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Manual for the Development of A System of Criminal Justice Statistics



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PREFACE

In the mid-1980's the United Nations Statistics Division, acting on the guidance of the General Assembly and United Nations Congresses on the Prevention of Crime and the Treatment of Offenders, published the first edition of the *Manual for the Development of Criminal Justice Statistics*.¹ That *Manual* presented a general framework for developing a system of criminal justice statistics; it was followed by the *Guide to Computerization of Information Systems in Criminal Justice*.² The main purpose of the *Guide* was to assist criminal justice executives and managers in planning, implementing and keeping their criminal justice information systems technically up to date by taking full advantage of new information technologies.

In the period following the publication of these two manuals, a number of advances in the area of collecting and disseminating information on crime took place. The general framework of the criminal justice information system underwent changes, making it more flexible and enlarging it to encompass different sources of data relevant to the understanding and proper functioning of criminal justice, such as victimization surveys and statistics on causes of death.

Another development that clearly marked the previous period is related to "means versus needs" issues. Large-scale social and economic changes have focused attention on issues of criminal justice management and planning, yet at the same time fiscal austerity poses an enormous challenge. As demands for service increase, criminal justice managers must find ways of "doing more with less". In this context, good information on caseloads, case characteristics, case flows and expenditures have taken on a particular importance for monitoring performance and for strategic and operational planning. Furthermore, criminal justice statistics assist in policy research and analysis within criminal justice systems and as part of other social and global policy formation and planning. Finally, good criminal justice statistics are essential for understanding and trying to shape social development.

The present *Manual* has been prepared in response to the Economic and Social Council (ECOSOC) resolution 1997/27 of 21 July 1997, entitled "Strengthening the United Nations Crime Prevention and Criminal Justice Programme with regard to the development of crime statistics and the operations of criminal justice system". In that resolution, the ECOSOC welcomed the offer of the Government of Canada "to assist the Secretariat, which will work in cooperation with the members of the Crime Prevention and Criminal Justice Programme Network and other interested experts, in the preparation of the Guide on the Development and Analysis of Criminal Justice Statistics". The Council also requested the Secretary-General "to develop, in cooperation with members of the Crime Prevention and Criminal Justice Programme Network and other interested experts, an annex to the above-mentioned Guide that would include specific examples of basic statistical instruments used for data collection, such as questionnaires, information output, reports, classifications, definitions and victimological issues, with a view to making national approaches to data collecting more compatible, thus making data comparable".

Following the request of the ECOSOC, the Guide, which was subsequently given its present title, *Manual for the Development of a System of Criminal Justice Statistics*, sets out an updated general framework for the development of a national system of criminal justice statistics. As the development of such a system inevitably requires the participation and cooperation of many sectors, the *Manual* is presented in non-technical language, and its intended audience is broad. The potential audience includes users and producers of criminal justice statistics both inside and outside of Government; in particular managers, administrators, professionals, technicians, scholars, researchers, academics, practitioners and others directly or indirectly concerned with criminal justice issues. The *Manual* also recognizes that underlying conditions and readiness to develop a system of criminal justice statistics vary markedly from country to country. National and local circumstances, then, will determine to a great extent how the *Manual* is used.

The discussion of sources complementary to administrative and operational information systems has been expanded into a chapter with the addition of more material on crime victimization surveys. A chapter on international collection of crime and criminal justice statistics has also been added to the present *Manual*.

¹ *Manual for the Development of Criminal Justice Statistics*, Studies in Methods Series F, No. 43 (United Nations publication, Sales No. E.86.XVII.16).

² *Guide to Computerization of Information Systems in Criminal Justice*, Studies in Methods Series F, No. 58 (United Nations publication, Sales No. E.92.XVII.6).

According to the guidelines established by the ECOSOC, the present *Manual* includes an annex to highlight some of the practical issues related to the design and creation of a sound data collection system. The annex provides examples of data collection forms, statistical tables, an offence classification scheme, an offence severity scoring rule and data analysis, all of parts of which might be a useful starting point for countries attempting to develop or refine their national systems of criminal justice statistics. It is expected that countries will develop data-collection instruments appropriate to their own situation, reflecting the specific characteristics of their criminal justice system and the level of available resources.

The annex also includes questionnaires for the United Nations survey of crime trends and operations of criminal justice systems and the International Crime Victim Surveys. These instruments may serve as references for countries embarking on similar types of data collection, and may inform and stimulate countries to participate in future international justice-related survey activities. Comparison with countries of similar structure and nature provides a broader context for better understanding and shaping social development locally.

