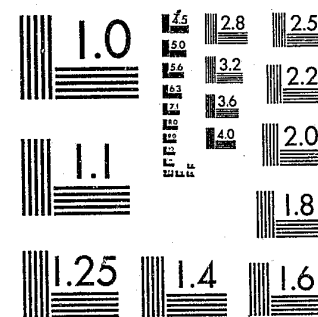


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Standards and the Cost of Correctional Change

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U.S. Department of Justice
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Tamara Hatfield skillfully found her way through the maze of government reports and pre-publication statistics to deliver data on time. Robert Friedland performed many of the calculations. Roberta Wood -- keeper of deadlines and translator of scrawl -- oversaw the typing and assembly. Special mention must be made of the Research Director and Co-author of Institutional-Based Programs, Dr. Virginia Wright. Her analytical skills, willingness to learn corrections, dedication to policy research and admirable patience with people were the critical factors in keeping the entire project on course.

Chapter 1. Introduction

Correctional standards in some form have existed for over 100 years, dating from the 1870 Congress on Penitentiary and Reformatory Discipline. It is only within the last 20 years, however, that there has been a sustained effort to codify and gain universal agreement on a statement of acceptable practice. As formal standards become a growing part of the way in which individuals, agencies and whole systems are judged, they begin to assume an aura of regulation that departs sharply from lofty principles of the 1870 Congress.

Change -- whether evolutionary, like correctional standards, or dramatic, like prison riots -- has its price. The codification, promulgation and acceptance of a universally applicable set of operating guidelines is no exception. At the most intangible level, there is a silent note of peer group disapproval of "failing" to follow "acceptable" practice; more concretely, standards may be the benchmark used to coerce behavior of entire agencies or even states. Historically, correctional standards have been seen as the humanitarian reformer's response to an uncaring society. The sword cuts two ways, however: they can also be used as a cudgel for an entrenched indifference, for justifying the status quo, for complacency. Ideally impetus for changing conditions which standards were designed to correct would come internally from the self, from the professional collective; realistically, externally-generated principles can too easily become the timid's regulatory excuse. Whether standards are ally or foe of continuing sensitivity to human needs will be determined largely by those entrusted with their care.

Within this framework, the research on which this report is based had a very limited scope, indeed. It set out to estimate the criminal justice system costs of implementing standards recommended by the National Advisory Commission on Criminal Justice Standards and Goals. (The other "prices" of change were left to the philosophers.) As an analytical endeavor, however, its breadth ranged from making data ostensibly on similar phenomena consistent to operationalizing in an economically meaningful way an abstraction like "administrative due process." This ostensibly required the development of three methodologies:

- Sample Budgets were derived when there were data from activities substantially in compliance with standards. This was the case for halfway houses and diversion programs.
- A Model Budget was required when the Commission recommended new departures and resource configurations different from existing practices. Workloads, ratios and similar data related to specific functions were used to estimate costs of a model probation department and pretrial services agency.
- The Cost Differential generated by a new procedure was estimated in cases where there was no experience with or way of determining the costs for a function or set of functions. Field and stationhouse citation release were of this variety.

These methods also can be conceptualized in terms of levels of aggregation: differential costs focus initially on procedures (e.g., screening); model budgets, initially on groups of procedures (functions), such as presentence investigations; and, sample budgets on entire organizations performing a set of functions (halfway houses). A more elaborate explanation is provided in Appendix A-2 and A-3.

The input focus of the original research -- direct criminal justice system expenditures -- requires further elaboration. It arose not because of (but, in fact, contrary to) the analysts' predisposition. The interconnectedness of criminal justice processes only reinforces the economist's professional training to search for all costs -- tangible and intangible, direct and external. Restraint, fortunately, was not always possible.

Opportunity Cost

"Opportunity cost" is the fundamental cost concept in economics and simply refers to what must be foregone by choosing one alternative rather than another. The measure of what is foregone may be psychological, physical or price. Conceptually, it implies that benign or benevolent motivations for acting cannot contradict the fact that someone pays. Opportunity cost should not be seen as a cynicism borne by economists, but a reality that permeates all aspects of public policy formulation and execution.

This notion of cost is particularly crucial in analyzing a decision-making process like criminal justice where an individual's liberty or personal safety is at stake. For example, an opportunity cost of incarceration is the foregone productivity of correctional clients. Most inmates, if they are employed at all, are employed in occupations which do not require their most productive skills, and/or are paid at lower rates than they would have been had they not been incarcerated. Society's loss, then, is goods and services which are not produced. In 1972, Singer estimated this loss (foregone productivity) for adult inmates in state, federal and local institutions to be \$8,038 per inmate.¹ Adjusting for participation in maintenance and prison industries, unemployment, and inflation 1972-1974, the foregone productivity was estimated at \$5,212 per inmate year for state institutions and \$7,125 for jails. (The figure is higher because of the lack of alternative industrial opportunities in jails.)² For 1978, this foregone productivity is estimated at \$12,226 per inmate year for state institutions and \$12,703 for jails.³ The total nationwide is estimated at \$3.4 billion.

These more hypothetical estimates can be compared to more limited data available on inmate earnings prior to incarceration.⁴ A January, 1974, prisoner survey indicated that about 85 percent of the inmates surveyed had been employed; a moderate estimate yielded an average annual income of \$5,094.⁵ In 1978 dollars this would amount to \$7,323 but should be regarded as an understatement since some of the income would have been earned one or more years prior to the survey period. (Such data of course, may include income from illegal sources.) A survey of arrestee earnings in 1975 in Ohio indicated average earnings of \$7,935 (1978 dollars).⁶ Misdemeanants had a higher average than felons. A 1976 study in New York City indicated lost earnings of \$30.16/day. In 1978 dollars this would be \$34.29 or \$8,916 per year.

Figure 1-1
Estimated Foregone Productivity Associated with Incarceration
in State Institutions and Jails, Per Inmate Year and Nationwide,
(1978 Dollars)

State Institutions

A. Potential Productivity per Inmate Year (assuming zero employment) ^a	\$12,226
B. Unemployment Allowance (A x .15) ^b	1,834
C. Allowance for Inmate Involvement in Institutional Maintenance Work (A x .10)	1,223
D. Allowance for Inmate Involvement in Prison Industries, Vocational Training and Work Release (\$6,554 x .33) ^c	2,163
E. Estimated Foregone Productivity per Inmate Year (A-(B+C+D))	7,006
F. Estimated Foregone Productivity, Nationwide (E x 250,949) ^d	\$1,758,148,694

Jails

A. Potential Productivity per Inmate Year (assuming zero employment) ^a	\$12,703
B. Unemployment Allowance (A x .15) ^b	1,834
C. Allowance for Inmate Involvement in Institutional Maintenance Work (A x .10)	1,223
D. Estimated Foregone Productivity per Inmate Year (A-(B+C))	9,646
E. Estimated Foregone Productivity, Nationwide (D x 157,570) ^e	\$1,519,920,220

^aThis estimate was derived by redoing Neil Singer's original work, The Value of Adult Inmate Manpower. See text for details.

^bThis figure was used in the original report and was a function of total, non-white and youthful non-white unemployment rates; higher current unemployment rates for all these groups would seem to indicate the use of a new, higher figure. However, this begs the question of improving ex-offender employment opportunities and, in any case, society will pay through more crime or increased social welfare payments.

^cAssumes (see original report) that the time of the 33 percent of inmates in prison industries, work release, or vocational training is worth an

Figure 1-1 (cont.)

average of \$6,554 (1974 data deflated to 1978) per inmate year, rather than the full potential \$12,226 due to other considerations; e.g., shorter day, different responsibilities, etc.

^dEstimated 1977 population; see earlier text.

^eEstimated 1978 population; see earlier text.

There are, of course, less tangible and more important opportunity costs associated with all types of correctional alternatives:

- Elimination of money bail in favor of non-financial release will foreclose opportunities for some with the resources to gain a quick release;
- Pretrial diversion may increase the risk of victimization; or
- The cost of pretrial release may be monitoring beyond that used for guilty persons by traditional probation.

These and other opportunity costs were discussed (but not priced) in each of the Project's reports.

External Costs

External costs were the second area where a narrow input focus on only direct criminal justice system expenditures was extended. In this case, the economist's training was reinforced by the Commission's admonition: Instead of hiring a large number of additional correctional staff members to perform the services already provided to nonoffenders, it is much wiser for correctional agencies to try to develop effective working relationships with the agencies and institutions with which offenders come in contact.¹⁸ These agencies and organizations included:

1. Employment resources -- private industry, labor unions, employment services, civil service systems.
2. Educational resources -- vocational and technical, secondary college and university, adult basic education, private and commercial training, government and private job development and skills training.
3. Social welfare services -- public assistance, housing, rehabilitation services, mental health services, counseling assistance, neighborhood centers, unemployment compensation, private social service agencies of all kinds.
4. The law enforcement system -- Federal, State, and local law enforcement personnel, particularly specialized units providing public information, diversion, and services to juveniles.
5. Other relevant community organizations and groups -- ethnic and cultural groups, recreational and social organizations, religious and self-help groups, and others devoted to political or social action.

As these recommendations imply, external costs or externalities are those tangible and intangible costs borne by some individual, group or organization outside the particular one under analysis. (There can be external benefits, as well.) If followed completely, the Commission's recommendations would create a substantial new demand for services provided by others. Whether or not they could be absorbed is contingent on a host of factors

Figure 1-2. Estimated Mean Tuition and Fees
Per Student for Academic Year 1978-79

	<u>Public</u>	<u>Private</u>
University	\$789	\$3,667
Other Four Year	648	2,681
Two Year	432	1,896
All Institutions	600	2,940

Source: U.S. Department of Health, Education and Welfare,
National Center for Education Statistics, Digest
of Education Statistics, 1979 (prepublication data).

Figure 1-3. Mean Charge for Non-Collegiate
Post Secondary Schools by Occupational Group, 1978

<u>Occupational Group</u>	<u>Mean Charges</u>	
	<u>Public</u>	<u>Private</u>
Agri-Business	\$326	\$2,514
Marketing/Distribution	310	926
Health Occupations	454	1,664
Home Economics	344	1,149
Business/Office	307	2,047
Technical	586	2,317
Trades and Industry	<u>315</u>	<u>1,155</u>
Average, All Groups	\$345	\$1,616

Source:

beyond the scope of this research such as volume of referrals, present capacity utilization, etc.. However, an appreciation for the potential economic impact can be gained by reviewing some potential externalities expressed in terms of average costs. (The average vs. marginal cost debate is now well known and will not be repeated here. Suffice it to say that pricing by external providers, if done, will probably use average cost.)

Figures 1-2 and 1-3 indicate tuition charged by various types of educational and vocational training programs. Conceivably, a halfway referral may generate not only \$2,000 in costs for a 90-day stay, but also \$345 in tuition at a city voc-tech school and \$420 for 12 weekly, one-hour meetings with a psychologist.¹⁰ As with opportunity costs, many externalities are intangible and can only be analyzed verbally. More data and discussion on potential external costs are presented in each Standard and Goals report.

Other Analytical Notes

Time, resources and availability of data placed the emphasis in the original research on inputs and even more narrowly on direct criminal justice system inputs. Where little cost information exists, this restriction does not make the endeavor trivial. As one begins to compare input costs, however, the question of results (effectiveness) invariably arises: "If two alternatives are equally effective, which one should be chosen?" Put another way: "How can we be most effective, given a fixed budget?" In formal parlance, these are the minimum cost and maximum output criteria of economic choice. The type of analyses which help answer these questions are cost-effectiveness and cost-benefit. The former relates all costs (resources, time, etc.) to some measure of output which may not be valued in dollar terms, for example, cost per unit of time, cost per distance or any other result deemed desirable by the decision-maker. Cost-benefit analysis places an economic valuation on alternative government investments. For example, the day of time (output or benefit) might be valued at the minimum wage. Common benefit measures used in criminal justice evaluations include: the costs averted by earlier-than-usual exit from the system (diversion benefit); reduction in costs as a result of fewer illegal acts in the future (recidivism benefit); or, the increased productivity of a person as a consequence of the program (earnings benefit). The analytical product is a ratio of benefits to costs, both expressed in dollars. Obviously, some measure of "output" is necessary for either cost-effectiveness or cost-benefit; not so obvious is that it must be net output — deducting failures. The longstanding, elusive pursuit of recidivism data is a clue to the inherent data limitations confronting more sophisticated forms of economic analysis in correction. Except for project-level evaluations, it simply must await an expanded knowledge base in the other social sciences. In the interim, less accurate measures of outputs are used: cost per unit of service per client, cost per program completion, etc. Examples are provided in each of the chapters which follow.

Report Structure

The purpose of this report was to update and summarize the results of research previously conducted on the direct criminal justice system costs of standards recommended by the Corrections Task Force of the National Advisory Commission on Criminal Justice Standards and Goals. (It is important to distinguish this from new research.) The updating was accomplished in two ways: Research results and statistics published after the original reports were reviewed to cross validate the original assumptions and estimates; secondly, all cost data were deflated to 1978 dollars using the two methods explained in Appendix A-4. The results are presented below.

The chapter sequence of this report follows the flow of cases through the criminal justice system. The Commission's broad definition of "Corrections" begins the process at the law enforcement stage with alternatives to arrest, follows to arraignment with conditional and unconditional release and ends the pre-adjudication phase with court-approved diversion. Chapter 2, Pretrial Programs, covers these activities. Following trial, the preferred alternative is some form of community supervision; the second, community residential care. Probation and halfway houses, are the subjects of Chapters 3 and 4, respectively. Finally, incarceration in local and state institutions is discussed in Chapter 5.

Each chapter opens with a description of the specific model recommended in the Task Force Report titled Corrections. The assumptions underlying the original estimates and any new research or statistics related to them are reviewed in the next section. The revised estimates in 1978 dollars serve as the concluding section in each Chapter. All technical material has been relegated to appendices for the curious and stout-hearted.

FOOTNOTES

¹Neil M. Singer, The Value of Adult Inmate Manpower (Washington, D.C.: Correctional Economics Center, 1973) (Also reprinted in Journal of Research in Crime and Delinquency, January, 1976).

²The 1976 Standards and Goals Report adjusted downward (25% to 10%) the number of inmates required for institutional maintenance. That figure is retained for this report.

³This estimate was derived by redoing Singer's original work. The 1970 and 1974 Prison censuses provided information on the distribution of inmates across occupational and educational groups. The 1977 prison population was thus distributed; earnings per cell for 1978 were estimated by deflating 1974 earnings. This yielded dollar totals for each job/education category; summing the figures for prisons and jails yields an estimated potential productivity (inmate) average for state and local prisoners, respectively. The advantage of this technique is that it reflects the distribution of inmates across varying job and remuneration categories. The 1974 groupings suggest a potential productivity level of nearly \$13,500 if the groupings remained constant. Since (1) this was not known and (2) the 1974 population was considerably lower than 1977, and (3) the reports generally used conservative cost estimates, the lower figure of \$12,226 was selected.

⁴A 1978 Jail Census (February) collected this information but the figures have not yet been authorized for release.

⁵U.S. Department of Justice, Survey of Inmates of State Correctional Facilities 1974. (Washington, D.C.: Law Enforcement Assistance Administration National Criminal Justice Information and Statistics Service, 1976), Table 1.

⁶Leon Rasberry, Summit County Pretrial Release: A Cost-Benefit Analysis. (Akron Bar Association, Feb. 1976)

⁷Coopers and Lybrand, "The Cost of Incarceration in New York City" (for the National Council on Crime and Delinquency, 1978).

⁸Corrections, p. 240-241.

⁹Ibid., p. 240.

¹⁰David Mills and Alfred Wellner, "Hourly Fees for Individual Service by Psychologists," The California State Psychologist (September, 1978), p. 6. Thirty-five dollars per hour is the mean charge reported by 10,719 licensed psychologists.

Chapter 2. Pretrial Programs

Introduction

The twin themes of minimizing penetration and least drastic means are nowhere more in evidence than in the area of pretrial programs. This philosophy and the broad definition of "corrections" to encompass society's official response to a criminal law violation together spawn a host of recommendations for expanded types and uses of alternatives. Halfway houses are presented as a sentencing alternative, parolee residence, and resource to non-adjudicated offenders. Probation services are seen as more than a brief contact monthly to check employment status, but, rather, are brokered services from a variety of public and private agencies. Pretrial options range from a police-issued field citation to a judicially-approved employment diversion program. Alternatives to Arrest, Pretrial Programs, and Diversion estimate the criminal justice system costs of these recommendations.

Standard 4.3, Alternatives to Arrest, recommends for minor offenses a police-issued citation, rather than arresting or detaining the person. When the accused is not in custody, a summons in lieu of arrest warrant is the preferred option for minor offenses. The goal of each of these alternatives is to assure appearance at trial while minimizing pretrial detention. For those not free after passing the law enforcement stage of the system, detention is considered the alternative of last resort with preference being given, first, to unconditional release and, second, to conditional release.

Standard 4.4, Alternatives to Pretrial Detention

Each criminal justice jurisdiction, State or local as appropriate, should immediately seek enabling legislation and develop, authorize, and encourage the use of a variety of alternatives to the detention of persons awaiting trial. The use of these alternatives should be governed by the following:

1. Judicial officers on the basis of information available to them should select from the list of the following alternatives the first one that will reasonably assure the appearance of the accused for trial or, if no single condition gives that assurance, a combination of the following:

- a. Release on recognizance without further conditions.
- b. Release on the execution of an unsecured appearance bond in an amount specified.
- c. Release into the care of a qualified person or organization reasonably capable of assisting the accused to appear at trial.
- d. Release to the supervision of a probation officer or some other public official.
- e. Release with imposition of restrictions on activities, associations, movements, and residence reasonably related to securing the appearance of the accused.

f. Release on the basis of financial security to be provided by the accused.

g. Imposition of any other restrictions other than detention reasonably related to securing the appearance of the accused.

h. Detention, with release during certain hours for specified purposes.

i. Detention of the accused.

2. Judicial officers in selecting the form of pretrial release should consider the nature and circumstances of the offense charged, the weight of the evidence against the accused, his ties to the community, his record of convictions, if any, and his record of appearance at court proceedings or of flight to avoid prosecution.

3. No person should be allowed to act as surety for compensation.

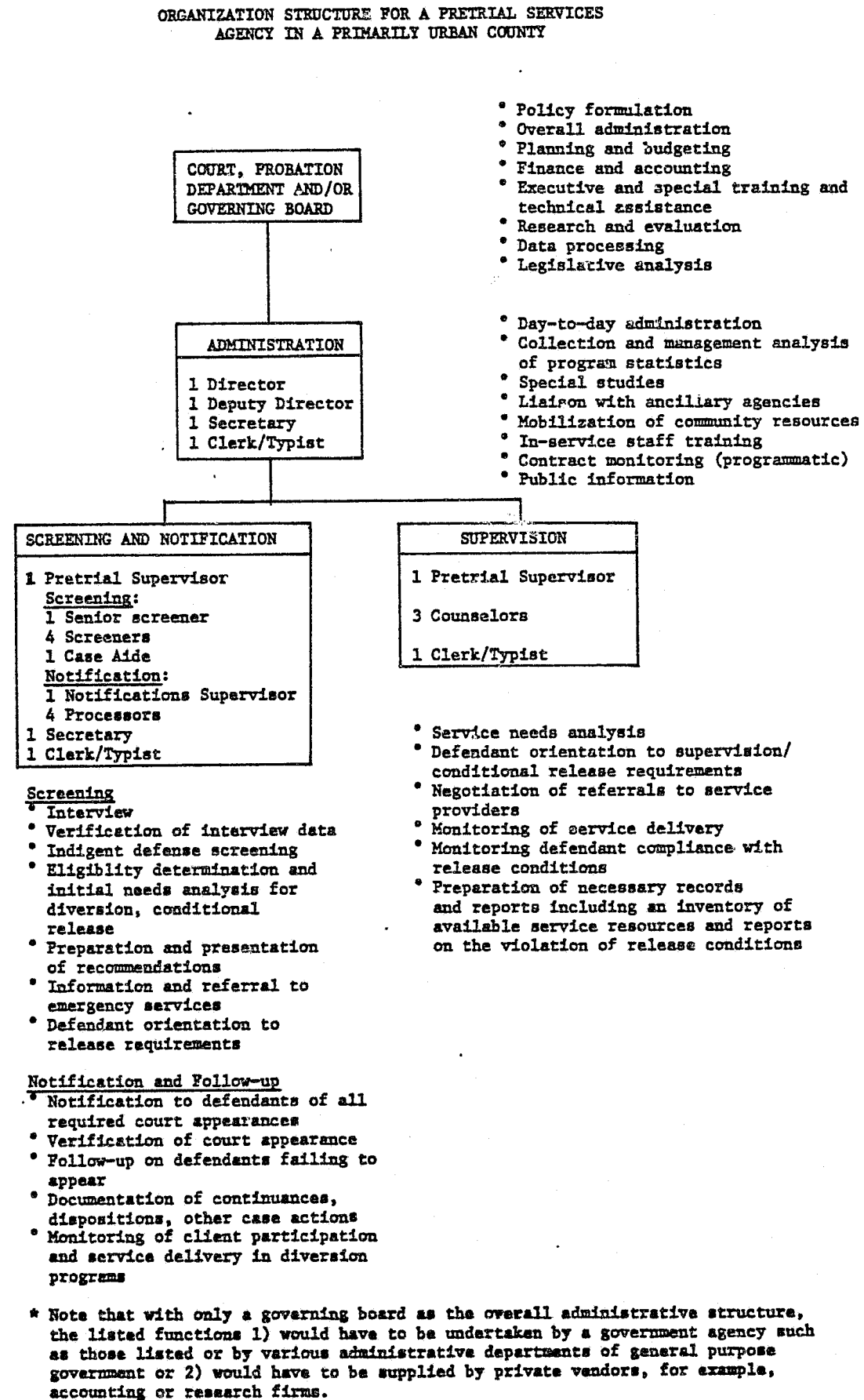
4. Willful failure to appear before any court or judicial officer as required should be made a criminal offense.

Corrections presents two versions of the organization which will be responsible for conditional and unconditional release. In the short run, "each criminal justice jurisdiction (was to) develop a comprehensive plan for improving the pretrial process."¹ And, "information gathering services for the judicial officer making the (release) decision (would be) provided in the first instance by the law enforcement agency and verified and supplemented by the agency that develops presentence reports."² Probation departments were to be organized into court services and client services divisions.³ The long run goal was to make services for persons awaiting trial the responsibility of a state department of corrections.⁴ The probation division of a newly centralized agency would perform supervision functions only, and intake service units in the judiciary would be created to perform pretrial screening and release monitoring.⁵

These two models created a dilemma for the Standards and Goals Project. Centralized corrections and executive branch responsibility for probation were probably only second to the Commission's building moratorium in stimulating opposition. If the long range perspective was adopted, the results could easily be considered unrealistic; and a purely short run approach was troubled by its lack of vision; so the compromise was to take what might be called an "intermediate range" view. This resulted in estimates of operational costs for a "pretrial services agency," without specifying where it was geographically or functionally located and without the presentence investigation function. Figure 2-1 displays the organization's functions and staffing. The probation department's functional auspice, also, remained ambiguous, but it was located in a county with one of its divisions servicing the courts and another servicing clients.

The accompanying Figure 2-1 displays the pretrial agency's functions and staffing configuration. It is important to note that key organizational activities have not been included in the cost estimates, viz., planning, (Standard 13.2, Planning and Organization), research and evaluation, (Standard 15.5, Evaluating the Performance of the Correctional System),

Figure 2-1



training (Standard 14.11, Staff Development), and similar managerial functions. While these activities represent legitimate indirect cost items, it is assumed that they are performed by a parent body and are unknown.

Diversion — where further processing is suspended pending completion of a non-criminal justice program — is distinguished from other "alternatives" that represent continued criminal justice activity of a "less drastic" means. The Commission recommended that:

- 1.a. . . . [T]he responsible authorities at each step in the criminal justice process where diversion may occur should develop priorities, lines of responsibility, courses of procedure, and other policies to serve as guidelines to its use.
 - b. Mechanisms for review and evaluation of policies and practices should be established.
 - c. Criminal justice agencies should seek the cooperation and resources of other community agencies to which persons can be diverted for services relating to their problems and needs.
2. Each diversion program should operate under a set of written guidelines that insure periodic review of policies and decisions. The guidelines should specify:
 - a. The objectives of the program and the types of cases to which it is to apply.
 - b. The means to be used to evaluate the outcome of diversion decisions.
 - c. A requirement that the official making the diversion decision state in writing the basis for his determination denying or approving diversion in the case of each offender.
 - d. A requirement that the agency operating diversion programs maintain a current and complete listing of various resource dispositions available to diversion decisionmakers.
3. The factors to be used in determining whether an offender, following arrest but prior to adjudication, should be selected for diversion to a noncriminal program, should include the following:
 - a. Prosecution toward conviction may cause undue harm to the defendant or exacerbate the social problems that led to his criminal acts.
 - b. Services to meet the offender's needs and problems are unavailable within the criminal justice system or may be provided more effectively outside the system.
 - c. The arrest has already served as a desired deterrent.
 - d. The needs and interests of the victim and society are served better by diversion than by official processing.
 - e. The offender does not present a substantial danger to others.

f. The offender voluntarily accepts the offered alternative to further justice system processing.

g. The facts of the case sufficiently establish that the defendant committed the alleged act. (Standard 3.1)

The Commission considered formalization of diversion and the establishment of uniform procedures key steps in expanding non-criminal justice alternatives. Standard 3.1 clearly suggests a broad scale effort ("at each step in the criminal justice") that emphasizes individuals' needs ("listing of various resource dispositions available").

