-Pending</i> inbox
<i>Approved</i> inbox	No action. Read-only	<i>N/A</i>

1.2.5 SCAAP Obligation Generation phase

After the program manager has approved a SCAAP application in the award review phase, the application moves to the **Obligation Generation** phase, which is the first part of *Payment* phase under the Payment tab. Beginning in the payment phase, the remaining actions will be taken by the SCAAP Director role.

The first part of the Obligation Generation phase is the *vendor verification*, so the inbox is called *pending vendor verification*. In the vendor verification inbox, the SCAAP director cannot actually take any actions. The vendor verification date must be set via GMS DCR once all awarded SCAAP applications for the current fiscal year are in this inbox. The applications will then be displayed in the *Obligated* inbox in the Obligation Generation phase and will move to the pending inbox in the Acceptance Release phase.

1.2.6 Acceptance Release phase

After the GMS DCR has been completed to set the vendor verification date in the obligation generation phase, the applications move to the pending inbox in the *Acceptance Release* phase (Figure 8-36). The director can only take the **Approve** action in this inbox. Once the director approves a SCAAP application, the application will then be displayed in the *Released* inbox in the Acceptance Release phase and will move to the pending inbox in the Drawdown phase.

1.2.7 Drawdown phase

After the director has approved a SCAAP application in the obligation generation phase, the application moves to the pending inbox in the *Drawdown* phase, which is the second part of the *Payment* phase under the Payment tab (Figure 13-35). The SCAAP director actually doesn't take any action in this inbox.

The screenshot shows the SCAAP Director Payment Inbox interface. The page header includes the U.S. Department of Justice logo and the user's name, Latanya Watson, with a role of BJA - SCAAP Director. The navigation menu on the left lists various stages: Payment (Obligation Generation, Pending Vendor Verification, Pending Obligated), Acceptance Release (Pending, Released), Drawdown (Pending, Accepted, Declined), and Final Payment (Pending, Paid, Rejected, Failed). The main content area is titled 'Home > SCAAP - Acceptance Release Inbox' and features a 'Payment' tab. A table displays pending applications with the following columns: Application Number, Award Number, Jurisdiction, State, Award Amount, Adjustment Amount, and Final Award Amount. The table shows three rows of data, all with \$0.00 values. A 'Status: Pending' banner is at the top of the table, and an 'Approve' button is at the bottom right.

Application Number	Award Number	Jurisdiction	State	Award Amount	Adjustment Amount	Final Award Amount
(b)(4)				\$0.00	\$0.00	\$0.00
				\$0.00	\$0.00	\$0.00
				\$0.00	\$0.00	\$0.00

Figure 13-35: SCAAP Director Payment Inbox

In the Drawdown phase, the Grantee either accepts or declines the SCAAP award. If the Grantee accepts the award, the application will then be displayed in the *Accepted* inbox in the Drawdown phase, which also moves the application to the pending inbox in the *Final Payment* phase, which is the final SCAAP phase. If the Grantee declines the award, the application will be moved to the *Declined* inbox in the Drawdown phase.

To accept or decline their award, the Grantee should login to their external account. On the *Applications* (GMS Home) page, the Grantee should click the *Drawdown* link in action column (8-38).

Figure 13-36: SCAAP Director Pending Drawdown Inbox

On the next screen (Figure 13-37), to accept the award, the Grantee should check the box to certify their acceptance, select at least one reason in the “Use of Funds” menu, then click the **Accept** button. The Grantee will be returned to the Applications page, and the application status will be reflected as “award accepted” with the current date. Alternatively, the Grantee can decline the award by clicking the **Decline** button. The Grantee will be returned to the Applications page, and the application status will be reflected as “award declined” with the current date.

Figure 13-37: Grantee Acceptance Screen for SCAAP Awards

1.2.8 Final Payment Phase

After the Grantee has accepted their SCAAP award, the application moves to the pending inbox in the *Final Payment* phase, which is the last phase in the SCAAP application workflow. The SCAAP director or program manager cannot take any action in this inbox. A nightly quartz job

executes that checks the FMIS2 return balance file to determine if the award has been paid. If it has been paid, the quartz job will update the application status to 'Paid', and the application will be moved to the *Paid* inbox, which ends the SCAAP process for the application.

If it has not been paid, the application will move to the *Failed* inbox. In the *Failed* inbox, the SCAAP program manager can click the **Move to Pending** button (Figure 13-38) to move the application back to the Final Payment pending inbox. This will allow the nightly quartz job to run again to determine if it's actually been paid in FMIS2.

The screenshot shows the SCAAP Program Manager interface for the U.S. Department of Justice, Office of Justice Programs. The user is logged in as 'BJA - SCAAP Program Manager'. The main navigation bar includes 'Home', 'Tools', 'Process', 'Reports', 'Search', and 'Options'. The current page is 'SCAAP - Final Payment Inbox'.

On the left side, there is a navigation menu with the following sections:

- Payment**
- Obligation Generation**
 - Pending
 - Vendor Verification
 - Pending
 - Obligated
- Acceptance Release**
 - Pending
 - Released
- Drawdown**
 - Pending
 - Accepted
 - Declined
- Final Payment**
 - Pending
 - Paid
 - Rejected
 - Failed

The main content area shows the 'Payment' tab selected. At the top right, the 'Fiscal Year' is set to 2018. Below this, there is a 'Deobligation File History' section with a 'Select a File' dropdown. The status is 'Failed' and it displays '1 - 1 of 1 total'.

	Application Number	Award Number	Jurisdiction	State	Date Sent To FMIS2	FMIS2 Release Date	Deobligation Date	Supplement Date
<input type="checkbox"/>	2016-H0971-CA-AP	2016-AP-K9-K001	Governor's Office of Emergency Services	CA				

Below the table, there are links for 'Check All' and 'Uncheck All', and a 'Move to Pending' button.

Figure 13-38: SCAAP Program Manager - Failed Inbox

**MEMORANDUM OF UNDERSTANDING
BETWEEN
THE OFFICE OF JUSTICE PROGRAMS, DOJ
AND
THE BUREAU OF IMMIGRATION AND CUSTOMS ENFORCEMENT, DHS**

I Purpose

This Memorandum of Understanding (MOU) between the Office of Justice Programs (OJP), Department of Justice (DOJ), and the Bureau of Immigration and Customs Enforcement (ICE), Department of Homeland Security (DHS), provides the framework for the programmatic and procedural relationship in the planning, implementation, and administration of the State Criminal Alien Assistance Program (SCAAP) data sharing, review, and vetting process.

II Authority

The authority for this Agreement is contained in Title II, subtitle C, section 20301, of the Violent Crime Control and Law Enforcement Act, Pub. L. 103-322, which amends section 242, of the Immigration and Nationality Act (8 U.S.C., 1252) which authorizes compensation to State and local units of general government for the costs associated with the incarceration of undocumented criminal aliens.

III Background

The presence of undocumented criminal aliens in this country has presented a formidable challenge to local, State, and federal law enforcement officials and policy makers. Many States have a disproportionate number of incarcerated undocumented aliens, placing tremendous burdens on their crowded prison facilities and support infrastructures. In response to this problem, section 501 of the Immigration Reform and Control Act of 1986 (IRCA), amended (8 U.S.C., 1365) authorizes the Attorney General (AG) to compensate States and localities for costs associated with the incarceration of undocumented criminal aliens. To ensure funds are provided in a timely manner, the AG has delegated responsibility for administering SCAAP to the Bureau of Justice Assistance, OJP, DOJ.

IV Areas of Responsibility

A. Bureau of Justice Assistance, OJP agrees:

1. To collect undocumented criminal alien incarceration records from eligible jurisdictions through the Internet-based Grant Management System.
2. To initially examine submitted undocumented criminal alien data to ensure proper formatting and completeness of data fields.
3. To provide all inmate data to ICE in an electronic, readable format in keeping with ICE data requirements.

DUPLICATE

B. Office of Chief Information Officer, OJP agrees:

1. To ensure adequate system and technology support to the SCAAP program throughout the application and data vetting process.
2. To electronically batch all alien inmate records, per specifications.
3. To establish with ICE the format for transmitting the data and monitor the transmission of all records.

C. Bureau of Immigration and Customs Enforcement, DHS agrees:

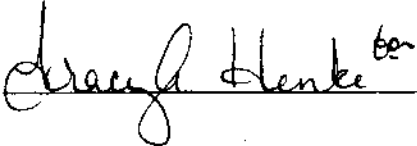
1. To determine, by State or local jurisdiction applicant, the number of inmates eligible, unknown, not eligible, or invalid for SCAAP funding.
2. To report data back to BJA in a format that includes, at a minimum, the data fields as prescribed in Attachment A.
3. To consolidate all incarceration periods, of four consecutive days or more, for each unique inmate.
4. To calculate the number of illegal inmate days, by jurisdiction, for payment formula purposes.

V Duration and Termination


This MOU shall become effective upon the execution by all parties hereto, and will remain in effect unless and until amended or rescinded by mutual written consent of the parties involved.

VI Authorized Signatures

ASSISTANT ATTORNEY GENERAL, OJP, DOJ

By: 
Printed Name: _____
Title: Principal Deputy Assistant Attorney General
Date: July 14, 2003

BUREAU OF IMMIGRATION AND CUSTOMS ENFORCEMENT, DHS

By: 
Printed Name: ANTHONY S. TANGEMAN
Title: DIRECTOR, DETENTION + REMOVAL
Date: 7/23/03

APPENDIX A

INS Returned Data: File Format

(b)(7)(E)

Column Data Type	(b)(7)(E)
*Application ID	
** Total Records	
Processed By INS	
** Total Inmates	
** Total Valid Inmates	
** Eligible Valid Inmates	
** Unknown Valid	
Inmates	
** Not Eligible Valid	
Inmates	
** Eligible Valid Days	
** Unknown Valid Days	
Two Letter State Code	
Jurisdiction Name	

* (b)(7)(E)

**



Bureau of Justice Statistics

State Prison Expenditures, 1996

States spent about \$22 billion on prisons in fiscal year 1996

Operating expenditures		\$20.7 billion	94%
Salaries and wages		10.8	49
Employee benefits		3.0	14
Other		6.9	31
Capital expenditures		\$ 1.3 billion	6%
Construction		0.8	4
Equipment		0.3	1
Land		0.2	1
Total		\$22.0 billion	100%

Average annual operating expenditure per inmate \$20,100

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Statistics



State Prison Expenditures, 1996

By **James J. Stephan**
Statistician
Bureau of Justice Statistics

August 1999, NCJ 172211

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Statistics

Jan M. Chaiken, Ph.D.
Director

James J. Stephan wrote this report and coordinated development of the project database. Allen J. Beck supervised the project development and the writing of the report. Laura M. Maruschak and Todd D. Minton provided statistical assistance. Tom Hester produced and edited the report, assisted by Ida Hines. Jayne Robinson prepared the report for final printing,

Pamela Butler, the U.S. Bureau of the Census, coordinated the data extraction process from the *FY 1996 Survey of Government Finances*, verified the information reported by State budget and corrections officials, and prepared State-by-State documentation, under the general direction of Stephanie Brown. Governments Division Finance staff assisted in compiling and reviewing the extracted data.

This report and its data are available
on the Internet:
<http://www.ojp.usdoj.gov/bjs/>

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Highlights

For fiscal year 1996 States and the District of Columbia reported that they spent \$22 billion for adult prisons — to build, staff, and maintain the facilities and to house the prisoners. The Federal Bureau of Prisons spent an additional \$2.5 billion.

These estimates come from a study based on the 1996 Survey of Government Finances, conducted by the U.S. Bureau of the Census. On behalf of the Bureau of Justice Statistics (BJS), government finance specialists contacted State budget officers and department of corrections officials and elaborated the survey data for corrections categories. (See the box on this page summarizing the included and excluded expenditures and *Methodology* for details.)

	State expenditures in 1,000's (1996 constant dollars)					
	1984		1990		1996	
	Total	Percent of total	Total	Percent of total	Total	Percent of total
Total	\$6,778,000	100%	\$12,033,000	100%	\$22,033,000	100%
Operating	5,904,000	87	11,347,000	94	20,738,000	94
Capital	874,000	13	686,000	6	1,295,000	6

Sources: The expenditures for 1984 and 1990 from the BJS Censuses of State Correctional Facilities have been adjusted to 1996 dollars. Figures for 1984 and 1990 may exclude some central office outlays.

The Nation's prisons cost \$24.5 billion in 1996

- Prison operations accounted for about 80% of all State correctional expenditures in 1996. The remaining 20% was for juvenile justice activities, probation and parole services, and community-based corrections.

Average inmate cost approximately \$20,100 per year

- When prison operating expenditures were divided by the average number of inmates incarcerated during 1996, the nationwide average annual cost to

house each State inmate was \$20,100, and each Federal inmate, \$23,500.

State and Federal prison spending up after 1990

- State prison expenditures increased 83% from \$12 billion in 1990 to \$22 billion in 1996, an average of about 11% per year.
- Federal prison expenditures rose 160% from \$946 million in 1990 to \$2.5 billion in 1996, an average of about 17% per year.

Nearly all money was used for daily operations

- Approximately \$1.3 billion, or 6% of State prison expenditure in 1996, went for new construction, renovations, major repairs, equipment, land and building purchases, and other major nonrecurring outlays, leaving \$20.7 billion, or 96% for salaries, wages, benefits, and other operating expenses.

Fiscal year	Expenditures in 1996 constant dollars			
	Total (in 1,000's)	Per inmate operating expenditures	Total (in 1,000's)	Per inmate operating expenditures
1984	\$6,778,000	\$16,300
1990	12,033,000	18,400	\$946,200	\$16,800
1996	22,033,000	20,100	2,459,700	23,500

Note: State expenditures for 1984 and 1990 may exclude some central office outlays.

What activities and expenditures does the survey cover?

Included*

Adult prison operations
Wages, salaries, benefits
Food service
Medical care
Transportation and utilities
Inmate programs
Capital outlays
Facility construction and renovation
Major repairs
Land and building purchases

Excluded

Prisons not holding inmates during FY 1996
State juvenile justice activities
Probation and parole services
Nonresidential community corrections

*Expenditures are net amounts after deductions for revenue from prison farms, industries, and services.

Prison costs per U.S. resident increased

- The total annual burden of State correctional expenses rose from \$53 (in constant 1996 dollars) per U.S. resident in 1985 to \$103 in 1996.
- Per resident spending for State prisons increased each year an average 7.3% between 1985 and 1996 — about twice the 3.6% annual average rise in spending for State education.

- The annual per resident cost of State prison operation alone increased from \$40 in 1985 to \$79 in 1996.

Prison costs were related to factors outside the correctional system

- Average operating costs per inmate in 1996 varied by State, reflecting wide differences in costs of living, prevailing wage rates, and other factors over which corrections administrators have little control.

- The highest average annual operating cost per State inmate occurred in Minnesota, (\$37,800) and the lowest in Alabama (\$8,000).

Operating costs per inmate, 1996

5 highest annual costs

Minnesota	\$37,800
Rhode Island	35,700
Maine	33,700
Alaska	32,400
Utah	32,400

5 lowest

Alabama	\$8,000
Oklahoma	10,600
Mississippi	11,200
Texas	12,200
Missouri	12,800

State prison expenditures

Selected items	Fiscal 1996	
	Expenditures in 1,000's*	Daily costs per inmate
Inmate medical care	\$2,456,300	\$6.54
Inmate programs	1,231,100	\$3.28
Food service	1,112,900	\$2.96
Utilities	682,028	\$1.81
Transportation/travel	197,000	\$0.52

*National totals are based on estimates for all States.

Five core expenses cost State prison systems more than \$5 billion in FY 1996

- Outlays for services, programs, and activities related to inmate medical and dental care, including employee salaries, were about 12% of all State prison operating expenditures in 1996.

- Medical and dental care cost an annual average of \$2,386, or \$6.54 per day for each inmate.

- Daily expenditures per inmate for other State prison activities included the following: inmate programs, \$3.28; food service, \$2.96; utilities, \$1.81; and transportation and travel, \$0.52.

Several operational factors were associated with prison costs

- Across the States high overall inmate-to-staff ratios were associated with low average costs per inmate.

- States that maintained facilities with larger capacities tended to report lower average costs per inmate than States having smaller facilities.

- Some States were unable to separate community corrections from prison expenditures. This accounting difference resulted in higher reported operating costs per prisoner in those States.

Employee salaries and benefits accounted for the majority of prison expenditures

- Salaries and wages for prison staff were the largest regularly recurring outlay, by far, totaling more than \$10.7 billion, or about half of State prison expenditures.

- Employer contributions to employee benefits were the second largest item, at \$3.1 billion, or 14% of the total.

	Fiscal 1996 State expenditures in 1,000's	
	Total	Percent of total
Total	\$22,033,200	100%
Operating	20,737,800	94%
Salaries and wages	10,774,900	49
Employee benefits	3,060,900	14
Other	6,902,000	31
Capital	\$1,295,300	6%
Construction	808,400	4
Equipment	301,400	1
Land and existing structures	185,500	*

*Less than 1%. Detail may not add to total because of rounding.

Introduction

This report presents comparative data on the cost of operating adult confinement facilities, generally referred to as *prisons*, in each of the 50 States and the District of Columbia during fiscal year 1996. Prisons are defined as correctional facilities in which less than 50% of the inmates regularly leave the institution, unaccompanied, to work or study in the community.

Expenditures of prisons not in operation during Fiscal year 1996 are excluded, as are State juvenile justice, probation and parole services, and nonresidential community-based corrections.

Expenditures, as used in this study, include the entire amount of money paid out, including principal and interest, investment in securities, extensions of loans, and agency transactions. All figures are net amounts after deductions for revenue-generating activities such as farm produce and industrial products and services.

Unlike correctional cost studies based on budgeted numbers or a combination of budgeted and expended amounts, this study focuses exclusively on expenditures. It includes State-level data on employee salaries, wages, employer contributions to employee benefits, operating costs per inmate, and capital outlays for facility construction, renovations, major repairs, land and building purchases. Additional information is presented on the costs of prison food service, inmate programs, medical care, transportation and utilities.

Assuming available time and resources, BJS anticipates completing a future State prison expenditure study based on State reporting of FY 2001 data.

Since 1971 BJS and its predecessor agencies have published *Justice Expenditure and Employment (CJEE)*, a series which includes information on State correctional expenditures. The CJEE is broad-based, describing the expenditures of both States and localities for all correctional activities, police protection, and judicial and legal activities. It also reports the number of State and local criminal justice employees by function and payroll status. A BJS *Justice Expenditure and Employment* publication is available for 1992, and reports for 1993 through 1995 are being prepared.

Unlike the CJEE, the BJS expenditure antecedent to *State Prison Expenditures 1996* focused exclusively on State correctional facility costs and was based on individual facilities. As part of the *1984 and 1990 Censuses of State Correctional Facilities*, State-level information was gathered on total, operating, and capital expenditures of individual State prison systems. Reporters within each facility provided expenditure data, with information on facility physical characteristics, inmate population, health and safety conditions, staff, and programs.

In developing the 1996 data collection, BJS sought to enhance the comparability of jurisdictions. In past collections cost figures of some States included juvenile services. Other States reported probation and parole activities together with prison costs. Transfer payments from State agencies outside the department of corrections were not always counted. Transportation costs, employee benefits, medical services, and other line items were included in the total expenditures reported by some respondents but not by others.