Inasmuch as crime and operations of criminal justice systems are part of a society, criminal justice statistics form a part of a larger body of social and

economic statistics that has been a subject of a number of international recommendations and publications by the United Nations Statistics Division.³ The present *Manual* draws on these extensive previous experience and publications.

It is recognized here that certain serious shortcomings in national criminal justice systems are not reflected in the *Manual*, such as abuse of police authority, unnecessary use of force, abuse of human rights, repression and lack of responsibility by the criminal justice system.

The draft of the *Manual for the Development of a System of Criminal Justice Statistics* was prepared by Rick Beattie and Robert Kingsley of the Canadian Centre for Justice Statistics, Statistics Canada. This draft was reviewed at an expert group meeting⁴ convened in Buenos Aires from 23 to 25 April 2001 and benefited additionally from the input of colleagues around the world. The chapter on international collection of data on crime and criminal justice was drafted by the Centre for International Crime Prevention, United Nations Office for Drug Control and Crime Prevention, and the United Nations Interregional Crime and Justice Research Institute.

The *Manual* was edited and prepared for publication by the United Nations Statistics Division.

³ An extensive list of United Nations Statistics Division methodological studies and international recommendations in the fields of social, demographic and economic statistics and the organization of statistical services is available at: <http://unstats.un.org/unsd/pubs>.

⁴ The meeting was organized by the Latin American Crime and Justice Research Institute (IIDEJUAL) of the Ministry of Justice and Human Rights of Argentina, in cooperation with the United Nations Statistics Division and the Centre for International Crime Prevention, United Nations Office for Drug Control and Crime Prevention (CICP/ODCCP). Participants included experts from the European Institute for Crime Prevention and Control (HEUNI), the United Nations Asia and Far East Institute for the Prevention of Crime and the Treatment of Offenders (UNAFEI) and the Latin American Institute for the Prevention of Crime and the Treatment of Offenders (ILANUD), as well as national experts from Argentina, Canada, the Netherlands and Venezuela.

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I. PURPOSES AND REQUIREMENTS OF A SYSTEM OF CRIMINAL JUSTICE STATISTICS

A. USES AND PURPOSES OF A SYSTEM OF CRIMINAL JUSTICE STATISTICS

1.1 Statistics on crime and criminal justice help Governments to assess and monitor the conditions, circumstances and trends of well-being and the social impact of public expenditures and policies. The collection of reliable and comprehensive criminal justice statistics in countries is of immense importance to everyone involved with criminal justice, especially to the criminal justice administrator. Each component of the criminal justice system inevitably creates large quantities of records, but it is only when such raw information is transformed through purposeful collection and organization into statistical form that these records provide information valuable for criminal justice decision-making.

1.2 Broadly, the uses of criminal justice statistics can be divided into three interdependent areas: administration, planning, and policy research and analysis. Each of these areas is reviewed below.

Administration

1.3 Any organization or agency should be capable of monitoring its own activities. In general terms, management can be characterized as a process of organizing a set of resources to accomplish established goals and objectives. Effective management requires information to determine whether the goals and objectives are being accomplished in a timely and orderly fashion, and whether the resources are being used efficiently and effectively. The more complex the organization, the greater will be the need for statistical information, particularly on resources and resource allocation and on cases and caseloads.

1.4 For example, a police administrator is called upon to meet objectives regarding public safety, citizens' calls for assistance, apprehension of offenders and the like. He or she must allocate a variety of resources, including personnel, money, operating procedures, and facilities and equipment, to accomplish these objectives. Regular statistical reports integrating information on the allocation of resources as well as on such concerns as the incidence of calls for service, types of crime and identification of suspects are crucial if the administrator is to understand the agency's current problems and formulate possible solutions. Similarly, administrators of parole and probation agencies can use

routine statistical information on caseload size to determine, for example, whether the current workload is consistent with agency policy and, if not, what changes are needed.

1.5 Statistics, then, provide a measure of whether personnel are meeting minimal expectations and of how well an agency is accomplishing its stated goals and objectives. Such information is crucial for personnel and budget decisions and can indicate to other units and agencies whether objectives are being accomplished in compliance with established procedures and policies. In some countries information on effectiveness and efficiency is increasingly demanded by overall controlling agencies, the public and representatives of the public interest, particularly the media and special interest groups. Annual statistical reports and special statistical studies can contribute significantly towards meeting these demands.