Original Research

Alternatives to Arrest focuses on identifying the differences in cost between traditional arrest and two forms of citation: field citation and stationhouse citation. Three major sets of assumptions provided the foundation for the cost estimates:

- Procedures -- the discrete tasks and functions required to carry out the traditional and recommended activities;
- Resource costs -- these were estimated for each accused person and represent the costs of resources consumed by engaging in the activities; and
- Case flow -- the number of accused persons exposed to a given procedure(s) in the traditional and the recommended activities.

Figure 2-2. Interaction of Key Variables for Alternatives to Arrest

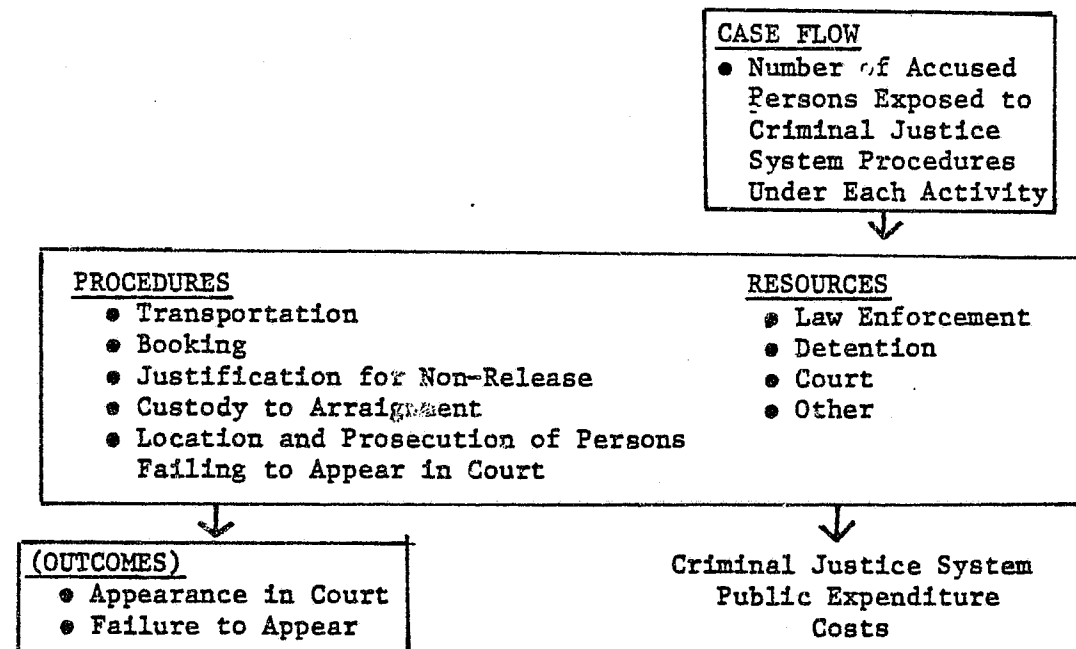


Figure 2-2 illustrates the relationship of these three variables. The analytical task was first to identify discrete procedures associated with arrest, field citation and stationhouse citation. Any procedures common to all options were excluded. The balance (all procedures to which equal numbers of persons were not exposed) formed the basis for the differential cost analysis. Figure 2-3 illustrates the procedures considered in the study and the activities of which they are a part.

Figure 2-3. Basic Procedures Prior to First Court Appearance

PROCEDURE	LAW ENFORCEMENT ACTIVITY		
	ARREST	FIELD CITATION	STATIONHOUSE CITATION
Physical Apprehension	•	•	•
Basic Identification of Accused	•	•	•
*TRANSPORTATION TO STATIONHOUSE	•		•
Records Search	•	•	•
*BOOKING	•		•
Preparation of Charging Document/Reporting	•	•	•
*CUSTODY TO ARRAIGNMENT	•		
*JUSTIFICATION OF NON-RELEASE		•	•
*LOCATION AND PROSECUTION OF PERSONS FAILING TO APPEAR IN COURT		•	•

Certain additional assumptions were made in the study. Because of the paucity of the data, all cost (savings) calculations have been based on conservative estimates of case flows, resource utilization and resource costs. For example, mean entrance level officer salary costs were used and the number of eligibles for citation release was based on a population subset exhibiting minimum risk for future court appearance. Additional costs of locating and prosecuting FTA's are included (as advocated by Standard 4.3) and thus increase the citation cost estimates. Finally, the analysis was limited to the three options discussed above; no other pretrial release options (bail, ROR, warnings) were examined; and, field and stationhouse citations are assumed to be substitutes for each other.

There was one major research project including 8 cities that will produce much better estimates of flow rates, but only preliminary data from three sites were available. (See note to Figure 2-). No other data could be found that shed light on the procedural, resource or case flow assumption, but more recent statistics were available for updating costs of police departments.

The general consideration in Alternatives to Arrest, as in the other Standards and Goals project reports, was to utilize conservative estimates of rates, resource utilization and costs. In examining release eligibility and failure to appear rates, for example, data are available for isolated programs around the country. An "average" is meaningless in such cases, particularly if wide variation between maximum and minimums exists. So, flow rates are deliberately on the low side; they were, however, and continue to be, supported by a major effort in the field by John Galvin in Instead of Jails (LEAA Washington, D.C., 1977). Galvin's data on release rates was used in the original report and is retained here.

No new data on resource times presented themselves. Original estimates for patrol and court resource time were derived from interviews, and research.⁷ Resource costs were derived from prior findings (Allegheny County)⁸ and nationwide salary and other cost data.⁹ Subsequent conversations with individuals such as Dr. Donald Pryor and Ann Jacobs of the Pretrial Services Resource Center - and review of the Center's library materials disclosed no new seminal research. Examination of selected documents did indicate the reasonableness of flow rates and other original assumptions.¹⁰

New data used are the F.B.I. Uniform Crime Reports for 1977 -4 to estimate the flow of arrestees into the criminal justice system. One statistical alteration was made: in 1974, the pool of citation-eligible persons was estimated using a formula reflective of practices in the District of Columbia. Twenty-five percent of the proportion of Part II Misdemeanor Arrests to all Arrests produced a citation-eligible population flow rate of 13.2 percent.¹¹ The other flow rates were retained as they appeared in Alternatives to Arrest.

Diversion -- or the halting of criminal justice process pending another program outcome -- operates under a variety of public, private, state, local and other auspices. Many criminal justice system clients, for example, are

diverted to entitlement programs (veteran's benefits) or special purpose (alcohol, drug) organizations funded by mental health, social services or similar public agencies. Sample budgets presented in Pretrial Diversion were drawn from two sources: Employment programs were based on thirteen operational projects funded by the Department of Labor; drug diversion estimates were derived from LEAA guidelines for and budgets from four Treatment Alternatives to Street Crime activities. No new data were found for the former, but one study of 12 TASC projects provided expenditure data for operating activities.¹²

Figure 2-5 Comparison of Samples from Drug Programs
(1978 Dollars)

	<u>TASC</u>	<u>Pretrial</u>	<u>Difference</u> <u>TASC/Pretrial</u>
Mean Staff Proportion of Total Budget	83.6%	79.0%	6%
Cost per Referral	\$636	\$864	36%
Cost per "Successful" Client	\$1,075	\$1,235	15%
Total Budget	\$277,500	\$432,000	56%

Mean budgets were \$277,500 as compared to a mean of the high and low Pretrial Diversion estimates of \$370,700 (1974 dollars) -- a difference of 36 percent. If the TASC Evaluation data are 1976, the difference is increased to 56%; if 1977, to 68 percent (using the implicit deflator).

A substantial portion of the difference is probably explained by when data were collected, since sources for both sets are TASC projects. Information for the budgets in Pretrial was collected earlier (1975) in the history of the national drug diversion program and even at that time substantial changes had been made from still earlier versions of the model activity.¹³ Therefore, expenditures from a later period probably reflect changes in government priorities, alterations in project functions, steady state rather than start-up costs, and better knowledge regarding projects' resource requirements. This "maturation" effect on costs is suggested by the higher cost of newer projects reported by Systems Science.¹⁴

Some of the difference is explained by the components included in the two budget estimates. Identical budget items were included in the Pretrial sample of four programs; however, TASC Evaluation means have administrative costs from 3 of 12 projects, contract evaluation from 5 of 12, urinalysis charges for 7 of 12, and rent from some and not others. For reported cases,

administrative charges were 4.3 to 8.4 percent of expenditures; urinalysis, about 1 to 15 percent; evaluation, approximately 3 to 6 percent. Since each of these are part of the sample Budget, this may account for between 14 to 50 percent of difference (\$155,000 in 1976 dollars). However, a sizeable difference still remains and is probably due to the factors described above that created an unreasonably high estimate in the Pretrial Diversion report.

Model Budgets for a pretrial services agency are contingent upon:

- Dollar value of resources needed to perform these functions;
- The flow of defendants through the process; and
- Estimated time required to perform screening, needs assessment, notification and other functions.

No new data were found regarding the valuation of resources used in pretrial agencies, so the original assumptions were used. Namely, national data (State Salary Survey) were used to estimate personnel costs and the results were consistent with data collected from fourteen projects surveyed for study. Non-personnel costs for these projects averaged 13 percent and was used for this budget item; it was further allocated to travel, rent, etc., based on distribution found in budgets of fourteen probation departments. Finally, the 10 percent, unaudited rate allowed by the Federal government was used as an overhead item but reduced by to 7 percent to adjust for direct billing of certain items.

Flow rate assumptions were discussed in the previous section on arrest alternatives. Suffice it to say, they are "reasonable" when one considers the wide variation found in different locales.

At the time of the original research (1976), The American Justice Institute was conducting in 30 jurisdictions a study of pretrial release practices that collected time estimates and work flows. The project director, John Galvin, worked closely with the Standards and Goals project and Pretrial Programs used a prototypical caseflow developed by Galvin. However, the time estimates or work units in the two analyses differed substantially, because of the assumptions regarding agency functions. Instead of Jails included the following agency responsibilities not covered by Pretrial Programs:

- General and referral information to all pretrial releases (1/2 hour per case)
- Separate review for emergency services cases (2 hours per case)
- Investigations for termination cases initiated by the agency (4 hours per case)
- Close supervision of sentenced offenders (27 hours per case)
- Performing "limited" presentence reports (2 hours for each 2,500 cases)
- Intensive supervision of sentenced cases (90 at 63 hours per case)

These functions add approximately 22.4 person years to the estimates.

The weighted, mean hours per supervision case is higher by about 14 hours (adding 3 person years), but, the weighted average time for notification and follow-up is less by 1.2 person years. (The weighted mean times have adjusted for differences in offender classifications in the two case flows.) Post-arrest screenings, estimated at one hour each rather than .75 hours, add 1.3 person years; four and one-half rather than one hour for the second, more thorough screening adds about 4.5 years. The net effect of using different work unit time estimates is to increase the Instead of Jails estimates by about 7.6 person years.

A final difference is the process stage from which persons eligible for pretrial diversion are referred. Instead of Jails places all such referrals (700) at the second screening point which includes both "limited" and "extensive" needs assessment with a weighted mean time per case of 4.6 hours. Pretrial Programs assumes these referrals occur both at initial (1/2 hour per case) and second (1 hour per case) screening and does not differentiate between types of needs assessment. For this reason, it is not possible to estimate the effects of this difference in offender flow descriptions.

The estimated line staff needed to process a similar case flow differs by 33.6 positions. Two-thirds (22) is accounted for by differences in the analysts' assumptions regarding agency functions. For example, Instead of Jails includes more process steps (Emergency Service Screening) and client groups (sentenced offenders). Approximately 8 positions or 24 percent are explained by using alternative work unit time estimates. For example,

Figure 2-4 Comparison of Workunit Time Estimates

Workunit	"Pretrial"	"Instead"
Initial Screening	.75 hours/case	1.0 hours/case
Second Screening	1.00 hours/case	4.6 hours/case
Notification and Followup	1.50 hours/case	1.0 hours/case*
Supervision	12.50 hours/case	27.0 hours/case

Sources: John Galvin, et.al., Instead of Jails, Vol. 5 (Law Enforcement Assistance Administration: Washington, D.C. 1977), pp. 34-39. Susan Weisberg, Pretrial Programs (LEAA: Washington, D.C., 1978), pp. 59-62, 102-105.

*Weighted mean of two service levels for pretrial releases other than divertees.

Figure 2-7 Procedural and Activities Costs for Criminal Justice Functions
in a Primarily Urban County

Activity/Procedure	Number of Clients	Resource(s)	Resource Time	Resource Cost/Unit	Average Costs/ Accused	Total Costs, All Clients
Citation						
A. Field	620 ^a	Patrol	15 min. ^b	\$0.21/min. ^c	\$3.15	\$1,953
B. Stationhouse	620 ^a	Patrol	30 min. ^d	0.21/min. ^c	6.30	3,906
Bookings	10,122	Patrol	75 min. ^d	0.21/min. ^c	15.75	159,422
Non-Release Justification (part of Booking)	953 ^e	Patrol	10 min. ^d	0.21/min. ^c	(2.10)	(2,001)
Detention	2,807	Patrol	7.5 min. ^d	0.21/min. ^c	1.58	4,435
		Detention	6 hours ^f	23.51/day ^g	5.88	16,505
					(7.46)	\$20,940
Location and Prosecution of Persons Failing to Appear (first failure notification)	138 ^h	Patrol	30 min. ^d	0.21/min. ^c	6.30	869
Location and Prosecution of Persons Failing to Appear (second failure-willful)	48 ⁱ	Patrol	13 min. ^d	0.21/min. ^c	2.73	131
		District Magistrate	.5 hr. ^d	29.24/hr. ^j	14.62	702
		Prosecutor	.5 hr. ^d	22.19/hr. ^j	11.10	533
		Public Defender	.5 hr. ^d	26.17/hr. ^j	13.09	628
					(41.54)	\$1,994

Note: Some recent findings (Martin Sorin, et al., "The Outcomes of Pretrial Release: Preliminary Findings of the Phase II National Evaluation" Pretrial Services Annual Journal (Washington, D.C.: Pretrial Services Resource Center, 1979) illustrate releasees over a sample of 1,410 persons arrested. A total of 61% were nonfinancial releasees (high - 76%, low - 35%); financial 25% (high - 45%, low - 18%) and an average of 14% were detained (20% - 10%). But two-thirds of these could not make bail. FTA rate = 14% (first appearance).

^aIt is assumed that the citation population might conservatively be estimated at equally distributed between stationhouse and field.

^bEstimate for purposes here only; half of time spent transporting accused to stationhouse.

^cLoaded patrol cost; includes patrol salary, fringe and support costs. Based on adjusting average 1974 cost (\$10.40/hour) to 1978, using GNP implicit price deflator. A lower bound estimate: deflating 1974 data independently (using salary and GNP deflator or deflating 1977 average entry-level patrol salary) and adding other costs yields higher hourly costs.

^dSee Alternatives to Arrest. No new data were available to justify changing any procedural times. Isolated or case data exist but no national work has been done.

^eA conservative estimate, based only on the residual citation-eligible population not released (from Figure 2-6)

^fStandard 4.5 (Corrections, p. 123) recommends maximum detention of 6 hours.

^gIncludes 1978 custody costs plus allowances for providing legal, grievance, educational and training services as recommended by the Standards (see elsewhere in this report). An allowance for capital charges would raise this figure to \$33.73/day. Intake costs may add another \$20-25 per day (Cincinnati Institute of Justice: Cincinnati Central Detention Facility), suggesting an upper bound of nearly \$60 per detention.

^hEstimated at 11.1% of Citation Population. See text and Alternatives to Arrest. The above study had a first FTA rate of 14% but virtually no second FTA's. No FTA difference between financial and non-financial releasees was observed.

ⁱEstimated at 3.9% of Citation Population. See text and Alternatives to Arrest.

^j1974 estimate (see Alternatives to Arrest) adjusted to 1978 using GNP implicit deflator. Original data were from Allegheny County with supporting materials reviewed for the report.

Both estimates for Second Screening¹⁵ are based on operating experience: the Pretrial figures were derived from a report covering nine months of the Vera Institute of Justice Pretrial Services Agency; Instead of Jails estimates are from interviews with line workers and supervisors. Almost five hours per case does not seem excessive, however, when compared to time estimated for short and long form presentence investigations (4.5 and 7.5, respectively) in a sample of 14 probation departments. On the other hand, 27 hours per supervision case over a 3-month period would be much more than found even for intensive cases in the same probation departments. In the absence of other data, it will be assumed that these differences offset each other and the original workunit values used in Pretrial Programs will be retained.

Revised Estimates

In 1977, an estimated 10.2 million persons were arrested. Of these, 19.3 percent or 1.9 million were eligible for citation. The actual released population is estimated at 55%, to which stationhouse and field citation are equally used (540,829 in each group). Of this released population, 120,064, or 11.1 percent, fail to appear (FTA) in court when first scheduled; a subsequent 3.9% of releasees (42,185) are estimated to miss a second court appearance. The not-released population (884,993) is booked and detained to first court appearance. Appendix B7 illustrates these flow rates and the estimated criminal justice system resources and expenditures associated with various activities. For example, stationhouse citation costs \$3.4 million annually and is twice as expensive.

Figures 2-6 and 2-7 illustrate annual flows and criminal justice system expenditures for a "typical," primarily urban county. These costs have two components: resource time and resource prices. The resource prices represent a "nationwide" average, using published salary figures and inflated by standard method. The resource times are more variable and should be regarded as benchmarks for comparative purposes. For example, a particular jurisdiction may spend more or less time on an activity, such as field or stationhouse citation, booking or arraignment. More important is the fact that field citation will take less time than stationhouse citation or booking. The information presented here is designed to indicate a suggested time and dollar magnitude of different kinds of decisions. More research is needed on work-unit values, case flows, etc., in order to more correctly estimate the costs of alternative activities and perhaps to redirect resources into less costly alternatives.

Diversion Model Budgets for employment and drug projects are presented in Appendix B-6 for both Implicit and Item Index methods of deflating to 1978 dollars. As described earlier, the original drug diversion data is at variance with later expenditure reports from similarly structured projects. The unexplained difference may be as much as 48 or as low as 27 percent; in either case, it is substantial. Therefore, the updated estimates from Pretrial Diversion for drug programs presented below have been reduced by 35 percent and the mean of the high and low estimates was used.

Figure 2-6 Flow Rates of Arrested Population
for a Primarily Urban County

Arrests (actual)	11,362
Eligible for Citation ^a	2,193
19.3%	
Citation (actual)	1,240
• As a percent of eligibles ^b	56.5%
• As a percentage of arrests ^c	10.9%
Bookings (actual)	10,122
Pretrial Releasees (actual)	5,168
Detained (actual)	2,807
FTA ₁ (11.1%) ^d	138
FTA ₂ (3.9%) ^e	48

^aBased on .25 X (Part II Misdemeanants ÷ Total Arrests); this calculation was based on District of Columbia data and used in Alternatives to Arrest.

^bThis figure is consistent with 1974 data provided by John Galvin, Director - Alternatives to Jail Incarceration Project, American Justice Institute, Sacramento, CA; Alternatives to Arrest assumed a 55% release rate.

^cGalvin also found an average release rate (of all arrests) of 12%.

^dfrom Alternatives to Arrest; first FTA rates were averages of Oakland, New Haven and New York. Recent data from New York City, indicate an FTA rate of 35% on 50,000 Desk Appearance Tickets issued in 1978 (New York Times 4/8/79); five Oregon counties had FTA rates of 2.2% to 10.6% on ROR participants ("Research Brief: County Data on Failure to Appear in Court under Oregon's Pretrial Release Program" Legislative Research, (Salem, Oregon, 1977). A 4.4% ROR/FTA rate was reported for FY 1978 by Kentucky Pretrial Services Agency (Second Annual Report), 1978.

^efrom Alternatives to Arrest; average from Oakland, New Haven, New York City, and Washington, D.C.

Figure 2-8. Summary of Pretrial Diversion Costs
(1978 Dollars, Implicit Index)

Per Client Costs	Employment	Drug
• Annual Capacity	\$1,285 (n=260)	\$1,305 (n=250)
• Annual Clients Served	1,321 (n=250)	652 (n=500)
• "Successfully" Terminated Client (200)*	1,658 (n=200)	932 (n=350)

*"Successes" are those against whom charges are dropped following program completion.

A design capacity of 65 for employment diversion at any one time is assumed, and 250 for drug diversion; the length of stay is 90 days and 180 days, respectively. Therefore, mean costs of a client "slot" are \$1,285 and \$1,305, even though unit costs of clients served differ substantially.

Pretrial Programs presents two Model Budgets for a pretrial services agency operating in an urban county of approximately 300,000. Its principal functions are screening, notification, limited needs assessment, and monitoring of both releasees and programs to which they might be referred. (See Figure 2-1 for an organizational configuration.) One model uses part-time students and volunteers as a means of reducing costs (primarily due to lower fringe benefits and longer net work year). The Model presented here uses only full time employees. The fourteen agencies supplying data for the estimates were selected because they were prototypical of some part of the standards recommended in Corrections, i.e., two or more pretrial activities, integrated functions such as release and diversion screening, etc..

Figure 2-9 shows how staff needs were determined, given a hypothetical case flow, estimated workunit time and staffing ratios. Salary figures are from a survey of 50 states covering positions and related qualifications similar to those found in a pretrial agency. "High average" estimates refer to the mean values of budget items (e.g., salaries) falling above the median of a distribution (social worker salaries in state government). The results from Implicit and Item Indexes used to adjust the estimates to 1978 dollars were different by 2.7 percent for the low average estimates and 5.0 percent for the high average; the implicit deflator producing larger increases over 1974.

Figure 2-9 Staffing Requirements for a Pretrial
Services Agency in an Urban County
(Population: 300,000)

Annual Pretrial Case Flow	Work Units per Line Staff Year	Line Staff Required
11362 Arrests		
1240 Citations		
10122 Bookings		
506 "En Route"		
9616 Post-Arrest Screenings	2212	4.3
2941 Public Inebriates (Referred to Services)		
3868 Immediate Pretrial Release		
(300) Referred to Services		
2394 Pretrial Release Review/Screenings or Related Reviews	1604	1.5
1300 Released as Consequences		
5168 Total Pretrial Releases		
(475) Monitoring (Divertees)	1696	.3
(4293) Notification and Follow-up	1148	3.7
(300) Low Supervision	167	1.8
(100) High Supervision	83	1.2
		12.8
* * *		
Line Staff Required:	12.8	
Line/Supervisory Ratio: 4:1		
Supervisory Staff Required:	3.2	
Administrative Staff:		
Director	1.0	
Deputy Director	1.0	
Total Non-Support Staff:	18.0	
Non-Support/Support Staff Ratio: 2.8:1		
Support Staff Required:	6.4	
TOTAL STAFF REQUIRED:	24.4	

Source: Case flow data only are from John Galvin, et. al., Instead of Jails, (LEAA: Washington, D.C., 1977), p. 35 and are based on a "typical" county of 300,000. See Appendix B-1, Pretrial Programs Sample Description for an explanation of other sources.

Figure 2-10 Comparison of Results Using Implicit and Item Indexes (1978 dollars)

	<u>Implicit Index</u>	<u>Item Index</u>	<u>Difference</u>
High Average	\$505,375	\$481,420	\$23,955
Low Average	388,650	378,360	10,290
Difference	116,725	103,060	NA

(Detailed budgets are presented in Appendix B-7)

Perhaps more interesting is distribution of total budgets across functions and the estimated cost for each defendant. The data in Figure 2-11 were calculated using the mean of the high and low Implicit Index estimate and the caseload described earlier.

Figure 2-11 Distribution of Pretrial Services Agency Costs by Function (1978 dollars, Implicit Index)

<u>Function</u> <u>Function</u>	<u>Percent of Total Costs</u>	<u>Mean Cost per Defendant</u>
Post-Arrest Screening	30%	\$13.90
Review Screening	11%	20.50
Monitoring	2%	22.60
Notification and Followup	30%	31.20
Minimal Supervision	16%	244.40
Intensive Supervision	11%	487.20

Source: Susan Weisberg, Pretrial Programs (LEAA: Washington, D.C., 1978), p. 144.

Figure 2-12 presents a comparative index of pretrial release alternatives with the base (field citation) being that option which generates the least direct criminal justice system costs. (An index is used to prevent direct comparisons of dollar estimates based on data of varying quality.) The assumption underlying the cost estimates on which the index is based are described in Pretrial Programs and Alternatives to Arrest.

