

VICTOR ATIYEA

A PRELIMINARY COST ANALYSIS

OF

FIREARMS CONTROL PROGRAMS



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Dr. James F. Short, Jr.  
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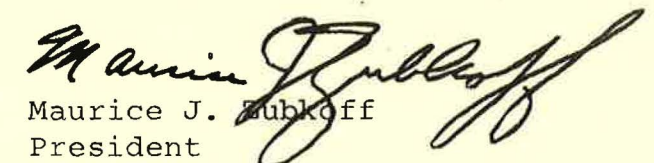
December 20, 1968

Dear Dr. Short:

Research Associates Incorporated is pleased to submit to the Commission the attached report, "A Preliminary Cost Analysis of Firearms Control Programs". We regret that the short time available for this project has not allowed a more detailed, in-depth analysis of this important and timely subject. This preliminary report, however, identifies the costs of firearms control programs, develops some understanding concerning them, and indicates areas where further understanding is needed. As such, it provides a basis and direction for further research in this area.

We have enjoyed working with the Commission on this project and hope that our contribution will be useful.

Yours truly,

  
Maurice J. Zubkoff  
President

MJZ:ek  
Attachment

A PRELIMINARY COST ANALYSIS  
OF FIREARMS CONTROL PROGRAMS

PREPARED FOR  
NATIONAL COMMISSION ON THE CAUSES  
AND PREVENTION OF VIOLENCE

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CHAPTER I

INTRODUCTION

As a result of recent political assassinations, civil disorders, and increasing crime rates, a new awareness has evolved concerning the lawlessness and violence present in this country. Many people view the lack of more comprehensive control over the private possession and use of firearms as a contributory factor.

In recent times, therefore, there has been much discussion concerning the need for more comprehensive firearms control legislation. Recent federal regulations restrict interstate mail order sales of firearms and sales to non-residents of the state of purchase. Some states and municipalities have adopted firearms control programs with such requirements as registration of firearms and waiting periods, permits, licenses, or identification cards for their purchase or possession. Other states are also considering such programs in the face of federal legislative proposals that would establish them if the states have not done so.



Firearms control programs take various forms. Many have been in effect in most areas of the country for many years. Federal restrictions on "gangster type weapons" and regulations for licensing of firearms manufacturers and dealers became effective in 1934 and 1938 respectively. Some states have maintained more stringent license requirements for dealers. Laws have restricted the carrying of concealed weapons and using weapons in the commission of crimes. It has been unlawful to discharge firearms within city limits, from vehicles, or near roads or dwellings. These measures of long standing are not too much of current public concern.

In recent years, some proposals for firearms control have involved waiting periods between applying for the purchase of a firearm and receiving it from the dealer. During this waiting period, the applicant is investigated to determine his eligibility to purchase the arm. Records of such purchases and investigations amount to a system of registration of these firearms with a civil authority.

Most current proposals require a more direct system of licensing of firearms owners and registration of firearms, extending these requirements to all privately owned firearms and sales between individuals as well as dealers.

Registration and licensing schemes also take various forms. A "pure" registration system would allow federal and/or local authorities to maintain records of the types, serial numbers, etc., of an individual's firearms, without a determination of his eligibility to own them. A pure licensing system would make it unlawful to possess firearms without a license, issued only to those who meet some criteria of eligibility. The number and types of firearms owned by a licensee would not be recorded.

Licensing requires an investigation of an individual's background to determine if he is eligible. Most registration proposals are either combined with a licensing proposal or vary from the pure form by also requiring an investigation.

Registration and licensing programs may be either "permissive" or "restrictive". A permissive program would assume that the individual has a right to possess firearms unless he is expressly prohibited by falling into one or more specifically defined categories, (e.g., criminals, incompetents, minors, etc.) that would make him ineligible. Restrictive programs, in contrast, generally appear designed to reduce the number of privately owned firearms. Investigations may be more thorough, and the applicant would generally have to have a justifiable reason for possessing the firearm. High license fees, considerable inconvenience

to applicants, or other factors that would tend to reduce an individual's opportunity or desire to possess firearms could also make a program restrictive. Programs for a particular locality may be mixed, e.g., it may be permissive for rifles and shotguns and restrictive for handguns.

When considering the establishment of a firearms control program, or when comparing alternatives, it is appropriate to inquire about program costs. These costs take many forms: direct and indirect, monetary and non-monetary, costs to the general public and to firearms owners.

The purpose of this preliminary report is to identify some of these costs, develop some understanding concerning them, and indicate areas where further understanding is needed. This report does not determine whether a need for additional firearms control programs exists or whether the public would benefit from them. It defines no objectives of such programs and does not assess their effectiveness in meeting these objectives. It develops no basis for recommendation of particular programs, and, therefore, recommends none.

The subject of firearms control is enveloped in continual controversy and appears to be an area where further analysis, of an objective nature, is required before rational decisions can

be made. The results of cost analyses can be useful inputs to this larger research effort.

CHAPTER II

PROGRAM PROCEDURES AND DIRECT COSTS

Programs for registration of firearms and licensing of firearms owners, whether permissive or restrictive in nature, generally involve a determination by a local authority of an individual's eligibility to possess firearms. Eligibility would be denied to those with certain types of criminal records, mental incompetents, narcotics addicts, alcoholics, those under a certain age, etc. For restrictive programs, an individual must also have a justified requirement for the firearm.

A major part of the direct cost of administering these programs is involved with the processing of applications and investigations to determine the applicant's eligibility. The cost of a program generally becomes greater with increases in the number of criteria of eligibility that must be checked and the thoroughness of the investigation.

To facilitate discussion of the cost elements of this process, a typical procedure, with variations, for handling an application for registering a firearm, licensing a firearms

owner, or issuing a permit to purchase a firearm is presented.

Typical Procedures

In general, an individual would obtain an application for registration, licensing, or purchase permit from a local police station, license bureau, firearms control board, etc., or a firearms dealer. The completed application is forwarded or returned to the police station, license bureau, etc. The applicant's fingerprints may be required with the application.

The application will be received by a clerk who will check it for completeness. He will then prepare and send out requests to appropriate agencies, e.g., FBI, State Bureau of Investigation, State Department of Mental Hygiene, etc., to check if the applicant has a criminal record, history of mental disorder, etc.

The clerk, or sometimes an investigator, will then compare the applicant's name, and sometimes fingerprints, with those in various local files to see if he is perhaps a narcotics addict, alcoholic, subversive, gambler, etc. If a particular firearm is involved, the lost and stolen gun file and firearm registration file are checked.

In some cases, an investigator will make telephone calls to, or visit in person, the applicant's references (if given),

family, neighbors, employer, etc., to see if there are any reasons that the application should not be approved.

When the results of all the investigations are returned, the investigator will prepare a report with a recommendation for approval or disapproval, which may be forwarded to a supervisor for formal approval or disapproval. The clerk will then prepare the necessary notification, certificate, etc., and forward it to the applicant or dealer, as appropriate.

The above typical procedure is a general composite of the process for determining an applicant's eligibility for possession of firearms, as practiced in several states and cities that have firearms control programs of this nature<sup>1</sup>. It illustrates the process in general, but does not necessarily represent the process in any particular locality.

Fingerprint checks, the mental hygiene check, and sometimes the file check usually involve written or teletyped requests to other agencies. The supervision, clerical, and investigative tasks are usually done at the local police station or firearms

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<sup>1</sup>The authors have participated in detailed discussions concerning this process with authorities in the states of Illinois, Maryland, New Jersey, and the cities of New York, Philadelphia, and Washington, D.C.

license bureau. Of course, this varies depending on whether the primary processor of the application is a non-uniformed license bureau or the local police authority. It also depends on the size and level of local police organization, i.e., small cities and counties in some cases may rely more on state agencies than large cities and counties that have their own files.