Planning

1.6 Planning involves identifying alternative procedures for attaining some future goal. For example, for the court administrator planning may involve identifying ways of reducing case processing time or developing a more efficient way to produce trial transcripts. For the prison administrator, it may involve the development of a better classification system so that resources can be allocated to identified needs and objectives. The planning process involves the following steps:

- (a) Understanding the current situation;
- (b) Formulating a clear statement of the goal to be achieved;
- (c) Identifying alternative approaches for achieving the goal and the advantages and disadvantages of each approach;
- (d) Establishing criteria by which to select the best approach;
- (e) Implementing the planned approach for achieving the goal;
- (f) Installing a system to provide information on whether the plan is accomplishing its objectives in an efficient manner.

Each step in the planning process typically requires information, including statistics.

1.7 Consider the example of a criminal justice administrator who knows that prison facilities are currently operating at 95 per cent capacity. Historical trends in admissions and releases indicate that within two years the prison will be operating at 102 per cent capacity. However, conventional wisdom suggests that the prison should never be over 95 per cent capacity. In order to allow some degree of freedom in classifying and administratively segregating inmates, as well as in improving prison facilities through building renovation or extensions, some knowledge of the projected prison population is required. Based on such information, the administration can examine a range of options, such as changing classification standards; increasing releases through reprieves and other methods; expanding existing facilities; and building new facilities. In other words, statistics help the administrator to recognize the problem, identify the consequences, identify possible courses of action in response and recognize the advantages and disadvantages of each. Statistical information is useful for discriminating between options and monitoring the implementation of the selected course of action.

1.8 Every administrator must anticipate possibilities and put in motion plans based on such forecasts. Forecasting techniques vary from qualitative procedures based on experience and practical expertise to sophisticated statistical techniques. Without some systematic approach to forecasting, justice administrators must take the future as it comes, adopting a reactive management style that in the worst case may turn into crisis management. Regardless of the technique, all forecasting methods assume that the future is somehow related to the past and present. Thus, at a minimum, forecasts on crime and various aspects of the administration of justice require the use of statistical data.

Policy research and analysis

1.9 Policy analysis refers to attempts to determine the effects of changes in policy, law or procedure or in the environment and to develop strategies in the light of these anticipated effects. For example, a policy analyst may want to determine the effects of demographic shifts, such as a decline in the median age of the population or a continual migration of unskilled labourers, on the crime rate or the effects of crime-rate shifts on the workloads of police, courts and prisons. The analyst might also be interested in the effect of policy or procedural changes on the criminal justice process, such as the level of increase in judicial capacity that would be effected by a change in case-filing procedures reducing the average case-to-case period by five per cent.

1.10 Policy analysis can take two forms: internal analysis, to determine the effects of self-initiated policy or procedural changes on an agency's operation; and external analysis, to determine the effect on an agency of changes in another agency's policies and procedures or of changes in the environment. Either type of analysis can take place prior to the change, when it is often referred to as policy simulation, and after the change, as evaluation or impact analysis. Such analyses require statistical data.

1.11 Policy research and analysis are generally based on the view that crime is relational; that to understand crime, the link between changes in crime and changes in the social conditions that generate, maintain, decrease or increase its rate and shape its form and nature must also be understood. This implies that criminal justice statistics give only a partial picture of crime and its context. Furthermore, given that crime is said to be a process that often accompanies "development", the relationship between crime and development can only be understood and specified through an informed analysis of the relationship between various crimes and various developmental processes at different levels of development. Thus, just as other social statistics are necessary for an understanding of crime, criminal justice can play an important part in the evaluation of social change and the formulation of social policy.

1.12 In this context, criminal justice statistics can be viewed as part of a larger body of social statistics and indicators consisting of generalized or aggregated data on the central features of society. To understand the relationship between crime and social development—that is, to understand social change—the construction and evaluation of criminal justice statistics should be viewed in relation to other areas of statistics, such as:

- (a) Knowledge (education, innovation, other types of knowledge);
- (b) Population shifts;
- (c) Organization of society;
- (d) Culture and cultural changes;
- (e) Technology;
- (f) Changes in political and legal structures;
- (g) Various forms of social differentiation.