Figure 2-12 Index of Comparative Costs (Base = Field Citation)

<u>Alternative</u>	<u>Index</u>
Field Citation	1.00
Station House Citation	2.00
Public Inebriate Diversion	7.64
Own Recognizance	17.82
Conditional Release	
• Low Supervision	78.97
• High Supervision	227.83
Drug Diversion	309.23
Employment Diversion	399.03

Source: Susan Weisberg, Pretrial Programs (LEAA: Washington, D.C., 1978), p. 85.

This index gives an approximate comparison of the relative resource costs to the criminal justice system associated with the pretrial alternatives examined by the Standards and Goals project. For example, employment diversion requires about 30 percent more resources than drug diversion. (The latter has not been adjusted as described earlier in this chapter.) Release on own recognizance needs about twice as many as immediate public inebriate diversion because of the second screening that occurs. This is one method of ordinarily valuing broad policy choices, even when data limitations make precise or reliable estimates difficult.

Summary

This chapter presented the pretrial models recommended by the National Advisory Commission, estimated their costs in 1978 dollars and reviewed other research or statistics that might affect assumptions underlying all estimates. With one exception, the original assumptions about caseload, workunit values, resource costs, staffing ratios, etc. are still generally appropriate. The exception, — drug diversion — may be overstated by as much as 50 percent, but even later, more accurate information shows wide variation in mean expenditures among ostensibly similar projects.

FOOTNOTES

- ¹Corrections, p. 560.
- ²Ibid., p. 126.
- ³Ibid., p. 332.
- ⁴Ibid., p. 560.
- ⁵Ibid., p. 296.
- ⁶Robert O. Heck, Law Enforcement Specialist (Police), U.S. Department of Justice, LEAA (Patrol time).
- ⁷Cohen et. al., "Analysis of the Allegheny County Criminal Justice System: Present Operations and Alternative Programs," Carnegie-Melon University, School of Urban and Public Affairs (Allegheny County, Pennsylvania, 1974) (FTA notification); Smith, et. al., Police Traffic Responsibilities, Report prepared for the U.S. Department of Transportation (Gaithersburg, Md.: Management Research Division, International Association of Chiefs of Police, July, 1969) (Patrol time); Cohen et. al., "Implementation of the Jussim Model in a Criminal Justice Planning Agency," Journal of Research in Crime and Delinquency (July, 1973) (Judicial Resources and hourly costs).
- ⁸Cohen et. al., "Implementation of the Jussim Model in a Criminal Planning Agency."
- ⁹Municipal Yearbook (International City Management Association: Washington, D.C., 1978).
- ¹⁰See, for example, Donald Pryon et. al., "Pre-Trial Diversion Program in Monroe County, N.Y.: An Evaluation of Program Impact and Cost Effectiveness" and Mary A. Torborg et. al., "Pretrial Release: An Evaluation of Defendant Outcomes and Program Impact," Pretrial Services Annual Journal, 1978 (Washington, D.C., Pretrial Resource Center); and Ben-Ami Oded, "The Use of Desk Appearance Tickets in New York City" (New York Criminal Justice Agency Research Department, 1978.)
- ¹¹Part II crimes as defined by the FBI Uniform Crime Report include the following assault other than aggravated, arson, forgery and counterfeiting, fraud, embezzlement; buying, receiving or possessing stolen property; vandalism; carrying or possession of weapons; prostitution and commercialized vice; sex offenses (except forcible rape and prostitution), narcotic drug laws, gambling, offenses against family and children, driving under the influence, liquor laws, drunkenness, disorderly conduct, vagrancy, suspicion, curfew and loitering law violations and runaways.
- ¹²System Sciences, Inc., Evaluation of the Treatment Alternatives to Secret Crime Program Phase II, (LEAA, Washington, D.C., 1978). Hereafter, TASC Evaluation.
- ¹³Pretrial Diversion, pp. 35-36.
- ¹⁴TASC Evaluation, p. 97.
- ¹⁵called "Further Assessment, Limited and Extensive" by Galvin and "Pretrial Release Review/Screening or Other Released Reviews" by Weisberg.
- ¹⁶Community Supervision, p. A-13.
- ¹⁷Ibid., p. A-7.

Chapter 3. Community Supervision

Introduction

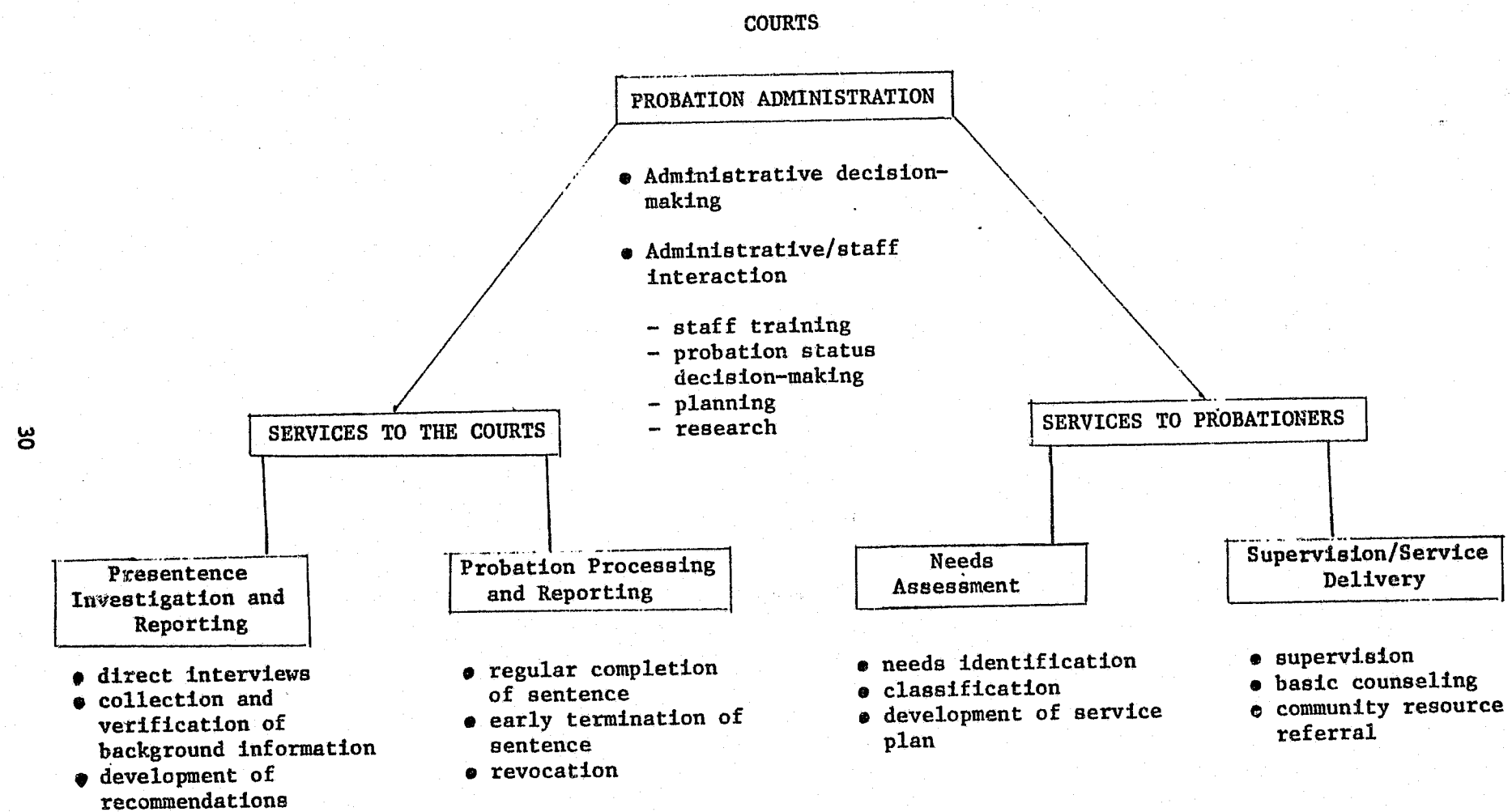
Thalheimer's Community Supervision examines the costs of three post-adjudication activities: probation, restitution and community service. When the Corrections report was written (1973) and the original research was conducted (1975), there was no systematic knowledge about restitution or community service and only slightly more operating experience. The Model Budget for such a program was derived almost entirely from workload and organizational data available from the Court Referral Program in Alameda County, California. However, since it appeared to be a developing area, one possible organizational configuration and budget allocation was provided. An evaluation of seven adult restitution projects now has been undertaken and two surveys of community service programs completed. Substantial amounts of descriptive data are available (particularly on restitution), but consistent, thorough information on program costs is still lacking. Unlike the restitution and community service areas, the Commission's recommendations on probation are wide-ranging and extensive. Standards affecting organizational structure, employee roles and probation processes would significantly alter the character of this form of community supervision.

The Corrections report recommended the creation of a state-supervised probation system whose organization structure separated units providing court services from those providing probationer services (See Figure 3-1).¹ A key requirement was that probation officers spend less time in one-to-one supervision and more in being a "community resource manager." This would mean organizing work around offender needs rather than caseloads, and a greater emphasis on purchasing services from other agencies. Standard 10.1, Organization of Probation, states:

Each State with locally or judicially administered probation should take action, in implementing Standard 16.4, Unifying Correctional Programs, to place probation organizationally in the executive branch of State Government. The State correctional agency should be given responsibility for:

1. Establishing statewide goals, policies, and priorities that can be translated into measurable objectives by those delivering services.
2. Program planning and development of innovative service strategies.
3. Staff development and training.
4. Planning for manpower needs and recruitment.
5. Collecting statistics, monitoring services, and conducting research and evaluation.
6. Offering consultation to courts, legislative bodies, and local executives.
7. Coordinating the activities of separate systems for delivery of services to the courts and to probationers until separate staffs to perform services to the courts are established within the courts system.

Figure 3-1. Service Structure of a Probation System



During the period when probation is being placed under direct State operation, the State correctional agency should be given authority to supervise local probation and to operate regional units in rural areas where population does not justify creation or continuation of local probation. In addition to the responsibilities previously listed, the State correctional agency should be given responsibility for:

1. Establishing standards relating to personnel, services to courts, services to probationers, and records to be maintained, including format of reports to courts, statistics, and fiscal controls.

2. Consultation to local probation agencies, including evaluation of services with recommendations for improvement; assisting local systems to develop uniform record and statistical reporting procedures conforming to State standards; and aiding in local staff development efforts.

3. Assistance in evaluating the number and types of staff needed in each jurisdiction.

4. Financial assistance through reimbursement or subsidy to those probation agencies meeting standards set forth in this chapter.

The organization of each local office was specified in Standard 10.2, Services to Probationers:

Each probation system should develop by 1975 a goal-oriented service delivery system that seeks to remove or reduce barriers confronting probationers. The needs of probationers should be identified, priorities established, and resources allocated based on established goals of the probation system. (See Standards 5.14 and 5.15 and the narrative of Chapter 16 for probation's services to the courts.)

1. Services provided directly should be limited to activities defined as belonging distinctly to probation. Other needed services should be procured from other agencies that have primary responsibility for them. It is essential that funds be provided for purchase of services.

2. The staff delivering services to probationers in urban areas should be separate and distinct from the staff delivering services to the courts, although they may be part of the same agency. The staff delivering services to probationers should be located in the communities where probationers live and in service centers with access to programs of allied human services.

3. The probation system should be organized to deliver to probationers a range of services by a range of staff. Various modules should be used for organizing staff and probationers into workloads or task groups, not caseloads. The modules should include staff teams related to groups of probationers and differentiated programs based on offender typologies.

4. The primary function of the probation officer should be that of community resource manager for probationers.

The Commission also recommended two types of process change that may have resource implications. Pre-sentence investigations are to be required for all felonies, all minors, and all sentences of confinement. (Standard 16.10). But, a short-form pre-sentence investigation is suggested for all cases where the possible disposition is less than five years incarceration (Standard 5.14). Another type of process change is the addition of alternatives such as restitution and community service.

Original Research

It was not possible to identify a department substantially in compliance with the standards described above; consequently, the estimation methodology involved identifying agencies that performed only one or more functions similar to those recommended by the Commission. Interviews and documents from these agencies were used to estimate time required for various tasks and functions, e.g., revocation processing, needs assessment, etc. These were translated into staffing patterns based on the hypothetical volume of cases (see below). The mean ratios of labor to non-labor costs (rent, utilities, supplies, etc.) found in the 14 departments were used to calculate non-personnel components of the Model Budget. (This is a variation on the Sample Budget method described in Appendix A-2.) Salary estimates for personnel, however, were derived from nationwide averages for comparable positions -- a variation on the Model Budget method described in Appendix A-2. Combining workload data and budget ratios from 14 probation departments and general labor costs, a hypothetical agency was created that met NAC standards. It was assumed that it operated in an urban county of 750,000 (500,000 in a metropolitan area), had 4,000 active cases, completed 400 presentence investigations, received 250 and closed 240 cases monthly.

As this methodological overview implies, the set of assumptions necessary to estimate costs of complying with probation standards is elaborate and intricate. However, the assumptions that have the greatest potential influence in the cost estimates are:

- Hourly estimates for specific functions;
- Salaries used in estimating personnel costs;
- Employee ratios.

There is no known agency that complied with NAC standards: state-operated, bifurcated organization, community resource management, and extensive use of presentence investigations; therefore, the credibility of the estimates hinge on the reasonableness of the above assumptions, not the representativeness of the sample.

No additional data were found to support or contradict the time estimates per case used for short-form presentence investigations (4.5 hours), long forms (7.5 hours), revocation processing (6.5 hours), needs assessment (4.5 hours), client supervision (.75 to 3 hours monthly depending on intensity).

The second assumption is supported by using a census of salaries actually paid similar positions by 50 states. The means of beginning

salaries in the top 50 percent (high average) and bottom 50 percent (low average) were used to provide a range of costs.

The employee ratios used were one supervisor for six officers and one support person for 2.5 employees. Based on data collected in 1976, this is consistent with probation and parole agencies. The comparable ratio (excluding the "other personnel" category) is one clerical employee for 2.49 administrative and direct service personnel. Differences in definitions made a comparison of supervisor/probation officer ratios impossible, but the ratio of probation officers to administrative plus clerical personnel was 1 to 1.9 in the Model Budget and 1 to 1.6 in the national survey.

New data permit some non-statistical comparisons between the sample and the population. In the figure that follows, only adult probation and parole agencies are included (except for the last two items), since they most closely approximate the type of department being analyzed.

Figure 3-2: Sample and Population Characteristics

Characteristic	Sample (n=14)	Population (n=1042)
Auspices		
• State	35.7%	72.9%
• County	50.0%	24.3%
• Municipal	14.3%	2.8%
Supervision Caseload:		
• Adult Probation	71	139 ^a
• Adult Probation and Parole	NA	68 ^a
Percent of Workload Attributed to Presentence	33%	21% ^b
Mean Number of Investigations (1975)	400	302

^a Includes only agencies that do not prepare presentence investigations.

^b Weighted average of all agencies with probation function (n=3,303) using midpoints of percentage ranges.

Source: Law Enforcement Assistance Administration, State and Local Probation and Parole Agencies. Data are for September 1, 1976.

The study sample is over representative of county agencies, but the impact of this bias on cost could be either upward or downward. The supervision caseload of 4,000 used for the Model Budget is substantially larger than the nationwide average for state (310), county (495) or municipal agencies (1430). However, the national survey counted "branch offices" as separate agencies and may have overstated the number of state-operated departments, and thereby, affected both of these measures. Other cost-related characteristics are reasonably comparable and generally support the values chosen for the model.

Revised Estimates

Caseload estimates for deriving the Model Budget were developed from data collected in 14 probation departments (Appendix C-1) and were adjusted for these agencies' departure from compliance with NAC standards. Minimum compliance is considered to be: PSI's for all felonies, PSI's for one-third of the misdemeanor cases; and, supervision of 70 percent of sentenced offenders not receiving fines or suspended sentences. The resultant caseload figures for an urban department located in a county of 700,000 is:

- 4000 active cases
- 250 new cases monthly
- 240 cases closed monthly
- 400 pre-sentence investigations monthly

Caseload per officer is estimated at 71, and from interviews in the sample agencies, approximately two-thirds of available probation officer time is allocated to supervision (client contact, third party contacts, terminations, etc.). This is consistent with national estimates of 21 percent devoted to presentence investigation, since time for other activities (training, meetings, sick leave, etc.) is deducted to produce net working hours per person annually. (Appendix A-6). Figure 3-3 summarizes the work unit values used in the estimates.

Figure 3-3
Work Unit Values for Estimating
Probation Officer Requirements

Presentence Investigation	
• short	4.5 per case
• long	7.5 per case
Needs Assessment	4.5 per case
Supervision*	
• minimum	.75 per case monthly
• medium (low service needs)	1.50 per case monthly
• medium (high service needs)	2.00 per case monthly
• maximum	3.00 per case monthly
Terminations	
• regular completion	.25 per case
• early completion	.40 per case
• revocation	6.5 per case

*"Supervision" levels are based on service needs, not risk levels.

Model Budgets were deflated to 1978 dollars using both Implicit and Item Indexes. The two methods produced differences of from 7 to 1.5 percent, but the direction (higher or lower) was not consistent. For example, the Implicit was always less on the average low estimates and both less and more on the average high. Since the higher estimates have been used throughout this report, the results of the Item Index method are presented below.

Figure 3-4
Summary of Model Budget
for Probation Department
(1978 Dollars, Item Index)

	Average High	Average Low
Administrative Division (8 staff)	\$177,600	\$132,800
Probation Services Division (98 staff)	\$1,801,800	\$1,472,000
Court Services Division (32 staff)	\$581,300	\$471,800
TOTAL	\$2,560,700	\$2,076,600
MEAN	\$2,318,700	

Appendix C-2 presents line item details of the Model Budgets as well as estimates for performing needs assessments, presentence investigation, and other functions listed in Figure 3-3 above.

Model Budgets were developed to reflect a hypothetical department complying with standards recommended in Corrections; therefore, the fourteen departments were reviewed because they exemplified one or more activities recommended by the standards, not because they were representative of all probation departments. The methodology illustrated here, however, is applicable to all situations where economic information is needed for policy decisions regarding alternatives that depart significantly from past practices. In the case of correctional standards, the broadest choices have been various forms of community supervision and various degrees of residential confinement -- from halfway houses to maximum security institutions.

FOOTNOTES

¹This is an "interim" organization. When fully implemented the standards would create in the judiciary an intake service unit for all court services (release servicing and presentence information) and a client services agency in the state's executive branch. See discussion in chapter 2, "Pretrial Programs."

²U.S. Civil Service Commission, State Salary Survey, 1978 (Government Printing Office: Washington, D.C., 1978).

Chapter 4. Halfway Houses

Introduction

Halfway houses for felony offenders have existed in some form since the late years of the last century, but the Commission placed this correctional alternative at the center of its community programs. First, the halfway house was envisioned as a sentencing alternative (Standard 5.2, Sentencing the Non-dangerous Offender):

Criteria should be established for sentencing offenders. Such criteria should include:

1. A requirement that the least drastic sentencing alternative be imposed that is consistent with public safety. The court should impose the first of the following alternatives that will reasonably protect the public safety:
 - a. Unconditional release.
 - b. Conditional release.
 - c. A fine.
 - d. Release under supervision.
 - e. Sentence to a halfway house or other residential facility located in the community.
 - f. Sentence to partial confinement with liberty to work or participate in training or education during all but leisure time.
 - g. Total confinement in a correctional facility.

Residential centers, also, were considered a resource for persons in pre-trial, probation, and other community supervision programs. It might provide housing and food for the defendant released on recognizance. The probationer might attend weekly group sessions at the house. Finally, the traditional role of graduated release was integrated into the Commission's overall concept that "...community correctional programs embrace any activity in the community directly addressed to the offender and aimed at helping him to become a law-abiding citizen."¹

To carry out these three roles, the Report states that community corrections clients at least should have access to the same services offered in institutions but provided through community resources. Minimum services include:

- (1) A comprehensive continuous education program, and
- (2) Pre-vocational and vocational training programs to enhance the offender's marketable skills, which should be part of a reintegrative continuum including determination of needs, establishment of program objectives, vocational training, and assimilation into the job market.²

These service specifications and the Report's general rejection of the treatment or medical model of corrections suggest a halfway house that emphasizes basic, life support activities on a temporary basis -- housing, food, financial aid, job skills and employment placement. This is distinctly different from drug treatment, mental health or other community residential programs that directly provide and tend to give priority to psychological and medical services over an extended period.

Original Research

Halfway Houses analyzes employment-oriented residential programs based on a sample of 30 houses that substantially met the Commission's standards. (See the Appendix for a description of the sample.) The "law abiding citizen" goal stated by the Commission was also common to each halfway house; however, related subgoals included:

- Develop attributes necessary for employment;
- Employment placement;
- Reduce confinement levels and costs.

Beyond these essential features of the NAC Model, the sample included public and private auspices, single- and multi-center operations, male and female offenders, persons in pre-release and probation status, and referrals from one agency and from many. They were intended to be "representative" in terms of size, auspices, services, location, etc. Format and content of budget or expenditure data for these houses varied considerably, but all information was made comparable prior to analysis. For example, charges for capital usage were included (See Appendix A-5, Rental Equivalents); fringe benefits added where necessary; and overhead allocated in agencies with more than one house. The following assumptions were made in deriving sample budgets for houses meeting NAC standards:

- The sample is representative in terms of clients served, size, services offered, location and auspices;
- Halfway houses operate at 100 percent capacity;
- Differences in cost per diem are primarily a function of services offered.

Since the original research (1975), there have been three studies that included substantial amounts of data on community residential programs. One study by Ohio State University³ surveyed residential inmate aftercare in Ohio and nationwide; another⁴ used various samples of residential services for psychosocially disabled (drug addiction, mental health, alcohol treatment, etc.); finally, a nationwide survey and in-depth studies of private vendors in five metropolitan areas⁵ produced cost data on halfway houses serving principally criminal justice clients. Given the scope of these independent studies, there obviously is substantial overlap but they generally confirm a profile consistent with most assumptions used in Halfway Houses.

Figure 4-1. Comparison of Community Residential Samples^a

	Model n=30	Hawaii	OSU	Horizon House ^b
Mean Capacity	25	29 (n=65)	26 (n=153)	18/27 (n=61)
Mean Occupancy	NA	79% (n=63)	NA	77% (n=356)
Daily Costs (1978 dollars)	\$20.83	\$25.29 (n=55)	\$19.78 (n=24)	\$16.15/\$23.11 (n=61)
Mean Salary Proportion	70%	65% (n=23)	60% class (median)	NA

Sources: See Footnotes at end of Chapter.

^aNumbers in parentheses are sample sizes used in computing entries in this figure. Variation is due to missing cases and different sampling frames. Implicit GNP deflator used to adjust to 1978 dollars.

^bData for alcohol and drug treatment respectively.

The assumption of fully utilized capacity is not warranted and would require an upward adjustment in mean daily cost of the Halfway House sample to between \$26.00 and \$27.00, making it comparable to the Hawaii and adjusted Horizon House (\$20/\$31.00) samples. The personnel proportion of total budget is similar in three of the studies.

Evidence regarding the third assumption on cost determinants is mixed. In addition to number of services (operating through staffing levels), other variables affecting cost include auspices (subsidy effects), regional price differences, scale economies, and client group. Piasecki, for example, found that "...facilities reporting the highest cost per client day, the lowest number of residents per unit and the lowest occupancy rate (were) those operated by federal, state or local government."⁶ But, government programs provided more services, so it is unclear whether these higher costs are due to subsidy effects, scale (as measured by residents), under-utilization of capacity, or services. This study also found slight negative correlations between costs and beds or clients. In the Kassebaum study, ninety-four percent of the variation in total budget was explained by the amount of program support derived from government sources; but, no such subsidy effect clearly emerged to explain mean daily cost.

Appendix A-7 presents regional 1978 salary indexes of selected positions in state government; for social workers, employment counselors and similar jobs typically found in halfway houses the variation can be from 10 percent above to 15 percent below the national mean simply due to regional price variations. Within a city, however, the Seiter study sample of 18 Ohio halfway houses found that purchase prices (capital costs) were not a function of the socio-economic level of the neighborhood or its accessibility to jobs and transportation. Even though capital costs are a small proportion of community centers' total budgets, this Ohio study may indicate little variation in costs within a narrowly defined, geographic area. This seems reasonable, since labor markets are area-wide and personnel are the largest cost component. The Horizon House survey found that costs increased as one moved to more rural settings,⁸ but no attempt was made to control for larger regions (northwest, south, etc.); therefore, the differences may be due to disproportionate sampling of rural areas in higher cost regions.

Finally, the Piasecki research suggests⁹ that a measure of service delivery more complex than simply number of services is required to explain cost variation. A measure of "intensity" of care is suggested that uses number of services, professional staff proportion as a proxy quality measure, and living arrangement support that ranges from none to total care. This measure, when differentiated by disability (alcoholics, drug abusers, mentally ill) and age (adult, juvenile), produces the results shown in Figure 4-2.

Subsequent research has not produced conclusive results on the determinants of halfway house costs. There are discernible regional variations in cost, but they do not seem to occur within a metropolitan area. Scale economies or diseconomies are confounded by the fact that larger programs tend to be government-operated or more heavily government funded and, therefore, the differences may be accounted for by subsidy effects. Given the conflicting evidence, the assumption of services affecting costs was retained for the updated sample budgets described in the next section.

