

ICPSR 37692

## **Survey of Prison Inmates, United States, 2016**

*United States. Bureau of Justice Statistics*

Codebook for Public-Use State Data

Inter-university Consortium for  
Political and Social Research  
P.O. Box 1248  
Ann Arbor, Michigan 48106  
[www.icpsr.umich.edu](http://www.icpsr.umich.edu)

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## ICPSR PROCESSING NOTES FOR #37692

*Survey of Prison Inmates, 2016*

*DS 0002: Public-Use State Data*

1. **Confidentiality/Disclosure Risk:** In order to protect respondent anonymity and prevent disclosure risk, variables have been suppressed in the dataset.
  - a. The following variables are suppressed in both the public and restricted use datasets and are not available to secondary users of the data: **V0001, V0002, V0009, V0010, V0011, V0055, V0056, V0057, V0058, V0059, V0060, V0061, V0083, V0084, V0085, V0086, V0087, V0106, V0109, V0110, V0111, V0112, V0113, V0132, V0135, V0136, V0137, V0138, V0139, V0158, V0163, V0164, V0165, V0166, V0167, V0186, V0189, V0190, V0191, V0192, V0193, V0212, V0215, V0216, V0217, V0218, V0219, V0238, V0241, V0242, V0243, V0244, V0245, V0265, V0266, V0267, V0268, V0269, V0289, V0290, V0291, V0292, V0293, V0312, V0317, V0318, V0319, V0320, V0321, V0341, V0342, V0343, V0344, V0345, V0365, V0366, V0367, V0368, V0369, V0388, V0771, V0773, V0946, V0947, V0948, V0949, V1144, V1575, and V1576**
  - b. The following variables are suppressed in the public use dataset and are available in the restricted dataset: **V0103, V0105, V0129, V0131, V0155, V0157, V0183, V0185, V0209, V0211, V0235, V0237, V0261, V0285, V0309, V0311, V0337, V0361, V0385, V0387, V0471, V0474, V0916, V1571, V1572, V1573, V1574, V1577, V1578, V1579, V1580, V1581, V1582, V1583, and V1584.**
2. **Stata Limitations:** Due to Stata limitations, the variable **V0772** does not contain value labels for non-integer values within the Stata files.
3. **Value Label Discrepancies:** Variables **V0063, V0477, V0774, V0775, V0776, and V0777** have truncated value labels due to processing limitations.
4. **Additional Information:** For additional information on the Survey of Prison Inmates, please visit the [Bureau of Justice Statistics \(BJS\) - Survey of Prison Inmates](#) website.

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## Study Description

### Citation

#### Title Statement

*Title:* Survey of Prison Inmates, United States, 2016

*Alternative Title:* Survey of Prison Inmates, 2016

*Identification No.:* 37692

#### Responsibility Statement

*Authoring Entity:* United States. Bureau of Justice Statistics

#### Series Statement

*Series Name:* Survey of Prison Inmates (formerly known as the Survey of Inmates in State and Federal Correctional Facilities)

*Series Information:* Periodically the Bureau of Justice Statistics collects and analyzes data across a variety of topics from a national sample of state and federal prisoners. Data are collected through in-person interviews with prisoners incarcerated in state and federal correctional facilities. The first survey of state prisoners was fielded in 1974 and thereafter in 1979, 1986, 1991, 1997, and 2004. The first survey of federal prisoners was fielded in 1991, along with the survey of state prisoners, and since then both surveys have been conducted at the same time using the same questionnaire and administration. The 2016 administration of the survey was renamed to the Survey of Prison Inmates (SPI). Prior administrations were known as the Survey of Inmates in State and Federal Correctional Facilities (SISFCF).

### Study Scope

#### Subject Information

*Keyword(s):* alcohol, behavioral health, correctional facilities, correctional health, correctional system, crime, criminal history, demographics, drugs, family background, federal correctional facilities, federal prisoners, firearms, Hispanic origin, inmates, mental health, national crime statistics (USA), offenders, offenses, physical health, prisoners, prison inmates, program participation, race, socioeconomic characteristics, sentence length, substance use, state prisoners, state correctional facilities, treatment, weapons, victim, visitation

*Topic Classification(s):* Social Institutions and Behavior, Crime and the Criminal Justice System, Corrections, Criminal Justice System