In the 1996 data collection, the U.S. Census Bureau's FY 1996 survey of Government Finances was accessed and information pertaining to State institutional corrections expenditures was extracted to provide the nucleus of the material used to produce *State Prison Expenditures 1996*. See *Methodology* for information on the methods used to extract the correctional expenditures and other data collection procedures.

During the early stages of this expenditures project, the State/Federal Committee of the Association of State Correctional Administrators received a BJS briefing. Afterwards the committee received preliminary findings and a prepublication copy of the final results.

Total expenditure, 1985-96

State correctional costs more than doubled between 1985 and 1996

According to data reported by each State in the U.S. Census Bureau's annual Survey of Government Finances, the Nation's expenditures on State correctional activities rose 115% from approximately \$12.7 billion in 1985 to \$27.3 billion in 1996 (figure 1).^{*} Expenditures specifically for State prison activities increased from \$9.6 billion in 1985 to \$20.9 billion in 1996. Interviews with State budget officials by the Bureau of the Census for this report produced a revised 1996 estimate of \$22 billion.

Total State correctional expenditures include the cost of operating prisons and related institutions such as reformatories, prison farms, institutions exclusively for the criminally insane, institutions for the reception, evaluation and classification of inmates; and correctional facilities for the treatment of drug addicts and alcoholics. In addition to prison operations, State correctional expenditures include juvenile detention and correctional activities, parole boards and programs, pardon boards, probation activities, including those administered by courts, and correctional administration not directly connected to institutions.

^{*}Federal correctional spending, as a non-State cost, was outside the scope of this study. However, Federal Bureau of Prisons (BOP) officials reported separately that outlays for its prison operations in FY 1996 amounted to nearly \$2.5 billion, or about 10% of the Nation's prison expenditure. BOP's annual operating expenditure per inmate was \$23,500. In 1990, these numbers, adjusted for inflation, were \$946 million and \$16,800, respectively.

Each year between 1985 and 1996 States increased their spending for all corrections an average 7.2% and for prisons alone an average 7.3%

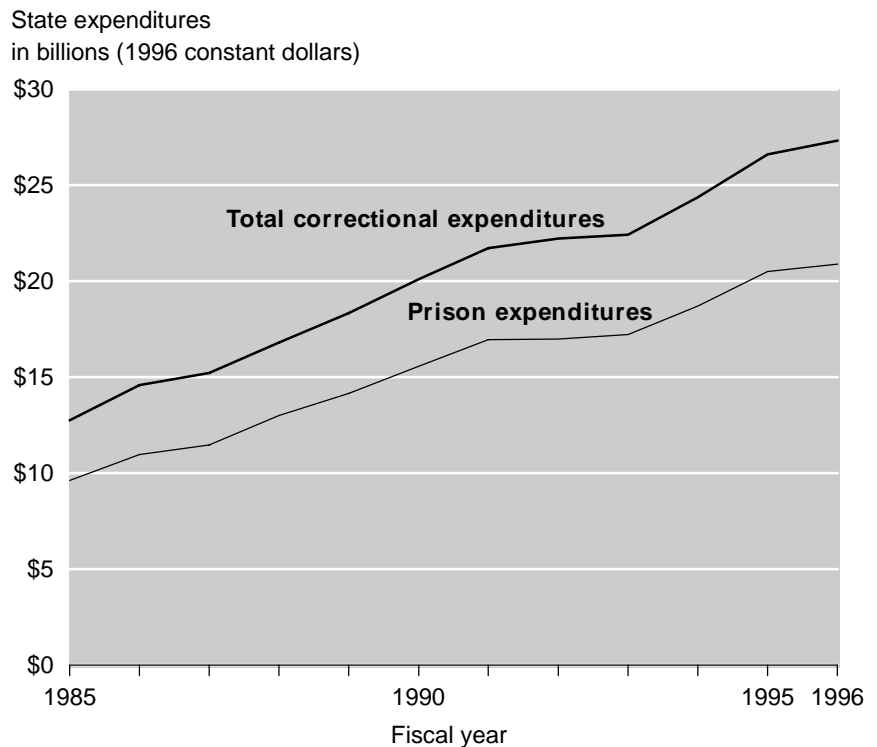


Figure 1

State costs per resident for corrections increased faster than costs for education, health, and natural resources

As an annual cost per U.S. resident, total State correctional spending rose from \$53 in 1985 to \$103 in 1996. Per resident outlays for State prison operations alone rose from \$40 in 1985 to \$79 in 1996. State correctional spending increased an average 7.2% per year, and spending for prisons specifically, 7.3%. Such spending was

about twice the annual increase for State education (3.6%) and more than twice the increase for State natural resources (2.9%).

Although State corrections costs grew at a faster rate than some other areas from 1985 to 1996, corrections' relative share of the total outlay remained small. At \$994 billion, State spending for education in FY 1996 was nearly 10 times larger than that for corrections, and public welfare was about 7 times larger.

Fiscal year	Annual per capita costs (in 1996 constant dollars) for selected State expenditures, 1985-96					
	Total corrections	Prisons	Health	Education	Public welfare	Natural resources
1985	\$53	\$40	\$67	\$749	\$392	\$39
1990	81	62	93	861	490	46
1995	101	78	120	970	757	49
1996	103	79	123	994	738	49
Average annual percent change 1985-96	7.2%	7.3%	6.6%	3.6%	7.0%	2.9%

Source: U.S. Bureau of the Census, *State Government Finances*, 1985-96.

Table 1. State prisons: Total, operating, and capital expenditures, and operating expenditures per inmate, fiscal year 1996

Region and jurisdiction	Expenditures (in 1,000's of dollars)					Operating expenditures in dollars per inmate		Estimated average daily number of inmates, 1995-96*
	Total	Operating	Percent of total	Capital	Percent of total	Per year	Per day	
Total	\$22,033,214	\$20,737,888	94%	\$1,295,326	6%	\$20,142	\$55.18	1,029,595
Northeast	\$5,083,959	\$4,690,704	92%	\$393,256	8%	\$28,996	\$79.44	161,773
Connecticut	497,838	475,367	94	22,471	6	31,912	87.43	14,896
Maine	51,713	48,206	93	3,507	7	33,711	92.36	1,430
Massachusetts	309,674	304,483	98	5,191	2	26,002	71.24	11,710
New Hampshire	42,970	42,429	99	541	1	20,839	57.09	2,036
New Jersey	839,308	827,115	98	12,193	2	30,773	84.31	26,878
New York	2,220,586	1,948,752	88	271,835	12	28,426	77.88	68,556
Pennsylvania	978,769	902,244	92	76,525	8	28,063	76.88	32,151
Rhode Island	109,596	108,683	99	913	1	35,739	97.92	3,041
Vermont	33,505	33,426	100	79	...	31,094	85.19	1,075
Midwest	\$4,502,037	\$4,254,686	94%	\$247,351	6%	\$21,919	\$60.05	194,107
Illinois	740,423	732,824	99	7,599	1	19,351	53.02	37,870
Indiana	338,195	325,700	96	12,495	4	20,188	55.31	16,133
Iowa	146,069	143,774	98	2,295	2	24,286	66.54	5,920
Kansas	170,848	158,454	93	12,394	7	22,242	60.94	7,124
Michigan	1,167,610	1,161,142	99	6,468	1	28,067	76.89	41,371
Minnesota	185,983	184,359	99	1,624	1	37,825	103.63	4,874
Missouri	262,787	249,414	94	13,373	6	12,832	35.16	19,437
Nebraska	69,867	67,904	97	1,963	3	22,271	61.02	3,049
North Dakota	10,749	10,584	99	165	2	17,154	47.00	617
Ohio	1,014,917	873,584	86	141,333	14	19,613	53.74	44,540
South Dakota	34,152	33,582	98	570	2	17,787	48.73	1,888
Wisconsin	360,439	313,366	87	47,073	13	27,771	76.08	11,284
South	\$7,442,584	\$6,990,526	94%	\$452,058	6%	\$15,338	\$42.02	455,756
Alabama	168,989	165,760	98	3,229	2	7,987	21.88	20,753
Arkansas	133,729	124,513	93	9,216	7	13,341	36.55	9,333
Delaware	87,961	87,253	99	707	1	17,987	49.28	4,851
District of Columbia	213,716	212,148	99	1,568	1	21,296	58.34	9,962
Florida	1,224,933	1,100,655	90	124,278	10	17,327	47.47	63,521
Georgia	560,358	547,490	98	12,868	2	15,933	43.65	34,363
Kentucky	208,706	198,775	95	9,931	5	16,320	44.71	12,180
Louisiana	316,245	313,463	99	2,783	1	12,304	33.71	25,476
Maryland	520,263	480,880	92	39,382	8	22,247	60.95	21,616
Mississippi	148,852	143,914	97	4,938	3	11,156	30.56	12,900
North Carolina	756,829	733,775	97	23,054	3	25,303	69.32	28,999
Oklahoma	198,290	193,567	98	4,723	2	10,601	29.04	18,260
South Carolina	315,539	277,868	88	37,671	12	13,977	38.29	19,880
Tennessee	350,575	349,177	100	1,398	...	22,904	62.75	15,245
Texas	1,713,935	1,565,214	91	148,721	9	12,215	33.47	128,140
Virginia	476,715	452,358	95	24,357	5	16,306	44.67	27,742
West Virginia	46,949	43,716	93	3,233	7	17,245	47.25	2,535
West	\$5,004,632	\$4,801,972	96%	\$202,661	4%	\$22,032	\$60.36	217,959
Alaska	116,664	112,350	96	4,314	4	32,415	88.81	3,466
Arizona	418,094	409,167	98	8,927	2	19,091	52.30	21,433
California	3,031,047	2,918,845	96	112,202	4	21,385	58.59	136,492
Colorado	249,833	234,503	94	15,330	6	21,020	57.59	11,156
Hawaii	87,417	83,921	96	3,496	4	23,318	63.88	3,599
Idaho	56,957	55,017	97	1,940	3	16,277	44.60	3,380
Montana	42,448	41,875	99	573	1	20,782	56.94	2,015
Nevada	121,960	119,026	98	2,934	2	15,370	42.11	7,744
New Mexico	125,602	123,892	99	1,710	1	29,491	80.80	4,201
Oregon	254,330	253,421	100	909	...	31,837	87.22	7,960
Utah	113,394	111,808	99	1,585	1	32,361	88.66	3,455
Washington	357,862	311,122	87	46,740	13	26,662	73.05	11,669
Wyoming	29,025	27,024	93	2,001	7	19,456	53.30	1,389

Note: Expenditures exclude adult community corrections, juvenile corrections, and probation and parole services. Inmate counts used to calculate operating expenditures per inmate were based on prisoners under the jurisdiction of State correctional authorities

from June 30, 1995, to June 30, 1996. See *Methodology* for details. Detail may not add to totals because of rounding.

... Less than 1%.

*See *Methodology*, page 15, for the estimation procedure.

Expenditures, fiscal year 1996

States spent \$22.0 billion on prisons in FY 1996

State prison expenditures — total State corrections minus probation, parole, juvenile justice, and community corrections activities — reached \$22,033,214,000 in fiscal 1996.

California had the largest State prison expenditure, a \$3 billion annual payment, and North Dakota had the smallest State expenditure, \$10.7 million (table 1).

The largest State prison expenditures in FY 1996:

California	\$3.0 billion
New York	2.2
Texas	1.7
Florida	1.2
Michigan	1.2

The smallest State prison expenditures in FY 1996:

North Dakota	\$10.7 million
Wyoming	29.0
Vermont	33.5
South Dakota	34.2
New Hampshire	43.0

States spent approximately \$94 of every \$100 on current operations

Two-thirds of the States spent 94% or more of their prison dollars on current operations, such as salaries, wages, fees, commissions, supplies, contractual services, and general maintenance activities. Oregon, Tennessee, and Vermont reported that nearly all of their funds designated for prisons went for current operations in FY 1996. Ohio spent the least (86%), followed by Washington and Wisconsin which spent 87%.

The Nation's total operating expenditure for State prisons in FY 1996 (\$20,737,888,000) divided by the average number of State prisoners incarcerated during the period (1,029,595), resulted in an estimated average operating expenditure per inmate of \$20,142 per year, or \$55 per day. See *Methodology* for a description of the estimated average daily inmate population for FY 1996.

In 1990 the inflation-adjusted nationwide operating cost per inmate, as reported by State facility respondents, was \$18,400, and in 1984 it was \$16,300.

Nearly half of all jurisdictions in 1996 had per-inmate costs in the \$20,000 to \$30,000 range. Operations were nearly twice as costly in the Northeast as in the South, and about a third higher in the Northeast than in the Midwest and West.

Eight States, all but one of which was located in the South, had annual operating costs per inmate of less than \$15,000, while seven States had annual costs of more than \$30,000:

States with below-\$15,000 annual costs	FY 1996 per inmate prison operating costs
Alabama	\$ 7,987
Oklahoma	10,601
Mississippi	11,156
Texas	12,215
Louisiana	12,304
Missouri	12,832
Arkansas	13,341
South Carolina	13,977

States with above-\$30,000 annual costs

Minnesota	\$37,825
Rhode Island	35,739
Maine	33,711
Alaska	32,415
Utah	32,361
Connecticut	31,912
Oregon	31,837
Vermont	31,094
New Jersey	30,773

Note: All but Rhode Island, Connecticut, and New Jersey used a portion of prison expenditures to fund community corrections. See page 14.

Numerous factors were associated with State-by-State differences in prison costs. Cost-of-living, prevailing wage rates, geography, and a variety of other factors contributed to each State's costs. Measuring these elements was beyond the scope of this study. However, for a discussion of the variations in State correctional expenditures, see "Differences in prison costs," page 12.

Capital expenditures

Most States spent about \$6 out of every \$100 on prison capital projects

States spent an average of \$6 out of every \$100 for new construction, renovations, major repairs, equipment, land, buildings, and other nonrecurring outlays during FY 1996. Less than 1% of total expenditures were allocated to capital projects in Oregon, Tennessee, and Vermont, compared to 14% in Ohio and 13% in Washington and Wisconsin.

Slightly more than three-fifths of State capital outlays in FY 1996 went for building construction and renovation projects such as additions, replacements, and major alterations, including fees for the professional services of architects, engineers, appraisers and attorneys.

In terms of capital outlays, nearly a quarter was spent on equipment purchases and installations, furnishings, office equipment, motor vehicles, and other devices having a useful life of more than 5 years. The remainder — about a seventh of all capital funds — was invested in land acquisitions, debt payments, and related costs (table 2).

In Hawaii and Maryland all capital expenditures for FY 1996 were reported as construction and renovation costs, whereas in Arizona, Delaware, the District of Columbia, Michigan, Idaho, Montana, New Mexico, and Vermont, equipment consumed the entire capital account.

Land-related costs accounted for only a small share of most States' capital expenditures in 1996. In New York, however, these expenditures made up nearly two-thirds of the total and in Indiana, nearly a third.

Table 2. State prisons: Components of capital expenditures, fiscal year 1996

Region and jurisdiction	Capital expenditures (in 1,000's of dollars)			
	Total	Construction	Equipment	Land and other capital expenditures
Total	\$1,295,326	\$808,439	\$301,419	\$185,468
Northeast	\$393,256	\$176,622	\$36,939	\$179,695
Connecticut	22,471	18,363	4,108	0
Maine	3,507	3,253	164	90
Massachusetts	5,191	1,763	3,428	0
New Hampshire	541	219	322	0
New Jersey	12,193	9,470	2,723	0
New York	271,835	74,921	17,308	179,605
Pennsylvania	76,525	68,192	8,333	0
Rhode Island	913	440	473	0
Vermont	79	0	79	0
Midwest	\$247,351	\$173,658	\$69,828	\$3,864
Illinois	7,599	1,556	6,043	0
Indiana	12,495	1,238	7,393	3,864
Iowa	2,295	354	1,941	0
Kansas	12,394	9,769	2,625	0
Michigan	6,468	0	6,468	0
Minnesota	1,624	808	816	0
Missouri	13,373	288	13,085	0
Nebraska	1,963	633	1,330	0
North Dakota	165	153	12	0
Ohio	141,333	122,065	19,268	0
South Dakota	570	45	525	0
Wisconsin	47,073	36,750	10,323	0
South	\$452,058	\$323,146	\$127,836	\$1,077
Alabama	3,229	2,066	1,163	0
Arkansas	9,216	6,904	2,311	0
Delaware	707	0	707	0
District of Col.	1,568	0	1,568	0
Florida	124,278	99,865	24,228	185
Georgia	12,868	1,579	11,290	0
Kentucky	9,931	7,175	2,756	0
Louisiana	2,783	381	2,189	213
Maryland	39,382	39,382	0	0
Mississippi	4,938	2,190	2,360	388
North Carolina	23,054	4,769	18,236	49
Oklahoma	4,723	793	3,931	0
South Carolina	37,671	32,134	5,537	0
Tennessee	1,398	141	1,257	0
Texas	148,721	112,709	35,831	181
Virginia	24,357	11,224	13,073	60
West Virginia	3,233	1,834	1,399	0
West	\$202,661	\$135,013	\$66,815	\$832
Alaska	4,314	2,775	1,539	0
Arizona	8,927	0	8,927	0
California	112,202	77,667	34,535	0
Colorado	15,330	11,565	3,624	141
Hawaii	3,496	3,496	0	0
Idaho	1,940	0	1,940	0
Montana	573	0	573	0
Nevada	2,934	137	2,797	0
New Mexico	1,710	0	1,710	0
Oregon	909	270	639	0
Utah	1,585	746	839	0
Washington	46,740	36,544	9,505	691
Wyoming	2,001	1,813	188	0

Operating expenditures

About two-thirds of operating costs went for prison employee salaries, wages, and benefits

Salaries and wages accounted for slightly more than half of total operating expenditures, nationwide; employee benefits, about a seventh; and other operating costs, approximately a third (table 3).

The wide State-by-State variation in the distribution of operating expenditure components highlights the importance of considering all operating costs together when making comparisons between jurisdictions. For example, in Massachusetts prison employee salaries and wages accounted for 67% of the State's total operating expenditures and for about 60% of the expenditures in the District of Columbia, Oklahoma, New York, and Illinois.

By contrast, in Kentucky, Oregon, and Tennessee about a third of total operating expenditures were allocated for prison employee salaries and wages.

Like salaries, employee benefits varied from a high of 26% in Michigan to a low of 3% in Massachusetts. The other operating costs category ranged from as much as 59% of the total prison operating expenditure in Tennessee to as little as 16% in Michigan.