All of these tasks are not performed in all licensing programs. Some programs do not require the applicant's fingerprints and thus the state and FBI fingerprint checks can only be made if a name check of the local files indicates a criminal record and his fingerprints are already on file. The mental hygiene check is only made in some programs. In programs that do not require fingerprints and mental hygiene checks, the investigator check increases in importance.

The above description indicates that the process is accomplished predominately through human effort, i.e., the major resources used are clerks', investigators', and supervisors' time. Electronic Data Processing equipment and techniques have applicability for storage and retrieval of firearms registration information and for checking institutional and criminal records using the applicant's name, birth date, social security number, etc. Computers are also used for checking fingerprint files,



but only after the fingerprints are classified manually by a specially trained clerk. The predominate costs of most programs are generally salaries and related benefits for the people involved.

#### Cost Model

As investigations become more thorough, costs increase because more time is spent on each application and more checks with outside agencies are performed. This quantitative cost relationship can be demonstrated through the use of a simplified model which includes the procedural elements and their costs. This model allows representative programs to be synthesized from these elements and the direct program costs determined.

Consider the following seven (7) tasks involved in firearms licensing programs:

1. Supervision and approval--supervision of process, final approval/disapproval of application, hearing of appeals, etc.
2. Clerical--receiving and checking application forms, taking fingerprints, maintaining files, mailing investigative requests and licenses, etc.
3. Investigator check--contact by telephone and/or in

in person applicant's references, family, neighbors, employer, etc., to ascertain if there are any reasons that application should not be approved.

4. State (or city) file check--check of various local files by applicant's name to determine if a local record exists.
5. State (or city) fingerprint check--check local fingerprint file to determine if a local record exists.
6. FBI fingerprint check--check Federal Bureau of Investigation fingerprint file to determine if a record exists.
7. Mental competency check--check with state mental institutions or state department of mental hygiene to determine if applicant has a history of mental disorder.

Consider also the following types of personnel who would be involved in these tasks and their representative annual and hourly salary rates:

	<u>Annual salary</u>	<u>Hourly rate</u>
Clerk(or patrolman)	\$ 6,500	\$3.13
Investigator	\$ 8,000	\$3.85
Supervisor	\$12,000	\$5.77

Examination of various state and municipal firearms control programs reveals that the enumerated tasks require for each application, on the average, the type of personnel and approximate number of manhours indicated in the following table:

<u>Task</u>	<u>Personnel type</u>	<u>Man-hours</u>	<u>Labor Costs</u>
1. Supervision	Supervisor	1/6	\$ .96
2. Clerical	Clerk	½ to 1	\$1.57 to \$ 3.13
3. Investigator check	Investigator	1 to 6	\$3.85 to \$23.10
4. File check	Investigator	½ to 1	\$1.93 to \$ 3.85

The above times and costs are, of course, only approximate averages. Characteristically, tasks require less than the stated number of manhours for most applications, with occasional cases requiring significantly more than the stated time. For example, a supervisor may put in very little or no time on each application but on certain cases where his judgment is required or where an appeal is made, he becomes involved to a much greater degree. Also, making a file check may require only a few minutes if nothing is found. A discovery of relevant information, however, results in a report, perhaps additional checks, (e.g., checking the disposition of a case when only the arrest record is on file), and more time. The higher numbers of manhours as stated for

these tasks in the table, however, represent more thorough programs rather than complications with particular applications.

Other personnel types with different salaries are also involved. For example, the \$6500 stated salary for the clerical function is probably high for many clerks, but low for a police patrolman who also performs this function. On the average, however, the values in the above table appear representative of the labor costs of actual programs. An overhead factor of 50% of the above costs is also assumed in this model. This factor includes costs of employee benefits, office space, furnishings, utilities, equipment, supplies, printing and distribution of forms, postage, etc. and is believed to be a conservative estimate.

The costs of Tasks 5, 6, and 7 have been calculated separately since these are generally performed by outside agencies. These costs, for each application (assuming that the procedure, information, equipment, etc. are already set up and in operation), are stated below:

<u>Task</u>	<u>Cost per application</u>
5. State fingerprint check	\$2.50 <sup>2</sup>
6. FBI fingerprint check	2.43 <sup>3</sup>
7. Mental competency check	.50 <sup>4</sup>

Use of the model to develop costs of programs is illustrated by the following example:

Consider a permissive program with simple forms, no fingerprints, and only a local file check. Time and costs involved are:

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<sup>2</sup>The cost of a fingerprint search by the New York State Identification and Intelligence System has been estimated as \$3.00 by Dr. Robert R.J. Gallati, Director, in a letter to Mr. Alan S. Krug, Assistant to the Director, National Shooting Sports Foundation, Inc., 6 August 68. He indicated, however, that this cost was expected to decrease somewhat with recent improvements in the identification process. The cost of processing a set of fingerprints by the New Jersey State Police has been stated as \$2.02 by Sgt. Robert Claus in an interview with the author on 22 November 68. The \$2.50 cost per application used in this report is an approximate average of these two values.

<sup>3</sup>Special Agent Robert H. Haynes has stated that the cost of searching the Federal Bureau of Investigation fingerprint files is \$2.43 per search, in a telephone interview with the author on 20 November 68. The FBI currently receives approximately 30,000 such requests per day which are processed by approximately 2,000 specially trained clerks.

<sup>4</sup>This figure was derived from estimates of manpower expended for this activity at the State of New York Department of Mental Hygiene, Albany, N.Y., as submitted in a letter to the author from Mr. William F. Goodwin, Acting Secretary, 10 December 68. Approximately 3,000 requests per month are received and information is manually retrieved from the files. In an interview with the author on 14 November 68, Dr. Kurt Gorwitz, Director of Mental Health Statistics, Maryland Department of Mental Hygiene, indicated that his department does not reveal this type of information from Maryland's computerized Psychiatric Register System, but estimated that responding to such a request would cost approximately \$.50 each, based on a volume of at least 25,000 requests per year.

Supervision and approval, 1/6 manhour	\$ .96
Clerical, 1/2 manhour	1.57
Local file check, 1/2 manhour	1.93
Overhead @ 50%	<u>2.23</u>
Total cost per application	\$6.69

In contrast, consider an extremely thorough program with many or complicated forms, requiring fingerprints and an extensive investigation:

Supervision and approval, 1/6 manhour	\$ .96
Clerical, 1 manhour	3.13
Investigator check, 6 manhours	23.10
File check, 1 manhour	3.85
Overhead @ 50% of above	15.52
State fingerprint check	2.50
FBI fingerprint check	2.43
Mental competency check	<u>.50</u>
Total cost per application	\$51.99

Costs of these and other sample programs are summarized in the following matrix with the matrix elements indicating the time and costs of the tasks involved in the program. A blank element indicates that the particular task is not performed.

Table 1  
Sample Program Costs

Sample Program	Supervision and Approval	Clerical	Investigator Check	File Check	Overhead @ 50%	State Fingerprint Check	FBI Fingerprint Check	Mental Competency Check	Total Cost per Application
A	1/6 MH \$.96	1/2 MH \$1.57		1/2 MH \$1.93	\$2.23				\$ 6.69
B	1/6 MH \$.96	1/2 MH \$1.57	1 MH \$ 3.85		\$3.19				\$ 9.57
C	1/6 MH \$.96	1/2 MH \$1.57	1 MH \$ 3.85	1/2 MH \$1.93	\$4.16				\$12.47
D	1/6 MH \$.96	1 MH \$3.13	1 MH \$ 3.85	1/2 MH \$1.93	\$4.94				\$14.81
E	1/6 MH \$.96	1 MH \$3.13		1/2 MH \$1.93	\$3.01	\$2.50	\$2.43		\$13.96
F	1/6 MH \$.96	1 MH \$3.13	3 MH \$11.55	1 MH \$3.85	\$9.75	\$2.50	\$2.43	\$.50	\$34.67
G	1/6 MH \$.96	1 MH \$3.13	6 MH \$23.10	1 MH \$3.85	\$15.52	\$2.50	\$2.43	\$.50	\$51.99

The above sample program costs indicate the increase in costs as programs become more thorough. Program A with very little investigation is relatively low in cost and could probably be financed to a large degree by license fees.