#### Abstract

To fulfill part of its mission, the Bureau of Justice Statistics (BJS) conducted the Survey of Prison Inmates (SPI), a national, wide-ranging survey of prisoners age 18 or older who were incarcerated in state or federal correctional facilities within the United States during 2016. SPI provides national statistics on prisoner characteristics across a variety of domains, such as current offense and sentence, incident characteristics, firearm possession and sources, criminal history, demographic and socioeconomic characteristics, family background, drug and alcohol use and treatment, mental and physical health and treatment, and facility programs and rules violations. SPI can also be used to track changes in these characteristics over time, describe special populations of prisoners, and identify policy-relevant changes in the state and federal prison populations. Formerly the Survey of Inmates in State and Federal Correctional Facilities (SISFCF), this survey was renamed SPI with the 2016 administration.

RTI International served as BJS's data collection agent for the 2016 SPI under a cooperative agreement (Award no. 2011-MU-MU-K070). From January through October 2016, data were collected through face-to-face interviews with prisoners using computer-assisted personal interviewing (CAPI). In a CAPI interview, interviewers read questions aloud and enter responses directly into a laptop computer, allowing skip patterns and other routing criteria to be implemented automatically.

## Summary Data Description

*Time Period:* 2016

*Date(s) of Collection:* January 1, 2016 - October 31, 2016

*Country:* United States

*Geographic Unit:* State

*Universe:* All male and female prisoners age 18 or older who were held in a state prison in the U.S. during 2016.

*Kind of Data:* Survey data

## Methodology and Processing

### Data Collection Methodology

*Time Method:* Cross-sectional

*Data Collector:* RTI International on behalf of the United States Department of Justice, Bureau of Justice Statistics through a cooperative agreement.

*Frequency of Data Collection:* Periodic

*Sampling Procedure:* The sampling methodology described in this section applies to the national SPI study, including the sampling of federal prisoners even though those records are not included in the Public-use State Data file.

### Notes

For more information about the methodology please consult the Additional Methodology section.

## Data Access

### Dataset Availability

*Location:* Inter-university Consortium for Political and Social Research

*Extent of Collection:* One data file + machine-readable documentation (PDF) + SAS setup file(s) + SPSS setup file(s) + Stata setup file(s) + SAS transport + SPSS system + Stata system + R system

### Data Use Statement:

*Citation Requirement:* Publications based on ICPSR data collections should acknowledge those sources by means of bibliographic citations. To ensure that such source attributions are captured for social science bibliographic utilities, citations must appear in footnotes or in the reference section of publications.

*Deposit Requirement:* To provide funding agencies with essential information about use of archival resources and to facilitate the exchange of information about ICPSR participants' research activities, users of ICPSR data are requested to send to ICPSR bibliographic citations for each completed manuscript or thesis abstract. Visit the ICPSR Web site for more information on submitting citations.

## Additional Methodology

### Universe:

The target population for the 2016 SPI was all male and female prisoners age 18 or older who were held in a state prison or were serving a sentence to federal prison in the United States during 2016. The universe of prisons used for the 2016 SPI was based on BJS's 2012 Census of State and Federal Adult Correctional Facilities, which enumerated correctional facilities that held persons sentenced as an adult, including those 17 or younger who were sentenced as an adult. The census included both confinement and community-based facilities, but it excluded special facilities such as those operated by or holding exclusively for the U.S. military, Immigration and Customs Enforcement, the U.S. Marshals Service, and correctional authorities in Indian country.

After the completion of the 2012 census and prior to July 2014, when the SPI sample of prisons was selected, the census was updated to account for known changes in facilities. Supplemental information to update the census was collected from websites maintained by each state's department of corrections and the Federal Bureau of Prisons (BOP). The types of changes included —

- adjusting the population size of a facility to account for a planned change in population
- removing facilities that were planned to close by the time the survey was fielded
- adding new facilities that were known to be operating.

The updated universe consisted of 2,001 unique prisons housing a total of 1,502,671 prisoners, including 1,400,363 male prisoners and 102,308 female prisoners (see Table 1 below).

To make inference to the target population, SPI utilized a two-stage sample design. The first stage consisted of a random sample of prisons. The second-stage consisted of a random sample of prisoners held in the selected prisons.