Table 3. State prisons: Components of operating expenditures, fiscal year 1996

Region and jurisdiction	Operating expenditures (1,000's of dollars)						
	Total	Salaries and wages	Percent of total	Benefits	Percent of total	Other operating costs	Percent of total
Total	\$20,737,888	\$10,774,922	52%	\$3,060,939	15%	\$6,902,027	33%
Northeast	\$4,690,704	\$2,620,003	56%	\$741,958	16%	\$1,328,743	28
Connecticut	475,367	270,755	57	95,000	20	109,612	23
Maine	48,206	22,687	47	10,284	21	15,235	32
Massachusetts	304,483	204,905	67	10,146	3	89,433	29
New Hampshire	42,429	24,151	57	5,942	14	12,336	29
New Jersey	827,115	413,166	50	87,610	11	326,339	39
New York	1,948,752	1,174,315	60	367,208	19	407,228	21
Pennsylvania	902,244	436,195	48	142,514	16	323,535	36
Rhode Island	108,683	55,622	51	18,093	17	34,968	32
Vermont	33,426	18,207	54	5,162	15	10,057	30
Midwest	\$4,254,686	\$2,205,315	52%	\$710,882	17%	\$1,338,489	31%
Illinois	732,824	438,850	60	91,341	12	202,633	28
Indiana	325,700	133,473	41	50,982	16	141,244	43
Iowa	143,774	81,446	57	11,220	8	51,108	36
Kansas	158,454	78,024	49	13,795	9	66,635	42
Michigan	1,161,142	682,644	59	298,166	26	180,332	16
Minnesota	184,359	86,103	47	28,701	16	69,555	38
Missouri	249,414	124,259	50	39,764	16	85,390	34
Nebraska	67,904	35,471	52	8,659	13	23,774	35
North Dakota	10,584	5,779	55	1,700	16	3,105	29
Ohio	873,584	394,243	45	112,280	13	367,062	42
South Dakota	33,582	13,550	40	3,377	10	16,655	50
Wisconsin	313,366	131,474	42	50,896	16	130,996	42
South	\$6,990,526	\$3,480,760	50%	\$892,937	13%	\$2,616,829	37%
Alabama	165,760	87,534	53	22,084	13	56,142	34
Arkansas	124,513	57,505	46	16,308	13	50,701	41
Delaware	87,253	40,705	47	13,120	15	33,428	38
District of Col.	212,148	129,034	61	20,837	10	62,277	29
Florida	1,100,655	535,673	49	224,957	20	340,024	31
Georgia	547,490	262,930	48	105,493	19	179,067	33
Kentucky	198,775	62,513	31	21,593	11	114,669	58
Louisiana	313,463	120,317	38	21,220	7	171,926	55
Maryland	480,880	235,564	49	74,749	16	170,567	35
Mississippi	143,914	60,752	42	16,726	12	66,436	46
North Carolina	733,775	358,087	49	87,126	12	288,562	39
Oklahoma	193,567	116,642	60	32,120	17	44,805	23
South Carolina	277,868	143,777	52	45,148	16	88,943	32
Tennessee	349,177	113,826	33	30,901	9	204,450	59
Texas	1,565,214	885,246	57	82,815	5	597,152	38
Virginia	452,358	250,681	55	70,359	16	131,318	29
West Virginia	43,716	19,974	46	7,381	17	16,361	37
West	\$4,801,972	\$2,468,844	51%	\$715,162	15%	\$1,617,966	34%
Alaska	112,350	53,560	48	20,945	19	37,845	34
Arizona	409,167	192,167	47	59,573	15	157,427	38
California	2,918,845	1,588,517	54	432,436	15	897,892	31
Colorado	234,503	124,044	53	25,673	11	84,786	36
Hawaii	83,921	38,666	46	19,919	24	25,336	30
Idaho	55,017	26,202	48	8,981	16	19,834	36
Montana	41,875	18,620	44	5,342	13	17,913	43
Nevada	119,026	66,722	56	18,692	16	33,612	28
New Mexico	123,892	51,631	42	21,631	17	50,629	41
Oregon	253,421	83,267	33	27,215	11	142,940	56
Utah	111,808	44,771	40	22,188	20	44,850	40
Washington	311,122	168,925	54	48,113	15	94,084	30
Wyoming	27,024	11,751	43	4,455	16	10,818	40

Five core expenditures

Five core expenditures provide a prison cost profile

Over a quarter of current operating expenses in State prisons in FY 1996 involved inmate medical care, food service, inmate programs, utilities, and transportation and travel expenses (table 4).

Table 4. State prison expenditures for medical care, food service, inmate programs, utilities, and transportation, fiscal year 1996

Region and jurisdiction	Expenditures (in 1,000's of dollars)*				
	Medical care	Food service	Inmate programs	Utilities	Transportation
National estimate	\$2,456,300	\$1,112,900	\$1,231,100	\$682,028	\$197,000
Total, reporting States	\$2,279,228	\$1,107,672	\$1,040,806	\$682,028	\$171,602
Northeast	\$453,243	\$203,305	\$311,520	\$154,748	\$30,878
Connecticut	44,939	22,967	...	16,789	4,130
Maine	3,379	1,437	...	2,395	109
Massachusetts	39,850	9,406	...	8,476	1,914
New Hampshire	8,325	2,358	...	2,274	217
New Jersey	61,819	24,956	...	26,543	2,980
New York	163,454	70,050	...	64,025	19,061
Pennsylvania	119,522	65,686	...	30,675	...
Rhode Island	8,297	4,903	...	2,774	2,329
Vermont	3,658	1,543	...	796	137
Midwest	\$394,325	\$251,933	\$156,765	\$130,959	\$32,119
Illinois	48,272	41,928	...	26,254	5,615
Indiana	...	16,687	...	9,198	1,730
Iowa	8,832	10,972	...	4,938	717
Kansas	16,647	9,750	...	4,787	1,441
Michigan	189,812	65,281	...	28,828	17,873
Minnesota	5,660	585
Missouri	24,867	14,887	...	11,535	1,562
Nebraska	3,577	3,083	...	1,841	278
North Dakota	622	660	...	485	85
Ohio	78,973	69,717	...	26,340	...
South Dakota	4,284	3,219	...	905	146
Wisconsin	18,439	15,750	...	10,187	2,086
South	\$849,313	\$366,799	\$218,523	\$259,944	\$69,153
Alabama	21,535	6,389	...	8,091	1,644
Arkansas	17,972	7,215	...	5,858	637
Delaware	8,256	6,595	...	3,948	2,901
Dist. of Columbia	31,804	14,776	...	9,496	4,763
Florida	194,594	81,813	...	37,213	24,976
Georgia	83,033	38,961	...	24,843	3,714
Kentucky	16,049	7,155	...	6,131	5,534
Louisiana	...	10,394	...	7,862	...
Maryland	37,380	17,594	...	19,188	3,064
Mississippi	15,153	8,468	...	5,163	1,143
North Carolina	76,634	28,151	...	22,971	3,250
Oklahoma	15,027	7,835	...	6,446	1,629
South Carolina	20,336	9,174	...	15,391	2,142
Tennessee	29,346	23,261	...	16,126	2,583
Texas	276,826	65,820	...	54,169	8,413
Virginia	...	29,998	...	14,644	2,334
West Virginia	5,367	3,201	...	2,406	425
West	\$582,348	\$285,634	\$353,997	\$136,377	\$39,453
Alaska	14,066	5,122	...	3,857	1,816
Arizona	39,703	23,797	...	12,033	...
California	378,031	177,614	...	78,686	25,565
Colorado	22,176	14,203	...	6,537	2,441
Hawaii	8,125	7,273	...	3,302	162
Idaho	7,128	3,512	...	1,455	369
Montana	4,030	2,100	...	805	362
Nevada	24,621	6,766	...	5,305	...
New Mexico	10,264	6,622	...	4,014	589
Oregon	14,463	10,438	...	6,245	2,157
Utah	10,868	4,163	...	2,936	1,136
Washington	43,140	22,661	...	10,445	4,856
Wyoming	5,734	1,362	...	757	...

Note: Figures include salaries or wages of correctional staff involved in the described activity. Detail may not add to total due to rounding. National estimates are based on ratio adjustments of total to covered inmate population.

... Not able to separate from general operating expenditures.

Medical care

States spent nearly \$2.5 billion on prisoner medical and dental care in FY 1996, or about 12% of total prison operating expenditures (table 5).

Outlays for medical services provided by full-time and part-time government staff and managed care and fee-for-service providers averaged \$2,386 per inmate during the year, or \$6.54 per day. By comparison, in 1995, the latest year with data, on average each U.S. resident spent \$1,807 or \$4.95 per day for his or her own health care.*

Correctional systems face a variety of factors influencing the cost of inmate medical care. Some prison systems may be making up for the inadequate care of chronic disorders among the prisoners before they were admitted. Some systems are in States where everyone pays above average medical costs. Some systems are in States with high incidence of risky behaviors that cause disease. Some States may have an exceptional number of high-cost medical cases, such as AIDS or kidney failures. How a State chooses to staff or pay for its medical care and how a State distributes its specialized care among facilities also influence expenditures.

In FY 1996 medical costs accounted for about 14% of the total prison operating expenditures in the South, 12% in the West, 11% in the Midwest, and 10% in the Northeast. Total annual medical expenditures ranged from \$378 million in California to \$622,000 in North Dakota.

Six States had daily medical costs per inmate above \$10: Michigan, \$12.57; Wyoming, \$11.31; New Hampshire, \$11.20; Alaska, \$11.12; Pennsylvania, \$10.18; and Washington, \$10.13. Four were below \$3 a day: Oklahoma, \$2.25; North Dakota, \$2.76; South Carolina, \$2.80; and Alabama, \$2.84.

*U.S. Health Care Financing Administration, *Health Care Financing Review*, fall 1996.

Table 5. State prison expenditures for inmate medical care, fiscal year 1996

Region and jurisdiction	Medical expenditures			
	Total	Percent of annual operating expenditure	Per inmate	
			Per year	Per day
National estimate	\$2,456,300,000	11.8%	\$2,386	\$6.54
Total, reporting States	\$2,279,228,201			
Northeast	\$453,243,191	9.7%	\$2,802	\$7.68
Connecticut	44,938,650	9.5	3,017	8.27
Maine	3,378,645	7.0	2,363	6.47
Massachusetts	39,850,000	13.1	3,403	9.32
New Hampshire	8,325,000	19.6	4,089	11.20
New Jersey	61,819,000	7.5	2,300	6.30
New York	163,454,415	8.4	2,384	6.53
Pennsylvania	119,522,000	13.2	3,718	10.18
Rhode Island	8,297,251	7.6	2,728	7.48
Vermont	3,658,230	10.9	3,403	9.32
Midwest	\$394,324,659	10.5%	\$2,278	\$6.24
Illinois	48,272,000	6.6	1,275	3.49
Indiana	...	--	--	--
Iowa	8,832,000	6.1	1,492	4.09
Kansas	16,647,000	10.5	2,337	6.40
Michigan	189,812,400	16.3	4,588	12.57
Minnesota	...	--	--	--
Missouri	24,866,807	10.0%	1,279	3.51
Nebraska	3,576,884	5.3	1,173	3.21
North Dakota	622,000	5.9	1,008	2.76
Ohio	78,972,713	9.0	1,773	4.86
South Dakota	4,283,590	12.8	2,269	6.22
Wisconsin	18,439,265	5.9	1,634	4.48
South	\$849,312,674	13.6%	\$2,110	\$5.78
Alabama	21,535,000	13.0	1,038	2.84
Arkansas	17,972,348	14.4	1,926	5.28
Delaware	8,256,324	9.5	1,702	4.66
District of Columbia	31,804,000	15.0	3,193	8.75
Florida	194,593,820	17.7	3,063	8.39
Georgia	83,033,435	15.2	2,416	6.62
Kentucky	16,049,000	8.1	1,318	3.61
Louisiana	...	--	--	--
Maryland	37,379,866	7.8	1,729	4.74
Mississippi	15,153,000	10.5	1,175	3.22
North Carolina	76,634,451	10.4	2,643	7.24
Oklahoma	15,027,000	7.8	823	2.25
South Carolina	20,336,000	7.3	1,023	2.80
Tennessee	29,346,000	8.4	1,925	5.27
Texas	276,825,806	17.7	2,160	5.92
Virginia	...	--	--	--
West Virginia	5,366,624	12.3	2,117	5.80
West	\$582,347,677	12.1%	\$2,672	\$7.32
Alaska	14,066,000	12.5	4,058	11.12
Arizona	39,702,600	9.7	1,852	5.08
California	378,031,000	13.0	2,770	7.59
Colorado	22,175,794	9.5	1,988	5.45
Hawaii	8,124,583	9.7	2,257	6.18
Idaho	7,128,000	13.0	2,109	5.78
Montana	4,030,000	9.6	2,000	5.48
Nevada	24,620,666	20.7	3,179	8.71
New Mexico	10,264,100	8.3	2,443	6.69
Oregon	14,462,949	5.7	1,817	4.98
Utah	10,868,000	9.7	3,146	8.62
Washington	43,139,853	13.9	3,697	10.13
Wyoming	5,734,132	21.2	4,128	11.31

Note: Figures include salaries and wages of correctional staff involved in the described activity.
 . . . Not able to separate from general operating expenditures.
 -- Not calculable.

Food service

At \$1.1 billion, nationwide, outlays for State prison food services during FY 1996 were slightly less than half as large as the costs for medical care (table 6). In absolute terms, California spent the most to feed its inmates (\$178 million), and North Dakota spent the least (\$660,000). South Dakota allocated the largest percentage of its operating expenditure on food service (10%), and Maine and New Jersey, the smallest percentage (3%).

Overall, State prison systems spent about \$2.96 per day on inmate food service. In the West (\$3.59), Midwest (\$3.65), and Northeast (\$3.44) average costs were slightly higher than in the South (\$2.20) where prison farm produce and other inmate-generated measures may have helped to reduce food costs.

The highest daily State expenditure for food service was in Pennsylvania (\$5.60 per inmate), nearly 7 times greater than that in Alabama, which had the lowest daily food cost per inmate (\$0.84).

Table 6. State prison expenditures for food service, fiscal year 1996

Region and jurisdiction	Food service expenditures			
	Total	Percent of annual operating expenditure	Per inmate	
			Per year	Per day
National estimate	\$1,112,900,000	5.4%	\$1,081	\$2.96
Total, reporting States	\$1,107,671,730			
Northeast	\$203,305,419	4.3%	\$1,257	\$3.44
Connecticut	22,966,834	4.8	1,542	4.22
Maine	1,437,438	3.0	1,005	2.75
Massachusetts	9,405,930	3.1	803	2.20
New Hampshire	2,358,000	5.6	1,158	3.17
New Jersey	24,956,000	3.0	928	2.54
New York	70,049,869	3.6	1,022	2.80
Pennsylvania	65,686,000	7.3	2,043	5.60
Rhode Island	4,902,784	4.5	1,612	4.42
Vermont	1,542,564	4.6	1,435	3.93
Midwest	\$251,932,939	6.2%	\$1,331	\$3.65
Illinois	41,928,000	5.7	1,107	3.03
Indiana	16,686,967	5.1	1,034	2.83
Iowa	10,972,000	7.6	1,853	5.08
Kansas	9,750,000	6.2	1,369	3.75
Michigan	65,280,900	5.6	1,578	4.32
Minnesota	...	--	--	--
Missouri	14,886,809	6.0	766	2.10
Nebraska	3,083,029	4.5	1,011	2.77
North Dakota	660,000	6.2	1,070	2.93
Ohio	69,716,713	8.0	1,565	4.29
South Dakota	3,218,839	9.6	1,705	4.67
Wisconsin	15,749,682	5.0	1,396	3.82
South	\$366,799,099	5.2%	\$805	\$2.20
Alabama	6,389,000	3.9	308	0.84
Arkansas	7,214,757	5.8	773	2.12
Delaware	6,595,000	7.6	1,360	3.72
District of Columbia	14,776,000	7.0	1,483	4.06
Florida	81,812,750	7.4	1,288	3.53
Georgia	38,961,177	7.1	1,134	3.11
Kentucky	7,155,000	3.6	587	1.61
Louisiana	10,394,299	3.3	408	1.12
Maryland	17,593,721	3.7	814	2.23
Mississippi	8,468,000	5.9	656	1.80
North Carolina	28,150,613	3.8	971	2.66
Oklahoma	7,835,493	4.0	429	1.18
South Carolina	9,174,000	3.3	461	1.26
Tennessee	23,261,000	6.7	1,526	4.18
Texas	65,819,678	4.2	514	1.41
Virginia	29,998,000	6.6	1,081	2.96
West Virginia	3,200,611	7.3	1,263	3.46
West	\$285,634,273	5.9%	\$1,310	\$3.59
Alaska	5,122,000	4.6	1,478	4.05
Arizona	23,797,400	5.8	1,110	3.04
California	177,614,000	6.1	1,301	3.57
Colorado	14,203,242	6.1	1,273	3.49
Hawaii	7,272,994	8.7	2,021	5.54
Idaho	3,512,000	6.4	1,039	2.85
Montana	2,100,000	5.0	1,042	2.86
Nevada	6,766,138	5.7	874	2.39
New Mexico	6,621,900	5.3	1,576	4.32
Oregon	10,437,555	4.1	1,311	3.59
Utah	4,163,257	3.7	1,205	3.30
Washington	22,661,351	7.3	1,942	5.32
Wyoming	1,362,436	5.0	981	2.69

Note: Figures include salaries or wages of correctional staff involved in the described activity.

--Not calculable.

. . .Not able to separate from general operating expenditures.

Inmate programs

States spent approximately \$1.2 million in FY 1996 on inmate programs involving academic and vocational training, substance abuse awareness and treatment programs, religious activities, parenting, job search preparation, life skills training, recreation and exercise, and related activities (table 7). This amount was slightly more than for food service and equal to about 6% of the Nation's total State prison operating expenditure.

Reporting of inmate program expenditures was too uneven to permit State-by-State presentation. About a fourth of the States could not separate inmate program spending from general operating costs. Jurisdictions that could report separate numbers did not always know the total outlays because other agencies met some of the costs. Some State health departments may have provided mental health counseling and substance abuse treatment. Some State departments of education may have partially defrayed the costs of teachers for GED classes or other academic or vocational training.

Table 7. State prison expenditures for inmate programs, fiscal year 1996

Region and jurisdiction	Inmate program expenditures*			
	Total	Percent of annual operating expenditure	Per inmate	
			Per year	Per day
National estimate	\$1,231,100,000	5.9%	\$1,196	\$3.28
Total, reporting States	\$1,040,806,002			
Northeast	\$311,519,992	6.7%	\$1,943	\$5.32
Midwest	156,765,236	4.3	989	2.71
South	218,523,400	4.1	634	1.74
West	353,997,374	7.7	1,712	4.69

Note: Programs include work activities such as prison industries and facility support services, educational activities like academic and vocational training, counseling activities like substance abuse treatment and employment skills training, and recreation and exercise activities. Figures include salaries and wages of correctional staff involved in the described activity.

*Program expenditures are underreported. Some States reported expenditures for selected programs only. Other States were unable to separate program expenditures from general operating costs. A national estimate was calculated, adjusting for nonreporting.