Programs D and E are of interest in that they represent nearly equivalent cost programs, one without fingerprints and one with fingerprints. It is beyond the scope of the report to determine the comparable effectiveness of one hour of investigator time versus state and FBI fingerprint checks in determining an individual's eligibility to possess firearms. It does appear, however, that if the firearms control program does not require fingerprints, then the investigator check with people who know the applicant may provide the only clues to the existence of an out-of-state criminal record, a record under another name, mental illness, drug addiction, excessive use of alcohol, a violent temper, etc.

Program G, the most thorough program presented, is the most expensive. The major cost is the investigator's time. In this case, probably several investigations are involved and checks are made on previous residents and employers as well as the current ones. Other programs, even more thorough and thus more expensive, are of course possible.



These illustrative programs indicate the cost elements and general magnitude of the total costs involved in some firearms control programs which require a determination of an individual's eligibility to possess firearms. The total costs for a particular state or city would also depend on the number of applications received, i.e., the number of firearms owners and the frequency of license renewal. For 500,000 applications, costs of Programs A through G would range from \$3,345,000 to \$25,995,000 and for 1,000,000 applications, from \$6,690,000 to \$51,990,000.

These costs could probably be reduced somewhat through use of lower level personnel in the clerical function and, in some cases, for file checks. The investigator check, however, would require personnel of the stated level.

Additional costs would accrue from enforcement efforts such as audits of firearms and investigations of those suspected of possessing firearms in violation of the law. Appeals by disapproved applicants, and any provision to compensate owners of firearms that were previously lawful but which would become prohibited under a new restrictive program would also increase costs. The program costs could be offset somewhat through income from license fees. To pass the total cost of the program on to the firearm owner, however, would in most cases add an additional burden that would make the program more restrictive.

Cost Elements of Illustrative Programs

The cost model just presented derives costs of firearms control programs on a cost per unit basis and would multiply the unit cost times the number of applications to arrive at the total program costs. It is also of interest to approach these values by examining the total cost elements of particular types of programs and then obtain the unit cost by dividing by the number of applications. Using particular programs, either existing or proposed, as a guide in this latter approach also allows the introduction of some aspects of firearms control programs that were not included in the cost model.

Consider first a program requiring a license for the possession of a handgun such as New York State's 1911 Sullivan Law. As administered in New York City by the New York City Police Department, this program is very restrictive, allowing only a limited number of justifiable reasons for possessing a handgun. Among these are employment reasons, e.g., guards, watchmen, etc., and to a lesser degree protection of business receipts and formal target shooting. The licensee is required to have a good record and good moral character.

The investigation of each applicant is very extensive, requiring up to six months for an original application. As

previously stated, program costs increase as investigations become more thorough. This program, therefore, is perhaps the most expensive per license of those currently in operation. It is of interest, therefore, to examine it in some detail.

The general procedure for handgun licensing in New York City is as follows<sup>5</sup>:

The applicant applies in person at the police station for the precinct in which he resides and fills out the application forms. He is then interviewed by the captain or his representative, during which time the applicant's reasons for wanting to possess a handgun are discussed. The individual may decline to submit his application after the interview.

A clerk at the precinct station checks that all questions are answered. He prepares and sends requests for checks by an investigator to each of the local precincts in which the applicant has lived or worked in the last ten years. The investigator checks with the applicant's neighbors, family, employers, etc., as necessary to determine his moral character and the

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<sup>5</sup>This information results from an interview by the author with Mr. A. Bernard Kelland, Administrator in Charge, Division of Licenses, New York City Police Department on 14 November 68.

validity of his reasons for wanting the firearm.

At the Identification Section of the Pistol License Bureau, requests for fingerprint checks are sent to the Federal Bureau of Investigation and the New York State Identification and Intelligence System. The Pistol License Bureau sends a request to the New York State Department of Mental Hygiene to check if the applicant has a history of mental disorder.

Checks of various files in the New York City Police Department include those of: (1) Bureau of Criminal Identification; (2) Bureau of Special Services; (3) Old Record Unit; (4) Information Unit; (5) Central Investigation Bureau; and, (6) Known Gamblers File. Checks at the Bureau of Criminal Identification and the Known Gamblers File are performed using the applicant's fingerprints.

Three vouchers (references) are required for each application. Each voucher is also subjected to the above file checks (by name only). If the pistol is to be used for business purposes, one of the vouchers must be the employer.

When the results of all of the checks have been received, the application is returned to the originating precinct where a report is prepared and forwarded with recommendation for approval or disapproval to the precinct detective commander and

subsequently to the captain, division commander, and finally the commissioner's representative.

This is the general process for an original application. The license must be renewed every year and the subsequent investigations are not as extensive. If the licensee gets into trouble with the police during the year, this information is passed on to the Pistol License Bureau. A report is acted on immediately and the license may be suspended at that time, pending a hearing to determine if it should be revoked. Primary checks for renewal determine if the reason for possession is still valid and if the licensee still has the firearm in his possession.

In order to determine the costs of this program, it is necessary to determine the manpower involved. At the Pistol License Bureau, there are an administrator in charge, two administrative assistants, two supervisory clerks, two senior clerks, six clerks, and two co-op students, a lieutenant, two sergeants, and a patrolman. The administrator in charge and the two co-op students spend approximately half of their time in handgun licensing activities. The other personnel spend full time.

At the six units where the file checks are made, it is estimated that checks for these licenses would generally occupy the full time of a first or second grade detective in each of the six units.

There are seventy-eight precincts in New York City. The time involved in handgun licensing activities at this level varies considerably depending on the precinct. A general estimate is that ten per cent of the captain's time, one to ten per cent of the detective commander's time, fifteen to fifty per cent of a sergeant's time, and thirty to sixty per cent of a patrolman's time is involved for each precinct. These times are only estimated, composite averages and may not be representative of any particular precinct.

Representative salaries for these types of personnel<sup>6</sup> and other costs are itemized in Table 2. Note that the equivalent of almost one hundred full time personnel is involved and the major portion of the total cost is salaries and related fringe benefits and allowances. Administrative overhead, which includes office space, furnishings, utilities, equipment, supplies, etc., but excludes employee fringe benefits and allowances, is very low in New York City, approximately only about 2.5% of a total police budget of \$508,467,101 in fiscal year 1968. This low figure is partially due to the city owning most of their municipal buildings

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<sup>6</sup>Representative salaries for these types of personnel and general overhead factors were supplied by Mr. Joseph Salinas of the Program Budget Unit, Office of the Deputy Commissioner of Administration, New York City Police Department.

Table 2  
Costs of Handgun Licensing Program  
in New York City

<u>Pistol License Bureau</u>	<u>Equivalent Number of Personnel</u>	<u>Salary per Person</u>	<u>Direct Labor</u>	<u>Fringe Benefits and Al- lowances</u>	<u>Total Cost</u>
Administrator in charge ( 1 @ 50%)	.5	\$11,600.	\$ 5,800.		
Administrative Ass'ts.	2.0	10,400.	20,800.		
Supervisory Clerks	2.0	8,600	17,200.		
Senior Clerks	2.0	6,500.	13,000.		
Clerks	6.0	5,000.	30,000.		
Co-op Students (2 @ 50%)	1.0	3,000.	<u>3,000.</u>		
			\$89,800	\$26,617.	\$116,417.
Lieutenant	1.0	13,136.	\$13,136.		
Sergeant	2.0	11,692.	23,384.		
Patrolman	1.0	9,483.	<u>9,483.</u>		
			\$46,003.	\$16,843.	\$ 62,846.
<u>Police Department File Checks</u>					
Detectives	6.0	11,692.	\$70,152.	\$25,518.	\$ 95,670.
<u>Precincts</u>					
Captain(78 @ 10%)	7.8	17,828	\$139,058.		
Detective Cmdrs. (78 @ 5.5%)	4.3	13,136	56,485		
Sergeants (78 @ 32.5%)	25.4	11,692	296,977.		
Patrolmen (78 @ 45%)	<u>35.1</u>	9,483.	<u>332,853.</u>		
	96.1		\$825,373.	\$305,739.	<u>\$1,131,112.</u>
					\$1,406,045.
Administrative Overhead--2.5% of \$1,406,045.					\$ 35,151.