### First-Stage Selection

The sampling frame of prisons, based on the updated 2012 census, was stratified by the sex housed, jurisdiction (state or federal), and self-representing states (i.e., states that housed 100,000 or more prisoners as of December 31, 2013). Facilities which housed both male and female prisoners were split into two sampling units with the male and female component being placed in the appropriate prisoner sex stratum. For state prisons, facilities located in Texas, California, and Florida were each placed in their own stratum, given that those 3 states housed 100,000 or more prisoners as of December 21, 2013.<sup>1</sup> Facilities located in the other 47 states were placed into a single stratum. Based on this stratification, 10 sampling strata were formed. Table 1 presents how the universe (and sample) was allocated across the 10 strata.

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<sup>1</sup> While the SPI sample was designed for states housing 100,000 or more prisoners to be self-representing (i.e., Texas, California, and Florida), during the SPI data collection this was not possible for Florida because access to prisoners in restrictive housing was not permitted. See *Estimation Procedures, C. Restrictive housing adjustment* for more information.

**Table 1. Number of facilities and prisoners in the universe and sample for the Survey of Prison Inmates, 2016, by stratum**

				Stratum					
				Total	Texas	California	Florida	All other 47 states	Federal
SPI universe									
Facilities <sup>a</sup>									
Male				1,791	140	76	137	1,263	175
Female				467	39	14	25	368	21
Prisoners									
Male				1,400,363	146,420	122,529	94,138	857,498	179,778
Female				102,308	12,616	6,880	7,021	64,202	11,589
SPI sample									
Stage 1 selection of facilities									
Facilities selected <sup>b</sup>									
Male				351	30	20	19	233	49
Female				114	4	3	3	92	12
Facilities fielded <sup>c</sup>									
Male				285	30	20	19	167	49
Female				100	4	3	3	78	12
Facilities that participated <sup>c</sup>									
Male				273	29	20	18	160	46
Female				91	4	2	3	70	12
Stage 2 selection of prisoners									
Prisoners selected									
Male				28,278	2,707	2,023	2,969	15,249	5,330
Female				8,780	368	184	433	6,415	1,380
Prisoners interviewed									
Male				18,546	1,924	1,227	1,142	10,535	3,722
Female				6,302	253	119	126	4,738	1,062
<sup>a</sup> Consists of 2,001 unique facilities, including 257 co-ed facilities. Co-ed facilities are included in both male and female rows.									
<sup>b</sup> “Total” and “All other 47 states” include five co-ed facilities in which both male and female portions of the facility were selected. Both male and female rows include these facilities.									
<sup>c</sup> “Total” and “All other 47 states” include four co-ed facilities in which both male and female portions of the facility were selected. Both male and female rows include these facilities.									

The 2016 SPI was designed to collect data in at least 350 facilities<sup>2</sup>. Facilities were selected with probability proportionate to their size measure (PPS). A facility’s size measure was based on the number

<sup>2</sup> The facility (and prisoner) sample size was based on a power analysis that determined the sample size required to produce the same precision or better as was obtained in the 2004 Survey of Inmates in State and Federal Correctional Facilities (SISFCF), or a relative standard error of 10% or less.



of prisoners<sup>3</sup> adjusted for two characteristics: (1) whether the sampling unit contained female prisoners and (2) whether the primary function of the facility was to provide mental health services.<sup>4</sup> The size measure of mental health facilities was increased by a factor of 3 to ensure this subpopulation of prisoners was represented in national estimates. The size measure for the female portions of facilities was increased by a factor of 3.5 in state facilities and 2.4 in federal facilities to ensure that enough females were sampled to generate reliable national estimates for this subpopulation. The allocation of 340 facilities was based proportionally on the total size measure for a stratum. The remaining 10 facilities were proportionately allocated across the federal stratum as a set-aside from oversampling federal prisons to ensure precision goals for federal estimates.

The initial facility sample allocation was adjusted for anticipated non-participation using two methods. First, the desired sample of 350 facilities was inflated for an anticipated 85% first-stage cooperation rate. Second, the sample size was increased to incorporate a reserve sample. The reserve sample consisted of 50 additional facilities allocated to the state facility strata (male and female) consisting of facilities in all other 47 states, excluding Texas, California, and Florida. The reserve sample was to be released only if the facility cooperation rate fell below 85%. This led to an initial first-stage sample size of 465 facilities.