Utilities

Table 8. State prison expenditures for utilities, fiscal year 1996

Region and jurisdiction	Expenditures for utilities			
	Total	Percent of annual operating expenditure	Per inmate	
			Per year	Per day
Total	\$682,028,208	3.3%	\$662	\$1.81
Northeast	\$154,748,268	3.3%	\$957	\$2.62
Connecticut	16,788,808	3.5	1,127	3.09
Maine	2,395,334	5.0	1,675	4.59
Massachusetts	8,476,416	2.8	724	1.98
New Hampshire	2,274,000	5.4	1,117	3.06
New Jersey	26,543,000	3.2	988	2.71
New York	64,025,452	3.3	934	2.56
Pennsylvania	30,675,000	3.4	954	2.61
Rhode Island	2,773,903	2.6	912	2.50
Vermont	796,355	2.4	741	2.03
Midwest	\$130,958,795	3.1%	\$675	\$1.85
Illinois	26,254,000	3.6	693	1.90
Indiana	9,197,903	2.8	570	1.56
Iowa	4,938,000	3.4	834	2.29
Kansas	4,787,000	3.0	672	1.84
Michigan	28,828,300	2.5	697	1.91
Minnesota	5,660,365	3.1	1,161	3.18
Missouri	11,535,160	4.6	593	1.63
Nebraska	1,841,023	2.7	604	1.65
North Dakota	485,000	4.6	786	2.15
Ohio	26,339,792	3.0	591	1.62
South Dakota	905,470	2.7	480	1.31
Wisconsin	10,186,782	3.3	903	2.47
South	\$259,944,333	3.7%	\$570	\$1.56
Alabama	8,091,000	4.9	390	1.07
Arkansas	5,857,501	4.7	628	1.72
Delaware	3,947,900	4.5	814	2.23
District of Col.	9,496,000	4.5	953	2.61
Florida	37,212,649	3.4	586	1.61
Georgia	24,842,844	4.5	723	1.98
Kentucky	6,131,000	3.1	503	1.38
Louisiana	7,861,624	2.5	309	0.85
Maryland	19,187,647	4.0	888	2.43
Mississippi	5,163,000	3.6	400	1.10
North Carolina	22,971,090	3.1	792	2.17
Oklahoma	6,446,236	3.3	353	0.97
South Carolina	15,391,000	5.5	774	2.12
Tennessee	16,126,000	4.6	1,058	2.90
Texas	54,168,689	3.5	423	1.16
Virginia	14,644,153	3.2	528	1.45
West Virginia	2,406,000	5.5	949	2.60
West	\$136,376,812	2.8%	\$626	\$1.71
Alaska	3,857,000	3.4	1,113	3.05
Arizona	12,032,700	2.9	561	1.54
California	78,686,000	2.7	576	1.58
Colorado	6,536,832	2.8	586	1.61
Hawaii	3,302,012	3.9	917	2.51
Idaho	1,455,000	2.6	430	1.18
Montana	805,397	1.9	400	1.10
Nevada	5,305,000	4.5	685	1.88
New Mexico	4,013,900	3.2	955	2.62
Oregon	6,245,185	2.5	785	2.15
Utah	2,935,741	2.6	850	2.33
Washington	10,445,382	3.4	895	2.45
Wyoming	756,663	2.8	545	1.49

Note: Figures include salaries and wages of correctional staff involved in the described activity.

State prison utility costs totaled \$682 million in FY 1996, or about 3.3% of total prison operating expenditures (table 8). Utilities were the only core prison cost which all State respondents could report completely. The category includes gas and electricity for heat and air conditioning, cooking, and lighting as well as water and sewerage service. Utilities do not include telephone service.

Prison utility expenditures varied across geographic areas: Average annual costs per inmate were highest in the Northeast (\$957), followed by the Midwest (\$675), the West (\$626), and the South (\$570).

Daily utility costs ranged from \$4.59 per inmate in Maine and \$3.18 in Minnesota to \$0.85 in Louisiana and \$0.97 in Oklahoma.

Transportation

Table 9. State prison expenditures for transportation, fiscal year 1996

Region and jurisdiction	Expenditures for transportation			
	Total	Percent of annual operating expenditure	Per inmate	
			Per year	Per day
National estimate	\$197,000,000	0.9%	\$191	\$0.52
Total, reporting States	\$171,601,857			
Northeast	\$30,878,102	0.8%	\$238	\$0.65
Connecticut	4,130,210	0.9	277	0.76
Maine	108,753	0.2	76	0.21
Massachusetts	1,914,496	0.6	163	0.45
New Hampshire	217,000	0.5	107	0.29
New Jersey	2,980,000	0.4	111	0.30
New York	19,061,438	1.0	278	0.76
Pennsylvania	...	--	--	--
Rhode Island	2,329,266	2.1	766	2.10
Vermont	136,939	0.4	127	0.35
Midwest	\$32,118,687	0.9%	\$215	\$0.59
Illinois	5,615,000	0.8	\$148	0.41
Indiana	1,729,769	0.5	107	0.29
Iowa	717,000	0.5	121	0.33
Kansas	1,441,000	0.9	202	0.55
Michigan	17,873,300	1.5	432	1.18
Minnesota	585,372	0.3	120	0.33
Missouri	1,562,215	0.6	80	0.22
Nebraska	278,000	0.4	91	0.25
North Dakota	85,000	0.8	138	0.38
Ohio	...	--	--	--
South Dakota	146,000	0.4	77	0.21
Wisconsin	2,086,031	0.7	185	0.51
South	\$69,152,544	1.0%	\$161	\$0.44
Alabama	1,644,000	1.0	79	0.22
Arkansas	637,299	0.5	68	0.19
Delaware	2,900,900	3.3	598	1.64
District of Columbia	4,763,000	2.2	478	1.31
Florida	24,975,969	2.3	393	1.08
Georgia	3,713,954	0.7	108	0.30
Kentucky	5,534,000	2.8	454	1.24
Louisiana	...	--	--	--
Maryland	3,064,024	0.6	142	0.39
Mississippi	1,143,000	0.8	89	0.24
North Carolina	3,250,167	0.4	112	0.31
Oklahoma	1,628,852	0.8	89	0.24
South Carolina	2,142,000	0.8	108	0.30
Tennessee	2,583,000	0.7	169	0.46
Texas	8,412,959	0.5	66	0.18
Virginia	2,334,291	0.5	84	0.23
West Virginia	425,129	1.0	168	0.46
West	\$39,452,524	0.9%	\$211	\$0.58
Alaska	1,816,000	1.6	524	1.44
Arizona	...	--	--	--
California	25,565,000	0.9	187	0.51
Colorado	2,440,930	1.0	219	0.60
Hawaii	161,606	0.2	45	0.12
Idaho	369,000	0.7	109	0.30
Montana	362,494	0.9	180	0.49
Nevada	...	--	--	--
New Mexico	588,900	0.5	140	0.38
Oregon	2,156,832	0.9	271	0.74
Utah	1,135,863	1.0	329	0.90
Washington	4,855,899	1.6	416	1.14
Wyoming	...	--	--	--

Note: Figures include salaries and wages of correctional staff involved in the described activity.

... Not able to separate from general operating expenditures.

--Not calculable.

Inmate transportation and staff travel activities cost State prisons systems \$197 million in FY 1996, or about 1% of their total operating expenditures (table 9).

Approximately half of all reported transportation and travel money associated with State prisons in FY 1996 was spent in California, Florida, New York, and Michigan, which reported prison transportation bills of \$25.6 million, \$25 million, \$19.1 million, and \$17.9 million, respectively.

Reported annual transportation and travel expenditures per inmate in FY 1996 ranged from \$766 in Rhode Island and \$598 in Delaware to \$45 in Hawaii and \$66 in Texas. The Adult Correctional Institutions (ACI) division, according to Rhode Island's Department of Corrections, "is responsible for the transportation of the adult and juvenile populations to court facilities, and transports inmates to and from other states.... The ACI functions both as a prison system for offenders sentenced to incarceration and as a statewide jail facility for individuals awaiting trial or arraignment..."

Like Rhode Island, Delaware operates a combined jail/prison system with added cost for jail inmate movement.

Differences in prison costs

Numerous factors associated with State-by-State differences in prison costs

Much of the variation between States in the cost of operating prisons fell outside the control of State administrators: Differences in the cost of living, variation in prevailing wage rates, climate, geography, and a variety of other human and natural factors contributed significantly to each State's prison cost equation. Measuring these elements was beyond the scope of this study. However, a number of factors related to correctional operations were possible to analyze.

Inmate-to-staff ratios

Inmate-to-staff ratios had a clear relationship with operating costs per inmate. This relationship was tied to employee salaries and wages that accounted for more than half of total State prison operating costs.

High inmate-to-total-staff ratios were most common in States reporting low average costs per inmate, and low inmate-to-total staff ratios predominated in States with high average annual costs per inmate.

States with the lowest inmate-to-total-staff ratios:

	Inmates per employee	Operating cost per inmate per day
Maine	1.5	\$92
Vermont	1.8	85
Minnesota	1.9	104
New Mexico	1.9	81
New Hampshire	1.9	57

States with the highest inmate-to-total-staff ratios:

	Inmates per employee	Operating cost per inmate per day
Alabama	6.4	\$22
Oklahoma	4.7	29
Nevada	4.7	42
Louisiana	4.6	34
Mississippi	4.4	31

Similar patterns were observed between inmate-to-security-staff ratios and average costs per inmate. High inmate-to-security-staff ratios were most common in States with low average costs per inmate, and low inmate-to-security-staff ratios were most likely to prevail in jurisdictions with high average costs per inmate.

States with the lowest inmate-to-security-staff ratios:

	Inmates per security employee	Operating cost per inmate per day
Vermont	2.3	\$85
Maine	2.4	92
Minnesota	3.0	104
New Mexico	3.0	81
New Hampshire	3.0	57

States with the highest inmate-to-security-staff ratios:

	Inmates per security employee	Operating cost per inmate per day
Oklahoma	8.5	\$29
Nevada	7.1	42
California	7.0	59
Oregon	6.6	87
Ohio	6.1	54

Average number of inmates per facility

The overall pattern between average number of inmates per facility and costs per inmate suggests that a small amount of cost savings resulted from the operation of larger capacity prisons.

Average facility size showed some relationship with average annual operating costs per inmate: Eight States with annual costs per inmate of less than \$15,000 reported average numbers of inmates per facility of 400 or greater, including 2 jurisdictions with average prison sizes greater than 1,300.

By contrast, 7 States with average costs per inmate of \$30,000 or more had average numbers of inmates per facility of fewer than 800, including 2 with average of fewer than 200.

In the remaining 36 jurisdictions, which had intermediate costs per inmate, there was wide variation in the average number of inmates per facility and no clear relationship between average facility size and cost per inmate.

Transfer payments

Transfer payments include intergovernmental monies from one government to another, including grants-in-aid, fiscal assistance, and amounts for services performed by one government for another, such as payments for boarding prisoners. Transfer payments also refer to intra-governmental payments from one department or agency to another within the same government. Some jurisdictions provide transfer payments on a reimbursable basis. In Washington, for example, all transfer money received for employer contributions to prison employee benefits is repaid from department of corrections funds.

Nearly two-thirds of the Nation's State departments of corrections received and applied some transfer payments to their adult institutional corrections accounts in FY 1996. Departments of corrections in the South received about 8% of their total expenditures from transfer payments, compared to about 4% in other regions.

A fifth or more of total prison expenditures in four States came from transfer payments: Tennessee, 25%; Louisiana, 24%; and Colorado and Oregon, 20% each. Eight States used transfer payments to meet a portion of salary and wage obligations; 15 States used them for part of employee benefits; and 33 States used them for other operating costs:

	<u>Transfer payments as a percent of salaries and wages</u>
Ohio	11%
Arizona	4
Alabama	4
Oklahoma	4
Colorado	4
North Carolina	3
Texas	1
Connecticut	1

	<u>Transfer payments as a percent of employee benefits</u>
Washington	100%
Colorado	68
Montana	55
Maine	53
North Carolina	45
Wisconsin	44
Oregon	44
8 other States with less than 40%	38% to 1%

	<u>Transfer payments as a percent of other operating costs</u>
Louisiana	43%
Tennessee	42
Mississippi	41
Kansas	40
New Jersey	38
28 other States with less than 40%	34% to 1%

Facility security level

The average security level at which a State's prisons operated showed no clear relationship with average operating costs per inmate: Both very high (\$30,000 and higher) and very low (less than \$15,000) annual operating costs per inmate were reported in States having relatively large percentages of facilities rated as maximum security.

By contrast, moderate annual operating costs per inmate of \$15,000 to \$25,000 were most common in States with relatively large percentages of facilities rated as minimum security.

States in the South operated the largest percentage of maximum security facilities (23%), yet the average operating cost per inmate in the South was the lowest of any region (\$15,338). In the Northeast, where costs per inmate were among the highest (\$28,966), only 16% of the facilities were rated as maximum security. In the Midwest, however, where operating costs per inmate were in the middle range averaging \$21,919, over half of all prisons were rated as minimum security.

Community corrections

Most States budgeted and paid for nonresidential community corrections expenditures out of separate accounts from prison operations. As a result, community corrections spending was largely outside the scope of this study.

However, six States — Alaska, Maine, Minnesota, Oregon, Utah, and Vermont — each used a portion of prison expenditures to fund community corrections activities, a practice which affected comparisons with other jurisdictions' spending to a greater or lesser extent, depending on the proportion of the prison budget affected.

Comparison of Minnesota's expenditures with other jurisdictions was the most affected because it allocated 38% of its prison expenditure in FY 1996 for community corrections. Vermont's prison outlay was also clearly affected, as it allocated 31% of its prison spending to community corrections. It was possible, however, to delete the entire community corrections outlays from these two States' total expenditures so that their prison spending could be appropriately compared to that of other States.

Comparisons of the operating costs of Alaska, Maine, Oregon, Rhode Island, and Utah with other States were not appreciably affected, as less than 2% of each of these jurisdiction's prisons expenditures were allocated to community corrections.

Methodology

BJS asked government finance specialists at the U.S. Census Bureau to identify each State's corrections function codes reported in the *FY 1996 Survey of Government Finances* and enter this information into a data base, using a standardized format developed by BJS. This extraction procedure included both inter and intragovernmental transfer payments, and clarified missing, repetitious, and out-of-range data items.

State department of corrections budget officers and central office accounting specialists were also contacted and asked to review the originally reported numbers, a process which for some States involved numerous phone calls and revisions of the original figures. They helped Census Bureau staff to eliminate duplicate reports, interpret expenditure classification codes, and understand organizational functions and accounting procedures.

Budget officials were especially helpful in adding expenditures for central office staff who performed prison activities, and in removing expenditures pertaining to probation and parole services, juvenile corrections, and nonresidential community corrections — areas that were outside the adult prison function.

After each jurisdiction's designated financial reviewer agreed with its final numbers, Census Bureau staff completed the data revision phase of the project with a 100% response rate for total, operating, and capital expenditures. The response rates for the five core expenditure groups were as follows: Utilities, 100%; food service, 98%; medical care, 92%; transportation, 88%; and inmate programs, 76%.

To analyze prison costs in relation to other factors, BJS augmented the completed data set with variables from the *1995 Census of State and Federal Correctional Facilities*, including facility size, facility security level, and staff

characteristics. Contextual background for Fiscal 1996 total State corrections expenditures and expenditures for State prisons came from separate censuses: *Censuses of Government Finances* for FY 1985 through FY 1995 (U.S. Bureau of the Census) and the *1984 and 1990 Censuses of State Correctional Facilities* (BJS).

Data limitations

A variety of factors made expenditures reported for fiscal year 1996 not completely comparable with those of earlier years. Fiscal year 1996 State expenditures were reported by State budget officials, based on categories established by the Census Bureau's annual *Survey of Government Finances*.

Fiscal year 1996 and 1990 Federal expenditures were reported by the Budget Execution Branch of the Federal Bureau of Prisons, using internal accounting procedures.

State expenditures for 1984 and 1990 were reported by correctional facility respondents. Actual State prison expenditures in 1984 and 1990 may have been higher than published numbers because of underreporting of employee benefits, interagency transfer payments, and other expenses.

Adjusting for inflation

In this report, State government expenditures for FY 1985 to FY 1995 were inflation-adjusted in 1996 constant dollars, as appropriate for government spending. The following annual chain-type price indexes for the gross domestic product were employed as divisors and unadjusted expenditures as dividends to produce inflation-adjusted expenditures in 1996 constant dollars:

<u>Year</u>	<u>Price indexes (1996 base)</u>
1984	0.69152787835
1985	0.71967776973
1986	0.73850407673

1987	0.76955104996
1988	0.79217958001
1989	0.81924330196
1990	0.85906951484
1991	0.88577118030
1992	0.90514120203
1993	0.92767921796
1994	0.94904055033
1995	0.97972483707
1996	1.00000000000

These indexes were developed by the U.S. Department of Commerce, Bureau of Economic Analysis, and are presented in *Economic Report of the President, February, 1998, Table B-7*.

Underreporting

Correctional expenditures shown in figure 1 and the appendix table may be underreported. Discussions between State budget officials and Bureau of the Census specialists in government finances who collected the data for this report produced a revised nationwide figure for State prisons in FY 1996 of \$22 billion, an amount 5.4% higher than the original total reported in the *1996 Survey of Government Finances*.

Various factors accounted for the revised FY 1996 State corrections spending figure, including adjustments for central office staff assigned to prison, probation, parole and juvenile activities; elimination of duplicate fund reporting; and access to final numbers following State submission of preliminary numbers in the Census of Government Finances.

Estimating average daily population

Inmate population estimates for FY 1996 were based on respondent reports from the BJS National Prisoner Statistics (NPS-1) series. To account for variable growth during the year, the State totals as of June 30, 1996, were added to those as of December 31, 1995, and then averaged. Then the totals as of December 31, 1995, were added to those as of June 30, 1995, and averaged. Finally, the two averages

were averaged to derive the estimated inmate populations for each State.

U.S. resident population

Sources for U.S. population statistics used to calculate costs per U.S. resident include the following U.S. Bureau of the Census publications: For 1985, *Estimates of the Population, by Type: April, 1980 to July 1, 1990-Series P-25, No 1064*; for 1990 to 1995, *U.S. Estimates by Age, Sex, Race, and Hispanic Origin: 1990 - Series PPL-41*; for 1996, *Resident Population - Estimates by Age, Sex, Race and Hispanic Origin*, consistent with the 1990 Decennial Census, as enumerated.

Appendix table. Surveys of government finances, 1985-96: Expenditures for total State corrections and for State prisons in 1996 constant dollars

Fiscal Year	Annual expenditures			
	Total State corrections		State prisons	
	Total (in 1,000's)	Cost per U.S. resident	Total (in 1,000's)	Cost per U.S. resident
1985	\$12,743,275	\$53	\$9,624,142	\$40
1986	14,584,557	60	10,958,736	45
1987*	15,208,376	63	11,471,160	47
1988	16,792,796	68	13,004,578	53
1989	18,330,974	74	14,153,961	57
1990	20,099,048	81	15,563,419	62
1991	21,720,883	86	16,948,133	67
1992*	22,228,332	87	16,989,156	67
1993	22,425,272	87	17,210,562	67
1994	24,376,972	94	18,694,604	72
1995	26,608,530	101	20,511,245	78
1996	27,324,135	103	20,893,235	79

Note: See *Methodology* for discussion of inflation adjustment factors. Correctional expenditures may be underreported. Detailed interviews of State budget officials by the Bureau of the Census for this report produced a revised estimate of \$22 billion for FY 1996, 5.4% higher than the \$20.9 billion reported in the 1996 Survey of Government Finances.

*The Bureau of the Census conducted full censuses of State and local finances in 1987 and 1992.



Bureau of Justice Statistics Special Report

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State Prison Expenditures, 2001

By James J. Stephan
BJS Statistician

Correctional authorities spent \$38.2 billion to maintain the Nation's State correctional systems in fiscal year 2001, including \$29.5 billion specifically for adult correctional facilities. Day-to-day operating expenses totaled \$28.4 billion, and capital outlays for land, new building, and renovations, \$1.1 billion.