Revised Estimates

Halfway Houses describe sample budgets for residential centers offering three different service levels. The lowest budgeted house only provides "basic in-house" services which consist principally of lodging, food, group counseling and employment assistance. These services are typical of a house whose residents are primarily work releasees with no serious drug dependency. Consistent with the Corrections model, the second house also provides to clients more services from other social services agencies. "Community resource referral" might include education, training, specialized groups, etc., and, therefore, would represent a cost to supplies. Finally, a "comprehensive in-house services" model, while not recommended, is presented for comparison purposes. This halfway house includes more counselors and a parttime psychologist/evaluator. Service levels operating through personnel are the principal source of cost variation among these three models.

In Appendix D, two sample budgets are presented for each type of half-way: one presents estimates in 1978 dollars (updated from 1974) that were calculated using the GNP implicit price deflator for purchases by state and local governments; the second used a variety of published and specially constructed indexes for each budget line item as a way of cross checking the reliability of the less precise implicit deflator (See Appendix A-4). The variation between the two estimation methods ranged from 5.9 to 3.1 percent, small enough to warrant using results from only the implicit index in the figure below.

Figure 4-3. Summary of Halfway House Per Diem Costs
(1978 dollars, Implicit Index)

Service Level	High Average	Low Average
Basic	\$27.50	\$17.20
Basic plus Referral Services	30.40	19.40
Comprehensive Services	36.60	23.70

The proportion of costs allocated to personnel will be larger for "low" estimates (72-79 percent), due to fixed costs -- rent, communications, maintenance, food, etc.

It should be emphasized that these estimates are only direct expenditures by the criminal justice system (See Appendix A-1), and, thereby, exclude costs of services provided by others, including the client. If length of stay data were available, it would be possible to provide a cost information that reflected program efficiencies (assuming equal effectiveness). For example, per diem rates for one house may be 25 percent lower than another but the mean length of stay is twice as long, so the net cost is 50 percent larger. External costs, client turnover, as well as service levels, need to be examined when making comparisons between and among correctional alternatives.

Figure 4 - 2.
Mean Per Diem Costs by Disability
Group and Intensiveness of Services
(1978 dollars)

	<u>Mentally Ill</u>			<u>Substance Abusers</u>	
	ADULTS	JUVENILES	AGED	ALCOHOLICS	DRUG ABUSERS
<u>LEAST INTENSIVE</u>					
Apartment Program	\$ 3.66 (14)	---	\$ 3.33 (2)	-----	-----
<u>MODERATELY INTENSIVE</u>					
Foster/ Boarding	\$ 7.85 (1494)	\$ 5.58 (400)	\$ 7.86 (1494)	\$11.12 (75)	\$11.12 (75)
Group Home	\$22.27 (159)	\$37.57 (5)	-----	-----	-----
Halfway House	\$22.06 (18)	\$32.24 (11)	-----	\$16.12 (21)	\$23.14 (11)
<u>MOST INTENSIVE</u>					
Nursing Homes	\$24.49 (NA)	---	\$19.44 (1908)	\$24.49 (NA)	\$25.31 (NA)

Source: Piasecki, op. cit., p. 12. Implicit deflator used to put all costs in 1978 dollars.

FOOTNOTES

¹Corrections, p. 222.

²Ibid., pp. 368-369.

³Richard Seiter, Joan Petersilia and Harry Allen, Evaluation of Adult Halfway Houses in Ohio, Volumes I and II (Ohio State University: Columbus, 1974); hereafter Ohio Study. Richard Seiter, Eric Carlson, Helen Bowman, James Grandfield and Nancy Beran, Residential Inmate Aftercare: The State of the Art, "Supplement B, Survey of Residential Inmate Aftercare Facilities," (Ohio State University: Columbus, 1976).

⁴Joseph Piasecki, Jane Pittinger and Irvin Ruttman, Determining the Costs of Community Residential Services for the Psychologically Disabled. (Department of Health, Education and Welfare, Alcohol, Drug Abuse and Mental Health Administration: Washington, D.C., 1974.); hereafter Horizon House.

⁵Gene Kassebaum, Joseph Seldin, Billy Wayson and Gail Funke, Contracting for Correctional Treatment Services, Vol. I (Law Enforcement Assistance Administration: Washington, D.C., 1978). Hereafter, Hawaii.

⁶Horizon House, p. 32.

⁷Ohio Study, p. 167.

⁸Horizon House, p. .

⁹Ibid., p. 12.=

Chapter 5. Institutional Programs and Parole

Introduction

Institutional-Based Programs and Parole by Singer and Wright combined standards on local and major institutions, parole, offenders' rights, pretrial procedures, system-wide administration, employment, and research.

Part One: "Management of Offenders" addresses Task Force recommendations that deal with physical environment, staffing and service levels. "New and Expanded Programs" focuses on existing and proposed programs; education, training and library services, prison work experiences; and extra-institutional activities. The final section, "Rights of Offenders" includes legal system access, institutional grievance and disciplinary procedures, and the rights of parolees.

The resources and cost estimates were developed around a "model" institution, conforming completely with the standards. While actual expenditure data are used (e.g., for current operating costs), they are not necessarily reflective of an institution meeting the standards. New capital data are used to indicate the magnitude of construction costs and the relative prices of differing security levels.

The key elements in this chapter are:

- "Model" 1967 Task Force staffing for custody and support
- Annual capital charges for institutions
- Annual parole costs for qualified officers and boards
- Model educational and vocational programs with maximum inmate participation
- Distribution of the inmate population into meaningful work activities
- Maximum and minimum inmate wages
- Prison industries reflecting private sector production criteria
- Releasee programs and stipends
- Legal and grievance services

Each of these elements is evaluated in terms of potential recommended participation and estimated costs, per inmate and nationwide.

Original Research

The original report drew on a combination of data sources: published national criminal justice system data, such as Expenditure and Employment Data for the Criminal Justice System, National Jail Census, 1970, The Nation's Jails, Survey of Inmates of Local Jails; selected state and local information, e.g., plans and programs from California, Maryland, Minnesota, Ohio, etc. These data were used as proxies when nationwide data were unavailable or to reinforce a particular estimate. Other, more general references, such as The New Red Barn, (Nagel); Jails: The Ultimate Ghetto of the Criminal Justice (Goldfarb), Scale Economies and other Economic Concepts (Block) and Local Jails (Wayson & Funke) were used to provide background information and set the tone of the analysis. Finally, numerous Department of Labor, Department of Commerce and Census and other general references were used to derive salary and other cost information, deflate or inflate costs to 1974 dollars, estimate participation rates, calculate fringe benefits and derive "loaded" cost figures. The Appendix provides greater detail on sources and estimates.

The key assumptions and related research by major section include:

Management of Offenders -- Nineteen institutions and jails nationwide which were recently built or under construction served as the basis for the capital cost estimates. These estimates were reinforced with data from other studies (Local Jails) or organizations (National Clearinghouse for Criminal Justice Planning and Architecture) where appropriate. It was not possible to survey these institutions for total compliance with NAC standards; rather the attempt is to give an accurate, general cost for new construction.

Capital stock refers to structure and equipment which are consumed over time. It is inappropriate to charge off entire capital purchases in any one year. Instead an annual charge representing some fraction of the item's useful lifetime is used. The costs of financing new construction were estimated at 10% annually, based on interest rates of 7-9% and an allowance for amortization and uncertainty. Thus, the total costs of a \$10 million institution over 30 years would approach \$30 million.

Another major assumption was that for a "mixed institution" (one-third low security, two-thirds high security) the average costs of construction are constant. There are some new data from Washington state which begin to raise questions about this last assumption, (vide., Local Jails). Some recent state construction data from California (see text) suggest some economies of scale across 200, 400 and 600 bed institutions. These data also suggest some staffing economies as institutional size increases. Since widespread data were unavailable, this information has not been incorporated into the revised estimates.

Custodial and support service costs were estimated at .875 of total staff payroll for state institutions and .90 for jails. Parttime personnel

were considered halftime for purposes of the calculations. New jail data support this estimate; no comparable data were available for state institutions.

Another set of assumptions involve the opportunity costs of incarceration. Estimates for foregone inmate income were derived, weighted by likely skill level and expected unemployment. It was assumed that 10 percent (rather than 25) represents the proportion of the inmate population necessary to perform institutional maintenance. Other opportunity costs, such as increased welfare payments to inmates' families, lost tax revenue, ex-offender employment discrimination and family disruption, merit discussion but are not calculable with today's data. The same is true for external costs incurred by agencies outside the criminal justice system, for such services as medical care, recreation, education, counseling, etc..

New and Expanded Programs -- Educational Programs were based on optimum participation rates of 25 percent in secondary programs and 10 percent in post-secondary programs. Vocational training participation was estimated at 15 percent for institutions and .0375 for jails, reflecting different types of population. New data on educational and training participation and costs were scanty; only post-secondary costs were changed by methods other than inflation. The same was true for library costs.

The section on work experience addressed the reform of prison industries, including payment of prevailing wages and adequate capitalization. The applicable capital-labor ratio was estimated at 3/1 and is retained. Capital stock was estimated then and now by using potential inmate productivity (see Chapter 1) as an estimate for labor. It is still assumed that the potential inmate participation in (meaningful) prison industries is 65 percent.

Prevailing wages may be estimated as falling between the potential productivity per inmate and the Federal minimum wage. Payment to institutional maintenance workers of at least the minimum wage would more accurately reflect the actual costs of services performed. The actual number of inmates so engaged was estimated at no more than 10 percent of the population of institutions and jails.

Released offenders may participate in work or educational release. It was assumed that the marginal costs of providing work release programs can be completely recovered. Again, data were and are scarce for expenditures, and participation rates, while not exhaustive, indicate low utilization of this alternative.

Rights of Offenders -- Inmate and parolee rights are difficult to value in monetary terms. Estimated costs for legal and grievance programs were derived by observing selected state expenditures and checking for reliability with such organizations as the American Bar Association. Group and pre-paid legal plans also lent credence. These estimates must be adjusted by institutions to reflect their own practices and inmate usage.

Parolee rights were found to be enhanced by increasing annual grant hearings and improving the resources available for revocation hearings. Estimated costs for implementing court decisions regarding this latter procedure were used to derive general estimates.

Revised Estimates

Population statistics are the latest available. Unlike cost figures, it is not possible to "inflate" populations to present-year figures. The latest incarcerated population statistics are those collected (but not yet published) by the Bureau of the Census. On December 31, 1977, prisoners in State Institutions totalled 261,405. This number has been adjusted to 250,949 to reflect only adult inmates. The latest jail population figure is 157,570 as of February 28, 1978.

Expenditure data for operating costs of state and local institutions was available for 1978. Since they were not disaggregated, adjustments have been made to reflect nonjuvenile custody, support and other operating costs. These are noted in the text as relevant.

Absent new studies or data of the type used to derive the original estimates, costs were inflated to 1978 dollars. State and local costs were inflated either by using State Salary Survey information or the implicit price deflator for purchases of state and local governments. Wages were inflated with the GNP implicit price deflator (a more moderate approach than using the Consumer Price Index).

Items that were thus inflated include: secondary education and vocation program costs; legal and grievance costs; reported inmate earnings (partial) for earlier years; parole and parolee costs; library services.

Data that were limited but suggestive are included in the text, e.g., stipends for releasees; and, new cost data, e.g., post-secondary education, minimum wage, recalculated value of potential inmate productivity are incorporated fully in the estimates. Actual program participation data are noted when available but do not affect the "Model" rates developed for the project.

Costs of Custodial Facilities -- The Standards in the Corrections Report relating to Institutional Design include the following:

- 2.5: Healthful Surroundings
- 4.2: Construction Policy for Pretrial Detention Facilities
- 8.3: Juvenile Detention Center Planning
- 9.1: Total System Planning
- 9.10: Local Facility Evaluation and Planning
- 11.1 Planning New Correctional Institutions

- 11.2: Modification of Existing Institutions
- 11.3: Social Environment of Institutions

Summary construction cost data on nineteen planned or built institutions (in 1978 dollars) are presented below. The per bed averages range from \$50,677 to \$37,331, depending on security mix.

Figure 5-1

Summary Data on Construction Cost per Bed, by Type of Institution, for a Sample of Nineteen Recently Constructed or Planned Institutions (1978 Dollars)^a

Type of Institution	Number of Institutions in Sample	Per Bed Construction Cost			
		Current Dollars			Average in 1978 Dollars
		High	Medium	Low	
High-Security Institution	8	\$66,745	\$27,785	\$47,982	\$50,677
Mixed-Security Institution	6	42,323	26,425	36,817	38,885
Jail	5	57,124	14,551	31,987	37,331

^aData inflated to 1978 dollars with 1978 Price Deflator for non-residential structures.

Some additional recent data from the State of California, for mixed institutions of varying sizes, were available for this report.¹

Population	200	400	600
Square Footage/bed	670	520	475
Total Cost	\$59,523	\$44,713	\$40,676

Average: \$48,304

Regional and other considerations will cause variation in any estimates presented here. In addition, it should not be assumed that even these substantial construction costs guarantee a structure that is in total compliance with the recommendations of the standards.

The true cost of any of these institutions is the sum of construction plus financing charges over the building's useful lifetime. Figure 5-2 displays such charges on an annualized basis using a ten percent cost of capital. These estimates represent an "operating" cost of capital and should be in annual operating costs of the institution.

Figure 5-2

Estimated Annual Capital Cost
Per Bed, By Type of Institution
(1978 Dollars)

Type of Institution	Annual Cost in 1978 Dollars
High Security Institution	\$5,068
Mixed Security Institution	\$3,888
Low Security Institution	\$1,179
Jail	\$3,733

^aBed cost for Low Security Institution (11,792) estimated at difference between high-security (\$50,677) and mixed security (38,885).

Jail functions differ somewhat, at least in degree, from those of an institution holding a longer-term, sentenced-only population. Because of the advanced age of many of the nation's jails, new construction estimates for jail functions may be of more use. Figure 5-3 suggests some costs for these functions.

Figure 5-3

Jail Functions and Estimated Capital Costs
Per Bed (1978 Dollars)*

Intake services, classification, and pretrial detention	\$31,743
Incarceration (Primarily but not solely misdemeanor)	\$26,963
Pre- and partial-release dormitory	\$26,194
All functions	\$27,909

*Estimates derived from:

National Clearinghouse for Criminal and Design Institute, Rhode Island Pre-Design (Champaign, Illinois: Planning and Design Institute, 1974). 1978 figures derived using Bureau of Economic Analysis: Implicit Price Deflator for Nonresidential Structures.

Even for major state institutions, however, their age, size and high renovation costs may suggest substantial new construction. The original report suggested that locating in a community setting (as recommended by the Standards) might enable use of existing structures, thus defraying some construction costs; in addition, it pointed out that "the cost of replacing outmoded institutions with new ones should be roughly the same, whether the new facility is a contemporary duplicate of the (large, highly secure, impersonal and even dehumanizing) original or a departure from traditional design along the lines recommended by the Corrections Task Force."²

Operating Costs for Custodial and Support Services

This section concerns itself with staffing for custody and basic support services; "treatment" or program services and costs are addressed later. Related Standards include 2.6 (Medical Care), 9.6 (Jail Staffing), 11.3 (Social Environment-Major Institutions), 14.1 (Recruitment) and 14.11 (Staff Development).

Estimated operating costs per inmate year (1978 dollars) are \$6,166 for state nonjuvenile institutions and \$6,645 for jails. Figure 5-4 provides summary detail. (See Appendix for general methodology and actual numbers used in calculating operational costs.)

Figure 5-4

Estimated Average Operating Cost for Custodial
and Support Services Provided by Correctional
Institutions (1978 Dollars)

Type of Average Cost	Type of Institution	
	State Nonjuvenile	Local Nonjuvenile
Wages and Salaries	\$4,138	\$4,514
Fringe Benefits	786	857
Other Operating Costs	1,242	1,273
Average Cost per Inmate Year	\$6,166	\$6,645

Since 1972, state and local correctional expenditures approximately doubled; but state inmates increased by 44 percent, while local inmates only increased by 11 percent.

These and subsequent estimates are based on expenditure data from Expenditure and Employment Data for the Criminal Justice System 1977 - Advance Report (U.S. Department of Commerce, Bureau of the Census). Expenditure (payroll) were inflated to 1978 dollars using State Salary

Survey 1978 (U.S. Civil Service Commission, Washington, D.C.). For state institutions and jails, the proportion of payroll associated with non-juvenile institutions was estimated at 56%, following prior patterns. State prison populations are taken from Prisoners in State and Federal Institutions on December 31, 1977 (U.S. Department of Justice, April, 1979). Since the report did not specify juvenile institutional population; an estimate of .96 (which reflected the proportion of adult to juvenile inmates in recent years) was used to arrive at 250,949 adults. The jail data (1978 Jail Census Preliminary Figures, Bureau of the Census) did not include local juvenile institutions. Population on February 28, 1978 was 157,570. Due to the proximity of the survey dates, the populations basically represent 1978 figures.

Staffing information for "model" state institutions is presented below. New jail data on kinds of personnel and inmate staff ratios are presented in Figure 5-6.

Figure 5-5

Estimated Wage/Salary Expenditures in 1978 Dollars for a National System of "Model" State Institutions Following 1967 Task Force Guidelines^a

Type of Staff	Number	Ratio of Inmates/Staff	Estimated Average Annual Wage/Salary	Total Wages/Salaries (thousands)
Custodial Personnel	41,823	6/1	\$11,329	\$473,813
Case Managers	1,673	150/1	12,145	20,219
Technicians and Service Personnel	5,019	50/1	12,539	62,933
Correctional Managers	6,971	36/1	12,974	90,442
All Custodial and Support Services	38,576	4.52/1	\$11,669	\$647,487

Figure 5-6

Number of Jail Employees and
Estimated Inmate/Staff Ratios, 1978^a

Type of Jail Employee	Number of Employees (FTE's)	Estimated Inmate/ Staff Ratio
All Employees	54,288	2.9
Administrative	6,306	24.99
Custodial	34,947	4.5
Clerical	8,069	19.53
Professional and Technical ^b	4,966	31.73

^aSource: (1978 National Jail Census Preliminary Figures), David Schaitberger, Social Science Analyst, Bureau of the Census.

^bIncludes social workers, medical doctors and nurses.

Figure 5-7 compares "model" institutional costs with existing state and local nonjuvenile institutions. Suggested costs are less than actual custody and support expenditures. This may indicate a redistribution of correctional services rather than massive budget increases.

Staffing Community-Based and "Mixed" Institutions

The Corrections report gives significance to serving clients in a community-based setting with a mix of high- and low-security settings. Figure 5-8 displays the staff and average operating costs for custodial and basic services in a "Halfway House" component of a community-based institution. The client costs are not significantly different from actual custodial and support services in existing state nonjuvenile institutions.

A "mixed" security institution, combining high- and low-security clients (two-thirds to one-third) results in an even lower client cost. Figure 5-9 displays these estimates.

Figure 5-7

Estimated Wage/Salary Expenditures and Operating Costs
for Custodial and Support Services Per Inmate Year (1978 Dollars)

Type of Institution	Expenditure			Total Operating Cost
	Wages/ Salaries	Fringe Benefits	Other Costs	
"Model" with 1967 Task Force Staffing	\$2,580 ^a	\$490 ^c	\$1,178 ^d	\$4,248
Existing Local Nonjuvenile ^b	\$4,514	\$857	\$1,273	\$6,645
Existing State Nonjuvenile ^b	\$4,138	\$786	\$1,242	\$6,166

^a Derived from Data in Figure 5-5.

^b See text for sources and rationale for all estimates for existing state and local institutions.

^c Estimated at 19 percent.

^d Estimated to be the same as existing state institutions after deducting \$64 for payments to inmates for institutional maintenance work and a per capita expense for offenders' rights activities (1978 dollars; GNP implicit price deflator).

Figure 5-8

Estimated Staff and Average Operating Costs for
Custodial and Basic Support Services in the Section
of a Community-Based Institution serving
Eighteen Residents as a "Halfway House" (1978 Dollars)

Type of Staff	Number	Ratio of Clients/Staff	Estimated Average Annual Wage/Salary	Total Wages/Salaries
Correctional Managers	2	9/1	\$15,764	\$31,528
Counselors	1.5	12/1	11,044	16,566
Technicians and Service Personnel	2	9/1	8,175	<u>16,350</u>
Total Wages and Salaries				\$64,444
Fringe Benefits (19%)				12,244
Other Operating Costs				<u>36,677</u>
Total Operating Costs				\$113,365
Estimated Average Cost per Client Year				\$ 6,298

Figure 5-9

Estimated Average Operating Costs for Custodial and Support Services
for a Community-Based Institution Serving Two-Thirds High-Security
and One-Third Low-Security Resident Clients

Type of Client	Estimated Average Operating Cost Per Client Year	Proportion of Institution Clients	Weighted Cost
High Security	\$4,248	.667	\$2,833
Low Security	\$6,298	.333	\$2,097
Weighted Estimated Average Operating Cost			<u>\$4,930</u>

The standards advocate 40 hours annual staff training with an additional 60 hours for first year staff. Most adult corrections agencies (97%) provide entry-level training; but it has been estimated that fewer than 10 percent of all officers receive in-service training each year.³ The average length of training was 107 hours at entry level and 62 hours in-service. Larger agencies tend to provide more training.⁴ Providing in-service training would add about three percent to staff requirements (60 hours ÷ 2,000 hours).

Parole Costs

The Standards recommend duty-relevant training for parole boards and compensation commensurate with the judiciary. In 1974 such compensation was estimated at \$33,000 annually; in 1978 it is \$41,500. This will vary by state or region but is consistent with prevailing judicial salaries nationwide.⁵ Average salary costs of a five-member board could raise total costs as high as \$500,000. Given the high cost of incarceration, however, there is much potential for averted costs through additional and more rapid parole. (It is presumed these outcomes result from increases in quantity and improved quality of board performance).

Parole officers may expect to earn \$10,656 to \$12,575; for Senior Parole officers the range is \$13,313 to \$16,017.⁶ Ex-offenders are still legally prohibited from serving in these or aide roles in eleven states. Nine states have administrative restrictions; 148 ex-offenders had positions as aides in 1974.⁷

Standards for parole supervision cite as a model the Work Unit Program of the California Department of Corrections; whereby different supervisory duties are accounted for by different numbers of work units. Regular supervision is counted as 3 work units per case. Since 120 work units per month are recommended, a target "regular" caseload would be 40.

As of December 31, 1977, the state total parole population was 144,143 persons. Using regular supervision with a target caseload of 40 as an example, 3,604 parole officers would be required at an average annual salary of \$11,358.⁹ An additional 600 supervising parole officers would be needed (to maintain an officer supervisor ratio of 6/1) at \$14,403 per annum.¹⁰ Parole officer salaries are \$40.9 million nationwide and supervisors' salaries are \$8.6 million. Exclusive of fringe benefits and other support costs, the salaries for servicing the parolee population are \$49.5 million. Allowing 19 percent for fringe benefits and a modest 22 percent for support services and other expenses suggests nationwide criminal justice system public expenditures of nearly \$70 million for parolee services. A greater proportion of intensive supervision would result in a downward revision.

Education and Training within Institutions

Standards 9.8 and 11.4 call for educational and vocational training in jails and prisons and are specific in recommending individualized instruction, use of volunteers and paraprofessionals and on limiting student/teacher ratios to 12/1.

Data available for the earlier report indicated that while education and training were offered, the quality was well below that envisioned by the Standards. The Corrections report recognized that providing recommended programs would cost more than pupil costs in normal academic environments.

Secondary Education

Information on two states, California (Budget, 1975-76) and Alabama (John McKee, The Draper Project, MDTA Experimental and Demonstration Findings, No. 6) indicated that loaded staff-year costs, ensuring a 12/1 pupil-teacher ratio were about \$48,000 in 1974 dollars. Of this, approximately half was for salaries, the balance for equipment and supplies.

It was assumed that on average a student in need of educational services would require two courses to prepare for the G.E.D. A 25% participation rate was also assumed. At 12 students per class, then the average student cost is \$4,000 per annum; at 25% participation this amounted to \$1,000 per inmate year.

Adjusting the educational costs to 1978 dollars and retaining the 25% participation rate, the new student cost is \$5,204 or \$1,301 per inmate. The detail for state and local institutions is shown in Figure 5-10.

It should be noted that the dollar expenditure per inmate year is not all additional expenditure for a jail or prison. Current expenses should be subtracted and known participation rates used for each jurisdiction to calculate the cost of the standards.

Some monetary benefits accrue to inmates in education programs, particularly those completing the G.E.D. The benefit in 1974 dollars was \$365 per annum; in 1978 it is \$455. The income gain over time may indeed justify the program costs.

Post-Secondary Education

Participation in post-high school education was about six percent in 1973. A ten percent participation rate was used in the report, assuming an upward trend. Participation by inmates in secondary education, prison industries and vocational training would suggest that ten percent is still an appropriate level. The costs are based on tuition charges in public two and four-year colleges. Total annual costs are \$471 or \$47 per inmate year and \$19.2 million nationwide. Figure 5-11 provides the detail.