(continued)

Table 2  
(continued)

Additional Costs (for 3,000 original applications)

FBI Fingerprint Check--2.43 X 3,000 applications	\$	7,290.
NYSIIS Fingerprint Check--2.50 X 3,000 applications		7,500.
State Department of Mental Hygiene Check-- .50 X 3,000 applications		<u>1,500.</u>
Total Cost for 3,000 original and 17,000 renewal applications		\$1,457,486.
Cost per application	\$	72.87



and thus paying very little rent. Administrative overhead in most cities is probably somewhat higher.

Approximately 20,000 original and renewal license applications are processed each year. As indicated in Table 2, the annual cost of this effort is on the order of \$1.5 million with the cost per application being approximately \$72.

The values in Table 2 are, of course, not precise. The salaries are representative for the types of personnel involved and the time values are estimates. It is also unfortunate that the total cost value is relatively sensitive to the manpower estimates at the precinct level, where the uncertainty in such estimates is the greatest.

The total cost and the cost per license appear realistic, however, when one considers the thoroughness of the investigation involved. This cost is also offset somewhat through income from license fees. The fee for an original and renewal license is \$20 and \$10 respectively. Approximately 17,000 licenses each year are renewals and 3,000 are originals. License fees therefore amount to approximately \$230,000 per year, which reduces the average cost per license to approximately \$61.

As stated previously, this program is probably the most expensive per license of those in current operation. Other

programs which are more permissive and are satisfied with less investigative effort are less expensive on a per unit basis but the permissiveness results in more applications to be processed.

Consider for example the State of Illinois' program for the licensing of firearms owners<sup>7</sup>. The application form is very simple, requires no fingerprints, and does not have to be submitted in person. The investigation consists of a computerized search of state institutional, youth commission, and narcotic records to identify those who have applied but are not eligible because of their past record. Investigators check only those suspected of falsifying their applications. Successful applicants receive a laminated Firearms Owners Identification Card which indicates that they may lawfully possess firearms and ammunition and which must be renewed every five years with a fee of five dollars. Their firearms are not registered.

This relatively simple system, however, is set up to process a million applications (over 750,000 applications have been received and I.D. cards issued from June, 1968 to date). It requires 87 personnel and an annual budget on the order of

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<sup>7</sup>Information concerning this system was supplied by Mr. Manley D. Hawks, Superintendent, Firearms Owners Identification Division, Department of Public Safety, Springfield, Illinois.

one million dollars (not including costs of the record checks which are done by the State of Illinois Computer Section). Although its total cost is significant, its cost per application is low and to a large extent can be offset by license fees. Table 3 presents the numbers, types, and representative salaries of the personnel involved and other cost items<sup>8</sup>.

The preceding illustrative programs have consisted of a very restrictive licensing (with inherent registration) program with extensive investigation and a permissive "pure" licensing program with relatively little investigation, on a municipal and state level respectively. Legislation has been proposed that would set up a National Firearms Registration System.

This system would mainly be concerned with keeping an inventory of firearms by serial number, type of firearm, and owner name, address, etc. through use of large scale high speed computers. The system is not designed to be used for the investigation of firearms owners or purchases. However, it will be used to help local law enforcement agencies in efforts to achieve compliance with applicable legislation.

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<sup>8</sup>This information is abstracted from budget information for the 75th Biennium and put on an annual basis.

Table 3

Cost Elements of Illinois  
Firearms Owners Licensing Program

<u>Direct Labor Costs</u>		<u>Monthly Cost</u>	<u>Annual Cost</u>
Account Clerk	1	\$417.00	417.00
Administrative Ass't.	1	666.00	666.00
Clerk 1	27	287.00	7749.00
Clerk 2	23	314.00	7222.00
Clerk 3	9	350.00	3150.00
Clerk 4	3	419.00	1257.00
Clerk Steno 2	1	357.00	357.00
Clerk Steno 3	1	394.00	394.00
Clerk Typist 1	3	292.00	876.00
Clerk Typist 2	5	325.00	1625.00
Clerk Typist 3	1	371.00	371.00
Executive 2	1	800.00	800.00
Executive 3	1	1012.00	1012.00
Inspectors	4	437.00	1748.00
Hearings Referee	1	830.00	830.00
Messenger Clerk 2	1	300.00	300.00
Methods & Procedures Adv. 3	1	845.00	845.00
Photographers 1	2	450.00	900.00
Technical Advisor 2	<u>1</u>	<u>710.00</u>	<u>710.00</u>
	87	\$31229.00	\$374,748.00
 <u>Other Program Costs</u>			
Laminate I.D. Cards--\$.1199 X 1,000,000		\$119,900.00	
Tape I.D. Documents--\$.085 X 1,000,000		85,000.00	
Consulting Fees <sup>1</sup>		<u>46,956.00</u>	\$251,856.00
Equipment Fees <sup>1</sup>			103,000.00
Overhead and Administrative Costs <sup>2</sup>			<u>248,320.00</u>
			<u>\$977,924.00</u>

<sup>1</sup>Non Recurring Costs

<sup>2</sup>Cost of office supplies, telephones, rent,  
postage, employees benefits, printing, etc.

It has been estimated that the initial first year cost of this system will be approximately 25½ million dollars and that second year costs and continued maintenance costs will approximate 22½ million dollars per year. The initial costs have been projected on registration of seventy-five million guns and forty million owners. Table 4 provides the breakdown of these estimated costs<sup>9</sup>, which do not include costs of gathering the information at the local level and submitting it to the national system.

It is of interest to conceive of a firearms owner licensing program in conjunction with a national firearms registration system. Assume that there are forty million<sup>10</sup> firearms owners to be licensed at the state level and that a license must be renewed every five years. An average of eight million applicants would require investigation each year. Sample Programs A through G, as developed on the cost model, would then cost \$76,020,000 to \$438,420,000 per year when the \$22,500,000 for the registration

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<sup>9</sup>Hearings Before Committee on the Judiciary, United States Senate, Serial No. S 3604 (Washington: U.S. Government Printing Office, 1968), p. 125. Testimony given by Sheldon Cohen, Director, Internal Revenue Service.

<sup>10</sup>Forty million is a generally accepted estimate of the number of firearms owners in the country that would be affected by a licensing requirement. Some people, however, use firearms owned by others. If they apply for licenses also, the total number of licensees may exceed the estimated number of firearms owners.

system is included (not including initial set-up costs at the  
state level.)

Table 4

## Costs of a National Firearms Registration System

First Year Costs -- Estimated

1. Planning, Developing and Installation of System	\$ 500,000.
2. Initial Registration--1,600,000 hrs. @ \$5.00	8,000,000.
3. One Year Servicing	1,500,000.
4. Microfilm Registration	500,000.
5. Printing and Distribution of Forms	3,000,000.
6. Clerical Personnel	1,500,000.
7. Investigative Personnel	7,500,000.
8. Support Funds--Overhead	<u>3,000,000.</u>
Total Estimated First Year Costs	\$25,500,000.

Second Year and Continuing Costs

1. Computer	\$ 4,000,000.
2. Circuitry	300,000.
3. Communication Terminals (225 Keyboards)	900,000.
4. Computer Personnel (32)	325,000.
5. Input Operators (225)	1,575,000.
6. Output Operators (225)	1,575,000.
7. Microfilming	225,000.
8. Program Maintenance	600,000.
9. Printing and Distributing Forms	1,000,000.
10. Clerical Personnel (250)	1,500,000.
11. Investigative Personnel (500)	7,500,000.
12. Support Funds--Overhead	<u>3,000,000.</u>
Total Estimated Annual Cost	\$22,500,000.