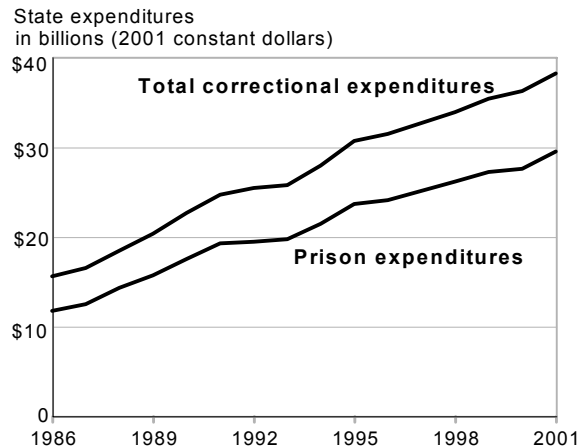
The average annual operating cost per State inmate in 2001 was \$22,650, or \$62.05 per day. Among facilities operated by the Federal Bureau of Prisons, it was \$22,632 per inmate, or \$62.01 per day.

In a followup to a study based on FY 1996 data, this report presents unique statistics on the cost of operating State prisons in FY 2001. Information was obtained by extracting corrections data from each State's responses to the U.S. Census Bureau's annual *Survey of Government Finances*. Item categories were standardized across jurisdictions, and reported figures were verified with State budget officials.

Expenditures are the total amounts paid for prison operations, including interest on indebtedness. Figures are net of amounts derived from revenue-generating activities such as farm and industrial production and services.

Highlights

States spent \$29.5 billion for prisons in 2001, about a \$5½ billion increase from 1996, after adjusting for inflation



- Prison operations consumed about 77% of State correctional costs in FY 2001. The remaining 23% was spent on juvenile justice, probation and parole, community-based corrections, and central office administration.

- State prison costs per U.S. resident more than doubled between 1986 and 2001.

Year	State prison costs*	
	Total (in billions)	Each year per U.S. resident
2001	\$29.5	\$104
1996	24.0	91
1991	19.2	76
1986	11.7	49

*2001 constant dollars.

- State correctional expenditures increased 145% in 2001 constant dollars from \$15.6 billion in FY 1986 to \$38.2 billion in FY 2001; prison expenditures increased 150% from \$11.7 billion to \$29.5 billion.

- Excluding capital spending, the average cost of operating State prisons in FY 2001 was \$100 per U.S. resident, up from \$90 in FY 1996.

- Outlays for new prison construction, renovations, equipment, and other capital account activities amounted to less than 4% of total prison expenditures in most States.

- Spending on medical care for State prisoners totaled \$3.3 billion, or 12% of operating expenditures in 2001.

Table 1. Annual per capita costs, in 2001 constant dollars, for selected State expenditures, 1986-2001

Fiscal year	State expenditures as costs per resident					
	Total corrections	Prisons	Health	Education	Public welfare	Natural resources
1986	\$65	\$49	\$78	\$842	\$425	\$44
1991	98	76	109	998	632	52
1996	119	91	141	1,143	849	56
2001	134	104	154	1,315	914	61
Average annual percent change, 1986-2001*	6.2%	6.4%	5.8%	4.2%	6.4%	3.3%

Sources: U.S. Census Bureau, *Survey of State Government Finances*, 1986-2001 editions; U.S. Census Bureau, *Current Population Estimates and Projections, 1986-1996*; and unpublished data from 2001 Current Population Estimates. Bureau of Economic Analysis, chain-type price indexes for gross domestic product, 1959-2002, in *Economic Report of the President*, table B-7, February 2003.

*Based on total expenditures.

The increase in cost of corrections outpaced the cost of health, education, or natural resources

State spending for corrections increased from \$65 per resident in 1986 to \$134 in 2001 (table 1). Per capita expenditures for State prison operations alone rose from \$49 in 1986 to \$104 in 2001.

At an average annual increase of 6.2% for total State correctional spending and 6.4% specifically for prisons, increases in the cost of adult incarceration outpaced those of health care (5.8%), education (4.2%), and natural resources (3.3%).

Although correctional spending grew at a faster rate than many other State payments between 1986 and 2001, it remained one of the smaller cost items. For example, the outlay for education, at \$374.5 billion, was nearly 10 times larger, and that for welfare, at \$260.3 billion, was nearly 7 times larger.

Selected State expenditures, FY 2001:

Education	\$374.5 billion
Public welfare	260.3
Health	43.7
Total corrections	38.2
Prisons	29.5
Natural resources	17.3

State correctional expenditures include the cost of operating prisons and related institutions. Such institutions are reformatories; prison farms; centers for the reception, evaluation, and classification of inmates; and correctional facilities exclusively for the criminally insane or for the treatment of drug and alcohol addiction.

State correctional expenditures are primarily for operating adult facilities. Other spending pays for juvenile correctional activities, adult parole boards and programs (including court programs), and correctional administration not associated with specific penal institutions.

States spent \$29.5 billion on prisons in fiscal 2001

State prison expenditures totaled \$29.5 billion in fiscal year 2001. Adjusted for inflation, this was approximately \$5.5 billion more than was spent in FY 1996.

California reported the largest prison expenditure, \$4.2 billion, and North Dakota the smallest, \$26.8 million.

States with the largest prison expenditures:

California	\$4.2 billion
New York	2.8
Texas	2.3
Michigan	1.6

States with the smallest prison expenditures:

North Dakota	\$26.8 million
South Dakota	37.5
Vermont	46.1
Wyoming	56.2

As a non-State activity, correctional spending by the Federal Bureau of Prisons (BOP) was outside the scope of this report. However, outlays for its operations in FY 2001 amounted to \$3.8 billion, or about 11% of the Nation's prison expenditure.

Operating costs averaged \$22,650 per inmate in fiscal year 2001

State prison operating expenditures totaled \$28.4 billion in fiscal year 2001 (table 2). This total, divided by the number of prisoners, produced a nationwide average annual operating cost per inmate of \$22,650. Adjusted for inflation, the equivalent figure in 1996 was \$22,515.

States with the highest reported average annual operating costs per inmate:

Maine	\$44,379
Rhode Island	38,503
Massachusetts	37,718
Minnesota	36,836
New York	36,835

States with the lowest reported average annual operating costs per inmate:

Alabama	\$ 8,128
Mississippi	12,795
Missouri	12,867
Louisiana	12,951
Texas	13,808

The average operating cost to incarcerate one inmate in the Federal Bureau of Prisons system during FY 2001 was \$22,632.

The \$28.4 billion State operating cost, divided by the U.S. resident population, resulted in a nationwide average operating expenditure of \$100 per person. The highest costs per resident were recorded in the District of Columbia (\$251), Alaska (\$243), and Delaware (\$204). The lowest costs per resident were in West Virginia (\$34), North Dakota (\$38), and New Hampshire and Minnesota (\$48 each).

State correctional systems with integrated jail-prison facilities may have higher operating costs than other jurisdictions because the costs of housing jail inmates are included as State expenditures. Of the six States with integrated jail-prison systems in 2001, four had average annual operating costs per resident above the average for States not operating integrated systems.

Annual operating costs per resident among —

States with integrated jail-prison systems	\$143
Alaska	243
Delaware	204
Connecticut	148
Rhode Island	114
Hawaii	96
Vermont	73
Other State systems	\$99

Table 2. Total, operating, and capital expenditures, and operating costs per State inmate and per U.S. resident, fiscal year 2001

Region and State	Expenditures (1,000's of dollars)			Annual operating costs		Prisoners under State authority on 6/30/01
	Total	Operating	Capital	Per inmate	Per U.S. resident	
Total	\$29,491,268	\$28,374,273	\$1,116,995	\$22,650	\$100	1,252,743
Northeast	\$6,056,762	\$5,712,994	\$343,769	\$33,037	\$106	172,925
Connecticut ^a	523,960	506,905	17,055	26,856	148	18,875
Maine	76,479	75,133	1,346	44,379	58	1,693
Massachusetts	413,071	404,862	8,209	37,718	63	10,734
New Hampshire	62,754	60,279	2,475	25,949	48	2,323
New Jersey	799,560	768,661	30,899	27,347	91	28,108
New York	2,807,259	2,547,452	259,807	36,835	134	69,158
Pennsylvania	1,203,219	1,183,668	19,551	31,900	96	37,105
Rhode Island ^a	124,333	121,167	3,165	38,503	114	3,147
Vermont ^a	46,128	44,867	1,261	25,178	73	1,782
Midwest	\$6,327,346	\$5,952,214	\$375,132	\$24,779	\$92	240,213
Illinois	1,011,311	996,738	14,573	21,844	80	45,629
Indiana	477,628	449,406	28,222	21,841	73	20,576
Iowa	188,391	186,298	2,093	22,997	64	8,101
Kansas	199,843	182,655	17,189	21,381	68	8,543
Michigan	1,582,611	1,573,273	9,338	32,525	157	48,371
Minnesota	253,385	239,953	13,432	36,836	48	6,514
Missouri	436,081	362,429	73,652	12,867	64	28,167
Nebraska	126,857	99,865	26,992	25,321	58	3,944
North Dakota	26,796	24,219	2,577	22,425	38	1,080
Ohio	1,277,622	1,201,269	76,354	26,295	106	45,684
South Dakota	37,529	37,030	499	13,853	49	2,673
Wisconsin	709,292	599,080	110,212	28,622	111	20,931
South	\$10,002,325	\$9,750,580	\$251,745	\$16,479	\$91	563,818
Alabama	228,871	221,774	7,097	8,128	50	27,286
Arkansas	199,003	192,611	6,392	15,619	72	12,332
Delaware ^a	166,327	162,397	3,930	22,802	204	7,122
Dist. of Columbia ^b	143,700	143,700	...	26,670	251	5,388
Florida	1,484,799	1,453,799	31,000	20,190	89	72,007
Georgia	923,505	900,918	22,586	19,860	107	45,363
Kentucky	288,438	274,404	14,034	17,818	67	15,400
Louisiana	479,260	459,686	19,573	12,951	103	35,494
Maryland	645,620	632,749	12,872	26,398	118	23,970
Mississippi	266,196	264,503	1,693	12,795	93	20,672
North Carolina	863,892	840,347	23,545	26,984	103	31,142
Oklahoma	384,060	377,378	6,682	16,309	109	23,139
South Carolina	405,238	373,249	31,989	16,762	92	22,267
Tennessee ^c	421,807	421,807	...	18,206	73	23,168
Texas	2,315,899	2,270,959	44,940	13,808	106	164,465
Virginia	723,767	699,104	24,663	22,942	97	30,473
West Virginia	61,944	61,194	750	14,817	34	4,130
West	\$7,104,834	\$6,958,485	\$146,349	\$25,231	\$108	275,787
Alaska ^a	154,650	154,156	494	36,730	243	4,197
Arizona	618,571	609,910	8,661	22,476	115	27,136
California	4,166,573	4,107,844	58,729	25,053	119	163,965
Colorado	466,551	435,037	31,514	25,408	98	17,122
Hawaii ^{a,d}	117,101	117,101	...	21,637	96	5,412
Idaho	95,494	92,821	2,673	16,319	70	5,688
Montana	71,994	71,169	825	21,898	79	3,250
Nevada	182,092	180,834	1,258	17,572	86	10,291
New Mexico	149,077	148,249	828	28,035	81	5,288
Oregon	404,255	399,436	4,819	36,060	115	11,077
Utah	133,963	133,683	281	24,574	59	5,440
Washington	488,314	459,814	28,500	30,168	77	15,242
Wyoming	56,199	48,431	7,768	28,845	98	1,679

Note: Forty-six States and the District of Columbia began their fiscal years in July and ended them in June. Exceptions included Alabama and Michigan, October to September; New York, April to March; and Texas, September to August. Detail may not add to total because of rounding.

... Not reported.

^aStates have integrated jail-prison systems.

^bThe District of Columbia reported no capital

outlays during FY 2001, a transition period during which its sentenced felons were being transferred to the Federal Bureau of Prisons.

^cDuring FY 2001 Tennessee spent capital amounts from sources outside its Department of Correction.

^dHawaii's Department of Public Safety, Corrections Division had nonrecurring expenditures which State budget officials excluded from the capital category.

Compared to 1996, prison spending in 2001 revealed a greater emphasis on facility operation

Over three-fourths of the States spent 96% or more of prison funds on current operations such as salaries, wages, benefits, supplies, maintenance, and contractual services. In 1996 State spending on current operations accounted for 94% of total expenditures.

The District of Columbia, Hawaii, Alaska, Tennessee, and Utah allocated all or nearly all prison expenditures to current operating activities. By contrast, Nebraska spent the lowest proportion (79%), followed by Missouri (83%), Wisconsin (84%), and Wyoming (86%).

Salaries, wages, and benefits made up about two-thirds of State prison operating expenditures, nationwide, in 2001 (table 3). Other operating costs comprised about a third. Other operating costs covered a wide variety of outlays, such as inmate health care, food, utilities, supplies, fees, commissions, and contractual services.

A majority of States spent 4% or less of prison expenditures on capital projects

Thirty-seven jurisdictions used 4% or less of all prison dollars to finance new construction, renovations, major repairs, equipment, land, buildings, and other nonrecurring outlays during FY 2001 (table 4). Among this group, the District of Columbia, Alaska, Hawaii, and Utah spent less than 1%. Four other States allocated significant proportions of prison funds to capital projects: Nebraska (21%), Missouri (17%), Wisconsin (16%), and Wyoming (14%).

Table 3. Components of State prison operating expenditures, fiscal year 2001

Region and jurisdiction	Operating expenditures (1,000's of dollars)		
	Total	Salaries, wages and benefits	Other operating costs
Total	\$28,374,273	\$18,583,923	\$9,790,350
Northeast	\$5,712,994	\$4,014,190	\$1,698,803
Connecticut*	506,905	316,497	190,408
Maine	75,133	51,147	23,986
Massachusetts	404,862	297,405	107,457
New Hampshire	60,279	42,476	17,803
New Jersey	768,661	443,235	325,426
New York	2,547,452	1,969,750	577,702
Pennsylvania	1,183,668	765,038	418,629
Rhode Island*	121,167	101,999	19,168
Vermont*	44,867	26,643	18,224
Midwest	\$5,952,214	\$3,960,772	\$1,991,442
Illinois	996,738	713,339	283,399
Indiana	449,406	304,310	145,096
Iowa	186,298	149,039	37,260
Kansas	182,655	107,721	74,934
Michigan	1,573,273	1,116,883	456,390
Minnesota	239,953	159,981	79,971
Missouri	362,429	220,790	141,639
Nebraska	99,865	64,327	35,538
North Dakota	24,219	13,734	10,485
Ohio	1,201,269	760,668	440,601
South Dakota	37,030	19,956	17,074
Wisconsin	599,080	330,025	269,055
South	\$9,750,580	\$6,017,146	\$3,733,434
Alabama	221,774	153,077	68,697
Arkansas	192,611	108,960	83,651
Delaware*	162,397	110,751	51,646
District of Columbia	143,700	63,545	80,155
Florida	1,453,799	955,791	498,008
Georgia	900,918	678,964	221,954
Kentucky	274,404	124,787	149,617
Louisiana	459,686	196,078	263,609
Maryland	632,749	351,870	280,879
Mississippi	264,503	125,045	139,458
North Carolina	840,347	603,932	236,415
Oklahoma	377,378	189,432	187,946
South Carolina	373,249	266,518	106,732
Tennessee	421,807	168,295	253,511
Texas	2,270,959	1,343,459	927,500
Virginia	699,104	539,590	159,514
West Virginia	61,194	37,052	24,142
West	\$6,958,485	\$4,591,814	\$2,366,671
Alaska*	154,156	81,508	72,648
Arizona	609,910	408,558	201,352
California	4,107,844	2,873,065	1,234,778
Colorado	435,037	275,095	159,942
Hawaii*	117,101	64,813	52,288
Idaho	92,821	52,401	40,420
Montana	71,169	35,677	35,492
Nevada	180,834	123,037	57,798
New Mexico	148,249	75,527	72,723
Oregon	399,436	197,265	202,171
Utah	133,683	82,152	51,531
Washington	459,814	299,391	160,423
Wyoming	48,431	23,326	25,105

Note: Detail may not add to total because of rounding.
*States have integrated jail-prison systems.

Table 4. Components of State prison capital expenditures, fiscal year 2001

Region and jurisdiction	Capital costs (\$1,000's)	
	Construction	Equipment
Total	\$860,954	\$253,247
Northeast	\$310,770	\$32,998
Connecticut ^a	12,837	4,218
Maine	425	921
Massachusetts	4,016	4,194
New Hampshire	1,338	1,137
New Jersey	17,285	13,614
New York	259,807	...
Pennsylvania	11,739	7,812
Rhode Island ^a	2,505	660
Vermont ^a	819	442
Midwest	\$299,321	\$75,701
Illinois	2,219	12,354
Indiana	17,475	10,747
Iowa	334	1,748
Kansas	15,647	1,542
Michigan	272	9,066
Minnesota	4,183	9,249
Missouri	73,230	421
Nebraska	25,256	1,736
North Dakota	2,390	188
Ohio	59,420	16,933
South Dakota	235	264
Wisconsin	98,660	11,452
South	\$147,512	\$102,549
Alabama	5,448	1,649
Arkansas	4,973	1,273
Delaware ^a	...	3,930
District of Columbia ^b
Florida	14,129	15,820
Georgia	7,236	15,318
Kentucky	11,881	1,876
Louisiana	15,100	4,473
Maryland	2,075	10,797
Mississippi	430	1,263
North Carolina	16,854	6,513
Oklahoma	1,262	5,420
South Carolina	30,408	1,581
Tennessee ^c
Texas	28,311	16,629
Virginia	9,210	15,453
West Virginia	195	554
West	\$103,351	\$41,999
Alaska ^a	...	494
Arizona	1,365	7,296
California	39,237	19,329
Colorado	24,863	6,651
Hawaii ^{a,d}
Idaho	800	1,874
Montana	7	804
Nevada	...	1,258
New Mexico	530	266
Oregon	3,202	1,396
Utah	...	281
Washington	27,700	231
Wyoming	5,648	2,120

... Not reported.

^aStates have integrated jail-prison systems.

^bThe District of Columbia transferred its sentenced felons to the Federal Bureau of Prisons during FY 2001.

^cTennessee spent capital amounts from sources outside its Department of Correction.

^dHawaii's Department of Public Safety, Corrections Division, excluded some non-recurring expenditures from the capital category.

Spending on State prison capital projects decreased 25% from 1996 to 2001

Total capital expenditures of State prisons, adjusted for inflation, declined 25% from \$1.5 billion in FY 1996 to \$1.1 billion in FY 2001.

	State prison capital expenditures for fiscal year (\$1,000's)	
	2001	1996*
Total	\$1,116,995	\$1,489,755
Construction	860,954	929,786
Equipment	253,247	346,662
Land and other capital	2,794	213,307

*In 2001 dollars.

More than three-fourths of State prison capital expenditures were for new construction, renovations, and major repairs, including fees and services of architects, engineers, appraisers, and attorneys (table 4.) In FY 2001 these components consumed nearly the entire capital account in Missouri (99%) and Washington (97%).

The second-largest capital expenditure was for equipment purchases and installations, including furnishings, office equipment, motor vehicles, and other devices having a useful life of more than 5 years. The average outlay was approximately 23% of total capital

Many factors associated with variation in prison costs

Much of the variation between States in the cost of operating prisons was outside the influence of correctional officials: differences in the cost of living, variation in prevailing wage rates, climate, and other factors. Although important, they were beyond the scope of this study.

However, certain corrections-related factors were possible to analyze. For example, employee salaries, wages, and benefits consumed more than half of prison operating expenditures. Their influence was measurable by comparing inmate-to-staff ratios with operating costs per inmate. High inmate-to-staff ratios were most common in States reporting low average costs per inmate, and low inmate-to-staff ratios predominated in States with high average annual costs per inmate.