Vocational Training

Data from states and manpower programs were surveyed for the earlier report. A combination of MDTA results (Robert Taggart, Prison of Unemployment) and California data (Budget) indicated that an allowance of \$2,000 per

Figure 5-10

Estimated Criminal Justice System Public Expenditure Required To Provide Secondary Education Services to Inmates in State and Local Institutions, Per Inmate Year and Nationwide (1978 Dollars)

State Institutions

A. Total Number of Inmate Years ^a	250,949
B. Proportion of Inmates Participating in Secondary Education Activities	.25
C. Number of Inmate Years of Participation (A X B)	62,737
D. Average Expenditure per Inmate Year of Participation ^b	\$ 5,204
E. Total Expenditure Nationwide (C X D) ^c	\$326,483,340
F. Average Expenditure per Inmate Year (E ÷ A)	\$ 1,301

Local Institutions (Jails)

A. Total Number of Inmate Years ^d	157,570
B. Proportion of Inmates Participating in Secondary Education Activities	.25
C. Number of Inmate Years of Participation (A X B)	39,393
D. Average Expenditure per Inmate Year of Participation ^b	\$ 5,204
E. Total Expenditure Nationwide (C X D) ^c	\$205,001,170
F. Average Expenditure per Inmate Year (E ÷ A)	\$1,301

^aEstimate of 1977 Adult population; see earlier text.

^b1974 estimate of \$48,000 of which 50% = Salaries: \$24,000 inflated to 1978 = \$29,932; \$24,000 goods and services inflated to 1978 = \$32,514; total expenditures = \$62,446. This estimate is more conservative than applying the GNP deflator to the full \$48,000.

^cThis estimate is for total criminal justice system expenditures, not the incremental expenditure necessary to meet the standard (see text).

^dFebruary 28, 1978 estimate; see earlier text.

Figure 5-11

Estimated Criminal Justice System Public Expenditures Required
To Provide Post-Secondary Education Services to Inmates in State
and Local Institutions, Per Inmate Year and Nationwide
(1978 Dollars)

<u>State Institutions</u>	
A. Total Number of Inmate Years ^a	250,949
B. Proportion of Inmates Participating in Post-Secondary Education at Any One Time	.10
C. Number of Inmate Years of Participation (A X B)	25,095
D. Average Expenditure Per Inmate Year of Participation ^b	\$ 471
E. Total Expenditure Nationwide (C X D) ^c	\$11,819,745
F. Average Expenditure Per Inmate Year (E ÷ A)	\$ 47
<u>Local Institutions (Jails)</u>	
A. Total Number of Inmate Years ^d	157,570
B. Proportion of Inmates Participating in Post-Secondary Education at Any One Time	.10
C. Number of Inmate Years of Participation (A X B)	15,757
D. Average Expenditure Per Inmate Year of Participation ^b	\$ 471
E. Total Expenditure Nationwide (C X D) ^c	\$7,421,547
F. Average Expenditure Per Inmate Year (E ÷ A)	\$ 47

^aEstimate of 1977 Adult Population; see earlier text.

^bThis estimate assumes that two-thirds of the population is in two-year community colleges (with average costs per academic year for tuition and fees of \$407) and one-third is in four-year public colleges (with average costs per academic year of \$598 for tuition and fees). Inmate year equals academic year for this calculation. Cost estimates supplied by George Lind, Statistician, Statistical Information Office of the National Center for Educational Statistics, Washington, D. C.

^cThis estimate is for total criminal justice system expenditures, not the incremental expenditure necessary to meet the standard.

^dFebruary 28, 1978 estimate; see earlier text.

participant was adequate to ensure proper training and a student-teacher ratio of 12/1. It is further assumed that these dollars buy either a concentrated, three-month or a less intensive one-year training experience. Figure 5-12 illustrates the new costs associated with vocational training, assuming a 15% participation rate for institutions and a .0375 rate for jails. Average expenditures per inmate year are \$406. Nationwide, the total is \$166 million.

Library Services

The 1974 costs for a library were estimated at \$5,000 for capital and an additional \$15,000 for staff and other expenses. This was calculated for a library providing legal and other materials in a 200-bed institution. In 1978 dollars, this estimated per-institution cost is \$27,150, or \$135 per inmate year.¹¹

Work Experience in Institutions

The Corrections Report makes two broad recommendations regarding institutional work experience: inmates are to have access to meaningful employment experiences; institutional work experience should be expanded and altered to more closely resemble private sector activities in production techniques, skills utilized and compensation.

Prison Industries

Now, as then, one finds some distance between these goals and prevailing practices. The same state-use products are produced with less-than-adequate capital stock and pay rates range from zero (40,500 inmates in 1974) to something upwards of \$0.21 per hour (7,300 inmates in 1974).¹² A survey of work activities found 20 percent with no work assignment (inside or outside) at all.¹³ Thirteen percent worked in prison industries (of the 137,900 with work assignments); 16 percent in the kitchen or dining hall; 21 percent performed general maintenance and janitorial duties; and 9, 8, 5, 4, and 2 percent were involved in farm, administrative, laundry, grounds and hospital work, respectively. (An "other" category accounted for 29,000 inmates - 21 percent.)

Since 1974, several states have become involved in a "Free Venture Model" of prison industries, in which private sector production practices are to play a larger part. Whether these industries are in fact, more "productive" or "efficient" will be observed in a forthcoming LEAA evaluation.¹⁴ Preliminary observation suggests that change is taking place but that prison industries are still undercapitalized. Participating inmates are yet a small percentage of institutional population.

Absent more specific data on each facility's capital investment, a summary method may be employed to estimate the capital stock required for prison industries which are in concert with the standards. This information was presented in Institutional-Based Programs and Parole. Then, as now, a capital labor ratio of 3/1 was used. In the United States

Figure 5-12

Estimated Criminal Justice System Public Expenditure Required
To Provide Vocational Training Services to Inmates in State
and Local Institutions, Per Inmate Year and Nationwide
(1978 Dollars)

State Institutions

A. Total Number of Inmate Years ^a	250,949
B. Proportion of Inmates Participating in Vocational Training at Any One Time ^b	.15
C. Number of Inmate Years of Participation (A X B)	37,642
D. Average Expenditure per Inmate Year of Participation ^b	\$2,709
E. Total Expenditure Nationwide (C X D) ^c	\$101,972,170
F. Average Expenditure per Inmate Year (E ÷ A)	\$ 406

Local Institutions (Jails)

A. Total Number of Inmate Years ^d	157,570
B. Proportion of Inmates Participating in Vocational Training at Any One Time	.0375
C. Number of Inmate Years of Participation (A X B)	5,909
D. Average Expenditure per Inmate Year of Participation ^e	\$10,836
E. Total Expenditure Nationwide (C X D)	\$64,029,924
F. Average Expenditure per Inmate Year (E ÷ A)	\$ 406

^aEstimate of 1977 Adult Population; see earlier text.

^b1974 estimate of \$2,000 per participant experience X state and local deflator for purchases of goods and services.

^cThis estimate is for total criminal justice system expenditures, not the incremental expenditure required to meet the standard.

^dFebruary 28, 1978 estimate; see earlier text.

^eA more intensive, 3-month tenure is assumed for jail participants, rather than a year-long course.

economy, there is approximately \$3-4 capital stock (equipment facilities, inventories, etc.) for each \$1 of labor productivity. Since light manufacturing and service industries have a lower capitalization than heavy construction and manufacturing, a \$3/\$1 ratio is used. The best available estimate of the potential value of adult inmate manpower is \$12,226.¹⁵ Efficient prison operations would then require an average capital stock of approximately \$1.5 million.

This estimated capital stock is a total, not the estimated incremental expenditures required. Such items as utilities, transportation access, structures and some equipment are already in use. In 1974, it was estimated that 36-55% of the required capital stock already existed in institutions.¹⁶ Figure 5-13 illustrates the incremental capital stock required under these varying assumptions.

Figure 5-13

Estimated Incremental Capital Expenditure
Required to Make Prison Industries
in State Institutions Self-Supporting (1978 Dollars)

A. Total Number of Inmate Years	250,949 ^a
B. Proportion of Inmates Participation in Prison Industries at Any One Time	.65 ^b
C. Number of Inmates Participating in Prison Industries at Any One Time (A x B)	163,117
D. Incremental Capital Expenditure Required Per Participating Inmate	
D ₁ Estimate 1	\$16,200
D ₂ Estimate 2	\$23,000
E. Incremental Capital Expenditure Required for All State Institutions	
E ₁ Estimate 1 (C x D ₁)	\$2,642,495,400
E ₂ Estimate 2 (C x D ₂)	\$3,751,691,000

^aSee earlier text for explanation of this figure.

^bAn optimum; assumes the balance are engaged in institutional maintenance work and education and training programs.

Payment of Prevailing Wages

Prevailing compensation patterns in institutions (see earlier text for rates) suggest maximum annual remuneration of less than \$500 per paid inmate. Potential productivity per inmate is estimated at \$12,226, creating a gap of at least \$11,700 per inmate in prison industries work or \$1.9 billion nationwide. The minimum wage in 1978 was \$2.65/hour. On an annual basis, the per inmate shortfall is \$4,800 or \$783 million. Paying minimum wages to the ten percent of the inmate population considered necessary for industrial maintenance activities would require an additional \$120.4 million for state institutions and \$75.6 million for local jails. Even if it is argued that many inmates do not work 40-hour weeks, the estimated hourly shortfall is between \$2.44 and \$5.90 (assuming a "high" average hourly rate of \$0.21). This should not represent total net outlays, since room and board deductions are common in other institutional programs with more generous compensation.

Services for Released Offenders

The Corrections Report recommends, in Standard 11.4 that:

On-the job training and work release or work furloughs should be used to the fullest extent possible.

Each educational department should make arrangements for education programs at local colleges where possible, using educational opportunity programs, work-study programs for continuing education, and work-furlough programs.

In addition, standards 9.9 and 12.6 discuss jail release programs and community services for parolees, respectively. No recommendations are made as to participation rates, but existing state restrictions would suggest an eligible population of 25 percent of all felons. The Standards and Goals Report suggested that marginal daily costs of work-release programs in 1974 could vary up to \$8 per working day (considered a high cost). New 1978 data from Minnesota report an average daily cost of \$28.00/day; no marginal costs were cited.¹⁷ The program charges clients \$4/day for room and board.

Other data indicate some participation rates in release programs. A 14-state survey in 1975 indicated that 2% of all women state prisoners were involved in work-release programs.¹⁸ Results of the 1978 Jail Census indicate that 930 jails offered work release for males with 7,440 participants.¹⁹ In addition, 8,747 males and 649 females were serving weekend sentences in 1978.²⁰

Parolee services are to include some ongoing stipend to releases beyond current "gate money" practices (Standard 12.6). A 1975 survey indicated that 25 states provided \$50 or less in funds to releases, 13 provided \$50-100 and four provided \$101-250. Four states provided no funds at all.²¹ (At the time of the survey, Washington State was still granting up to \$1430 on their stipend program). For nineteen states these release monies represented increases from 1971; one state reduced its release funds.

A suggestion on how to estimate necessary funds for releasees is offered below.²² Estimates are based on a job search of 1-2 months.

1. Two months' income stipend (at poverty level \$247.50/month)	\$495
2. Transportation: from rural prison to urban area	\$ 50
3. Housing: \$150/month rent plus 1 month's deposit plus damage deposit	\$400
4. Utilities and telephone deposits	\$100
5. Extra clothing for job hunting	\$ 50
6. Two month's public transportation	\$ 22

Total funds for two post-release months \$1,117

Recently passed legislation in California would provide \$59/week in unemployment benefits to recent releases who were eligible for work or education programs while in prison. The rate is based on the federal minimum wage.²³

Rights of Inmates

Standards 2.1, 2.2, and 2.3 recommend that inmates be provided with access to courts, attorneys, and legal materials. Standards 2.12, 2.13 and 2.14 discuss disciplinary procedures, non-disciplinary classification and characteristics for institutional grievance procedures.

A survey of programs in several states led to estimates in the original report of \$75 and \$70 per inmate for legal and grievance rights, respectively. No better data were available for this report, although total budgets for several states and a client estimate for one city were reviewed.²⁴ Inflating the original figures to 1978 (using the State Salary Survey since most of the costs are personnel) yields new suggested annual inmate costs of \$94 for legal services and \$87 for grievance procedures.

Rights of Parolees

Standards 12.3 and 12.4 are relevant to parole grant and parole revocation hearings, respectively. Other standards address the need of indigents and the philosophy of keeping offenders in the community.

The original report looked at the possibility of increasing cases heard by reducing examiners per hearing, arguing that any additional supervision or other costs would be offset by reducing the institutional population. ²⁵The example suggested dividing a 3-member examiner board hearing 5000 cases per year (20/day) to 3 mini-boards hearing 60 cases a day. In 1976, 17 states held 1-19 hearings per day, 13 held 20-29, 12 heard 30-39 cases and eight had over 40 hearings per day. ²⁶This totals slightly under 6,600 hearings per week using a moderate (midpoint estimate) and about 8,800 per week using an upper-bound estimate. If the examiners are also the parole board and the average hearing is conducted by three persons, then the cost of this board conducting 20 hearings/day is \$25 per hearing. ²⁷To hear 330,000 cases annually (6,600/week x 50 weeks) would cost \$8.25 million. If each hearing were conducted by a single individual, \$8.25 million would provide nearly one million hearings, or four hearings per inmate. If parole rates as a function of hearings remained constant, parolee populations would rise (as would supervision costs) but institutional costs would be reduced.

Revocation and prerevocation hearings as envisioned by the Standards were estimated to cost as much as \$700 per case in 1974. ²⁸In 1978 this figure would be at least \$873. It was also estimated that if implementation of these Standards reduced revocations to 15%, then the net savings (Incarceration minus parole supervision) would be \$169. In 1978 dollars this would amount to approximately \$300.

Summary

A review of the costs discussed in this report and 1978 estimated criminal justice system expenditures for residential services are presented on the following pages.

Figure 5-14

Summary of Estimated Criminal Justice System Public Expenditures for 1978

Activity/Cost Element	Average Cost per Inmate Year (1978 Dollars) ^a
<u>Custody and Basic Support Cost</u>	
Capital Cost	
Jail	\$3,733
Mixed-Security Institution	3,888
High-Security Institution	5,068
Operating Cost	
Existing Institution ^b	
Local Nonjuvenile	6,645
State Nonjuvenile	6,166
"Model" Institution	
Institution with Task Force Staffing	4,248
Institution with Task Force/Halfway	
House Staffing	6,298
Inmate Labor (10% of Inmates Paid National Minimum Wage)	530
<u>Program Cost</u>	
Secondary Education (25% of Inmates Participating)	1,301
Post-Secondary Education (10% of Inmates Participating)	47
Vocational Training (15% of Inmates Participating)	406
Prison Industries ^d	0
Library Services	135
<u>Offender Rights Cost</u>	
Access to the Legal System	94
Non-disciplinary and Grievance Procedures	87

^aFor detailed analysis and background information on the assumptions (conceptual and statistical) used in estimating the average cost per inmate year for each of these activity/cost elements, see the text.

^bNon-capital cost estimates for existing institutions are based on statistics in Expenditure and Employment Data for the Criminal Justice System, 1978 prepared jointly by the U.S. Bureau of the Census and the U.S. Law Enforcement Assistance Administration (Washington, D.C.: Government Printing Office, 1977). For more information on techniques and data used to derive costs for nonjuvenile institutions, allocate costs between custody and support and program elements, add allowances for fringe benefits for institutional employees and inflation, and arrive at average cost estimates per inmate year, see the text.

^cThough only the proportion of inmates noted participates in the particular activity, costs have been spread over all inmates to arrive at the "average cost per inmate year" estimate shown in this figure.

^dThis no-cost estimate is based on the assumption that prison industries are sufficiently productive to allow for payment from value added receipts of prevailing wages to inmates and capital costs. A difference in participation rates, 32 and 65 percent for community-based and state institutions, respectively, allows for employment in the community for one-third of a community-based institution's residents.

Figure 5-15

Estimated Criminal Justice System Public Expenditure
per Client Year (in 1978 Dollars) for Residential-Based Correctional Activities

Type of Activity	Estimated Cost per Client Year
<u>Existing State Nonjuvenile Institution.</u> This type of institution has structural characteristics of recently constructed, high-security institutions. Staff and services are like those of the average state nonjuvenile institution in 1978.	\$11,234
<u>Existing Local Nonjuvenile Institution (Jail).</u> This type of institution has structural characteristics of recently constructed high-security jails. Staff and services are like those of the average jail in 1978.	10,378
<u>Proposed Community-Based Institution.</u> This type of institution has the structural characteristics of recently constructed mixed-security institutions. Custodial and support staff and services for high-security inmates follow recommendations on the 1967 Task Force on Corrections; custodial and support staff and services for low-security inmates reflect staffing patterns for halfway houses. Program staff and services follow <u>Corrections'</u> recommendations for academic and vocational training, libraries and offender rights.	10,888
<u>Proposed State Institutions.</u> This type of institution has structural characteristics of recently constructed high-security institutions. Custodial and support staff and services follow 1967 Task Force recommendations. Program staff and services follow specific <u>Corrections'</u> recommendations for academic and vocational training, prison industries, libraries, and offender rights.	11,386
<u>Halfway Houses.</u> Providing Basic In-House Services.	8,162
<u>Halfway Houses.</u> Providing Basic In-House Services and Community Resource REferral.	9,085
<u>Halfway Houses.</u> Providing Comprehensive In-House Services.	11,000

FOOTNOTES

- ¹State of California, 1978 Program Planning Report to the Legislature Vol. III: Architectural Program and Concept Study.
- ²Singer and Wright, Institutional-Based Programs and Parole (Washington, D.C., 1975) p. 27.
- ³Law Enforcement Assistance Administration, The National Manpower Survey of the Criminal Justice System, Volume 3: Corrections (Washington, D.C., 1978), p. 133.
- ⁴Ibid.
- ⁵National Center for State Courts, Survey of Judicial Salaries (Williamsburg, Virginia, 1979).
- ⁶U.S. Civil Service Commission, State Salary Survey 1978 (Washington, D.C: Civil Service Commission, 1973).
- ⁷Joseph E. Scott, A Follow-up Evaluation of the Parole Officer Program in Ohio (Columbus, Ohio: The Ohio State University, 1974), p. 131.
- ⁸Uniform Parole Reports, Parole in the United States: 1976 and 1977 (Research Center West, National Council on Crime and Delinquency, 1978), T.1.
- ⁹U.S. Civil Service Commission, State Salary Survey 1978.
- ¹⁰Ibid.
- ¹¹Figures inflated by applying GNP deflator for purchases of state and local government price deflator for purchases of non-residential structures.
- ¹²U.S. Department of Justice, Law Enforcement Assistance Administration, Survey of Inmates of State Correctional Facilities 1974-Advance Report (Washington, D.C: U.S. Government Printing Office, 1976).
- ¹³Ibid., All work assignment information is derived from this source.
- ¹⁴University City Science Center and Institute for Economic and Policy Studies, "Proposal to Evaluate the Free Venture Prison Industries Program," (Law Enforcement Assistance Administration, 1978-1979).
- ¹⁵See section on Opportunity Costs.
- ¹⁶Singer and Wright, Institutional-Based Programs and Parole, p. 104.
- ¹⁷Telephone Interview with William Guelker, Senior Correctional Agent, Work Release Project Re-Entry, Minnesota Department of Corrections, 21 May, 1979.
- ¹⁸Ruth Glick and Virginia Neto, National Study of Women's Correctional Programs (Sacramento: California Youth Authority, 1976)
- ¹⁹Bureau of the Census: 1978 National Jail Census Preliminary Figures
- ²⁰Ibid.
- ²¹Robert Horowitz, Back on the Street - From Prison to Poverty: The Financial Resources of Released Offenders (Washington, D.C: American Bar Association, 1976).
- ²²The following data are drawn from Jody Soper, Alternatives to Prison: Universalist Service Committee, National Moratorium on Prison Construction.
- ²³Ibid., p. 30. And, Unemployment Compensation for Newly Released Prisoners (California SB224, Sept. 1977).
- ²⁴The 1976 cost of legal services to New York City inmates was estimated at \$4.11 per prisoner day. Coopers and Lybrand, "The Cost of Incarceration in New York City," for the National Council on Crime and Delinquency, 1978.
- ²⁵Singer and Wright, Institutional-Based Programs and Parole, p. 148.
- ²⁶O'Leary and Kathleen Hanrahan, Parole Systems in the United States: A Detailed Description of Their Structure and Procedures 3rd ed. (Hackensack, N.J: National Council on Crime and Delinquency, 1977) p. 35.

- ²⁷Based on estimates of \$41,500 per board member for 1978. Direct salaries only; fringe benefits and other costs would increase this figure.
- ²⁸Based on California decisions (Bye, LaCroix and Valrie) following Morrissey, and the subsequent budget allocations. Singer and Wright Institutional-Based Programs and Parole, pp. 150-152.

A-1. COST TYPOLOGY¹

Administrators and planners, in satisfying the demands of the annual budgetary process, are frequently forced to consider and to justify their programs in terms of their own budgetary costs alone. Therefore the following types of costs are often neglected in budgetary debate and program analysis:

- The costs of goods and services from actors outside the agency whose budget is being considered. (Example: Such actors may include individuals as well as private or governmental agencies. Specific examples of measures of the value of their goods and services are: the cost of donated facilities and equipment for a halfway house, the value (imputed cost) of volunteer labor in a probation department, or the value to a bail agency of legal aid or public defender consultation.)
- Full costs of support or administrative activities which, though they do not benefit a "clientele" directly, are necessary to provision of direct services. (Example: The accounting department for a corrections agency has no direct relation to a person on probation, yet it manages the accounts for all probation activities. Likewise, the manager of the accounting department may never prepare data on probation activities, yet is accountable for the work of those who do.)
- Costs incurred by individuals as a result of their participation (whether voluntary or involuntary) in a given activity. (Example: If one participates in a diversion activity, he or she may be losing the right to a speedy trial. It is assumed that this loss will have a value to the individual, and in this sense represent a "cost" of the diversion activity.)
- Costs incurred by society as a result of a given action or inaction. (Example: Incarcerating people suspected of a crime has been assumed to reduce the risk of danger to society. If society chooses to place some individual in halfway houses rather than in institutions, it presumably agrees to assume a greater risk of crime. The expected value associated with this risk represents a cost to society.)

In the budgetary process of criminal justice agencies, it may not be possible to consider all these costs routinely, but they are within the proper purview of economic analysis. Ideally, familiarity with them could open budgetary debate to consideration of the full range of program costs.

For the Standards and Goals Project's reports, the kinds of costs described above have been incorporated into a cost typology which can be used

¹This Appendix was prepared by Susan Weisberg and Dr. Virginia Wright.

for analyzing the resource implications of all criminal justice activities. Types of costs within this typology are described and compared in the paragraphs which follow. For the Project's program reports, only costs incurred by the particular activity being studied are analyzed in detail.

CRIMINAL JUSTICE SYSTEM COSTS

Criminal justice systems costs include direct outlays for, or the imputed value of, goods and services by:

- Law enforcement agencies
- Courts
- Legal services agencies, bureaus or firms
- Other agencies, organizations or individuals whose stated mission could not be carried out if there were no crime
- Activities of organizational units or individuals financed by any of the above

The criminal justice system thus is defined to comprise the activities and agencies listed above.

Criminal justice system costs may be further subdivided in the following way.

- Public expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by governmental agencies or units.¹
- Private expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by non-governmental agencies or units.¹

EXTERNAL COSTS

External costs include direct outlays for, or the imputed value of, goods and services provided by all agencies, organizations or individuals external to the criminal justice system.² External costs, like the previous classification, may be further subdivided into:

¹There will be cases in which goods or services are financed through governmental as well as private sources. The ratio of such financing would determine whether they were classified as "private" or "public" expenditures.

²The "criminal justice system" is defined to include the agencies or individuals listed under "criminal justice system costs" above.

- Public Expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by governmental agencies or units.¹ For example, these would include: welfare, health, and mental health departments of facilities; employment and training programs, public schools and departments of education.
- Private Expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by non-governmental agencies or units.¹ For example, these might include: private employment agencies or day care centers, private mental health practitioners (not paid under government contract).

DIRECT AND INDIRECT COSTS

The following types of costs apply to all the categories above (criminal justice and external costs) when a specific activity (for example, a halfway house, citation, summons, diversion) is assessed. Direct costs include personnel and other expenditures associated with the provision of services to clients by a specific service-producing activity; in this report, service producing activity is a halfway house. For example, the salary of a house counselor serving individual clients within a house would be considered a direct cost of a halfway house program. Likewise, food, rent, utilities, telephone and other non-personnel operating costs would be considered direct costs.

Services may be provided directly to the activity's clients by the activity itself (the halfway house) or by other agencies (both within and outside of the criminal justice system). Costs associated with services provided by other agencies within the criminal justice system are still considered direct client costs. If such services are provided by other agencies outside the criminal justice system, then those costs, while still direct since the agencies are serving a client of the activity being analyzed, are external direct costs.