## CHAPTER III

### INDIRECT COSTS OF FIREARMS CONTROL PROGRAMS

The discussion until now has been concerned with direct costs of firearms control programs, which would normally be paid by the general public through taxes. There are also indirect costs: monetary and non-monetary, to the general public and to the firearms owner. This preliminary report cannot address this important topic in any great detail. It is appropriate, however, to introduce this aspect of firearms control program costs and to provide some examples in order to stimulate further research along this line.

#### Indirect Costs to the General Public

Indirect, monetary costs to the general public are those resulting from firearms control programs that the public would have to pay, probably through taxes, but are not directly incurred in the implementation and administration of the program itself. As an example, consider the possible reduction in conservation funds that could result from firearms control programs.



Primary sources of revenue for wildlife restoration activities are sales of hunting licenses and an 11% excise tax on sporting arms (rifles and shotguns) and ammunition. In 1967, 20.2 million hunting licenses, tags, permits, and stamps were sold at a gross cost to hunters of \$81.5 million<sup>1</sup>. During that same year, \$27.8 million was collected in sporting arms and ammunition excise taxes<sup>2</sup>.

Firearms control programs that would be so restrictive as to result in a serious reduction in the use of firearms for lawful purposes could result in a drastic decrease in this combined yearly income of over \$100 million<sup>3</sup>. At present, however, proposals for firearms control do not appear so restrictive as to reduce participation in hunting activities.

Some current proposals could reduce the number of legal

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<sup>1</sup>U.S. Department of the Interior, Fish and Wildlife Service, Bureau of Sport Fisheries and Wildlife, News Release, April 22, 1968.

<sup>2</sup>U.S. Department of the Interior, Division of Federal Aid, Bureau of Sport Fisheries and Wildlife, Statistical Summary for Fish and Wildlife Restoration--Fiscal Year 1968, page 1.

<sup>3</sup>For additional information of the economic impact of the firearms industry and shooting sports on conservation and the general economy, see: Alan S. Krug, "The Socio-Economic Impact of Firearms in the Field of Conservation and Natural Resources Management", Proceedings of the Nineteenth Annual Conference of the Southeastern Association of Game and Fish Commissioners, Tulsa, Oklahoma, 11 October 65, pp. 70-78.

privately owned handguns by significant amounts. At present, the 10% excise tax on these firearms goes into general revenue. This tax was almost \$3.4 million in 1966. A bill has been proposed

to make available half the revenues from the excise tax on pistols and revolvers to the states for target ranges and firearms safety training programs, and to make the other half of such revenues available to the Federal Aid to Wildlife Restoration Fund<sup>4</sup>.

A firearms control program that significantly reduced private ownership of handguns would therefore result in a decrease of this annual income to general revenues and perhaps conservation funds. This effect becomes greater with increased restrictiveness of the program.

If programs resulted in a great decline in demand for sporting arms, it is also possible that firearms manufacturers would reduce considerably their output. Many dealers (mostly department stores or mail order stores) have already curtailed or eliminated firearms sales as a result of recent anti-gun sentiment and restrictive programs would further reduce sales. If

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<sup>4</sup>Hearings before the Subcommittee on Fisheries and Wildlife Conservation of the Committee on Merchant Marine and Fisheries, House of Representatives, 90th Congress, 1st Session, on HR 11190, 2 November 67.

government subsidies were eventually required to support the firearms manufacturing industry so that it would be available for defense needs, then this cost would be paid by the general public.

There are also non-monetary indirect costs to the general public, but these would be much more difficult to quantify. Among these costs would be the frequently mentioned reduction or loss of an individual's long standing freedom to possess firearms.

There has been a study relating the effectiveness of soldiers to pre-service marksmanship training<sup>5</sup>. In comparing differences between trainees who were previously gun club members and those who were not members, it was found that previous gun club members:

Are more apt to enlist

Are more apt to prefer a combat unit

Are more apt to choose units where they are more likely  
to use their rifle (Infantry and Airborne)

Liked firearms and shooting more

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<sup>5</sup>Arthur D. Little, Inc., A Study of the Activities and Missions of the NBPRP, Report to the Department of the Army, Report No. C-67431, January 1966. The report also states that: "Unfortunately, only a relatively small percentage of Army trainees appear to have been members of DCM-affiliated gun clubs (just over 3% of the sample) or received any marksmanship training prior to entering service (32%).", page 15.

Had more shooting experience

Received more marksmanship instruction

Are more confident of their ability to use their rifle  
effectively in combat.

Are more likely to want to become a marksmanship instructor

Competed in more and higher level shooting matches

There are those who view marksmanship or proficiency in aimed fire as being irrelevant in modern warfare and thus pre-service firearms training is unnecessary. Regardless of this assertion, it is apparent that the services still need enlistees and men willing to serve in combat units. It also seems that, as long as a soldier is issued a personal weapon, his effectiveness in combat is directly related to his confidence in his ability to use that weapon, whether for aimed fire, automatic fire in the general direction of the enemy, or only for his personal defense.

Since there appears to be relationship between pre-service firearms training and a soldier's willingness and effectiveness, any firearms control program that would reduce opportunities for such training would result in an indirect "cost".

Costs to Firearms Owners

These monetary costs to firearms owners resulting from firearms control programs are "indirect" only in the sense that they are not part of the direct costs of these programs as discussed in Chapter II. That is, firearms owners incur costs in complying with the programs rather than the City, State, or Federal government in administering the program.

Among these costs are license fees, notary fees, and the cost of photographs which many programs require the applicant to provide. License fees, in general, range from one dollar to a high of twenty dollars, which in some cases may be restrictive. A low fee could become restrictive also, if it was made to apply separately to each of an individual's firearms, and/or frequent renewals were required.

Consider also a law that would require each applicant for a firearms license to present

"a statement...dated within 6 months and signed by a licensed physician, that in his professional opinion such person is mentally and physically capable of possessing and using a firearm safely and responsibly."<sup>6,7</sup>

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<sup>6</sup>Hearings Before the Committee on the Judiciary, United States Senate. S. 3691, 90th Congress, Second Session (Washington: U.S. Government Printing Office), 1968, page 16.

A question arises as to whether a physician would be willing to provide such a statement, except perhaps in cases where he has known and treated the applicant over a long period of time. In this case, maybe only an office visit at a cost of five to ten dollars is involved.

In cases where no long relationship exists between doctor and applicant, such a statement may be provided only after extensive testing and interviewing which would be costly to the applicant. For a large number of applicants, such as a federal program affecting forty million firearms owners, standardized psychological exams could probably be administered for five to twenty-five dollars per applicant, with only those whose test results indicate some problem being required to personally see a psychiatrist. The cost to the firearms owner involved in obtaining this required statement is an indirect cost of the firearms control program.

Frequently proposed is a requirement that all firearms owners be required to take a course on firearms safety as a

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<sup>7</sup>The author briefly discussed this problem by telephone on 18 December 1968, with Dr. Walter E. Barton, Medical Director of the American Psychiatric Association who stated that any such requirement of a firearms control proposal should definitely be studied by the medical profession before it is accepted.

prerequisite for licensing. Estimates of firearms training costs to satisfy this requirement are listed below<sup>8</sup>:

Rifle or Pistol--Four Hour Course(based on a class of 10 people)

\$ .25--Give-away material  
.54--30 rounds of .22 caliber ammunition  
.02--1 target(rifle or pistol)  
2.00--Instructor's pay(\$5.00 per hour)  
.88--Range-Five firing points for one hour at \$1.75 per  
hour(two people on each firing point)

\$3.69--Estimated cost per individual(excluding classroom cost)

Shotgun--Four Hour Course(based on a class of 10 people)

\$ .25--Give-away material  
1.00--10 shotgun shells { Cost of trap or skeet field is  
.60--10 clay targets { included in these charges.  
2.00--Instructor's pay (\$5.00 per hour)

\$3.85--Estimated cost per individual(excluding classroom cost)

A large scale program with this requirement would face many practical problems such as availability and certification of instructors and availability of firing ranges, classrooms, and firearms to be used in the training. This might be alleviated to some degree if the program required only applicants who could not pass a written examination, a practical handling test, and a shooting requirement, to take the training.