States with the lowest inmate-to-staff ratios:

	Inmates per employee	Operating cost per inmate per day
Maine	1.7	\$122
Massachusetts	1.8	\$103
Vermont	1.8	\$69
West Virginia	2.0	\$41

States with the highest inmate-to-staff ratios:

	Inmates per	Operating cost per inmate
--	-------------	---------------------------

	employee	per day
Alabama	6.8	\$22
Nevada	4.8	\$48
South Dakota	4.6	\$38
Arkansas	4.0	\$43

Cost savings may also have been made from the operation of larger capacity prisons. Eight of the 10 States with average annual operating expenditures per inmate over \$30,000 had an average number of inmates per facility under 800. By contrast, 3 of the 7 States with average annual operating expenditures per inmate under \$15,000 had an average number of inmates per facility over 800.

Transfer payments, which included intergovernmental monies from one government to another as well as intra-governmental payments from one department or agency to another, varied significantly by State. In the 1996 State prison expenditure study, when these payments were last identified separately, departments of corrections in the South received about 8% of their total expenditures from transfer payments, compared to about 4% in other regions.

spending. In Alaska, Delaware, Nevada, and Utah, however, equipment accounted for the entire capital spending category in FY 2001.

The purchase of land, rights-of-way, existing structures, title searches, and related costs (not shown in table 4) included less than half of 1% of State prison capital expenditures, nationwide. Four States reported outlays in this category that exceeded 2%: Oregon (4.6%), New Mexico (3.9%), Florida (3.4%), and Arkansas (2.3%).

Over a quarter of prison operating costs for basic living expenses

Prisoner medical care, food service, utilities, and contract housing totaled \$7.3 billion, or about 26% of State prison current operating expenses.

Inmate medical care totaled \$3.3 billion, or about 12% of operating expenditures. Supplies and services of government staff and full-time and part-time managed care and fee-for-service providers averaged \$2,625 per inmate, or \$7.19 per day (table 5). By comparison, the average annual health care expenditure of U.S. residents, including all sources in FY 2001, was \$4,370, or \$11.97 per day.*

Five States reported annual medical costs per inmate above \$4,000: Maine (\$5,601), New Mexico (\$4,665), California (\$4,394), Massachusetts (\$4,049), and Alaska (\$4,047). Three States spent less than \$1,000 per inmate: Louisiana (\$860), Montana (\$922), and Kentucky (\$960).

Factors beyond the scope of this report contributed to the variation in spending levels for prisoner medical care. Lacking economies of scale, some States had significantly higher than average medical costs for everyone, and some had higher proportions of inmates whose abuse of drugs or

alcohol had led to disease. Also influencing variations in expenditures were staffing and funding of prisoner health

care and distribution of specialized medical equipment for prisoner treatment.

Table 5. State prison expenditures for medical care, food service, and utilities, fiscal year 2001

Region and jurisdiction	1,000's of dollars			Cost per inmate in 2001		
	Medical care	Food service	Utilities	Medical care	Food service	Utilities
Total	\$3,288,200	\$1,195,854	\$996,027	\$2,625	\$955	\$795
Northeast	\$590,935	\$210,400	\$203,294	\$3,417	\$1,217	\$1,176
Connecticut ^a	68,330	23,451	19,838	3,620	1,242	1,051
Maine	9,483	3,107	2,781	5,601	1,835	1,643
Massachusetts	43,460	9,497	21,266	4,049	885	1,981
New Hampshire	3,964	2,035	3,393	1,706	876	1,461
New Jersey	91,652	22,760	31,140	3,261	810	1,108
New York	219,735	66,618	85,824	3,177	963	1,241
Pennsylvania	137,291	77,083	37,452	3,700	2,077	1,009
Rhode Island ^{a,b}	11,820	4,107	636	3,756	1,305	202
Vermont ^a	5,199	1,741	963	2,918	977	540
Midwest	\$543,001	\$290,949	\$198,432	\$2,260	\$1,211	\$826
Illinois	73,235	52,481	38,355	1,605	1,150	841
Indiana	37,601	19,965	19,018	1,827	970	924
Iowa	16,713	14,225	7,253	2,063	1,756	895
Kansas	22,835	11,975	7,592	2,673	1,402	889
Michigan	137,414	48,148	37,970	2,841	995	785
Minnesota	25,458	10,843	7,930	3,908	1,665	1,217
Missouri	50,207	21,144	19,050	1,782	751	676
Nebraska	12,406	5,627	2,568	3,145	1,427	651
North Dakota	2,892	1,803	939	2,678	1,670	870
Ohio	111,693	75,445	40,729	2,445	1,651	892
South Dakota	5,465	4,173	1,225	2,044	1,561	458
Wisconsin	47,082	25,119	15,802	2,249	1,200	755
South	\$1,141,489	\$411,988	\$377,792	\$2,025	\$731	\$670
Alabama	28,700	7,152	12,616	1,052	262	462
Arkansas	19,924	5,233	4,843	1,616	424	393
Delaware ^a	14,762	9,624	6,651	2,073	1,351	934
District of Columbia	10,425	2,955	2,688	1,935	549	499
Florida	242,132	78,483	44,792	3,363	1,090	622
Georgia	117,384	52,174	36,280	2,588	1,150	800
Kentucky	14,782	8,688	8,338	960	564	541
Louisiana	30,535	12,381	11,584	860	349	326
Maryland	52,193	15,316	28,454	2,177	639	1,187
Mississippi	25,946	6,142	7,149	1,255	297	346
North Carolina	45,558	5,935	31,165	1,463	191	1,001
Oklahoma	46,457	23,395	9,691	2,008	1,011	419
South Carolina	28,716	9,679	15,533	1,290	435	698
Tennessee	35,943	25,552	12,969	1,551	1,103	560
Texas	329,162	104,871	103,449	2,001	638	629
Virginia	87,320	39,856	39,293	2,866	1,308	1,289
West Virginia	11,550	4,550	2,296	2,797	1,102	556
West	\$1,012,775	\$282,516	\$216,508	\$3,672	\$1,024	\$785
Alaska ^a	16,987	5,242	6,930	4,047	1,249	1,651
Arizona	75,024	32,461	19,840	2,765	1,196	731
California	720,436	140,922	125,890	4,394	859	768
Colorado	43,509	24,399	13,242	2,541	1,425	773
Hawaii ^a	9,788	9,615	5,207	1,809	1,777	962
Idaho	9,757	3,660	2,579	1,715	643	453
Montana	2,997	1,380	1,094	922	425	337
Nevada	29,546	14,414	8,023	2,871	1,401	780
New Mexico	24,669	4,514	3,339	4,665	854	632
Oregon	14,222	7,359	8,865	1,284	664	800
Utah	7,308	5,214	3,280	1,343	958	603
Washington	51,998	31,617	16,672	3,412	2,074	1,094
Wyoming	6,533	1,719	1,547	3,891	1,024	921

^aStates have integrated jail-prison systems.

^bThe Rhode Island State Department of Health and Hospitals operated a centralized power plant that provided utilities to prisons and other government agencies. Utilities were unmetered and costs were allocated on the basis of square footage.

*U.S. Department of Health and Human Services, National Center for Health Statistics, citing Centers for Medicare and Medicaid Services in *Health, United States, 2003*, table 116.

Food service in FY 2001 cost \$1.2 billion, or approximately 4% of State prison operating expenditures.

As a percentage of total prison operating costs, South Dakota and Hawaii allocated the largest proportions to food services, 11.3% and 8.2%, respectively, and North Carolina and Oregon allocated the smallest proportions, 0.7% and 1.8%.

On average nationwide, State departments of correction spent \$2.62 to feed inmates each day. Pennsylvania (\$5.69) and Washington (\$5.68) reported the largest amounts, followed by Maine (\$5.03), Hawaii (\$4.87), and Iowa (\$4.81). North Carolina indicated the lowest cost (\$0.52), followed by Alabama (\$0.72), Mississippi (\$0.81), and Louisiana (\$0.96).

Reports of low food costs often reflected prisoner-operated farm and food processing operations. For example, Mississippi State Penitentiary, Parchman, and South Mississippi State Penitentiary, Leakesville, grew a wide variety of fruits, vegetables and grains, and raised livestock for other Mississippi prisons. Prison enterprises in North Carolina operated a cannery, a meat processing plant, warehouses, and trucks to deliver food and equipment to correctional facilities statewide.

Utility services for electricity, natural gas, heating oil, water, sewerage, trash removal, and telephone in State prisons totaled \$996 million in FY 2001.

Utilities accounted for about 3.5% of State prison operating expenditure. Among individual States, they consumed the most in Alabama (5.7%), New Hampshire and Virginia (5.6%), and the least in Rhode Island (0.5%), and Montana (1.5%).

Daily utility costs ranged from a high of \$5.43 per inmate in Massachusetts, \$4.52 in Alaska, and \$4.50 in Maine to a low of \$0.55 in Rhode Island, \$0.89 in Louisiana, and \$0.92 in Montana.

40 State correctional systems paid others to house some prisoners

All but 11 States had expenses relating to the contract housing of prison inmates in private facilities, local jails, other States' facilities, or Federal facilities. The 11 States not reporting contract housing costs for inmates in FY 2001 were Alabama, Iowa, Kansas, Illinois, Maine, Massachusetts, Missouri, New Hampshire, North Carolina, Washington, and West Virginia.

Contract housing averaged 6% of operating expenses, nationwide. However, seven States spent more than 3 times this proportion:

	Contract housing cost as a percentage of total prison expenditure
Montana	37%
Louisiana	37
Tennessee	36
Oklahoma	30
Mississippi	26
Alaska	23
New Mexico	22

Montana spent \$26.1 million, all of it to house inmates in private facilities. Louisiana paid \$171.1 million, 81% of it to house inmates in local jails; and Tennessee spent \$150.7 million, about a third of it to hold inmates in private facilities and two-thirds in local jails.

Methodology

Following a procedure similar to that used to produce *State Prison Expenditures, 1996*, BJS asked government finance specialists at the U.S. Census Bureau to identify each State's corrections function codes, as reported in the *FY 2001 Survey of Government Finances*. Census staff entered this information into a data base, using a standardized format provided by BJS.

The data to produce the graph in the *Highlights* on page 1 are available with other tables of the report on the BJS website <www.ojp.usdoj.gov/bjs>. These data include inflation-adjusted costs for total State corrections and prisons as well as costs per U.S. resident.

This data extraction procedure included both inter- and intragovernmental transfer payments, and clarified missing, repetitious, and out-of-range data items.

Both department of corrections and State central office budget specialists were asked to review the originally submitted numbers. These officials worked with the Census Bureau to eliminate duplicate reports, interpret expenditure codes, and understand organizational functions and accounting procedures.

Budget officials sharpened the scope of the study by including expenditures for central office personnel who performed prison activities and deleting outlays that pertained to probation and parole services, juvenile corrections, and nonresidential community corrections — areas outside the prison function.

Upon final approval by each State's designated financial reviewer, Census staff completed the data adjustment phase of the project with a 100% response rate for total and operating expenditures.

Underreporting

Correctional expenditures shown in the *Highlights* figure may be underreported. As the result of discussions between State budget officials and U.S. Census Bureau specialists in government finance who collected the data for this report, the total cost to operate State prisons in FY 2001 was 1.1% higher than originally reported to the Census Bureau in the *2001 Survey of Government Finances*.

Factors which contributed to the revised FY 2001 State prison spending figure included adjustments for central office staff assigned to prison, probation, parole, and juvenile activities; elimination of duplicate fund reporting; and access to final numbers following State submissions of preliminary numbers in the *Survey of Government Finances*.

Data limitations

Expenditure data published in *State Prison Expenditures, 2001* and *State Prison Expenditures, 1996* were reported by State budget officials, based on categories established by the Census Bureau's annual *Survey of Government Finances*. Previous State prison cost data published by BJS were reported by correctional facility operators.

Adjusting for inflation

State government expenditures for fiscal years 1996 and 2001 were inflation-adjusted in 2001 constant dollars, as appropriate for State and local government spending. The following annual chain-type price indexes for gross domestic product were employed

as divisors and unadjusted expenditures as dividends to produce inflation-adjusted expenditures in 2001 constant dollars:

Year	Price indexes (1996 base)	Year	Price indexes (1996 base)
1986	0.7410	1994	0.9504
1987	0.7726	1995	0.9777
1988	0.7960	1996	1.0000
1989	0.8241	1997	1.0258
1990	0.8616	1998	1.0435
1991	0.8864	1999	1.0733
1992	0.9028	2000	1.1198
1993	0.9259	2001	1.1501

U.S. Department of Commerce, Bureau of Economic Analysis, developed the above indexes, published in *Economic Report of the President, February, 2001*, table B-7, United States Government Printing Office, Washington: 2003.

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

James J. Stephan wrote this report and coordinated data collection, under the supervision of Allen J. Beck. Tracy L. Snell provided statistical verification. Tina Dorsey and Tom Hester produced and edited the report. Jayne Robinson prepared the report for final printing.

Howard Trott, Shelley Blake, and James Batton of the U.S. Census Bureau, Governments Division, Finance Branch coordinated the data extraction process and verified the information reported by State officials, under the direction of Steven Owens. Pamela Butler prepared the data for review by State contacts, under the direction of Charlene Sebold.

June 2004, NCJ 202949

Appendix table. Surveys of government finances, 1986-2001: Expenditures for total State corrections and for State prisons, in 2001 constant dollars

Year	Total State corrections		State prisons	
	Total (in 1,000's) ^{1,2}	Cost per resident ³	Total (in 1,000's) ^{1,2}	Cost per resident ³
1986	\$15,595,807	\$65	\$11,718,582	\$49
1987	16,521,216	68	12,461,390	51
1988	18,420,811	75	14,265,336	58
1989	20,309,744	82	15,681,836	63
1990	22,606,549	91	17,505,068	70
1991	24,641,313	98	19,226,855	76
1992	25,388,942	100	19,404,816	76
1993	25,698,979	100	19,723,011	77
1994	27,926,979	107	21,417,090	82
1995	30,650,599	117	23,627,083	90
1996	31,425,488	119	24,029,310	91
1997	32,652,718	120	25,059,538	92
1998	33,862,569	123	26,120,090	95
1999	35,365,328	128	27,182,280	98
2000	36,193,618	128	27,569,391	98
2001	38,164,541	134	29,491,268	104

Note: Correctional expenditures may be underreported. Interviews with State budget officials by the U.S. Census Bureau for this report produced a revised estimate of State prison costs of \$29.5 billion for FY 2001, 1.1% higher than the 2001 Survey of Government Finances.

¹US Census Bureau. *Censuses of Governmental Finances, 1986 -1996*, Tables 11 and 12; and unpublished data compatible with this series for 1997 through 2001.

²Economic Report of the President, February, 2003. Bureau of Economic Analysis, Chain-type price indexes for gross domestic product, 1959-2002, Table B-7.

³US Census Bureau, Estimates of the Population of the United States to July 1, 1990, Current Population Estimates and Projections, Series P-25, No. 1064. US Census Bureau, *US Population Estimates by Age, Sex, Race, and Hispanic Origin: 1990-1995*, PPL-41. Unpublished data 1996 -2001, compatible with *Resident Population Estimates for Age, Sex, Race and Hispanic Origin*.



State Corrections Expenditures, FY 1982-2010

Tracey Kyckelhahn, *BJS Statistician*

Between 1982 and 2001, total state corrections expenditures increased each year, rising from \$15.0 billion to \$53.5 billion in real dollars. Between 2002 and 2010, expenditures fluctuated between \$53.4 billion and \$48.4 billion. Preliminary data from the Census Bureau's Annual Survey of State Government Finances indicated that states spent \$48.5 billion on corrections in 2010, a decline of 5.6% since 2009.

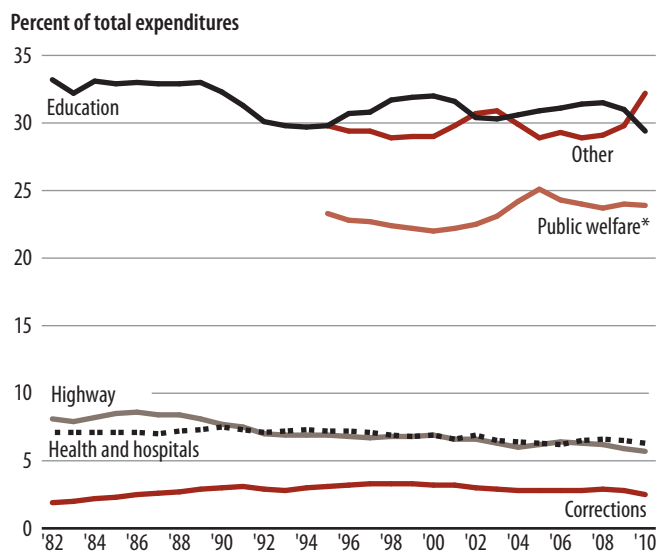
Corrections expenditures fund community supervision, confinement, and rehabilitation of adults and juveniles convicted of offenses, as well as confinement of persons awaiting trial or adjudication. State corrections expenditures also include the costs of operation and employment for prisons, probation and parole offices, pardon proceedings, correctional administration, and intergovernmental transfers.

State expenditures

In 2010, state expenditures totaled \$1.9 trillion dollars while state spending on corrections was \$48.5 billion. Between fiscal years 1982 and 2010, spending on corrections represented between 1.9% and 3.3% of total expenditures by state governments. Since 2003, corrections expenditures, as a share of total spending, fluctuated between 2.5% and 2.9% of state expenditures (figure 1).

Between 1982 and 2010, spending on education varied between 29% and 33% of total state expenditures, spending on public welfare varied between 22% and 25%, spending on highways varied between 5.7% and 8.6%, and spending on health care and hospitals varied between 6.2% and 7.5%. Other expenditures (including air transportation, financial administration, police protection, and public safety expenditures) ranged between 29% and 32% of state expenditures.

FIGURE 1
Selected components of state expenditures, FY 1982-2010



Note: Expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

*Information on public welfare was available from 1995 to 2010.

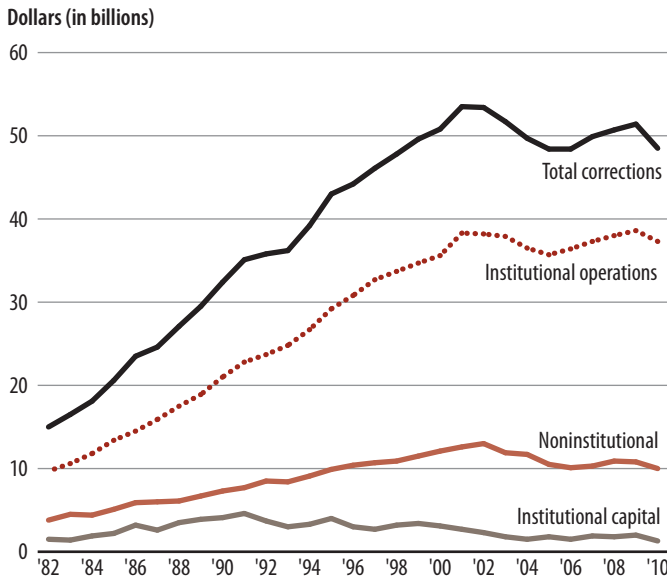
Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982-2010.

States spent about three-quarters of the corrections budget on correctional institutions

Between 1982 and 2010, spending on correctional institutions, such as state prisons and residential work release units, represented the largest component of state corrections expenditures, ranging from \$11.2 billion to \$41.0 billion. As a share of total corrections expenditures, spending on institutions ranged from 73% to 80%. (For information on correctional institutions, see *Methodology*.)