Where direct costs of halfway houses are not immediately identifiable, such as in the case where personnel of other criminal justice agencies provide services to clients of a particular house, estimates must be made on a percentage time basis. For example, consider a halfway house serving exclusively probationers, and assume that some of the counseling and referral services are being provided to clients of the house by officers of the probation department. In order to determine the total criminal justice system costs of the halfway house, in addition to the costs associated with the provision of services by the house must be added to the estimate of the cost associated with the provision of services by probation officers. If it is determined that probation officers spend 15 percent of their time providing services to halfway house clients, then 15 percent of their salaries and fringe benefits would be a direct cost of the halfway house. (The administrative cost absorbed by a probation department or state department of corrections in

¹There will be cases in which goods or services are financed through governmental as well as private sources. The ratio of such financing would determine whether they were classified as "private" or "public" expenditures.

referring and then monitoring the progress of clients through the same halfway house would be an indirect cost and therefore not included in the Project's criminal justice system cost estimates, as explained below.)

Costs which cannot be attributed to a specific service-producing activity, such as a halfway house, but which are known to be associated in part with that activity, are defined to be indirect costs. Indirect costs, therefore, include:

- (1) Costs of administering or monitoring clients of halfway houses which are associated with an agency or organization other than the halfway house;
- (2) Costs which are expended or charged to another agency or organization (except those of other criminal justice agencies noted under direct costs above).

Only direct costs have been analyzed in the Standards and Goals Project's reports for relatively self-contained activities, such as correctional institutions, most halfway houses (except those which are a part of a group administered by a single private agency) and diversion projects. Indirect costs associated with general administrative services, which are provided by state or local correctional agencies or other state or local government personnel, are assumed to be associated with general administration of correctional programs and not specific correctional activities.

The complexities of estimating indirect costs associated with particular diversion activities make it impossible for the Standards and Goals Project to include allowances for indirect costs in all of the Project's cost estimates. However, administrative costs associated with a group of houses administered by a single private agency, considered to be part of the normal costs of operation (administrative functions normally performed by the directors and assistant directors of single houses) are included in the cost analysis (as private indirect costs).

OPPORTUNITY COSTS

Opportunity cost is a measure of the cost which results from the fact that when one activity is undertaken another activity must be foregone.

Opportunity cost can be viewed from the perspective of many different levels of resource aggregation, that is, there is an opportunity cost associated with:

- A single resource which could be used in different ways (such as a person who can hold different jobs);
- A set of resources which could be used in alternative correctional activities (such as \$10,000 for a halfway house or non-residential probation);

- A set of resources which could be used in alternative public activities (such as government doctors for criminal justice or mental health programs);
- A set of resources which could be used in public or private activities (such as \$10 million in loans to build a correctional institution or private homes).

From the perspective of a single resource which could be used in different ways, one measure of the opportunity cost of an inmate in an institution is the productivity of his labor that is foregone, or the opportunity cost of using a person to teach inmates is the teaching (or other tasks) he or she might have performed elsewhere. At the level of alternative correctional activities, the opportunity cost of using a set of resources¹ to provide services to clients of a halfway house can be thought of as being the result or product (measured in terms of the criminal justice system's objectives, such as reduced crime or integration of offenders into society) that could be obtained from using those same resources in other types of correctional activities (such as non-residential probation or parole). At other levels of resource use suggested in the list above, individual halfway houses, or all houses as a group, can be compared to other criminal justice activities, other non-criminal justice governmental activities, or non-governmental activities.²

In all of these comparisons, if the opportunity cost (that is the product of the activity foregone) is greater than the product of the activity undertaken, there is a loss or "cost" to society above and beyond the eight types of costs described earlier. This loss to society is a social cost to be allocated to undertaking the activity whose productivity is lower. The question of how to define and measure productivity (or even relative productivity) becomes a major problem when the analysis moves from the level of individual resources to criminal justice activities whose "products" are differentially defined as deterrence, rehabilitation and so forth, by policy-makers and analysts.

¹Their "value" has previously been computed by the calculations of direct and indirect costs described above.

²As a concept which is derived from production theory and efficiency considerations, opportunity cost analysis focuses on the "alternative uses" of products from a given resource or set of resources. The related, but analytically distinct, concept of cost aversion, on the other hand, focuses on the "least cost alternative" for achieving a given product or set of products.

A-2. SAMPLE & MODEL BUDGET ESTIMATES¹

For several different types of activities envisioned in the Standards of the Corrections Report (for example, drug and "DOL model" diversion and halfway houses), sample budgets have been derived by the Standards and Goals Project staff. A sample budget is a set of estimated criminal justice system expenditures, by line item (staff salaries by position, fringe benefits, facilities and so forth), for a type of activity suggested in the Corrections Report.

Included as criminal justice system expenditures are direct outlays for, or the imputed value of, goods and services provided by:

- Law enforcement agencies
- Courts
- Legal services, agencies, bureaus or firms
- Other agencies, organizations or individuals whose stated mission could not be carried out if there were no crime
- Activities of organizational units or individuals financed by any one of the above.

Estimates shown in a sample budget are derived from, but not necessarily identical with, budget or expenditure statistics from two or more existing activities which have characteristics similar to those advocated by the Corrections Report. Two estimates are provided for each line item--a "high average" and a "low average"--to reflect variation in the cost of approximately the same item (a staff person at a particular level [for example, a police patrolman] or 1,000 square feet of office space) for different parts of the country.

¹This Appendix was written by Dr. Virginia B. Wright, Research Director for the Standards and Goals Project.

Procedures and assumptions used to derive the particular values shown in the several sample budgets presented in different Standards and Goals Project reports vary, depending on the types of statistical data which are available and the number of places for which such data could be obtained within the Project's time and resource constraints. Therefore more specific procedures and assumptions used in constructing each sample budget are discussed in the text accompanying it.

For other activities envisioned in the Corrections Report, (such as a probation system which has separate procedures and personnel for providing services to the courts and probationers), there are no existing activities which approximate the recommended activity, or budget and expenditure data are so limited that it is not possible to derive a sample budget (as described above). In such cases, model budgets have been derived by the Standards and Goals Project staff. A model budget is also a set of estimated criminal justice expenditures, by line item, but it is not based on expenditure or budget estimates from existing activities. Instead, it is derived from more indirect sources, such as workload estimates for probation officers performing different kinds of services for different types of probationers, ratios of direct and indirect costs for government agencies, and so forth. As for the sample budgets, more specific procedures for deriving a particular model budget are discussed in the text which accompanies it.

A-3: Cost Differential Estimates¹

The estimation procedure used in Alternatives to Arrest identifies differences in cost between traditional arrest, field citation and stationhouse citation. Three variables provide the foundation for estimating these cost differences:

- Procedures -- The discrete tasks and functions required to carry out the traditional and the recommended activities;
- Resource cost per accused for each procedure -- The cost per accused of resources applied to procedures in the traditional and the recommended activities;
- Case flow -- The number of accused persons who would be exposed to a given procedure under the traditional and the recommended activities.

The Concepts of Differential Cost-Generating Procedures and Cumulative Public Expenditure Costs

One key to identifying cost differences is the qualification placed on the procedures to be examined: if under all three study activities -- arrest, field citation, and stationhouse citation -- an equal number of people would be exposed to a given procedure, that procedure would not be included in the analysis. The rationale is that they are assumed to produce no difference in cost among the three activities. Consequently, the sum of procedural costs for a given activity is not the total cost of that activity. This methodology was adopted because of the lack of data on the costs of traditional arrest processes and newer alternatives. This approach has limitations: it does not produce program cost estimates, per se; and, the use of average cost per accused does not account for possible scale effects. It does, however, allow comparisons between alternatives.

¹Excerpted from Cost Analysis of Correctional Standards: Alternatives to Arrest.

A-4. Normalizing Estimates to 1978 Dollars

Two methods were used to convert or deflate cost estimates from various years (typically 1974) so they were expressed in 1978 dollars. The first method applied the Implicit Gross National Product Price Deflator for Purchases by State and Local Governments.¹ The ratio of the 1978 index value to its value for the year in which data were collected was applied to all items in an estimate. For example:

$$(1974 \text{ cost: } \$15,000) \times \frac{1978 \text{ Index: } 160.4}{1974 \text{ Index: } 118.4} = \$20,321$$

Thus, on the basis of a national average covering all types of government purchases, a program costing \$15,000 in 1974 would cost approximately \$20,321 in 1978.

Since the Implicit Deflator approach does not differentiate between rates of price change by specific budget components (e.g., food, fuel, personnel, etc.), a series of published and specially created Item Indexes were used. The published series of indexes included:

Housing
Food
Maintenance and Repairs
Transportation
Utilities
Communications
Non-durables
Government Purchases of Industrial, Educational, Hospital and Other Structures
Medical
Commodities, less Food

Government programs, generally, are labor intensive, so the largest impact on costs over time should come from increases in salaries and wages. A set of indexes for specific job titles was created from the State Salary Survey published by the U.S. Civil Service Commission. The indexes were applied to the position that most closely approximated job descriptions included in that survey. Where no comparable data existed, a composite was constructed by using the mean value of all other salary indexes as an approximation.

¹
U.S. Department of Commerce, "Survey of Current Business," Vol. 58, No. 7, p. 61, for 1974 index. Pre-publication data for 1978 were obtained by Telephone Interview from Bureau of Economic Analysis in the Department of Commerce. Base year is 1972.

Sample/Model Budget Position	Source of Index
Diversion: Project Director Deputy Director Career/Job Developer Screeners Data Analyst Bookkeeper Social Worker Counselor Interviewers Supervisor of Evaluation Clinical Psychiatrist Lab Technician Escort Secretary Records Clerk Statistical Clerk Case Manager Court Liason Unit	Senior Probation and Parole Officer Probation and Parole Officer Employment Counselor Statistician Composite Index Social Worker Graduate Social Worker Composite Index Principal Statistician Psychiatrist Lab Technologist Correctional Officer Composite Salary Index Composite Salary Index Composite Salary Index Social Worker Composite Index
Halfway Houses: Director Counselor Night Counselor Cook/Housekeeper Secretary/ Bookkeeper Community Resource Manager Part-time Counselor Assistant Director	Senior Probation and Parole Officer Graduate Social Worker Correctional Officer Composite Salary Index Composite Salary Index Graduate Social Worker Social Service Worker Probation and Parole Officer
Probation: Director Probation Officer Supervisor Statistician/Research Analyst Personnel Specialist	Director of Probation and Parole Services Probation and Parole Officer Senior Probation and Parole Officer Statistician Personnel Specialist

Using both the Implicit Index and Item Indexes provided a test of the sensitivity of total costs to variations in the prices of specific items.

A-5. RENTAL EQUIVALENT ESTIMATION

This appendix contains a discussion and detailed presentation of the rental equivalent estimation process employed in this cost analysis.

SELECTION OF AN ESTIMATION PROCESS

Several alternative approaches to deriving rental equivalents for facilities purchased rather than rented were evaluated. Three alternative approaches survived the initial evaluation:

- (1) Utilizing the annual rent for a (rented) building in the same neighborhood possessing similar characteristics;
- (2) Applying a rental equivalency rate against the appraised (1974) market value of the facility;
- (3) Determining the market value (1974) by adjusting a purchase price and amount of renovations utilizing a housing value index, then applying a rental equivalency rate.

The third approach was selected because it was the only approach allowing a uniform and systematic estimation of rental equivalents, given the time and resource constraints of this research effort.

Time and resources did not allow the Standards and Goals Project to carry out either the first or the second approach, and accepting each house's own estimated rental equivalent would have violated a uniformness criterion. Therefore, the third approach is the one which was employed in determining rental equivalents, and which is discussed in this appendix.

THE ESTIMATION PROCESS

Rental equivalents were calculated according to the following two-step process:

- (1) The sum of purchase price plus expenditures on renovations was adjusted upward (into 1974 dollars) utilizing the index of ownership costs compiled by the Bureau of Labor Statistics (published annually in the Statistical Abstract of the United States, U.S. Department of

Commerce, Social and Economic Statistics Administration, Bureau of the Census).

The index of ownership costs was selected because it includes, by definition, home purchase, mortgage interest, taxes, insurance, and maintenance repairs.

The following formula was employed to adjust purchase price and expenditures on renovations upward:

Value of Facility in 1974 Dollars = $p a_p + r a_r$, where

p = purchase price
 r = amount of renovation, and

a_p and a_r are the adjustment factors for purchase price and renovation expenditures, equal to

$$a_p = \frac{V_a - V_p}{V_p} + 1$$

$$a_r = \frac{V_a - V_r}{V_r} + 1, \text{ where}$$

V_a = index value for 1974
 V_p = index value for year of purchase
 V_r = index value for year of renovation expenditure.

If purchase and renovation occurred in the same year, then a_p and a_r are identical, and the formula reduces to:

$$(p + r)a, \text{ or complete, } (p + r) \left(\frac{V_a - V_p}{V_p} + 1 \right).$$

The adjustment factors for the years in which facilities included in the sample were purchased are:

1964	1.7856
1965	1.7605
1967	1.6320
1968	1.5440
1969	1.4069
1970	1.2700
1971	1.2206
1972	1.649
1973	1.125
1974	1.000

- (2) Once purchase price and renovation expenditures have been adjusted to 1974 values, the second step consists of applying a rental equivalency rate incorporating both a cost of capital factor and an allowance for a normal rate of return on capital directly invested. The annual equivalency rate employed is 12%.

Five-sixths of that rate (10%) is the estimated annual cost of capital. Annual capital cost depends on several factors; most important are interest costs and amortization periods. Borrowing costs in recent years have been in the range of 7% to 9% for most states. Adding an amortization factor and providing a small margin for uncertainty makes 10% a very reasonable cost of capital.

The other two percent represents an allowance for a non-compounded rate of return on capital invested of 8%, on the assumption that 25% of the market value of the facility has been directly invested as capital (as down payment and as payments made toward the mortgage).

To capsule the estimation process in a single sentence: rental equivalents were calculated by first adjusting purchase price plus renovations to 1974 values, and then applying an equivalency rate of 12% to allow for both annual capital costs and a normal rate of return on capital invested.

A-6. Estimate of Net Hours Available Annually for Direct Client Services

Total Annual Working Hours:	8 hours/day <u>260 days/year (52 x 5)</u> 2,080 hours
Subtractions:	
Vacation	8.0 hours/day <u>12.5 days</u> 100.0 hours
Personal leave, sick leave	8.0 hours/day <u>5.0 days</u> 40.0 hours
Recurrent training	52.0 weeks <u>1.0 hour/week</u> 52.0 hours
Special training (seminars, conventions, training programs)	8.0 hours/day <u>2.5 days</u> 20.0 hours
Personal, administrative, intra-departmental communication, etc.	260.0 days <u>-26.5 days (12.5 + 5 + 6.5 + 2.5)</u> 233.5 days <u>x 1 hour/day</u> 233.5 hours
Total Subtractions	445.5 hours
Total Net Annual Working Hours	2,080.0 total annual working hours <u>445.5 total subtractions</u> 1,634.5 hours
Net Monthly Working Hours	1,634.5 <u>- 12.0 months/year</u> 136.2

CONTINUED

1 OF 2

Figure A-7

Indices of Regional Variation in Salaries for Selected Positions (1978)^a

Position	National Mean	North East	Regional Index		
			North Central	South	West
Director of Probation and Parole Services	\$22,718	93.46	96.39	104.20	\$105.95
Senior Probation and Parole Officer	14,653	104.93	101.01	85.29	108.77
Probation and Parole Officer	11,604	109.30	101.27	87.00	102.42
Correctional Superintendent	24,182	99.82	99.64	90.83	109.70
Correctional Sergeant	11,708	104.41	99.56	91.06	104.96
Correctional Officer	9,989	106.00	102.35	90.59	101.15
Social Service Supervisor	13,628	99.13	101.07	92.59	107.21
Graduate Social Worker	12,410	97.70	106.95	87.00	108.36
Social Service Worker	10,461	99.20	105.26	90.15	105.38
Employment Counselor	11,856	97.08	102.63	95.13	105.60
Vocational Rehabilitation Counselor	11,649	100.14	101.44	93.80	104.62
Employment Security Interviewer	10,237	98.10	104.18	92.90	104.81
Income Maintenance Eligibility Technician II	10,056	104.65	99.19	91.73	104.42
Statistician	11,898	89.91	95.08	116.81	98.20

^aSource: U.S. Civil Service Commission, State Salary Survey, 1978.

B-1 Pretrial Programs Sample Description

The agencies below were selected for this study because they were prototypical in their implementation of Corrections Standards in one or more ways, such as: comprehensiveness of the program (i.e., being involved in two or more pretrial activities), use of alternate staffing (e.g., students and regular full time staff), integration of functions (such as common screening for release and diversion), and so forth. In addition, most of the projects serve primarily urban counties, and were selected because a jurisdiction of that type was to be used in estimating the model budget for a pretrial services agency in this study. Fully operational, rather than newly-established, agencies were chosen for the same reason. The availability of expenditures and budget data as well as statistics on program operations was an important consideration in selecting the agencies, and given the other criteria an attempt was also made to achieve geographic representativeness. (Asterisks indicate Site Visits)

- * District of Columbia Bail Agency
Washington, D.C.
- * Fifth Judicial District Department of Court Services
Des Moines, Iowa
- * Hennepin County Pre-Trial Services
Minneapolis, Minnesota
- Marion County Pre-Trial Services
Indianapolis, Indiana
- * Mecklenburg County Pre-Trial Release
Charlotte, North Carolina
- Monroe County Pre-Trial Release Program, Inc.
Rochester, New York
- * Project Remand
St. Paul, Minnesota
- * San Francisco Bail Project
San Francisco, California
- * Santa Clara County Pre-trial Release Program
Santa Clara County, California
- San Mateo County R.O.R. Project
Redwood City, California
- * Washtenaw County Pre-Trial Release Program
Ann Arbor, Michigan
- * Vera Institute of Justice Pre-Trial Service Agency
Brooklyn, New York
Staten Island, New York
Bronx, New York

B-2. Pretrial Diversion Sample Description

Data for employment diversion programs were collected from 17 agencies funded wholly or partially by the Department of Labor:

- New York, Court Employment Project
 - Manhattan • Bronx
 - Brooklyn • Queens
- California, Project Intercept
 - Baywood • San Jose
 - Oakland • Santa Rosa
- Boston, Court Resources Project
 - Boston/Suffolk County
 - Middlesex-Essex Counties
- Baltimore, Pretrial Intervention Project
- Washington, D.C., Project Crossroads
- Atlanta, Pretrial Intervention Project
- Cleveland, Offender Rehabilitation Project
- Minneapolis, Project DeNovo
- San Antonio, Project Detour
- El Paso, Pretrial Intervention Volunteer Overtrial Project

Estimates were based on budgets (rather than actual expenditures), but they were final documents (rather than proposals). While the personal portion of total budget ranged from 91.5 percent (New York) to 62.1 percent (Boston-Suffolk), most projects clustered around the mean 78.3 percent. Non-personnel costs were computed as a function of labor costs based on ratios found in the 17 sample cases.

The model case flow is for a county of 300,000 population with an urban population of 200,000. It represents possible defendant flow in a jurisdiction whose pretrial release activities conform to recommendations of the Corrections Standards. The arrest rate shown in the figure is based on FBI statistics (Uniform Crime Reports, 1974) for annual adult arrests per 100,000 population in jurisdictions of the size mentioned adjusted slightly to account for serious traffic offenses that tend to be undercounted in the FBI data.

A person year is assumed to be 1,658 case-related working hours as shown in Appendix A-6.

"Screenings", the workload unit used here, is somewhat different from the statistical measure "interviews" most commonly cited in reports on pretrial agencies. Screenings represents a distribution of tasks that would include:

- Screening out some defendants (for example, public inebriates who would not be interviewed, but who would be referred to detox centers, hospitals, or to family or friends)
- Interviews
- Verification of interview information

- Preparation and presentation of recommendations to the court
- Screening for indigent defense eligibility
- Providing information to defendants about available services and negotiating some referrals.

Data from ongoing projects indicate that these tasks, on the average per defendant, could be completed quite speedily. For example, published data and those gathered during on-site visits for this study reveal that actual interview time may range from approximately 7 to 15 minutes, depending primarily on the experience of the person conducting the interview. Productive time spent on verification can amount to even less depending on whether one source can verify all information and the speed with which accurate police and court information can be compiled. Under ideal conditions, total time for the average interview and verification should amount to twenty minutes distributed equally among the two tasks. 'Screening' as defined here, would involve these tasks as well as others. To allow for this additional workload and for some less than ideal conditions during the interview/verification process, average screening time per defendant has been estimated at forty five minutes. Thus, the annual screening capacity per line staff year (1658 hours) would be 2212, and required staff would be 4.3. The corresponding average rate for staff members in six jurisdictions surveyed is 2287 screenings per line staff year, which produces a nearly identical staffing requirement. The six jurisdictions: Washington, D.C.; Hennepin County, Minnesota; Santa Clara County, California; and three New York City Boroughs.

"Pretrial Release Reviews/Screenings or Other Related Reviews" is based on adjusted workload capacity estimates from the Vera Institute of Justice Pretrial Services Agency for three boroughs (Brooklyn, Bronx and Staten Island). In the aggregate, these data should not be dissimilar to what might be found for an urban county. This work unit could include:

- 1) Reevaluation of the detained population, including documentation of time in detention (for speedy trial purposes), verification of information not verified prior to arraignment, preparation and presentation of verified information to the courts, assessment of service needs for defendants who request services or who could be recommended only for supervision;
- 2) Post-release assessment of service needs for releases who request services and/or might be diverted; and,
- 3) Referrals to service where appropriate.

Like the "screening" workload unit, this unit reflects tasks that would not be required for every defendant. The overall capacity estimate indicates that on the average, this type of review would take approximately twice as long as initial "screening", which included interviews, verification and other brief tasks. See A Report on the Operation of Pretrial Services Agency During the Period Between June, 1974 and November, 1975 (New York City, N.Y.: Vera Institute of Justice, February 1976).

"Diversion monitoring" is based on the following:

Diverted defendants:	.475
Average stay in diversion program:	x 4 months
Total diversion case months:	1,900
Monitoring time/case month:	x .25 hours
Total monitoring time for diversion cases:	475 hours
Staff requirement:	475 hrs. required + 1658 hrs. available
	= .28 staff
Staff workload capacity:	475 cases + .28 = 1696

"Notification and follow-up" includes letter notification of all court appearances to defendants released on OR, conditions not involving agency supervision and percentage bond. In addition, this function includes agency tasks associated with 1) tracking and documenting continuances and dispositions, and 2) defendant acknowledgment that notification was received. For defendants not acknowledging receipt, notification would include phone or personal contact as required. This function would also include attempts to locate defendants who fail to appear in court. Capacity estimate is based on adjusted Vera rates as discussed above, and assumes that letter notifications can be computer processed.

"Supervision" includes both direct contacts with defendants, service providers, other third parties, including follow up of FTA's. This is consistent with the pretrial agency's role as a service broker for defendants and as a "system" monitor of service delivery. Actual staffing estimates based on the workloads above would be:

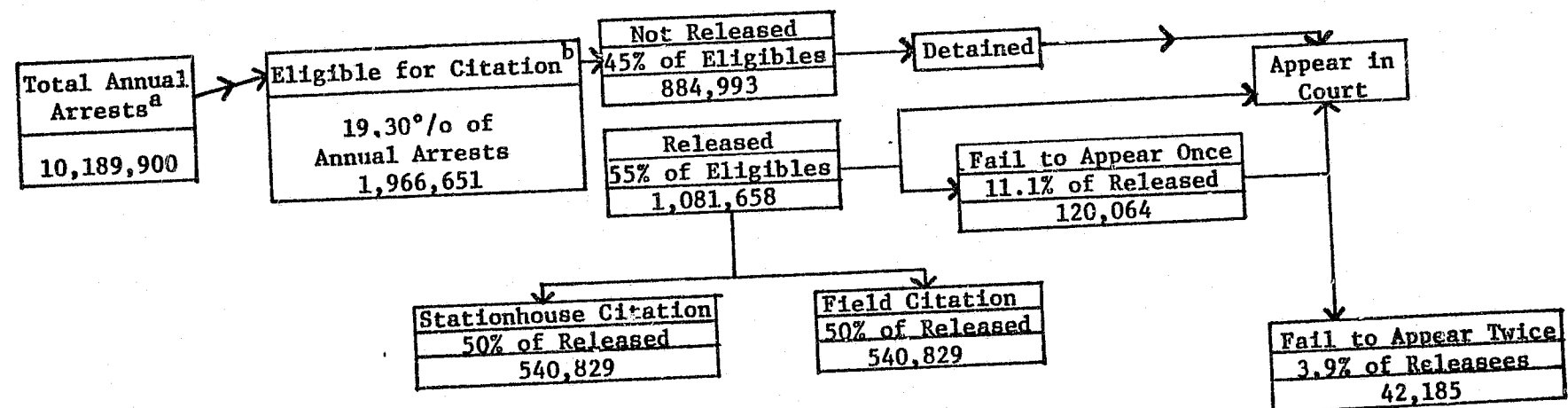
	Low Supervision	High Supervision
Defendants	300	100
Avg. Time on Release	x 2.5 mos.	x 2.5 mos.
Supervision Case Months	750	250
Supervision Hours/Case Month	x 4	x 8
Total Supervision Hours Required	3,000	2,000
Available Hours/Line Staff	+ 1,658	+ 1,658
Staff Requirement	1.8	1.2

Statistics from pretrial agencies do not normally identify levels of supervision and the statistics are almost uniformly presented in terms of caseloads, making it difficult to determine what type of supervision was provided. The caseload figures used here are higher than those for most projects surveyed. Actual caseloads in the sample agencies varied from approximately 12.5:1 to 20:1.