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<sup>8</sup>Estimates were provided, in a letter to the author, by Mr. Warren Cheek, Director of Training Activities, National Rifle Association of America, Washington, D.C., 17 December 68.

If the cost of the training is paid by the firearms owner, it would be another indirect cost of the program. If a testing requirement exists as a partial replacement for the training requirement and the testing is done by the licensing authority, then some of this indirect cost would become a direct cost of administering the program. If both testing and training are done by the licensing authority, the total cost, including additional administrative expenses, would be a direct cost.

There can also be non-monetary costs to the firearms owner as a result of firearms control programs. Gross inconvenience or harassment to lawful users of firearms is in this category. For example, New Haven, Connecticut has an exhaustive twenty-one page application form for a handgun permit. Also, many people consider it degrading to appear in person at a police station and be fingerprinted "like a common criminal". Some resent uniformed policemen asking questions concerning them in their neighborhoods and places of employment. Non-resident hunters and target shooters participating in interstate competitions can also be hampered by firearms control programs. Requirements rendering a collector's firearms incapable of firing and the mandatory storing of hunters' and target shooters' firearms in arsenals would similarly introduce these costs.



These indirect costs tend to make a program more restrictive. If a program is to be restrictive, it should be identified as such when proposed and survive or fail the legislative process accordingly. It is readily apparent, however, that a program that is permissive by design can be administered in a restrictive manner.

Indirect costs of firearms control programs are as important as the direct costs. This chapter has introduced a few examples. It is a subject that should be explored in greater detail.

CHAPTER IV

CRITERIA OF ELIGIBILITY  
FOR POSSESSION OF FIREARMS

The major costs of firearms control programs are generally involved in the investigative effort required to determine if the applicant is eligible for firearms possession in accordance with some specified criteria. These costs become greater with increases in the number of criteria that involve separate checks, the manner in which each investigation is conducted, and its thoroughness.

Until such time as the federal government establishes guidelines or minimum standards for such eligibility, these criteria will be established by the states themselves. States that currently have registration and licensing programs in force or proposed appear in general agreement as to these criteria which would prohibit possession of firearms to those under a certain age, fugitives from justice, those convicted of certain types of crimes, mental incompetents, narcotics addicts, and alcoholics.

There are differences, however, in how these criteria are defined. The minimum age varies, but is in general either eighteen or twenty-one. There is greater variance in the types of crimes for which a conviction would make one ineligible with some states not including crimes that it might be reasonable to include. Mental incompetency is also variously defined.

From a cost-benefit point of view, it would be expected that additional criteria that are relevant and could be added without additional cost, should be included. For example, perhaps the most effective method of checking an individual's criminal record is by forwarding his fingerprints to the Federal Bureau of Investigation. Since this record would contain all crimes for which taking his fingerprints was warranted, it would cost no more to check on all crimes that may have relevance to the advisability of the individual possessing firearms than it would to check on only some of these crimes.

On the other hand, the addition of a criterion that would require a separate check, resulting in additional cost, should perhaps be checked more closely for relevance and effectiveness before it is included.

For example, New York City would deny possession of rifles and shotguns to those who have received a dishonorable

discharge from military service for committing certain acts<sup>1</sup>. Localities considering this criteria for their programs could require all veterans to submit with their application a Form DD 214 which states the type of discharge received. Also, if the dishonorable discharge resulted from certain civil offenses, it would probably be detected in an FBI fingerprint check. A thorough check, however, would require contacting the Judge Advocate General's office at an estimated cost of \$3.25 per inquiry<sup>2</sup>.

In order to determine if it is worth this amount to obtain this information, one should perhaps consider the relationship between a person receiving a dishonorable discharge and his propensity for misusing firearms. If it appears high, the number of people who have received dishonorable discharges should be determined to see if there are enough of them to cause concern. Statistics on discharges from the U.S. Army in fiscal year 1968 reveal that out of a total of 484,760 separations, only four were

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<sup>1</sup>Local Laws of the City of New York, 1967, No. 106.

<sup>2</sup>Estimate by Mr. John Gordon, Chief, Reference Activities Branch, U.S.A.A.C., Liason Office, Pentagon Building, Washington, D.C., in an interview with author, 13 November 1968.

under dishonorable conditions<sup>3</sup>. This would perhaps indicate that the benefit of having such a criterion and checking it in this manner may not be worth the cost involved.

It would seem appropriate to subject all proposed criteria of eligibility for firearms possession to those types of considerations before including them in programs established by law and paid for by the public.

Also excluded from firearms ownership would be mental incompetents, narcotics addicts, and alcoholics. Tables 5-8, pp.53-59 indicate to some degree the extent of mental health, narcotic, and alcohol problems by state. Logical questions that arise are, (1) What investigative methods are available concerning these criteria?, (2) What are their costs?, (3) Are these criteria relevant to the problem of restricting firearms possession by unfit persons?, and (4) Are the benefits of including these criteria worth their costs?

One method of checking on an individual's mental competency is to determine if he has been treated for a mental disorder. In states where there is no central file of mental patients, this

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<sup>3</sup>Statistics made available by Colonel David Martin, Action Officer, Separations Branch, Promotion and Separations Division, U.S. Army, Pentagon Building, Washington, D.C., in an interview with the author, 13 November 1968.

would involve a considerable number of contacts. Practical limitations on this approach include the fact that, although state institutions might provide this information if required by law, private institutions would in most cases consider patient information as confidential and not reveal it to the requesting authority. Individuals treated by out of state institutions or by private physicians, or those who have mental disorders but have not been treated, would go undetected.

At present, there is no central file of individual mental health records at the national level. It also appears that there would be vehement opposition from those in the mental health field to the establishment of such a system for this purpose<sup>4</sup>.

It appears, therefore, that individual state hospitals or state departments of mental hygiene are the only potentially available sources for this information. The direct costs of

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<sup>4</sup>This impression results from the author's discussions with both physicians and administrators in the mental health field. Their opposition results from the confidential nature of an individual's mental health problems, a condition considered necessary for the free interchange of trust and information between doctor and patient that is an essential element of treatment.

responding to such requests is estimated at \$.50 each<sup>5</sup>, assuming that the record system is already in existence for other uses.

Another method of checking an individual's mental condition is for an investigating officer to personally contact an applicant's family, neighbors, employers, or references and seek information concerning the applicant's past and current mental state. The cost of this investigative technique is directly related to the amount of time the officer spends making these contacts, i.e., his thoroughness. During these personal contacts, the investigator would not be limited to determining the applicant's mental condition, but would inquire about any reasons that would indicate the inadvisability of allowing the applicant to possess firearms.

Table 7 indicates the known number of active narcotics addicts by state<sup>6</sup>. If addiction to narcotics has resulted in the arrest of an applicant, it may be revealed by an FBI fingerprint check. There is also a central file of narcotics addicts

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<sup>5</sup>See footnote<sup>4</sup> on page 14.

<sup>6</sup>These figures do not include habitual users of depressants and stimulants and should be considered as conservative indicators of the drug problem.

at the Bureau of Narcotics and Dangerous Drugs in Washington, D.C. that is not presently used for this purpose<sup>7</sup>. If such a central file could be used to investigate applicants for licenses to possess firearms, the cost of each inquiry could perhaps be estimated as \$.50.

Estimates of the number of alcoholics by state appear in Table 8. There is no central file of alcoholics at the national level. If the individual has a police or FBI record as a result of alcoholism, however, it may be detected by checks of those records.