Expenditures related to probation, parole, the administration of a correctional agency, the training of correctional employees, and nonresidential halfway houses and community corrections centers were counted as other (noninstitutional) correctional expenditures (figure 2). Noninstitutional corrections expenditures ranged from \$3.8 billion to \$12.9 billion, and comprised between 20.4% and 27.3% of total corrections expenditures.

FIGURE 2
Components of state corrections expenditures, FY 1982–2010



Note: Expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

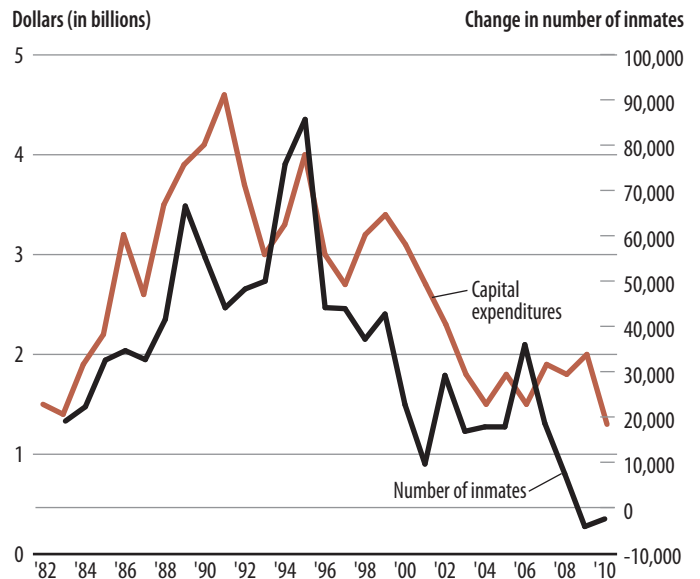
Direct expenditures on institutions were divided between capital outlay and operations

Capital outlay expenditures included spending on construction, renovations, and major repair of institutions; purchase of land, rights-of-way, and existing structures; title searches and related costs; and purchase of equipment having a useful life of more than 5 years.

Between 1982 and 1991, institutional capital outlays increased, reaching a peak of \$4.6 billion in 1991 (figure 3). Capital outlays comprised between 8.5% and 13.6% of total corrections expenditures during those years. Between 1992 and 2001, capital outlays varied between \$2.7 billion and \$4.0 billion, comprising between 5.0% and 10.3% of total corrections expenditures. From 2002 to 2010, capital outlays made up \$2.3 billion or less each year and less than 5% of state correctional expenditures.

Part of capital outlay expenditures represents spending to construct new prisons to house additional inmates. Between 1982 and 2010, spending on institutional capital outlay correspond strongly with changes in state prison population (correlation coefficient of .75).

FIGURE 3
Institutional capital outlay expenditures and change in state prison population, FY 1982–2010



Note: Expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

Source: U.S. Census Bureau, Annual Survey of State Government Finances 1982–2010.

At its peak, spending on capital outlay for institutions was widespread among states (**table 1**). Between 1982 and 1991, 32 states spent at least 20% of their total corrections expenditures on capital outlays for 1 year or more. From 2002 to 2010, this was true of only two states (not shown in table). (See appendix table 3 for state comparisons.)

TABLE 1
Distribution of state spending on institutional capital outlay as a percent of total corrections spending, FY 1982–2010

Year	Number of states spending between 0% and 5%	Number of states spending between 5% and 10%	Number of states spending between 10% and 20%	Number of states spending 20% or more
1982	19	7	16	8
1983	19	15	9	7
1984	19	10	15	6
1985	11	20	13	6
1986	18	11	9	12
1987	21	12	11	6
1988	15	15	13	7
1989	20	5	18	7
1990	16	12	15	7
1991	20	9	15	6
1992	22	11	14	3
1993	23	13	9	5
1994	32	9	8	1
1995	29	14	6	1
1996	25	18	6	1
1997	28	14	7	1
1998	24	16	7	3
1999	28	10	6	6
2000	30	10	8	2
2001	33	10	7	0
2002	39	9	2	0
2003	40	8	2	0
2004	43	6	1	0
2005	42	4	3	1
2006	42	5	2	1
2007	41	4	5	0
2008	38	8	2	2
2009 ^a	39	7	3	1
2010 ^b	42	7	1	0

^aData on expenditures for 2009 are preliminary.

^bData on total corrections expenditures for 2010 are preliminary. See *Methodology*.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

The number of prisoners held in state and private prisons increased every year from 371,522 inmates in 1982 to a peak of 1,323,557 in 2008 (table 2). This report uses custody counts. (See *Methodology* for a description of custody counts and jurisdiction counts). The population decreased in 2009

(1,319,364 inmates) and 2010 (1,316,858). The annual population growth rate declined to less than 3% starting in 2000, after remaining more than 6% from the mid-1980s to the mid-1990s. The annual population growth reached a high of 12% in 1989.

TABLE 2
Per capita state corrections institution expenditures, FY 1982–2010

Year	Institutional current operations		State and private prison population		Per capita expenditures ^a			
	Dollars (in billions)	Percent change from previous year	Number of inmates	Percent change from previous year	Dollars (mean)	25th percentile	50th percentile	75th percentile
1982	\$9.7	~	371,522	~	\$26,036	\$22,214	\$30,609	\$38,942
1983	10.6	9.3%	390,609	5.1%	27,165	23,561	31,524	40,672
1984	11.8	11.3	412,868	5.7	28,682	23,735	31,535	41,637
1985	13.4	13.6	445,408	7.9	29,983	24,246	31,472	42,675
1986	14.5	8.2	480,037	7.8	30,137	23,516	31,103	42,152
1987	15.9	9.7	512,691	6.8	31,109	23,895	32,521	43,178
1988	17.5	10.1	554,224	8.1	31,524	24,369	32,490	42,494
1989	18.9	8.0	620,777	12.0	30,447	24,381	30,591	40,653
1990	21.0	11.1	675,907	8.9	31,123	24,296	30,637	40,851
1991	22.8	8.6	720,002	6.5	31,679	25,809	33,094	42,308
1992	23.7	3.9	768,252	6.7	30,864	26,010	32,483	39,208
1993	24.8	4.6	818,224	6.5	30,307	25,165	31,739	40,856
1994	26.7	7.7	894,050	9.3	29,918	24,595	32,663	39,742
1995	29.2	9.4	979,727	9.6	29,783	24,532	32,083	40,464
1996	30.8	5.5	1,023,857	4.5	30,046	25,008	32,269	38,681
1997	32.7	6.2	1,067,761	4.3	30,615	26,359	32,450	39,875
1998	33.7	3.1	1,104,919	3.5	30,459	26,452	33,392	41,052
1999	34.7	3.0	1,147,637	3.9	30,264	25,259	33,564	40,305
2000	35.6	2.6	1,170,350	2.0	30,449	25,555	33,517	41,321
2001	38.3	7.6	1,179,964	0.8	32,459	26,211	35,382	40,700
2002	38.2	-0.3	1,209,145	2.5	31,588	25,283	34,099	39,290
2003	37.9	-0.8	1,225,971	1.4	30,949	24,053	32,635	39,806
2004	36.5	-3.7	1,243,777	1.5	29,376	23,612	30,804	38,353
2005	35.7	-2.2	1,261,578	1.4	28,263	22,734	28,690	37,207
2006	36.4	2.0	1,297,536	2.9	28,028	23,018	29,549	37,084
2007	37.3	2.5	1,316,134	1.4	28,319	21,243	29,091	39,145
2008	38.0	1.9	1,323,557	0.6	28,722	22,400	29,227	40,934
2009 ^b	38.6	1.6	1,319,364	-0.3	29,270	22,832	29,231	40,934
2010 ^c	37.3	-3.4	1,316,858	-0.2	28,323	21,417	29,094	40,175

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

~Not applicable.

^aThe mean was calculated at the national level (total institutional current operations divided by total state and private prison population).

^bData on expenditures for 2009 are preliminary.

^cData on total corrections expenditures for 2010 are preliminary. See *Methodology*.

Source: U.S. Census Bureau, Survey of State Government Finances, 1982–2010; and Bureau of Justice Statistics, National Prisoner Statistics Program, 1982–2010.

Operational expenditures, as a share of total expenditures, grew from 1982 to 2010

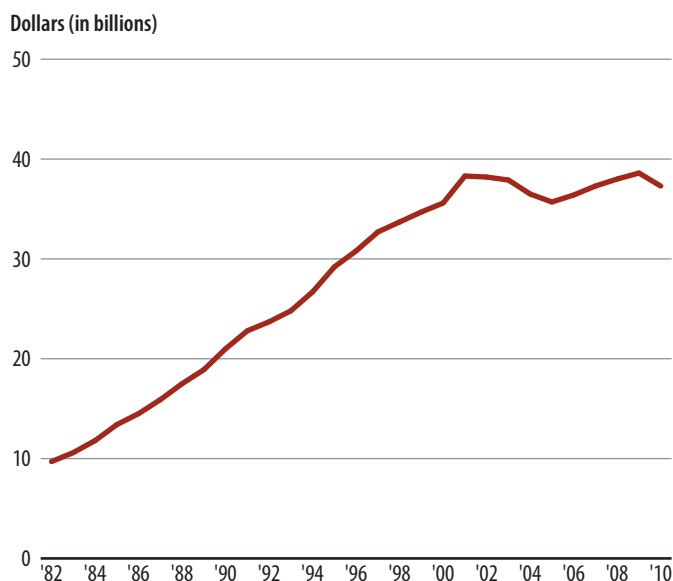
Correctional institutions' operational expenditures included compensation of officers and employees and supplies, materials, and contractual services exclusive of capital outlay. The costs incurred by states to operate institutions steadily increased from 1982 to 2000, after which they remained steady (figure 4). Due to the decline in other components of state corrections expenditures between 2000 and 2010, institutions' operational expenditures increased steadily as a share of total expenditures from just under two-thirds in the 1980s to three-quarters after 2005 (not shown in table or figure).

At the national level, operational expenditures per inmate in a state or private prison declined to under \$30,000 per year starting around 2004, a level last seen in the early 1980s. At the state level, the median operational expenditures per inmate posted a similar trend as the national mean, declining to under \$30,000 per year in 2005. From 1982 to 2010, the 25th percentile fluctuated between \$21,243 and \$26,452, and the 75th percentile fluctuated between \$37,084 and \$43,178.

Changes in state operations expenditures from 1999 to 2010

Regression analysis was used to assess increases and decreases in state correction expenditures from 1999 to 2010. For each state, three regressions were run to determine trends in expenditures during this time period. States were grouped according to patterns of changes, including linear decreases and increases and other changes in direction (table 3). (See *Methodology* for a description of the technique used to detect change, determine statistical significance, and classify the direction of the change in per capita expenditures.)

FIGURE 4
Type of change in per capita institutional operations expenditures, by state, FY1999-2010



Note: See appendix table 4 for year change began by state.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

TABLE 3
Change in per capita institutional current operations expenditures, by states with linear increases and decreases, FY 1999-2010

Trends and state groupings	
Linear decrease	Yearly per capita decrease
Connecticut	\$524
Florida	1,186
Idaho	1,232
Iowa	1,169
Kansas	1,046
Maine	602
Michigan	1,010
Nevada	646
Ohio	1,294
Pennsylvania	1,371
Rhode Island	1,948
Linear increase	Yearly per capita increase
California	\$1,014
Maryland	1,897
Montana	1,852
North Dakota	880
Oklahoma	742

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*. Excludes Utah and West Virginia due to data quality issues.

Source: U.S. Census Bureau, Survey of State Government Finances, 1982–2000; and Bureau of Justice Statistics, National Prisoner Statistics Program, 1982–2000.

The regression analysis of per capita trends from 1999 to 2010 included 48 states. Utah and West Virginia were excluded due to data quality issues.

- 11 states showed a linear decrease in current operations expenditures per inmate from 1999 to 2010, with an average annual decline of \$1,093 per inmate (figure 5).
- 5 states had a linear increase, with an average annual increase of \$1,277 per inmate.

Among 32 states, the patterns of change in per capita expenditures fluctuated from 1999 to 2010 (figure 6).

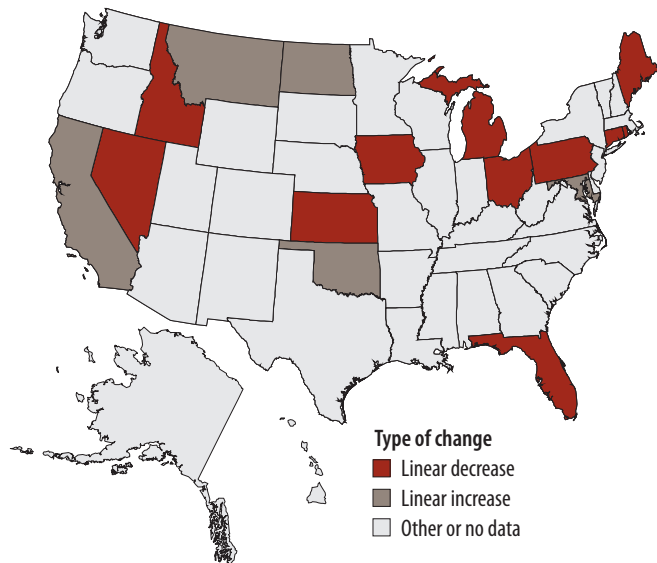
- 14 states had a decrease in per capita expenditures, followed by an increase. In 12 of the states, the increase started in 2005 or later.
- 1 state had an increase followed by a decrease.

- 8 states experienced an increase in per capita expenditures, followed by a decrease and a subsequent increase in expenditures.
- 2 states had a decrease in per capita expenditures followed by an increase and then another decrease.
- 7 states experienced either flat per capita expenditures or did not have a discernible trend in the analyses conducted.

Medical care expenditures increased for correctional institutions in most states

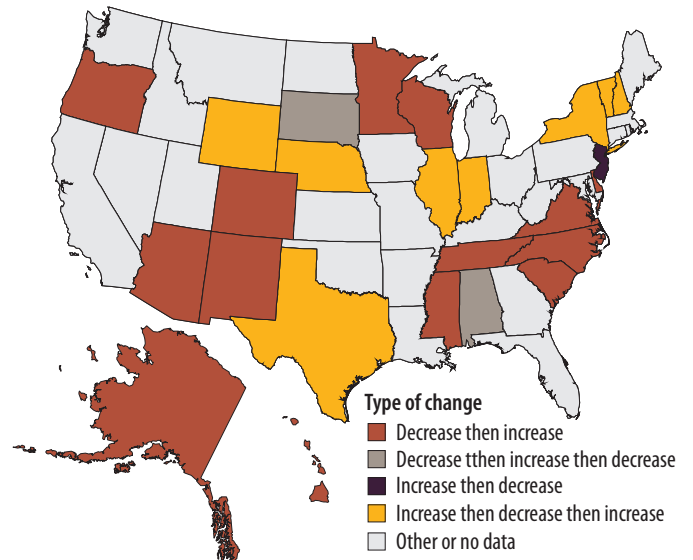
Forty-four states provided information on medical expenditures for both 2001 and 2008. For all states except Texas (down 8.1%) and Illinois (down 1.9%), medical expenditures increased during the 7-year period (table 4). New Hampshire (up 372%) exhibited the highest increase, while Nevada (up 4.5%) had the lowest increase.

FIGURE 5
Trends in per capita institutional operations expenditures, by states with linear increases or decreases, FY1999-2010



Note: See appendix table 4 for year change began by state.
Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

FIGURE 6
Trends in per capita institutional operations expenditures, by states with both increases and decreases, FY1999-2010



Note: See appendix table 4 for year change began by state.
Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

Thirty-five of the 44 states had an increase in per capita medical costs from 2001 to 2008, with five reporting increases of 100% or more: New Hampshire (up 300%), Alabama (up 120%), Arkansas (up 105%), Montana (up 103%), and Maryland (up 101%). Eight states reported decreases in

medical expenditures per inmate: Nevada (down 17.5%), Maine (down 14.3%), Texas (down 12.7%), Pennsylvania (down 12.4%), Oklahoma (down 7.6%), West Virginia (down 5.2%), Illinois (down 4.3%), and North Dakota (down 4.0%).

TABLE 4
State prison medical expenditures, FY 2001 and 2008

Region	Medical expenditures (in thousands)			State prison population (custody)			Per capita medical expenditures		
	2008	2001	Percent change	2008	2001	Percent change	2008	2001	Percent change
Northeast									
Connecticut	\$109,597	\$95,865	14.3%	18,978	17,507	8.4%	\$5,775	\$5,476	5.5%
Maine	14,024	13,304	5.4	2,047	1,664	23.0	6,851	7,995	-14.3
Massachusetts	91,629	60,973	50.3	11,174	10,203	9.5	8,200	5,976	37.2
New Hampshire	26,268	5,561	372.3	2,854	2,419	18.0	9,204	2,299	300.4
New Jersey	149,991	128,585	16.6	22,194	23,432	-5.3	6,758	5,488	23.2
New York	360,583	308,281	17.0	60,198	67,554	-10.9	5,990	4,563	31.3
Pennsylvania	217,720	192,615	13.0	47,917	37,141	29.0	4,544	5,186	-12.4
Rhode Island	20,908	16,583	26.1	3,739	3,364	11.1	5,592	4,930	13.4
Midwest									
Illinois	\$100,811	\$102,746	-1.9%	45,474	44,348	2.5%	\$2,217	\$2,317	-4.3%
Indiana	75,679	52,753	43.5	23,750	18,731	26.8	3,186	2,816	13.1
Iowa	35,224	23,448	50.2	8,723	7,962	9.6	4,038	2,945	37.1
Michigan	309,213	192,788	60.4	48,738	48,400	0.7	6,344	3,983	59.3
Minnesota	53,498	35,717	49.8	8,419	6,406	31.4	6,354	5,576	14.0
Missouri	116,786	70,439	65.8	30,137	28,575	5.5	3,875	2,465	57.2
Nebraska	27,964	17,405	60.7	4,470	3,915	14.2	6,256	4,446	40.7
North Dakota	5,146	4,057	26.8	1,379	1,044	32.1	3,732	3,886	-4.0
Ohio	199,898	156,702	27.6	48,751	42,944	13.5	4,100	3,649	12.4
South Dakota	14,609	7,667	90.5	3,337	2,764	20.7	4,378	2,774	57.8
Wisconsin	109,527	66,055	65.8	22,236	17,337	28.3	4,926	3,810	29.3
South									
Alabama	\$90,348	\$40,265	124.4%	25,262	24,741	2.1%	\$3,576	\$1,627	119.8%
Arkansas	65,424	27,953	134.1	13,135	11,489	14.3	4,981	2,433	104.7
Delaware	39,675	20,711	91.6	6,944	6,841	1.5	5,714	3,027	88.7
Florida	428,311	339,704	26.1	90,720	68,409	32.6	4,721	4,966	-4.9
Louisiana	50,109	42,840	17.0	17,929	16,732	7.2	2,795	2,560	9.2
Maryland	142,730	73,225	94.9	22,955	23,611	-2.8	6,218	3,101	100.5
Mississippi	51,457	36,401	41.4	12,399	11,497	7.8	4,150	3,166	31.1
North Carolina	236,957	192,441	23.1	39,740	32,012	24.1	5,963	6,012	-0.8
Oklahoma	71,861	65,178	10.3	17,965	15,061	19.3	4,000	4,328	-7.6
South Carolina	65,323	40,288	62.1	23,673	21,713	9.0	2,759	1,855	48.7
Tennessee	77,327	50,427	53.3	14,224	13,788	3.2	5,436	3,657	48.6
Texas	424,518	461,804	-8.1	139,196	132,149	5.3	3,050	3,495	-12.7
Virginia	136,883	122,507	11.7	31,050	29,906	3.8	4,408	4,096	7.6
West Virginia	22,092	16,204	36.3	4,896	3,403	43.9	4,512	4,762	-5.2
West									
Alaska	\$31,281	\$23,832	31.3%	3,547	3,033	16.9%	\$8,819	\$7,858	12.2%
Arizona	140,610	105,256	33.6	31,086	26,281	18.3	4,523	4,005	12.9
California	2,014,515	1,010,749	99.3	168,066	152,690	10.1	11,986	6,620	81.1
Colorado	95,047	61,042	55.7	17,937	14,888	20.5	5,299	4,100	29.2
Hawaii	17,607	13,732	28.2	3,347	3,865	-13.4	5,260	3,553	48.1
Idaho	20,941	13,689	53.0	4,919	3,922	25.4	4,257	3,490	22.0
Montana	7,991	4,205	90.1	1,598	1,708	-6.4	5,001	2,462	103.1
Nevada	43,330	41,452	4.5	11,895	9,384	26.8	3,643	4,417	-17.5
Oregon	74,157	48,416	53.2	13,541	10,950	23.7	5,476	4,422	23.8
Utah	21,531	10,253	110.0	5,132	4,145	23.8	4,196	2,474	69.6
Washington	143,632	72,952	96.9	16,325	15,226	7.2	8,798	4,791	83.6

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*. Excludes Georgia, Kansas, Kentucky, New Mexico, Vermont, and Wyoming.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 2001 and 2008; state agencies responsible for corrections expenditures, and Bureau of Justice Statistics, National Prisoner Statistics Program, 2001 and 2008.