"Line/supervisory ratio" is the actual ratio for projects sampled in this study.

"Non-support/support staff ratio" is an adjusted ratio based on initial experience in Federal demonstration projects; 2.5:1 was felt by some to be adequate to support heavy reporting requirements associated with the demonstration effort; others believed a ratio of 3:1 was justified. The ratio used here represents a middle ground reflecting ongoing needs for research and management data from operating units, but in lesser quantity than required for a demonstration effort.

Appendix B - 3.
Case Flow Used for Analysis of Citation Activities
Nationwide, 1977



a - Arrest rates based on Uniform Crime Reports 1977; other flow statistics retained from original except eligible population. See text for details.

b - Assumption of original report/new statistic: 25% (Part II Misdemeanor Arrests)
All Arrests

Appendix B - 4
Estimated Resource Times of Activities
used for Analysis of Citation Activities ^a

<u>ACTIVITY</u>	<u>RESOURCE</u>	<u>TIME</u>
Field Citation	Patrol	15 min.
Stationhouse Citation (Transportation to stationhouse: 13 min.)	Patrol	30 min.
Booking (Transportation to stationhouse: 13 min.; Justification for non- release: 10 min.)	Patrol	75 min.
Custody to Arraignment	Patrol and Detention	7.5 min. 6 hours
Location and Prosecution of First Failures to Appear	Patrol	30 min.
Location and Prosecution of Second Failures to Appear	Patrol District Magistrate Prosecutor Public Defender	13 min. 30 min. 30 min. 30 min.

^a -See text for justification. No new data which would have altered these estimates was available.

Appendix B - 5
Resource Costs Used for
Analysis of Citation Activities

<u>TYPE OF RESOURCE</u>	<u>COST/TIME UNIT</u>
Patrol Officer	\$14.08/ hour ^a
District Magistrate	\$29.24/ hour ^b
Prosecutor	\$22.49/ hour ^b
Public Defender	\$26.17/ hour ^b

^a See text for details; average of high and low loaded cost inflated to 1978 dollars using GNP implicit deflator for State and Local Governments. Annual loaded salary = \$28,160; 2000 working hours. See original report for justification of those costs.

^b See text; 1974 estimates adjusted to 1978 dollars as above. Original figures supplied in hours only.

Appendix B-6 SAMPLE AND MODEL BUDGETS

Figure B1-A

Sample Budget of Annual Criminal Justice
Expenditures for an Operational, Employment Diversion Activity
(1978 dollars, Implicit Deflator)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS
PERSONNEL SERVICES			
Salaries and Wages			
1 Administrator	\$29,262	\$19,915	
1 Career/Job Developer	17,205	11,109	
7 Counselors (13,005 - 17,341 each)	121,384	91,038	
3 Screeners (12,057 - 14,631 each)	43,893	36,171	
1 Data Analyst/Researcher	21,405	14,902	
1 Secretary/Receptionist	12,870	8,941	
1 Accountant, halftime	10,973	7,722	
Total Salaries and Wages	\$256,992	\$189,798	
Fringe Benefits	38,549	28,470	
Overtime	1,897	1,355	
TOTAL PERSONNEL SERVICES	\$297,438	\$219,622	
OTHER DIRECT COSTS			
Travel	12,193	8,941	
Consultants	2,709	1,897	
Supplies and Equipment	12,193	8,941	
Duplication Services	2,709	1,897	
Rent, Utilities and Maintenance	22,082	16,257	
Communications	8,399	6,232	
Administration	11,380	8,399	
Bonding and Insurance	813	542	
Clients Emergency Fund	6,503	4,742	
Miscellaneous	3,793	2,709	
TOTAL OTHER DIRECT COSTS	\$69,498	\$50,802	
TOTAL ANNUAL CRIMINAL JUSTICE EXPENDITURES			
	\$380,212	\$280,178	
AVERAGE COST			
At Design Capacity of 260 Clients Per Year	Per Client Year Per Client	\$ 5,850 \$ 1,462	\$ 4,311 \$ 1,077
At Actual Total Clients Served of 250 Per Year	Per Client Year Per Client	\$ 6,083 \$ 1,521	\$ 4,483 \$ 1,120
Per "Successfully" Terminated Client at 200 Per year		\$ 1,914	\$ 1,401

Figure B1-B

Sample Budget of Annual Criminal Justice
Expenditures for an Operational, Employment Diversion Activity
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (H1/Low)
PERSONNEL SERVICES			
Wages and Salaries			
1 Administrator	\$26,248	\$19,308	
1 Career/Job Developer	16,495	10,652	
7 Counselors (\$10,302 - \$16,044)	112,308	72,111	
3 Screeners (\$11,493 - \$13,178)	39,534	34,478	
1 Data Analyst/Researcher	19,567	13,994	
1 Secretary/Receptionist	11,882	8,406	
1 Accountant (1/2 time)	10,035	6,281	
Total Wages and Salaries	\$236,069	\$165,230	
Fringe Benefits (19%)	44,853	31,394	
Overtime	1,751	1,274	
TOTAL PERSONNEL SERVICES	\$282,673	\$197,898	(77.8/77.0)
OTHER DIRECT COSTS			
Travel	12,304	9,023	
Consultants	2,502	1,783	
Supplies and Equipment	11,677	8,563	
Duplication Services	2,000	1,400	
Rent, Utilities and Maintenance	22,764	16,759	
Communications	6,842	5,077	
Administration	11,479	8,473	
Bonding and Insurance	820	546	
Clients Emergency Fund	6,559	4,783	
Miscellaneous	3,826	2,733	
TOTAL OTHER DIRECT COSTS	\$80,773	\$59,140	(22.2/23.0)
TOTAL ANNUAL CRIMINAL JUSTICE EXPENDITURES	\$363,446	\$257,038	
AVERAGE COST			
At Design Capacity of 260 Clients per Year	Per Client Year	\$5,592	\$3,954
	Per Client	\$1,398	\$ 989
At Actual Total Clients Served of 250 per Year	Per Client Year	\$5,815	\$4,113
	Per Client	\$1,454	\$1,028
Per "Successfully" Terminated Client at 200 per Year		\$1,817	\$1,285

Figure B2-A

Sample Budget of Annual Criminal Justice
Expenditures for an Operational Drug Diversion Activity
(1978 dollars, Implicit Deflator)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS
PERSONNEL SERVICES			
Wages and Salaries			
<u>Administrative Unit:</u>			
Project Director	\$29,940	\$23,843	
Deputy Director	19,102	13,276	
Administrative Assistant/Bookkeeper	18,560	11,922	
Secretary	10,702	9,212	
<u>Intake and Diagnostic Unit</u>			
Clinical Psychiatrist	36,984	23,843	
Social Worker	15,308	11,380	
Counselor	21,947	12,464	
Secretary	10,702	9,212	
<u>Screening Unit</u>			
Supervisor	15,308	13,818	
Interviewers (3 at \$11,922 and 12,734)	50,938	44,977	
Lab Technician	13,276	8,806	
Escort	11,109	9,890	
<u>Court Liaison Unit</u>			
(2 at \$11,922 and 13,276)	26,553	23,843	
<u>Tracking Unit</u>			
Supervisor of Evaluation	15,715	15,173	
Case Managers (4 at \$12,599 and 13,005)	52,022	50,396	
Statistical Clerk	11,380	9,890	
Records Clerk	10,025	8,535	
Secretary	10,702	9,212	
Total Wages and Salaries	\$380,273	\$309,691	
Fringe Benefits	57,041	46,454	
TOTAL PERSONNEL SERVICES	\$437,314	\$356,145	
OTHER DIRECT COSTS			
Travel	18,289	14,902	
Equipment	2,168	1,761	
Supplies	9,348	7,722	
Duplication Services	3,929	3,116	
Rent, Utilities and Maintenance	23,843	19,373	
Communications	5,554	4,471	
Urinanalyses (5,000 at \$3.73 and \$4.06)	20,321	18,628	
Miscellaneous	32,784	24,656	
TOTAL OTHER DIRECT COSTS	\$116,236	\$94,628	
TOTAL ANNUAL CRIMINAL JUSTICE EXPENDITURES	\$553,549	\$450,773	

AVERAGE COST

Per Client Year (250 per year)	\$2,214	\$1,803
Per Client Referral (500 per year)	\$1,107	\$ 901
Per "Successfully" Terminated Client (350 per year)	\$1,581	\$1,288

Figure B2-B

Sample Budget of Annual Criminal Justice Expenditures for an Operational Drug Diversion Activity (1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS
<u>PERSONNEL SERVICES</u>			
Wages and Salaries			
<u>Administrative Unit</u>			
Project Director	\$27,593	\$23,802	
Deputy Director	17,134	12,872	
Administrative Assistant/ Bookkeeper	17,136	11,207	
<u>Intake and Diagnostic Unit</u>			
Clinical Psychiatrist	34,434	23,096	
Social Worker	14,406	11,436	
Counselor	20,306	9,872	
Secretary	9,881	8,660	
<u>Screening Unit</u>			
Supervisor	14,134	12,990	
Interviewers (4)	47,029	42,282	
Lab Technician	11,893	8,101	
Escort	10,775	9,972	
<u>Court Liaison Unit (2)</u>	24,515	22,415	
<u>Tracking Unit</u>			
Supervisor of Evaluation	14,293	14,485	
Case Managers (4)	50,647	48,956	
Statistical Clerk	10,507	9,297	
Records Clerk	9,256	8,023	
Secretary	9,881	8,660	
Total Wages and Salaries	\$343,825	\$286,126	
Fringe Benefits (19%)	65,327	54,364	
TOTAL PERSONNEL SERVICES	\$409,152	\$340,490	
<u>OTHER DIRECT COSTS</u>			
Travel	18,456	15,038	
Equipment	2,076	1,687	
Supplies	8,995	7,431	
Duplication Service	2,900	2,300	
Rent, Utilities and Maintenance	24,579	19,971	
Communications	4,525	3,642	
Urinanalyses (5,000 at \$4.07 and \$4.43)	22,171	20,324	
Miscellaneous	33,071	24,871	
TOTAL OTHER DIRECT COSTS	\$116,773	\$95,264	
<u>TOTAL ANNUAL CRIMINAL JUSTICE EXPENDITURES</u>	\$525,925	\$435,754	

AVERAGE COST

Per Client Year (250 per year)	\$2,104	\$1,743
Per Client Referral (500 per year)	\$1,052	\$ 871
Per "Successfully" Terminated Client (350 per year)	\$1,503	\$1,245

Figure B3-A
Model Budget for a Pretrial
Services Agency
(1978 Dollars, Implicit Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Wages and Salaries			
Administration			
Director	\$30,253	\$24,233	
Deputy Director	23,755	17,941	
Secretary	10,702	9,212	
Clerk/Typist	8,941	6,925	
Screening and Notification			
Pretrial Supervisor	19,873	14,632	
Notification			
Supervisor	16,104	12,428	
Senior Screener	16,104	12,428	
4 Screeners (10,816-14,677)	58,546	43,265	
4 Processors (10,161-13,351)	53,403	40,642	
Case Aide	13,737	10,357	
Secretary	10,702	9,212	
2 Clerk/Typists (6,925-8,941)	17,882	13,851	
Supervision			
Pretrial Supervisor	20,061	15,448	
3 Counselors (12,428 - 16,104)	48,311	37,285	
Clerk/Typist	8,941	6,925	
Total Wages and Salaries	\$357,315	\$274,785	
Fringe Benefits (15%)	53,597	41,218	
TOTAL PERSONNEL COSTS	\$410,913	\$316,003	(81.3)
OTHER DIRECT COSTS			
Travel	5,194	4,511	
Supplies	7,145	5,267	
Communication	7,340	6,048	
Printing and			
Reproduction	6,048	2,439	
Contract Services	5,560	4,584	
Training	2,975	2,536	
Rent, Utilities			
and Maintenance	18,598	15,379	
Equipment	4,721	4,721	
Other	3,820	1,734	
TOTAL OTHER DIRECT COSTS	\$61,400	\$47,219	(12.2)

TOTAL DIRECT BUDGETARY COSTS	\$472,313	\$363,222	
INDIRECT AND ADMINIS- TRATIVE COSTS	33,062	25,426	(6.5)
TOTAL ANNUAL CRIMINAL JUSTICE SYSTEM PUBLIC EXPENDITURES	\$505,375	\$388,648	

Figure B3-B
Model Budget for a Pretrial
Services Agency
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Wages and Salaries			
Administration			
Director	\$27,881	\$24,192	
Deputy Director	21,309	17,395	
Secretary	9,881	8,660	
Clerk/Typist	8,255	6,511	
Screening and Notification			
Pretrial Supervisor	18,315	14,607	
Notification			
Supervisor	14,841	12,407	
Senior Screener	14,841	12,407	
4 Screeners (10,310-13,183)	52,731	41,240	
4 Processors (9,552-12,364)	49,306	38,207	
Case Adie	12,683	9,736	
Secretary	9,881	8,660	
2 Clerk/Typist (6,511-8,255)	16,510	13,021	
Supervision			
Pretrial Supervisor	18,488	15,421	
3 Counselors (9,844-14,900)	44,699	29,533	
Clerk/Typist	8,255	6,511	
Total Wages and Salaries	\$327,876	\$258,508	
Fringe Benefits (19%)	62,296	49,117	
TOTAL PERSONNEL COSTS	\$390,172	\$307,625	(81.3)
OTHER DIRECT COSTS			
Travel	5,242	4,553	
Supplies	6,876	5,069	
Communication	5,979	4,927	
Printing and			
Reproduction	4,464	1,800	
Contract Services	5,133	4,310	
Training	2,975	2,536	
Rent, Utilities			
and Maintenance	19,172	15,854	
Equipment	4,522	4,522	
Other	3,820	1,734	
TOTAL OTHER DIRECT COSTS	\$58,183	\$45,305	(12.0)

TOTAL DIRECT BUDGETARY COSTS	\$448,355	\$352,930	
INDIRECT AND ADMINIS- TRATIVE COSTS	33,062	25,426	(6.7)
TOTAL ANNUAL CRIMINAL JUSTICE SYSTEM PUBLIC EXPENDITURES	\$481,417	\$378,356	

Figure B-7

Estimated Flow Rates and Procedural Costs Nationwide for
Criminal Justice Activities^a

<u>Activity</u>	<u>Population</u>	<u>Average: Resource - Time - Cost</u>			<u>Nationwide Total Costs</u>
Field Citation	540,829	Patrol	15 min.	\$0.21/min.	\$1,703,611
Stationhouse Citation	540,829	Patrol	30 min.	\$0.21/min.	3,407,222
Booking	884,993	Patrol	75 min.	\$0.21/min.	13,938,639
Custody to Arraignment	884,993	Patrol	7.5 min.	\$0.21/min.	6,602,048
		Detention	6 hours	\$23.51/day	
FTA # 1	120,064	Patrol	30 min.	\$0.21/min	756,403
FTA # 2	42,185	Patrol	13 min.	\$0.21/min	
		District			
		Magistrate	30 min.	29.24/hr.	
		Prosecutor	30 min.	22.49/hr.	1,758,271
		Public			
		Defender	30 min.	26.17/hr.	

^a Except as otherwise noted, percentages and cost estimates appear as footnotes to Figures and . See Appendix for case flow percentages, resource times and costs.

^b Federal Bureau of Investigation, Uniform Crime Reports for the United States 1977, (Washington, D.C., 1978)

Appendix C-2 MODEL BUDGETS

C-1. Sample Description

SELECTED CHARACTERISTICS OF A SAMPLE OF PROBATION DEPARTMENTS STUDIED

Location	Type	Population (1974)	Active Supervision Cases (1974)	Presentence Investigations	Unit Workload Values Presentence Investigations ^d (hrs./invest.)	Supervision Case (hrs./month)
Contra Costa County, California	County	583,600	5,048	5,592	6.8	.7
Santa Clara County, California	County	1,181,600	7,193	8,105	4.7 regular (10.3 intensive)	1.2 - 1.6
Alameda County, California	County	1,088,600	13,185	11,458	N.A.	N.A.
San Mateo County, California	County	572,600	3,795	3,619	9.0	I-1.2 II-1.6 III-2.6 (34%) (49%) (17%)
Multnomah County, Oregon	County	538,500	1,758	1,603	N.A.	.5
Multnomah County, Oregon	State	538,500	2,350 ^b	4,200 ^b	2.8 regular (20-40 Impact)	.8 regular (2-8 Impact)
King County, Washington	State	1,134,500	3,697 ^b	15,481 ^b	6.2 - 7.0	I-.3 II-.5 III-2.3 IV-3.3 (38%) (35%) (19%) (8%)
Seattle, Washington	Municipal	503,073 ^a	435 ^c	1,155 ^c	3.3 - 5.0	.8-2
El Paso County, Texas	County	410,000	1,473	112	6.0 - 7.0	1.5
Hennepin County, Minnesota	County	924,800	1,913 ^b	1,293 ^a	6.0	1.5
Dade and Monroe Counties, Florida	State	1,468,700	6,791	4,187	4.5 - 6.0	.5 - 2.5
Jefferson County, New York	State	90,800	179	279	N.A.	N.A.
Lewis County, New York	State	25,100	70	76	N.A.	N.A.
District of Columbia		733,801 ^a	3,523	4,008	5.0	1.0 - 2.5

^aPopulation estimates for cities are for 1973; 1974 estimates had not been completed.^bSuperior courts only.^cMunicipal courts only.^dMultiple estimates refer to different classifications. IMPACT is the High Impact Anti-Crime Program.

Figure C1-A
Model Budget for Administrative Division
(1978 dollars, Implicit Index)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$27,617	\$22,120	
Assistant Director	25,292	20,110	
Manager Budget	24,704	18,640	
Statistical Reporting			
Statistician/Research	14,333	10,736	
Analyst			
Personnel Specialist	14,317	10,940	
3 Support Personnel	24,487	18,966	
Total Wages and Salaries	\$130,750	\$101,518	
Fringe Benefits (15%)	19,613	15,228	
TOTAL PERSONNEL COSTS	\$150,363	\$116,746	(91.0/90.5)
NON-PERSONNEL			
Rent, Utilities, Maintenance	5,659	4,680	
Communications	1,861	1,521	
Supplies	1,812	1,336	
Travel	1,843	1,602	
Training	1,057	903	
Purchased Services	1,830	1,515	
Other	890	643	
TOTAL NON-PERSONNEL COSTS	\$14,953	\$12,211	
TOTAL OPERATING COSTS	\$165,316	\$128,945	(9.0/9.5)

Figure C1-B
Model Budget for the Administrative Division
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$27,550	\$23,642	
Assistant Director	25,998	19,889	
Manager Budget	25,394	18,428	
Statistical Reporting			
Statistician/Research	13,575	10,423	
Analyst			
Personnel Specialist	19,067	10,372	
3 Support Personnel	25,171	18,750	
Total Wages and Salaries	\$136,755	\$101,504	
Fringe Benefits (15%)	25,983	19,286	
TOTAL PERSONNEL COSTS	\$162,738	\$120,790	(91.7/90.0)
NON-PERSONNEL			
Rent, Utilities, Maintenance	5,778	4,778	
Communications	1,609	1,315	
Supplies	1,739	1,282	
Travel	1,863	1,619	
Training	1,057	903	
Purchased Services	1,881	1,498	
Other	890	643	
TOTAL NON-PERSONNEL COSTS	\$14,817	\$12,038	
TOTAL OPERATING COSTS	\$177,556	\$132,828	(8.3/10.0)

Figure C2-A
Model Budget for the Services
to the Courts Division
(1978 Dollars, Implicit Index)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (H1/Low)
PERSONNEL			
Salaries and Wages			
Director	\$22,966	\$18,113	
3 Supervisors	54,939	42,306	
18 Probation Officers	264,612	204,219	
10 Support Personnel	81,622	63,220	
Total Salaries and Wages	\$401,878	\$327,858	
Fringe Benefits (15%)	63,621	49,179	
TOTAL PERSONNEL COSTS	\$487,759	\$377,036	(82.6/82.1)
NON-PERSONNEL			
Indirect (Administrative)	39,107	30,503	
Rent, Utilities, Maintenance	22,637	18,719	
Communications	8,189	6,747	
Supplies	7,972	5,877	
Travel	8,108	7,047	
Training	4,653	3,972	
Purchased Services	8,128	6,666	
Other	3,918	2,830	
TOTAL NON-PERSONNEL COSTS	\$102,710	\$82,363	(17.4/17.9)
TOTAL OPERATING COSTS	\$590,470	\$459,397	
AVERAGE COSTS	HIGH	LOW	MEAN
Probation Officer working hour	\$20.07	\$15.61	\$17.83
Presentence Investigation			
Long Form	150.54	117.05	133.75
Short Form	90.33	70.23	80.25
Regular Completion Processing	5.02	3.91	4.46
Early Termination Processing	8.03	6.25	7.14
Revocation Processing	130.47	101.45	115.92

Figure C2-B
Model Budget for the Services
to the Courts Division
(1978 Dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (H1/Low)
PERSONNEL			
Salaries and Wages			
Director	\$23,607	\$17,907	
3 Supervisors	51,845	45,219	
18 Probation Officers	243,340	202,239	
10 Support Personnel	83,902	62,501	
Total Salaries and Wages	\$402,694	\$327,866	
Fringe Benefits (15%)	76,512	62,295	
TOTAL PERSONNEL COSTS	\$479,206	\$390,161	(82.4/82.7)
NON-PERSONNEL			
Indirect (Administrative)	39,107	30,503	
Rent, Utilities, Maintenance	23,112	19,111	
Communications	7,081	5,834	
Supplies	7,653	5,642	
Travel	8,195	7,123	
Training	4,653	3,972	
Purchased Services	8,355	6,590	
Other	3,918	2,830	
TOTAL NON-PERSONNEL COST	\$102,074	\$81,605	(17.6/17.3)
TOTAL OPERATING COSTS	\$581,280	\$471,766	
AVERAGE COSTS	HIGH	LOW	MEAN
Probation Officer working hour	\$19.76	\$16.04	\$17.90
Presentence Investigation			
Long Form	148.20	120.28	134.24
Short Form	88.92	72.17	80.55
Regular Completion Processing	4.95	4.01	4.48
Early Termination Processing	7.90	6.41	7.16
Revocation Processing	128.36	104.18	116.27

Figure C3-A
Model Budget for the Services
to Probationers Division
(1978 Dollars, Implicit Index)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$22,966	\$18,113	
10 Supervisors	183,131	141,021	
60 Probation Officers	882,039	680,729	
28 Support Personnel	228,542	177,016	
Total Salaries and Wages	\$1,316,677	\$1,013,630	
Fringe Benefits (15%)	197,502	152,045	
TOTAL PERSONNEL COSTS	\$1,514,180	\$1,168,924	(82.2/81.6)
NON-PERSONNEL			
Indirect (Administrative)	126,209	98,441	
Rent, Utilities, Maintenance	70,032	57,911	
Communications	26,430	21,776	
Supplies	25,727	18,966	
Travel	26,166	22,742	
Training	12,141	12,820	
Purchased Services	25,991	21,512	
Other	12,644	9,132	
TOTAL NON-PERSONNEL COSTS	\$328,213	\$263,300	
TOTAL OPERATING COSTS	\$1,842,392	\$1,432,224	(17.8/18.4)
AVERAGE COSTS	HIGH	LOW	MEAN
Probation Officer working hour	\$18.79	\$14.61	\$16.70
Needs Assessment Costs	84.54	65.73	75.13
Supervision/Service Delivery			
Minimum	\$14.10/month (169.18/year)	\$10.96/month (131.49/year)	\$12.53/month (150.33/year)
Low (service needs)	34.37/month (336.98/year)	21.91/month (262.97/year)	12.68/month (300.52/year)
Medium	37.57/month (450.85/year)	29.21/month (350.53/year)	33.39/month (400.69/year)
High (service needs)	56.36/month (676.28/year)	43.82/month (523.32/year)	50.09/month (601.04/year)
Maximum			