Applicants for firearms licenses who are narcotics addicts or alcoholics are perhaps more readily detected by an investigator's personal inquiries of family, neighbors, etc.

Some investigative methods relating to determining an individual's eligibility to possess firearms in accordance with specified criteria and some of the costs involved have been discussed. It is now appropriate to discuss briefly the relevance of these criteria to an objective of preventing firearms possession by the unfit and consider this relevance in relation to the costs involved.

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<sup>7</sup>Telephone conversation between the author and Mrs. Sullivan, Bureau of Narcotics and Dangerous Drugs, U.S. Treasury Department, 8 November 68.



For example, suppose it is deemed desirable to deny possession of firearms to narcotics addicts. If the applicant is investigated in this regard through personal visits by an investigator with family, references, etc., at which time other criteria are also being checked, then there is no additional cost involved. Suppose, however, this check is to be through inquiries to a national or state facility which maintains records of narcotics addicts. A question then arises as to whether it is worth the additional cost in all states.

Table 7 indicates that almost 20% of the states have less than one known addict per 100,000 population. In fact, the nine states of New York, California, Illinois, New Jersey, Michigan, Pennsylvania, Maryland, Texas, New Mexico, and the District of Columbia account for 92% of all active addicts recorded by the Bureau of Narcotics<sup>8</sup>. It would appear, therefore, that even if it is deemed advisable to restrict possession of firearms by narcotics addicts, it may be worth the cost of checking an applicant's background in this regard only in states where a significant number of addicts exist.

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<sup>8</sup>U.S. Treasury Department, Bureau of Narcotics, Traffic in Opium and Other Dangerous Drugs, Annual Report for 1967, page 23.

Is it appropriate to regard mental incompetents, narcotics addicts, and alcoholics as a greater hazard with firearms than the average citizen? Perhaps only those who have been committed by a court as being dangerous to themselves or others should be included.

Dr. Walter E. Barton, Medical Director of the American Psychiatric Association has stated:

The public still believes that most mental patients are likely to become dangerous. The rates of incidence for acts of major violence among mental patients is lower than that found in the general community. For example: Cohen and Freeman studied police records before admission and after discharge of 1,670 patients discharged from the Norwich (Connecticut) State Hospital. Pollack made an extensive study of those released from the New York State Hospitals. Both studies demonstrated that popular fears of violence or serious anti-social behavior on the part of former mental patients is not based on fact. Patients who have been released from a mental hospital are less likely to commit crimes than are those who have never been judged mentally ill<sup>9</sup>.

His later comments include:

We would believe that it would be unnecessary to define in legislation alcoholics, narcotics addicts, or mental incompetents. Control laws that affect firearms should be universally applied for the above stated reason to all citizens. There is no evidence

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<sup>9</sup>Walter E. Barton, Administration in Psychiatry, Charles C. Thomas Company, Springfield, Illinois, 1962, page 209.

to distinguish any of the subgroups as being a greater hazard. In fact, they are less of a hazard than the general public<sup>10</sup>.

This report is concerned primarily with costs of administering firearms control programs. As stated, major costs are generally incurred in investigating applicants to determine if they qualify for firearms ownership in accordance with some established criteria. It is beyond the scope of this report to determine which criteria are justified in terms of their relationship to the misuse of firearms and the number of people to which they apply. Since costs of administering these programs become greater with increases in the number of criteria that involve investigations, however, it is appropriate for this analysis to indicate the need for understanding of these factors by legislators proposing such programs.

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<sup>10</sup>Statement in a letter from Dr. Barton to Mr. Charles Dickey, Director of National Shooting Sports Foundation, Inc., 22 November 68.

Table 5

Number of State and County Mental Hospitals, Outpatient  
Clinics and Private Hospitals Treating Mental Patients

<u>State</u>	<u>No. of State (and County) Hospitals 1965</u>	<u>No. of Outpatient Clinics-1965</u>	<u>No. of Private Hospitals-1966</u>
Alabama	2	25	1
Alaska	2	3	-
Arizona	1	8	2
Arkansas	2	8	-
California	12	157	25
Colorado	2	25	3
Connecticut	3	49	7
Delaware	2	14	-
District of Columbia	1	22	-
Florida	4	37	5
Georgia	1	24	5
Hawaii	1	11	-
Idaho	2	3	-
Illinois	13	109	10
Indiana	9	27	2
Iowa	6	28	1
Kansas	3	36	2
Kentucky	4	28	3
Louisiana	3	29	1
Maine	2	10	1
Maryland	6(1)	74	7
Massachusetts	13	129	11
Michigan	11	62	10
Minnesota	8	27	-
Mississippi	2	7	-
Missouri	6	41	3
Montana	1	5	-
Nebraska	4	11	1
Nevada	1	5	-
New Hampshire	1	28	-
New Jersey	12(6)	80	4
New Mexico	1	5	1
New York	24	394	19
North Carolina	4	38	3
North Dakota	1	2	-
Ohio	20	80	4
Oklahoma	4	24	1
Oregon	3	24	1
Pennsylvania	20	145	16

(continued)

Table 5 continued

<u>State</u>	<u>No. of State (and County) Hospitals 1965</u>	<u>No. of Outpatient Clinics-1965</u>	<u>No. of Private Hospitals-1966</u>
Rhode Island	1	16	2
South Carolina	1	11	1
South Dakota	1	6	-
Tennessee	6(1)	16	2
Texas	8	41	6
Utah	1	18	-
Vermont	1	7	1
Virginia	4	31	5
Washington	3	13	2
West Virginia	5	13	1
Wisconsin	41(37)	35	5
Wyoming	<u>1</u>	<u>6</u>	<u>-</u>
U.S. Total	290	2,047	174

Sources: U.S. Department of Health, Education and Welfare  
Patients in Mental Institutions, 1965 and 1966

Part I----p. 17

Part II---p.II-9

Part III--p.III-37

Table 6

Number of Patients in  
Mental Hospitals and Clinics

<u>State</u>	No. of Patients		
	<u>No. of Patients State Hospitals 1965</u>	<u>Outpatient Clinics per 100,000 pop. 1965</u>	<u>No. of Patients Private Hospitals 1966</u>
Alabama	9,413	509.4	520
Alaska	433	1984.8	--
Arizona	2,782	110.0	1,155
Arkansas	4,541	252.2	--
California	48,117	885.8	4,586
Colorado	5,499	1073.8	624
Connecticut	10,672	2328.2	738
Delaware	2,638	110.0	--
District of Columbia	7,549	1985.5	--
Florida	12,745	868.7	845
Georgia	18,737	492.3	1,468
Hawaii	1,807	1262.5	--
Idaho	1,061	405.5	--
Illinois	35,842	57.9	4,315
Indiana	13,659	521.0	504
Iowa	3,007	826.4	380
Kansas	3,548	1030.3	183
Kentucky	9,011	468.2	140
Louisiana	11,094	1041.9	513
Maine	3,463	432.9	360
Maryland	12,066	1077.0	1,055
Massachusetts	22,643	1101.1	1,125
Michigan	25,894	559.5	4,280
Minnesota	9,759	1130.1	--
Mississippi	7,617	160.0	--
Missouri	15,222	678.4	1,114
Montana	1,718	979.0	--
Nebraska	4,825	727.0	972
Nevada	709	653.6	--
New Hampshire	3,248	1199.2	--
New Jersey	22,765	795.3	1,498
New Mexico	1,742	27.9	670
New York	112,570	2200.2	4,662
North Carolina	10,971	931.3	337
North Dakota	2,682	272.1	--
Ohio	27,821	852.0	1,534
Oklahoma	8,360	359.1	791

(continued)