Methodology

Expenditure data were extracted from the U.S. Census Bureau's Annual Survey of State Government Finances. The survey collects expenditure information for federal, state, and local governments. This report includes state government corrections expenditures and components of those expenditures compiled by U.S. Census Bureau representatives. Data were collected from government audits, budgets, and other financial reports with the advice of state officers and employees. The information from these reports was placed into expenditure categories using the U.S. Census Bureau's classification system. Data were verified with government officials before being released. Differences in functional responsibilities from state to state may prohibit the comparability of expenditure data across all jurisdictions, and caution should be exercised when comparing government expenditures. The Survey of State Government Finances is available on the U.S. Census Bureau's website at <http://www.census.gov/govs/>. For information about the state component of the survey, see <http://www.census.gov/govs/state>.

Medical expenditures

State medical expenditures for correctional institutions were compiled using state government accounting spreadsheets. The Bureau of Justice Statistics (BJS) categorized all costs associated with medical care, including mental health and dental costs. Medical expenditures included medical personnel costs, contract medical services, operational costs associated with medical units, and capital outlay and supply expenditures related to providing medical care. The categorized expense data were sent to state budget officers twice for verification: once after the initial categorization and again for confirmation before publication.

National Prisoner Statistics

Data on custody and private prison counts were from the National Prisoner Statistics (NPS) series. The NPS began in 1926 under a mandate from Congress and collects annual statistics on prisoners at yearend. State departments of corrections and the Federal Bureau of Prisons voluntarily submit NPS data. The NPS distinguishes between prisoners in custody and prisoners under jurisdiction. The NPS custody counts include all inmates held within a state's facilities, including inmates housed for other states. The custody counts exclude inmates held in local jails and in other jurisdictions. Therefore, in this report, inmate counts will differ from BJS reports that use jurisdiction counts. The NPS also includes information on private prisoners, which is included with the custody count in the inmate populations used in this report. However, some states are unable to distinguish between custody and jurisdiction. For information on those states, see *Jurisdiction notes* in the yearly *Prisoners* series reports located on the BJS website. The NPS has historically included counts of inmates in the combined jail-prison systems of Alaska, Connecticut, Delaware, Hawaii, Rhode Island, and Vermont.

Preliminary data

Preliminary data were used for fiscal years 2009 and 2010. They are subject to change and will be superseded by data released approximately a year from their original publication. Although every effort is made to obtain financial information from state and local government entities, financial statements and completed questionnaires may not be available at the time the Census Bureau closes the processing. Missing data are imputed until complete data can be obtained. See the Census Bureau's website for updates on release information: <http://www.census.gov/govs/state/>.

Data from the Census Bureau's Annual Survey of State Government Finances further detail state governments' corrections expenditures, including data on capital outlay and current operations expenditures. Data describing government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars.

Per capita calculations

Total per capita expenditures were calculated using each state's institutional current operations expenditures divided by its custody and private prison population. Per capita medical expenditures were calculated using each state's medical expenditures divided by its custody population. Current operations expenditures pay for the housing of inmates in private prisons and in prisons operated by the state, while intergovernmental expenditures pay for state inmates under a state's jurisdiction in facilities other than that state's prisons, such as local jails. Given the inability to determine how much of a state's intergovernmental expenditures pays for the housing of inmates versus other correctional costs, such as probation and parole, as well as the difficulty in determining the location of all prisoners under a state's jurisdiction, operational expenditures were calculated only for those inmates in physical custody, including those in private prisons.

To categorize states based on trends in per capita expenditures from 1999 to 2010, three regressions were run for each state: an equation to detect a linear increase or decrease per capita expenditures, an equation with a squared term to detect a single change in expenditure trends (increase to decrease or decrease to increase), and an equation with a cubed term to detect two changes during the time period. Two-tailed significance tests were conducted at the .05 confidence level.

States were then categorized by the equation that had the most number of changes and was significant. For example, if a state was significant for both the linear equation and the squared equation but not the cubed equation, the state was classified by the squared equation. Those states which did not test as significant in any of the three equations either did not have a statistically significant pattern in per capita expenditures or had per capita expenditures that remained flat. Utah and West Virginia were removed from the analyses due to data quality concerns.

For those states classified as having a linear trend in per capita expenditures, the linear term provided the annual increase or decrease in expenditures. For those states that had significant squared or cubed equations, the year(s) at which per capita expenditures changed direction was calculated by taking the first derivative of the equation and solving for the year(s).

Adjusting for Inflation

Government expenditures for fiscal years preceding 2010 were inflation adjusted to 2010 dollars, as appropriate for state government spending. Annual chain-type price indices for gross domestic product were employed as divisors, and unadjusted expenditures were employed as dividends to produce inflation adjusted expenditures in 2010 dollars.

The U.S. Department of Commerce, Bureau of Economic Analysis, developed the price indices used in all inflation adjustments, as published in the Economic Report of the President. For more information on price indices, see the Economic Report of the President (2011), Table B-7. Chain-type price indices for gross domestic product, 1962-2010, U.S. Government Printing Office, retrieved from <http://www.gpo.gov/fdsys/pkg/ERP-2011/pdf/ERP-2011-table7.pdf>.

Terms and Definitions

Correctional institutions—includes facilities, such as prisons, residential work release units, and detention centers, in addition to correctional farms, industrial schools and training schools. Correctional institutions also include the related educational, training, and health care programs for inmates, and some hospitals for the criminally insane.

Corrections—involve the community supervision, confinement, and rehabilitation of adults and juveniles convicted of offenses and the confinement of persons awaiting trial or adjudication.

Education expenditures—include the financing of schools, colleges, and other educational institutions (e.g., for blind, deaf, and other handicapped individuals), and educational programs for adults, veterans, and other special classes. Also included are activities of higher education institutions operated by the state, except for agricultural extension services and experiment stations and hospitals serving the public.

Expenditures—include only external cash payments made from any source of funds, including any payments financed from borrowing, fund balances, intergovernmental revenue, and other current revenue.

Intergovernmental transfers—the sum of payments made from one government entity to another, including grants-in-aid, shared revenues, payments in lieu of taxes, and amounts

for services performed by one government for another on a reimbursable or cost-sharing basis (e.g., payments by one government to another for boarding prisoners). They exclude amounts paid to other governments for purchase of commodities, property, or utility services.

Direct expenditures—all expenditures except those classified as intergovernmental. They include direct current expenditures (e.g., salaries, wages, fees, and commissions and purchases of supplies, materials, and contractual services) and capital outlays (e.g., construction and purchase of equipment, land, and existing structures). Note that capital outlays are included for the year in which the direct expenditure was made, regardless of how the funds were raised (e.g., bond issue) or when they were paid back.

Highway expenditures—include construction, maintenance, and operation of highways, streets, and related structures, including toll highways, bridges, tunnels, ferries, street lighting, and snow and ice removal.

Health expenditures—include outpatient health services; public health administration; research and education; categorical health programs; treatment and immunization clinics; nursing; environmental health activities, such as air and water pollution control; ambulance service, if provided separately from fire protection services; school health services, if provided by health agencies rather than school agencies; and other general public health activities, such as mosquito abatement.

Hospital expenditures—include the financing, construction, acquisition, maintenance, or operation of hospital facilities, provision of hospital care, and support of public and private hospitals. Financing of nursing homes is included if they are directly associated with a government hospital.

Public welfare expenditures—include support of and assistance to persons contingent upon their need, such as cash assistance paid directly to needy persons under the categorical programs (Old Age Assistance, Temporary Assistance for Needy Families (TANF), and other welfare programs; vendor payments made directly to private purveyors for medical care, burials, and other commodities and services provided under welfare programs; and provision and operation by the government of welfare institutions. Other public welfare includes payments to other governments for welfare purposes, amounts for administration, support of private welfare agencies, and other public welfare services.

State custody count—the number of inmates a state holds in its facilities. A state may have custody of a prisoner over whom another state maintains jurisdiction.

APPENDIX TABLE 1
Selected components of state expenditures, FY 1982–2010

Year	Total state expenditures (In billions)	Education	Public welfare ^a	Health and hospital	Highways	Corrections	Other
1982	\$790.7	\$262.6	...	\$56.4	\$64.1	\$15.0	\$392.6
1983	814.6	262.9	...	57.5	64.5	16.5	413.8
1984	820.8	271.3	...	58.4	67.4	18.1	405.7
1985	879.4	289.4	...	62.1	74.6	20.6	432.7
1986	927.2	306.4	...	65.9	80.1	23.5	451.3
1987	956.1	314.5	...	67.4	80.3	24.6	469.3
1988	986.2	324.5	...	71.0	82.8	27.1	480.8
1989	1,032.6	340.6	...	75.9	84.0	29.5	503.0
1990	1,075.5	347.5	...	80.2	83.2	32.4	532.2
1991	1,146.1	358.4	...	83.6	85.7	35.1	583.3
1992	1,251.7	377.0	...	88.5	87.3	35.8	663.1
1993	1,294.4	385.8	...	92.8	89.4	36.2	690.2
1994	1,314.1	390.5	...	95.9	90.6	39.2	697.9
1995	1,381.9	411.8	\$321.7	99.1	94.7	43.0	411.6
1996	1,389.2	425.9	316.3	100.3	94.2	44.2	408.4
1997	1,417.9	437.3	322.2	100.2	95.5	46.1	416.6
1998	1,453.4	460.8	325.0	100.0	99.4	47.8	420.4
1999	1,506.7	480.8	333.8	102.6	103.1	49.6	436.8
2000	1,567.7	501.0	345.5	107.9	107.6	50.8	454.9
2001	1,664.1	525.3	368.6	109.8	110.5	53.5	496.4
2002	1,762.7	535.1	396.5	121.0	115.5	53.4	541.2
2003	1,792.7	542.3	414.7	116.9	113.1	51.7	554.0
2004	1,781.6	545.3	431.6	114.9	107.7	49.7	532.4
2005	1,755.7	542.0	439.9	109.8	108.6	48.4	507.0
2006	1,757.9	546.0	426.8	108.7	112.8	48.4	515.2
2007	1,756.0	551.9	421.7	114.1	110.8	49.9	507.6
2008	1,764.2	555.9	417.9	116.5	109.1	50.6	514.1
2009 ^b	1,864.2	578.7	447.3	121.7	109.3	51.4	555.8
2010 ^c	1,942.8	571.3	462.7	123.6	110.8	48.5	626.4

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

...Not available.

^aData available for 1995 to 2010.

^bData on expenditures for 2009 are preliminary.

^cData on total corrections expenditures for 2010 are preliminary. See *Methodology* for further explanation.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

APPENDIX TABLE 2
Components of state corrections expenditures, FY 1982–2010

Year	Total corrections (in billions)	Institutional current operations		Institutional capital outlay		Other corrections	
		Expenditures (in billions)	Percent of total corrections	Expenditures (in billions)	Percent of total corrections	Expenditures (in billions)	Percent of total corrections
1982	\$15.0	\$9.7	64.7%	\$1.5	10.0%	\$3.8	25.3%
1983	16.5	10.6	64.2	1.4	8.5	4.5	27.3
1984	18.1	11.8	65.6	1.9	10.6	4.3	23.9
1985	20.6	13.4	65.0	2.2	10.7	5.0	24.3
1986	23.5	14.5	61.7	3.2	13.6	5.8	24.7
1987	24.6	15.9	64.6	2.6	10.6	6.1	24.8
1988	27.1	17.5	64.6	3.5	12.9	6.1	22.5
1989	29.5	18.9	64.1	3.9	13.2	6.7	22.7
1990	32.4	21.0	64.8	4.1	12.7	7.3	22.5
1991	35.1	22.8	65.0	4.6	13.1	7.7	21.9
1992	35.8	23.7	66.2	3.7	10.3	8.4	23.5
1993	36.2	24.8	68.5	3.0	8.3	8.4	23.2
1994	39.2	26.7	68.1	3.3	8.4	9.2	23.5
1995	43.0	29.2	67.9	4.0	9.3	9.8	22.8
1996	44.2	30.8	69.7	3.0	6.8	10.4	23.5
1997	46.1	32.7	70.9	2.7	5.9	10.7	23.2
1998	47.8	33.7	70.5	3.2	6.7	10.9	22.8
1999	49.6	34.7	70.0	3.4	6.9	11.5	23.2
2000	50.8	35.6	70.1	3.1	6.1	12.1	23.8
2001	53.5	38.3	71.6	2.7	5.0	12.5	23.4
2002	53.4	38.2	71.5	2.3	4.3	12.9	24.2
2003	51.7	37.9	73.3	1.8	3.5	12.0	23.2
2004	49.7	36.5	73.4	1.5	3.0	11.7	23.5
2005	48.4	35.7	73.8	1.8	3.7	10.9	22.5
2006	48.4	36.4	75.2	1.5	3.1	10.5	21.7
2007	49.9	37.3	74.7	1.9	3.8	10.7	21.4
2008	50.7	38.0	75.0	1.8	3.6	10.9	21.5
2009 ^a	51.4	38.6	75.1	2.0	3.9	10.8	21.0
2010 ^b	48.5	37.3	76.9	1.3	2.7	10.0	20.4

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

^aData on expenditures for 2009 are preliminary.

^bData on total corrections expenditures for 2010 are preliminary. The categories of corrections expenditures are estimates based on total corrections expenditures and previous years' expenditures. See *Methodology*.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

APPENDIX TABLE 3**Percent of corrections expenditures on institutional capital outlay, by state, FY 1982–2010**

State	Mean yearly percent of corrections expenditures spent on capital outlay		
	1982–1991	1992–2001	2002–2010
Northeast			
Connecticut	10.2%	9.8%	2.0%
Maine	9.0	3.3	0.4
Massachusetts	15.9	7.1	1.4
New Hampshire	19.9	6.3	4.1
New Jersey	10.0	2.3	0.8
New York	12.0	10.2	8.3
Pennsylvania	9.7	10.0	8.2
Rhode Island	6.0	1.6	1.9
Vermont	6.5	4.8	0.4
Midwest			
Illinois	13.0%	8.0%	2.8%
Indiana	12.0	6.6	2.5
Iowa	2.5	1.1	2.4
Kansas	11.5	4.9	4.2
Michigan	9.5	3.4	2.2
Minnesota	4.4	2.6	5.0
Missouri	12.8	6.3	4.6
Nebraska	7.6	4.7	1.7
North Dakota	9.2	8.3	2.8
Ohio	13.1	9.0	3.0
South Dakota	2.6	1.1	1.7
Wisconsin	8.5	5.2	4.0
South			
Alabama	9.0%	1.1%	1.0%
Arkansas	10.6	3.5	7.0
Delaware	2.4	4.1	1.0
Florida	9.9	5.7	3.2
Georgia	4.7	3.8	2.7
Kentucky	11.3	6.5	4.9
Louisiana	6.6	2.0	2.2
Maryland	7.1	1.7	2.2
Mississippi	11.4	6.6	1.6
North Carolina	7.6	8.3	5.2
Oklahoma	7.0	3.2	1.1
South Carolina	12.0	9.8	3.4
Tennessee	10.3	5.2	3.9
Texas	11.4	11.3	2.3
Virginia	5.2	2.5	1.0
West Virginia	2.3	10.2	2.0
West			
Alaska	18.3%	2.1%	1.0%
Arizona	12.2	6.5	2.9
California	14.4	7.0	2.3
Colorado	12.5	14.1	3.4
Hawaii	16.6	6.6	2.4
Idaho	13.4	10.9	5.4
Montana	13.9	8.5	1.9
Nevada	16.2	13.5	9.0
New Mexico	14.4	2.8	0.9
Oregon	6.6	11.3	6.1
Utah	17.9	1.5	1.0
Washington	11.8	17.5	9.2
Wyoming	14.3	14.5	15.0

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*.

^aData on expenditures for 2009 are preliminary.

^bData on total corrections expenditures for 2010 are preliminary. See *Methodology*.

Source: U.S. Census Bureau, Annual Survey of State Government Finances, 1982–2010.

APPENDIX TABLE 4**Type of change in per capita institutional operations expenditures,
by state and year change began, FY1999-2010****Trends and state groupings**

Decrease then increase	Year increase began	
Alaska	2008	
Arizona	2009	
Colorado	2010	
Delaware	2005	
Hawaii	2004	
Minnesota	2008	
Mississippi	2008	
New Mexico	2004	
North Carolina	2010	
Oregon	2006	
South Carolina	2010	
Tennessee	2005	
Virginia	2007	
Wisconsin	2006	
Increase then decrease	Year decrease began	
New Jersey	2007	
Increase to decrease to increase	Year decrease began	Year increase began
Illinois	2001	2008
Indiana	2001	2009
Nebraska	2000	2008
New Hampshire	2002	2008
New York	2004	2005
Texas	2001	2008
Vermont	2001	2008
Wyoming	2003	2007
Decrease to increase to decrease	Year increase began	Year decrease began
Alabama	2001	2008
South Dakota	2001	2009
No pattern		
Arkansas		
Georgia		
Kentucky		
Louisiana		
Massachusetts		
Missouri		
Washington		

Note: Government expenditures for fiscal years preceding 2010 were inflation-adjusted to 2010 dollars, as appropriate for state spending. See *Methodology*. Excludes Utah and West Virginia due to data quality issues.

Source: U.S. Census Bureau, Survey of State Government Finances, 1982–2000; and Bureau of Justice Statistics, National Prisoner Statistics Program, 1982–2000.



The Bureau of Justice Statistics is the statistical agency of the U.S. Department of Justice. James P. Lynch is director.

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