Within each stratum ( $h$ ), the expected likelihood of selection ( $e_i$ ) was calculated for each facility. This was done using the formula—

$$e_i = \frac{m_h S_i}{S_{h+}}$$

where  $m_h$  is the number of responding facilities in stratum  $h$ ,  $S_i$  is the size measure for facility  $i$  and  $S_{h+}$  is the aggregate size measure for stratum  $h$ . All facilities in which  $e_i > 1$  were identified and selected with certainty. After adjusting the sample size within each stratum to account for the certainty sample, the remaining sample was selected PPS.

Because of the uncertainty around the first-stage cooperation rate, an initial random replicate of 355 facilities was released to the field for data collection. During the first half of data collection, it was determined, based on projected refusal and eligibility rates calculated, that a second random replicate of 30 facilities was necessary to release to ensure that the target number of facilities and interviews could be obtained. With the second random replicate, the total facility sample size of 385 facilities was projected to be sufficient to achieve the target of 350 participating facilities.

Because the replicates were selected with equal probability, the first-stage probability of selection ( $\pi\pi_1$ ) for each non-self-representing facility within stratum  $h$  was—

$$\pi_1 = \frac{m_h S_i}{S_{h+}}.$$

The probability of selection for each self-representing facility was 1 (i.e.,  $\pi_1 = 1$ ).

For more information on the design of the 2016 SPI sample, see *Methodology: Survey of Prison Inmates*,

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<sup>3</sup> Prisoner counts were for the specific sex stratum.

<sup>4</sup> Facilities whose primary function was mental health services were identified on the 2012 Census of State and Federal Adult Correctional Facilities.

2016 (NCJ 252210, BJS web, July 2019).

## Second-Stage Selection

For state prisons, within each stratum, SPI was an approximate equal probability selection method (EPSEM) design. That means that if a constant number of prisoners per facility was selected and nonresponse was constant across facilities, the design would be self-weighting giving each respondent within a stratum (regardless of facility size) the same probability of selection, and therefore the same analysis weight. This type of design minimizes the variance of national estimates, which was a primary goal of the 2016 SPI.

Within each state facility, the target respondent sample size was 64 prisoners. Using an assumed 70% response rate, 92 prisoners were selected from each state facility. To minimize burden on smaller prisons, when 92 prisoners exceeded 75% of the population in a facility, the sample size was set to 75% of the facility's total population. If a facility housed male and female prisoners and both portions of the facility were selected, then two separate samples of 92 prisoners were selected within that facility—one for each sex.

The prisoner sample in state prisons was selected using a simple random sample method. A roster of current prisoners was obtained from sampled facilities no more than one week prior to the scheduled start of interviewing. The roster collected prisoners' biometric identifier, facility inmate ID, name, sex, date of birth (or age), and housing unit assignment, as well as other inmate characteristics to be used for nonresponse bias analysis—race, Hispanicity, date of prison admission, and sentence length. Prior to sample selection, ineligible prisoners were removed from the roster. Ineligible prisoners consisted of persons younger than 18 years of age and persons who did not have an assigned bed at the facility the night before the roster was generated. After ineligible prisoners were removed, a random sample of prisoners was selected.

Based on this design, in a state facility with  $N$  eligible prisoners, the probability of selection was defined as—

$$\pi_2 = \frac{n}{N}$$

where  $n$  is the sample size for the facility—the minimum of 92 and 75% of the facility population.

For federal prisons, a stratified sample of prisoners was selected based on whether a prisoner's controlling offense was a drug offense or a non-drug offense within each facility. Given that half of all federal prisoners were serving a sentence for a drug offense<sup>5</sup>, prisoners in the non-drug offense stratum were oversampled by a factor of 1.5<sup>6</sup> to ensure a large enough sample was selected to produce valid estimates of this subpopulation. A total of 80 respondents was targeted in each federal facility. Assuming a 70% response rate, the sample size was set at 115 prisoners in each federal prison. Similar to state prisons, if a sample of 115 prisoners exceeded 75% of the population in a federal facility, then the sample size was set to 75% of the facility's total population.

The federal sample of prisoners was selected using a stratified simple random sample method. Similar to

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<sup>5</sup> *Prisoners in 2016* (NCJ247282, BJS web, September 2014), which was the most recent report on prisoners at the time the SPI sample was designed.

<sup>6</sup> To illustrate the oversample, if a facility held 500 prisoners – 400 drug offenders (80%) and 100 non-drug offenders (20%) – then the sample size for non-drug offenders would be set at  $115 \times 0.2 \times 1.5 = 35$  and the sample size for drug offenders would be set at  $115 - 35 = 80$ .