Table 6 continued

State	No. of Patients State Hospitals 1965	No. of Patients	
		Outpatient Clinics per 100,000 pop. 1965	No. of Patients Private Hospitals 1966
Oregon	5,538	930.9	190
Pennsylvania	53,909	942.5	3,423
Rhode Island	4,409	761.0	346
South Carolina	8,862	579.0	--
South Dakota	1,648	993.0	--
Tennessee	8,403	611.2	519
Texas	20,253	444.8	1,747
Utah	1,382	54.6	--
Vermont	1,435	--	186
Virginia	15,013	700.6	2,122
Washington	5,168	74.7	581
West Virginia	7,323	395.9	--
Wisconsin	15,279	819.2	371
Wyoming	<u>1,143</u>	<u>1519.4</u>	<u>--</u>
U.S. Total	645,994	843.7 average	43,804

Sources: U.S. Department of Health, Education and Welfare  
Patients in Mental Institutions, 1965 and 1966

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Table 7

Active Narcotics Addicts in the United States  
as of 31 December 1968

<u>State</u>	<u>Population</u> <u>(1960 census)</u>	<u>No. of</u> <u>Addicts</u>	<u>Rate per 100,000</u> <u>Population</u>
Alabama	3,276,000	136	4.15
Alaska	228,000		
Arizona	1,321,000	272	20.58
Arkansas	1,792,000	56	3.12
California	15,862,000	7457	47.01
Colorado	1,768,000	308	17.42
Connecticut	2,543,000	400	15.73
Delaware	449,000	24	5.34
District of Columbia	776,000	1106	142.65
Florida	4,997,000	403	8.06
Georgia	3,958,000	65	1.64
Hawaii	641,000	59	9.20
Idaho	671,000	2	.29
Illinois	10,003,000	6567	65.14
Indiana	4,673,000	308	6.59
Iowa	2,757,000	15	.54
Kansas	2,180,000	14	.64
Kentucky	3,045,000	67	2.20
Louisiana	3,263,000	400	12.25
Maine	974,000	5	.51
Maryland	3,111,000	1474	47.39
Massachusetts	5,157,000	471	9.13
Michigan	7,833,000	1674	21.37
Minnesota	3,427,000	193	5.64
Mississippi	2,185,000	37	1.69
Missouri	4,326,000	381	8.80
Montana	679,000	9	1.32
Nebraska	1,417,000	15	1.05
Nevada	219,000	160	55.00
New Hampshire	609,000	3	.49
New Jersey	6,104,000	2834	46.44
New Mexico	953,000	491	51.54
New York	16,855,000	32347	191.93
North Carolina	4,576,000	45	.98
North Dakota	634,000	6	.94
Ohio	9,737,000	432	4.43
Oklahoma	2,337,000	64	2.73
Oregon	1,772,000	142	8.01
Pennsylvania	11,328,000	1656	14.61
Rhode Island	858,000	207	24.13

(continued)



Table 7 continued

<u>State</u>	<u>Population (1960 census)</u>	<u>No. of Addicts</u>	<u>Rate per 100,000 Population</u>
South Carolina	2,395,000	35	1.46
South Dakota	683,000	11	1.61
Tennessee	3,577,000	59	1.64
Texas	9,631,000	1144	11.87
Utah	900,000	63	7.00
Vermont	389,000	2	.51
Virginia	3,986,000	143	3.58
Washington	2,855,000	122	4.27
West Virginia	1,855,000	10	.53
Wisconsin	3,961,000	144	3.63
Wyoming	331,000	7	2.11

Source: U.S. Treasury Department, Bureau of Narcotics, Traf-  
fic in Opium and Other Dangerous Drugs, Annual Report  
for 1967.

Table 8

Estimates of Alcoholics  
in the United States as of 1960

<u>State</u>	<u>1960 Estimated No. of Alcoholics</u>	<u>Rate per 1000 Population</u>
Alabama	32,700	18.0
Arizona	22,500	30.0
Arkansas	29,700	28.6
California	623,400	63.9
Colorado	42,500	40.9
Connecticut	76,300	48.4
Delaware	10,700	39.6
Florida	108,000	35.4
Georgia	55,300	25.1
Idaho	7,200	19.0
Illinois	315,300	50.5
Indiana	106,800	38.5
Iowa	45,700	27.6
Kansas	32,000	24.1
Kentucky	57,100	32.4
Louisiana	70,100	39.2
Maine	24,200	41.8
Maryland	73,800	40.0
Massachusetts	184,800	57.1
Michigan	200,100	43.5
Minnesota	66,500	33.1
Mississippi	26,700	22.9
Missouri	143,100	50.4
Montana	14,300	36.6
Nebraska	25,600	29.9
Nevada	11,700	66.4
New Hampshire	13,200	35.6
New Jersey	184,900	48.4
New Mexico	15,800	30.5
New York	583,100	54.6
North Carolina	51,600	20.1
North Dakota	12,500	34.6
Ohio	247,600	42.6
Oklahoma	29,600	20.9
Oregon	27,400	25.4
Pennsylvania	302,100	43.2
Rhode Island	31,600	59.1

(continued)

Table 8 continued

<u>State</u>	<u>1960 Estimated No. of Alcoholics</u>	<u>Rate per 1000 Population</u>
South Carolina	34,000	27.0
South Dakota	10,100	25.2
Tennessee	59,800	29.0
Texas	153,200	27.6
Utah	9,500	19.9
Vermont	9,400	41.4
Virginia	44,600	22.7
Washington	49,000	27.9
West Virginia	33,200	31.0
Wisconsin	117,800	49.9
Wyoming	4,400	22.6
District of Columbia	27,000	53.0

Source: National Council on Alcoholism, Inc. These estimates are derived by the Jellinek Estimation Formula. Rates are for the year 1945, with R=5, applied to 1960 populations.

CHAPTER V

SUMMARY AND CONCLUSIONS

This preliminary report is concerned with costs of firearms control programs. These costs take many forms: direct and indirect, monetary and non-monetary, costs to the general public and to firearms owners. The purpose of this report is to identify some of these costs, develop some understanding concerning them, and indicate areas where further understanding is needed.

Most of the direct costs of administering programs for the licensing of firearms owners and the registration of firearms are involved with the processing of applications and investigations to determine the applicant's eligibility to possess firearms. As investigations become more thorough, costs increase because more time is spent on each application and more checks with outside agencies are performed.

This quantitative cost relationship was demonstrated through the development and use of a simplified model which includes the procedural elements and their costs. The model allows representative programs to be synthesized from these elements and the direct program costs determined. Direct costs of illustrative

operational and proposed programs were also examined.

Since the direct costs of investigations generally increase with the number of criteria of eligibility to be checked, some of these criteria were discussed in relation to (1) What investigative methods are available concerning these criteria?, (2) What are their costs?, (3) Are the criteria relevant to the problem of restricting firearms possession by unfit persons?, and (4) Are the benefits of including the criteria worth their costs? It was concluded that greater understanding is required concerning this aspect of firearms control programs, particularly the latter two questions.

Indirect costs, both monetary and non-monetary, were discussed as they relate to the general public and to firearms owners as a class. Indirect costs of firearms control programs are as important as direct costs and deserve additional research effort directed toward their identification and quantification. An analysis of their relationship to other aspects of firearms control is also of interest. For example, in attempting to minimize program costs, what is the appropriate relative importance of reducing indirect costs versus direct costs? An interesting relationship between indirect costs and the degree of restrictiveness of the program also exists and should be examined more thoroughly.

There are many aspects of firearms control programs to which cost-benefit analyses could be applied, e.g., evaluating alternative procedures or methods of investigation, determining criteria, etc. Several of these have mentioned in this report. However, this analysis has not addressed the cost-benefit relationship of firearms control programs in a larger sense.

Some of the programs discussed were quite high in cost. The question as to what public benefit would result from them remains, to a large degree, unanswered. Before such programs are adopted, realistic objectives should be clearly defined and unbiased analyses performed to determine their effectiveness and costs in accomplishing these objectives. The results of cost analyses of the aspects of firearms control programs suggested by this report can contribute significantly to this larger research effort.