Figure C3-B
Model Budget for the Services
to Probationers Division
(1978 Dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$23,607	\$17,907	
10 Supervisors	172,816	150,729	
60 Probation Officers	811,133	674,131	
28 Support Personnel	234,926	175,014	
Total Salaries and Wages	\$1,242,482	\$1,017,781	
Fringe Benefits (19%)	236,072	193,378	
TOTAL PERSONNEL COSTS	\$1,478,554	\$1,211,159	(82.1/82.3)
NON-PERSONNEL			
Indirect (Administrative)	126,209	98,441	
Rent, Utilities, Maintenance	71,501	59,126	
Communications	22,852	18,828	
Supplies	24,699	18,208	
Travel	26,481	22,986	
Training	12,141	12,820	
Purchased Services	26,717	21,268	
Other	12,644	9,132	
TOTAL NON-PERSONNEL COSTS	\$323,244	\$260,809	(17.9/17.7)
TOTAL OPERATING COSTS	\$1,801,798	\$1,471,968	
AVERAGE COSTS	HIGH	LOW	MEAN
Probation Officer working hour	\$18.37	\$15.01	\$16.69
Needs Assessment Costs	82.68	67.54	75.11
Supervision/Service Delivery			
Minimum	\$13.79/month (165.45/year)	\$11.26/month (135.17/year)	\$12.53/month (150.30/year)
Low (Service needs)	33.61/month (403.33/year)	27.46/month (329.50/year)	30.54/month (366.42/year)
Medium	36.74/month (440.88/year)	30.02/month (360.21/year)	33.38/month (400.58/year)
High (service needs)	55.12/month (661.44/year)	45.03/month (540.36/year)	50.07/month (600.87/year)
Maximum			

Figure C4-A
Model Budget for Rural County
Probation
(1978 dollars, Implicit Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW
PERSONNEL		
Wages and Salaries		
Administrative Division		
Director	\$27,617	\$22,120
Assistant Director	25,292	20,117
Budget analyst/ Statistician	17,528	13,458
Personnel Specialist	14,317	10,940
3 Support Personnel	24,487	18,966
Total Wages and Salaries	\$109,240	\$85,601
Fringe Benefits (15%)	16,386	12,841
Total Administrative Division	\$125,627	\$98,441
Services to the Courts Division		
2 Supervisors	36,626	28,204
7 Probation Officers	102,905	79,418
4 Support Personnel	32,649	25,288
Total Wages and Salaries	\$172,180	\$132,911
Fringe Benefits (15%)	25,827	19,937
Total Services to the Courts Division	\$198,007	\$152,848
Services to Probationers Division		
4 Supervisors	73,252	56,408
23 Probation Officers	338,115	260,946
11 Support Personnel	89,784	69,542
Total Wages and Salaries	\$501,152	\$386,897
Fringe Benefits (15%)	75,173	58,035
Total Services to Pro- bationers Division	\$576,325	\$444,931
TOTAL PERSONNEL COSTS	\$899,958	\$696,220
NON-PERSONNEL		
Rent, Utilities and Maintenance	41,029	33,928
Communications	17,570	14,476
Supplies	14,494	10,685
Travel	17,394	15,119
Training	8,459	7,222
Purchased Services	14,643	12,120
Other	7,123	5,145
TOTAL NON-PERSONNEL COSTS	\$120,712	\$98,694
TOTAL OPERATING COSTS	\$1,020,670	\$736,150

	HIGH	LOW	MEAN
AVERAGE COSTS			
Services to the Courts			
Probation Officer Working Hours	\$ 22.71	\$ 17.69	\$ 20.20
Long Form Presentence Investigation	170.29	132.64	151.47
Short Form Presentence Investigation	102.18	79.58	90.89
Regular Completion Processing	5.68	4.43	5.05
Early Termination Processing	9.08	7.07	8.08
Relocation Processing	147.59	114.95	131.28
Services to Probationers			
Probation Officer Working Hours	\$ 20.24	\$ 15.77	\$ 18.01
Needs Assessment Supervision/Service Delivery	91.11	70.96	81.03
Minimum	\$ 15.19/month (182.24/year)	\$ 11.82/month (141.87/year)	\$ 13.51/month (162.06/year)
Medium - Low (Service Needs)	30.37/month (364.48/year)	23.66/month (283.90/year)	27.01/month (324.11/year)
High (Service Needs)	40.49/month (485.88/year)	31.54/month (378.43/year)	36.01/month (432.15/year)
Maximum	60.73/month (728.81/year)	47.30/month (567.65/year)	54.02/month (648.23/year)

Figure C4-B
Model Budget for Rural County
Probation
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW
PERSONNEL		
Wages and Salaries		
Administrative		
Director	\$27,550	\$23,642
Assistant Director	25,998	19,889
Budget analyst/ Statistician	16,600	13,066
Personnel Specialist	19,067	10,372
3 Support Personnel	25,171	18,787
Total Wages and Salaries	\$114,386	\$85,756
Fringe Benefits (19%)	21,733	16,294
Total Administrative Division	\$136,119	\$102,050
Services to the Courts Division		
2 Supervisors	34,563	30,146
7 Probation Officers	94,632	78,649
4 Support Personnel	33,561	25,049
Total Wages and Salaries	\$162,756	\$133,844
Fringe Benefits (19%)	30,924	25,430
Total Services to the Courts Division	\$193,680	\$159,274
Services to Probationers Division		
4 Supervisors	69,126	60,292
23 Probation Officers	310,934	258,417
11 Support Personnel	92,292	68,751
Total Wages and Salaries	\$472,352	\$387,460
Fringe Benefits (19%)	89,747	73,617
Total Services to Pro- bationers Division	\$562,099	\$461,077
TOTAL PERSONNEL COSTS	\$891,898	\$722,401
NON-PERSONNEL		
Rent, Utilities and Maintenance	41,890	34,640
Communications	15,191	12,516
Supplies	13,915	10,258
Travel	17,581	15,281
Training	8,459	7,222
Purchased Services	15,052	11,982
Other	7,123	5,145
TOTAL NON-PERSONNEL COSTS	\$119,211	\$97,044
TOTAL OPERATING COSTS	\$1,011,109	\$819,445

	HIGH	LOW	MEAN
AVERAGE COSTS			
Services to the Courts			
Probation Officer Working Hours	\$ 22.49	\$ 18.23	\$ 20.36
Long Form Presentence Investigation	168.70	136.72	152.71
Short Form Presentence Investigation	101.22	82.03	91.63
Regular Completion Processing	5.62	4.56	5.09
Early Termination Processing	8.99	7.29	8.14
Relocation Processing	146.21	118.49	132.35
Services to Probationers			
Probation Officer Working Hours	\$ 20.06	\$ 16.25	\$ 36.31
Needs Assessment	90.25	73.15	81.70
Supervision/Service Delivery			
Minimum	\$ 15.04/month (180.53/year)	\$ 12.19/month (146.31/year)	\$ 13.62/month (163.38/year)
Medium - Low (Service Needs)	30.09/month (361.07/year)	24.39/month (292.62/year)	27.24/month (326.88/year)
High (Service Needs)	40.11/month (481.32/year)	32.51/month (390.08/year)	36.31/month (435.72/year)
Maximum	60.17/month (721.99/year)	48.76/month (585.13/year)	54.47/month (653.58/year)

D-1. HALFWAY HOUSE SAMPLE DESCRIPTION

The thirty halfway houses used in the sample budget estimation were selected in two stages. The first requirements were the availability of detailed cost and expenditure data and a reasonable assurance that the programs could be replicated. The first criterion was obviously necessary for a cost analysis; the second was a consequence of the Project's goal to provide guidelines for state and local administrators, planners, and researchers. Based on a literature review and consultation with project advisors, an additional set of five criteria were imposed to produce a degree of representativeness:

- size in terms of capacity;
- services provided;
- auspices in terms of state, private single house, private multiple house;
- location in terms of region, city size, and neighborhood; and
- types of clients served.

It was not possible to rigidly stratify sample selection because the proportionate distribution of these five characteristics among the population of halfway houses was unknown. Thirty houses were selected that represented a mix in terms of size, services, auspices, location and clientele.

Houses Included in the Sample

<u>HALFWAY HOUSE PROGRAM</u>	<u>LOCATION</u>	<u>POPULATION^a</u>
Talbert House, Inc. (five houses)	Cincinnati, Ohio	426,245
Dismas House	Kansas City, Missouri	487,799
Reality House	Columbia, Missouri	60,832
Morman House	Farmington, Missouri	7,250
Magdala Foundation (four houses)	St. Louis, Missouri	558,006
Home of Industry for Discharged Prisoners (HIDP)	Philadelphia, Pennsylvania	1,861,719
Community Outreach Services (COS)	Daytona Beach, Florida	47,352
Jacksonville Adult Development Centers Project (JADCP) (four houses)	Jacksonville, Florida	521,953
Washington Halfway House for Women (WHHW)	Washington, D. C.	733,801
Bureau of Rehabilitation for National Capital Area (BRNCA) (five houses)	Washington, D. C.	733,801
District of Columbia Depart- ment of Corrections (three community correc- tions centers)	Washington, D. C.	733,801
Georgia Department of Corrections (three adjustment centers)	Atlanta, Georgia	451,123
Minnesota Department of Corrections: Project Reentry Restitution Center	Minneapolis, Minnesota	382,423

Washington Department of Social Health Services Comm-Home House	Pasco, Washington	14,277
Pioneer Fellowship House	Seattle, Washington	503,073
Family House	Seattle, Washington	503,073
Opportunity Center	Waco, Texas	98,713

^aPopulation estimates are for 1973 and are from the U. S. Bureau of the Census.

Figure D-1A

Sample Budget for a House Providing
Basic In-House Services
(1978 dollars, Implicit Index)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$21,635	\$16,515	
Assistant Director/ Supervisor	17,255	13,347	
Counselor	15,926	12,083	
Night Counselor	12,790	9,703	
Part-Time Counselor	6,199	3,498	
Secretary/Bookkeeper	10,358	8,311	
Housekeeper/Cook	9,470	7,516	
Total Wages and Salaries	\$93,634	\$70,973	
Fringe Benefits	14,044	10,645	
TOTAL PERSONNEL COSTS	\$107,678	\$81,619	(59.4/72.2)
NON-PERSONNEL			
Professional Fees and Contract Services	5,476	1,388	
Travel and Transportation	4,862	2,282	
Rent/Rental Equivalent	16,652	6,428	
Maintenance	3,334	1,782	
Utilities	5,809	2,506	
Communications	3,281	1,875	
Supplies	4,896	1,167	
Food	24,388	13,108	
Other	2,787	954	
TOTAL NON-PERSONNEL COSTS	\$71,485	\$31,491	
<u>TOTAL OPERATING COSTS</u>	\$180,727	\$113,110	(39.6/27.8)
Annual Cost (18)	\$ 10,040	\$ 6,283	
Daily Cost per Client	\$27.51	\$17.22	

Figure D-1B

Sample Budget for a House Providing
Basic In-House Services
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$19,939	16,344	
Assistant Director/ Supervisor	15,478	12,829	
Counselor	14,736	9,488	
Night Counselor	12,406	9,699	
Part-time Counselor	5,834	3,485	
Secretary/Bookkeeper	9,563	7,646	
Housekeeper/Cook	8,743	7,005	
Total Wages and Salaries	\$86,699	\$66,496	
Fringe Benefits (19%)	16,473	12,634	
TOTAL PERSONNEL COSTS	\$103,171	\$79,130	(59.5/72.2)
NON-PERSONNEL			
Professional Fees and Contract Services	5,524	1,388	
Travel and Transportation	4,907	2,283	
Rent/Rental Equivalent	16,842	6,445	
Maintenance	3,400	1,801	
Utilities	6,167	2,637	
Communications	2,673	1,514	
Supplies	4,712	1,113	
Food	23,253	12,390	
Other	2,811	954	
TOTAL NON-PERSONNEL COSTS	\$70,289	\$30,525	(40.5/27.8)
<u>TOTAL OPERATING COSTS</u>	\$173,460	\$109,655	
Annual Cost (18)	\$9,637	\$6,092	
Daily Cost per Client	\$26.40	\$16.69	

Figure D-2A

Sample Budget for a House Providing
Basic In-House Services
Plus Community Resource Referral
(1978 dollars, Implicit Index)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$21,824	\$16,515	
Assistant Director/ Supervisor	17,406	13,347	
Community Resource Manager	16,065	12,083	
Counselor	16,065	12,083	
Night Counselor	6,253	9,703	
Secretary/Bookkeeper	10,449	3,498	
Housekeeper/Cook	9,552	7,516	
Total	\$110,516	\$83,056	
Fringe Benefits	16,578	12,459	
TOTAL PERSONNEL COSTS	\$127,094	\$95,515	(63.6/75.1)
NON-PERSONNEL			
Professional Fees and Contract Services	5,524	1,388	
Travel and Transportation	5,112	2,382	
Rent/Rental Equivalent	16,798	6,428	
Maintenance	3,363	1,782	
Utilities	5,860	2,506	
Communications	3,500	1,984	
Supplies	5,152	1,219	
Food	24,601	13,108	
Other	2,811	954	
TOTAL NON-PERSONNEL COSTS	\$72,720	\$31,752	(36.4/24.9)
TOTAL OPERATING COSTS	\$199,813	\$127,267	
Annual Average Cost (18)	\$ 11,100	\$ 7,070	
Daily Cost per Client *	\$30.42	\$19.38	

Figure D-2B

Sample Budget for a House Providing Basic
In-House Services Plus Community Resource Referral
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Wages and Salaries			
Director	\$19,939	\$16,344	
Assistant Director/ Supervisor	15,478	12,829	
Community Resource Manager	14,735	9,488	
Counselor	14,735	9,488	
Night Counselor	12,406	9,699	
One Part-time Counselor	5,834	3,485	
Secretary/Bookkeeper	9,563	7,646	
Cook/Housekeeper	8,743	7,005	
Total Wages and Salaries	\$101,433	\$75,984	
Fringe Benefits (19%)	19,272	14,437	
TOTAL PERSONNEL COSTS	\$120,705	\$90,421	(63.0/74.6)
NON-PERSONNEL			
Professional Fees and Contract Services	5,524	1,388	
Travel and Transportation	5,114	2,383	
Rent/Rental Equivalent	16,842	6,445	
Maintenance	3,400	1,801	
Utilities	6,167	2,637	
Communications	2,826	1,602	
Supplies	4,915	1,163	
Food	23,253	12,390	
Other	2,811	954	
TOTAL NON-PERSONNEL	\$70,852	\$30,763	(37.0/25.4)
TOTAL OPERATING COSTS	\$191,557	\$121,184	
Annual Average Cost (18)	\$10,643	\$ 6,732	
Daily Cost per Client	\$29.16	\$18.45	

Figure D-3A

Sample Budget for a House Providing
Comprehensive In-House Services
(1978 dollars, Implicit Index)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Salaries and Wages			
Director	\$21,824	\$16,515	
Assistant Director	17,406	13,347	
Counselors (3)	48,196	36,249	
Psychologist/Evaluator (1/2 time)	9,908	7,926	
Night Counselor	12,902	9,703	
Part-Time (two) Counselors	12,507	6,997	
Secretary/Bookkeeper	10,449	8,311	
Housekeeper/Cook	9,552	7,516	
Total	\$143,234	\$106,564	
Fringe Benefits	21,485	15,985	
TOTAL PERSONNEL COSTS	\$164,719	\$122,548	(68.5/78.8)
NON-PERSONNEL			
Professional Fees and Contract Services	5,524	1,388	
Equipment	1,695	763	
Travel and Transportation	5,541	2,583	
Rent/Rental Equivalent	16,798	6,428	
Maintenance	3,363	1,782	
Utilities	5,860	2,506	
Communications	3,888	2,204	
Supplies	5,585	1,321	
Food	24,002	13,108	
Other	2,811	954	
TOTAL NON-PERSONNEL COSTS	\$75,665	\$33,038	(31.5/21.2)
<u>TOTAL OPERATING COSTS</u>	\$240,384	\$155,586	
Annual Average Cost (18)	\$13,355	\$ 8,644	
Daily Cost Per Client	\$36.58	\$23.68	

Figure D-3B

Sample Budget for a House Providing
Comprehensive In-House Services
(1978 dollars, Item Indexes)

ITEM	AVERAGE HIGH	AVERAGE LOW	PERCENT OF TOTAL COSTS (Hi/Low)
PERSONNEL			
Wages and Salaries			
Director	\$19,939	\$16,344	
Assistant Director	15,478	12,829	
Counselors (3)	44,206	28,464	
Psychologist/Evaluator (half-time)	9,145	7,611	
Night Counselor	12,406	9,699	
Two Part-time Counselors	11,668	6,971	
Secretary/Bookkeeper	9,563	7,646	
Cook/Housekeeper	8,743	7,005	
Total Wages and Salaries	\$131,148	\$96,569	
Fringe Benefits (19%)	24,918	18,348	
TOTAL PERSONNEL	\$156,066	\$114,917	(68.0/78.2)
NON-PERSONNEL			
Professional Fees and Contract Services	5,524	1,388	
Equipment	1,617	727	
Travel and Transportation	5,544	2,584	
Rent/Rental Equivalent	16,842	6,445	
Maintenance	3,400	1,801	
Utilities	6,167	2,637	
Communications	3,140	1,780	
Supplies	5,328	1,261	
Food	23,253	12,390	
Other	2,811	954	
TOTAL NON-PERSONNEL COSTS	\$73,626	\$31,967	(32.0/21.8)
<u>TOTAL OPERATING COSTS</u>	\$229,692	\$146,884	
Annual Average Cost (18)	\$12,761	\$8,160	
Daily Cost per Client	\$34.96	\$22.36	

Samples and Sources used in
Institutional-Based Programs and Parole

1. Costs of Custodial Facilities

Nineteen recently completed or planned institutions served as the base for estimating capital costs. Eight were high-security institutions, six were medium-security and five were jails, producing an average bed cost in 1974 dollars of \$37,117, \$28,480, and \$27,342 respectively. These estimates were supported by other studies: Wayson, Funke, et al, The Costs of Jail Standards Compliance in Washington State (Correctional Economics Center, 1975); National Clearinghouse for Criminal Justice Planning and Architecture, Planning and Design Institute, Rhode Island Pre-Design (Champaign, Illinois: Planning and Design Institute, 1974); and miscellaneous sources such as Expenditure and Employment Data for the Criminal Justice System and selected state data. The original architectural data have been adjusted to 1978 dollars for this report; additional studies are noted in the text.

2. Operating Costs for Custodial and Support Services

Expenditures were derived primarily from Expenditure and Unemployment Data for the Criminal Justice System (Bureau of the Census/L.E.A.A.). Data were only available for 1973 so allowances were made to 1974 dollars, and fringe benefits were added. Jail staffing information was obtained from The Nation's Jails (U.S. Department of Justice, L.E.A.A.). Information on additional positions was obtained from State Salary Survey (U.S. Civil Service Commission). Inmate populations were available through National Prisoner Statistics and the 1972 Survey of Inmates of Local Jails (Bureau of the Census/L.E.A.A.) (The next jail survey was performed in 1978; summary data were available for this report).

In general, selected state or local sources were used to verify assumptions or create statistics useful to the analysis. For example, the proportion of .875 for custodial and support services in state institutions was based on information from California, Vermont and Maryland.

3. Other Costs of Custody and Basis Support

This section addressed opportunity and external costs. For the former, the foregone productivity of inmates was derived from Neil Singer, The Value of Adult Inmate Manpower, supported by other research and the Survey of Inmates of Local Jails. External costs were treated verbally rather than numerically.

4. Parole Costs

This section dealt with improving staff quality and used such sources as The Book of the States (Lexington, Kentucky: Council of State Governments); Pay Rates in the Public Service (Washington, D.C., International Personnel Management Association); State Salary Survey

as principal documents to estimate costs of parole in concert with the standards.

5. Education and Training

Selected state information provided the basis for most of the estimates, such as California DOC: Budget; John McKee, The Draper Project, MDTA Experimental and Demonstration Findings; Albert Roberts, Sourcebook on Prison Education. These provided data on participation rates and program costs. Sources such as the CEEB in Princeton were used for college costs. Other sources included: Hans Mattick, Contemporary Jails; Steve Barsby, Cost-Benefit Analysis and Manpower Programs (on benefits of training); and Robert Taggart, Prison of Unemployment (training costs).

6. Work Experience in Institutions

The major estimates on labor productivity and capital stock were derived from earlier work in the report on potential inmate productivity and capital costs. General background was supplied by: Georgetown University Law Center, Institute of Criminal Law and Procedure, The Role of Prison Industries Now and in the Future: A Planning Study; Jean Dempsey Wolf, Inmate Employment Programs in Federal and State Correctional Institutions (Washington, D.C.: Congressional Research Service, October, 1973).

7. Services for Released Offenders

No cost estimates were developed but results of various studies were cited. Some background information from the States of Minnesota and California was used. Parolee services discussed gate money, referring to several projects providing stipends to released offenders; job placement costs had several sources, including U.S. Department of Labor, "The Model Ex-Offender Program."

8. Rights of Inmates

Legal services and grievance procedures were the two key inmate rights which were evaluated in dollar terms. Several state legal services programs were surveyed (Texas, Vermont, Massachusetts, Ohio) to arrive at a lower bound which was then raised based on information from the ABA's Resource Center on Correctional Law and Legal Services, Providing Legal Services to Prisoners; and Futures Group and National Consumer Center for Legal Services, Prepaid Legal Services: How to Start a Plan. Grievance procedure costs relied on a sampling of programs in Keating et al, Grievance Mechanisms; Jean Dempsey Wolf, Inmate Employment and Rhode Island.

9. Rights of Parolees

Again, this section presents no summary tables but provides illustrative costs. California DOC data estimating compliance costs with the By and later decisions are presented (California DOC Budgets 1974-76).

Appendix E-2

Estimate of Operating Costs Per Inmate Year
to Provide Custodial and Support Services for Inmates
in State Non-juvenile Institutions (1978 Dollars)

Type of Operating Cost	Amount in 1978 Dollars		
<u>Total Wages and Salaries^a</u>	Estimate of Proportion of Payroll Associated with Custodial and Support Services		
\$1,186,906 (thousands)	X	.875 ^b	\$1,038,542 (thousands)
<u>Fringe Benefits</u> 19% X 1,038,542 (thousands)			\$ 197,323 (thousands)
<u>Other Operating Costs of State Nonjuvenile Institutions^c</u>			
\$356,072 (thousands)	X	.875	\$ 311,563 (thousands)
Total Operating Costs			\$1,547,428 (thousands)
Total Inmates, 1977 ^d		250,949	
Average Cost per Inmate Year			\$ 6,166

^aSource: U.S. Department of Commerce, Bureau of the Census: Expenditure and Employment Data for the Criminal Justice System 1977 - Advance Report. Data inflated to 1978 dollars; annualized figures - 12 x October 1977 payroll; share of total state corrections payroll for nonjuvenile institutions estimated at 56%.

^bSelected state averages; see original report.

^cEstimate based on wages and salaries = to 77% of institutional costs; other costs = 23% of total or .3 x wages and salaries.

^dSource: Department of Justice, Prisoners in State and Federal Institutions on December 31, 1977 Advance Report. Nonjuvenile institutional population estimated at .96 of total (see text).

Appendix E-3

Estimate of Operating Costs per Inmate Year to Provide
Custodial and Support Services for Inmates in Jails (1978 Dollars)

Type of Operating Cost	Amount in 1978 Dollars		
<u>Total Wages and Salaries^a</u>	Estimate of Proportion of Payroll Associated with Custodial and Support Services ^b		
\$790,359 (thousands)	X	.90	\$711,323 (thousands)
<u>Fringe Benefits</u> .19 x \$711,323 (thousands)			\$135,151 (thousands)
<u>Other Operating Costs of Local Nonjuvenile Institutions^c</u>			
\$222,881 (thousands)	X	.90	\$200,593 (thousands)
Total Operating Costs			\$1,047,067
Total Inmates, 1978 ^d		157,570	
Average Cost per Inmate Year			\$ 6,645

^aSource: U. S. Department of Commerce, Bureau of the Census: Expenditure and Employment Data for the Criminal Justice System 1977-Advance Report. Data inflated to 1978 dollars; annualized figure = 12 x October 1977 payroll; share of total local corrections payroll for nonjuvenile institutions estimated at 56%.

^bBureau of the Census: 1978 National Jail Census Preliminary Figures. Of 54,288 full-time equivalents, 49,322 (90%) are custodial and support.

^cEstimate based on wages and salaries = to 78% of institutional costs; other costs = 22% of total costs; .282 x wages and salaries.

^d1978 National Jail Census Preliminary Figures.

Appendix E-4

Household Earnings Deflated to 1978 from 1972 Using GNP Price Deflator (1.5209)

<u>Occupation</u>		<u>College</u>		<u>Education High School</u>		<u>Elementary</u>	
		4+	1 - 4	4	1 - 3	8	1 - 7
Mean		\$25,416	\$18,102	\$16,444	\$13,002	\$10,467	\$ 7,557
Professional and Technical	24,636	37,127	28,085	25,515	20,555	17,317	14,245
Managers and Owners	23,901	36,018	27,247	24,753	19,942	16,800	13,446
Clerical and Sales Workers	17,811	28,512	20,306	18,449	14,990	11,319	9,309
Craftsmen	18,566	29,720	21,349	19,229	15,626	12,808	9,703
Operatives	15,510	24,829	17,682	16,065	12,701	9,855	7,384
Service Workers	11,611	19,819	14,237	12,585	9,419	7,227	5,387
Laborers	12,903	21,048	15,145	13,366	10,003	7,675	5,720
Mean	18,844						