B. PRIMARY REQUIREMENTS OF A SYSTEM OF CRIMINAL JUSTICE STATISTICS

1.13 The very idea of a statistics system or programme is ambitious; it implies an enormous amount of planning and coordination. Like any other statistical system, a system of criminal justice statistics must meet certain basic user and management requirements, including the following:

(a) It must be user-oriented. Statistics must not be viewed as ends in themselves but rather as means to other ends such as decision-making, research and general enlightenment. Statistics must serve the user, or ideally many users, in a variety of ways;

(b) Statistics are most useful in context and when related to other statistics. This has two implications. First, time series are typically more useful and instructive than a single discrete observation. Second, a given body of statistics is most meaningful when linked to other statistics both within and outside the subject matter, as this emphasizes the importance of coordination and harmonization of concepts, definitions, classifications, methods and procedures;

(c) To be useful, statistical information must be timely. It must be collected, processed and released with due consideration to the requirements of decision makers;

(d) A statistical programme must be credible. First, to maintain the good will of the suppliers of data and information, consideration must be given to their concerns, especially that of the confidentiality of individually identifiable data and records. Second, to ensure the support of the users, the programme must be impartial, objective and technically and substantively sound;

(e) Just as a criminal justice system must be effectively planned and managed, so too must a criminal justice statistics system. The production of good quality statistics is complex and potentially costly, and thus requires effective management of human and fiscal resources.

1.14 In addition to these basic user and management requirements, several other essential factors contribute to the successful functioning and sustainability of a system of criminal justice statistics. They include:

(a) Obtaining and maintaining the commitment of stakeholders;

(b) Fostering the evolution of the statistical programme;

(c) Maintaining political neutrality and objectivity;

(d) Using analytical and technical resources effectively;

(e) Articulating of the scope and content clearly;

(f) Using an integrated approach;

(g) Maintaining a high public profile.

Obtaining and maintaining the commitment of stakeholders

A **stakeholder** is a person or group of people who have a share or a personal or financial involvement in an enterprise or undertaking. In the case of a criminal justice statistics system, stakeholders are many and may include government officials, criminal justice personnel, the media, researchers, scholars and the public.

1.15 The development of a national system of criminal justice statistics is a complex process. It requires the participation and cooperation of many components of the system, including the police, prosecutors, courts, and corrections. Experience shows that information programmes will not develop without the commitment of senior criminal justice managers. Core data for the ongoing production of national statistical information in the criminal justice area are extracted from administrative records that are kept by the various components involved, including police, prosecutors, courts and correctional personnel. This activity by itself is resource-intensive, but it is further complicated by the need to have national standards, common data definitions and other desirable attributes expected of a credible and usable statistical series. In practice, those who keep records for operational purposes pay only rudimentary attention to the non-operational uses of those records. Without the commitment of senior managers, conversion of official records into usable statistical data becomes a difficult proposition.

1.16 A wide variety of initiatives could be employed to sustain commitment of the major stakeholders. The most effective among them is a commitment based on the value of justice statistics for achieving the fundamental goals of the criminal justice system. The least effective, on the other hand, would be a situation in which legislation is used as the sole mechanism to force administrators of justice programmes to participate in a national justice statistics enterprise. However, a proper legislative framework is often necessary to establish the legal authority of the

system and the legal responsibilities of the administrators.

Fostering the evolution of the statistical programme

1.17 Once a basic statistical programme has been established, the greatest substantive challenge of a criminal justice statistics system is to foster the evolution of its outputs in response to the most pressing needs of data users. The key operational needs in this area are a capacity for effective interactions with a wide range of client groups, a planning system that can translate these needs into specific projects, and the resources to achieve the desired outputs.

Maintaining political neutrality and objectivity

1.18 One essential obligation of a national criminal justice statistics programme is public accountability. This obligation cannot be effectively fulfilled if the national justice statistics programme is viewed as one subscribing to a political ideology or subject to interference by the Government in power. The programme must be, and must be seen to be, impartial and objective.

1.19 Given that in most cases criminal justice statistics programmes have been developed by Governments for the purposes of planning and monitoring the criminal justice system, establishing political impartiality may prove to be quite challenging. Making the statistical system independent of the criminal justice system may be beneficial in terms of increasing impartiality. For example, establishing a criminal justice statistics agency independent of any other criminal justice agency (police, prosecutors, courts and corrections) increases its autonomy, independence and, ultimately, its impartiality.

Using analytical and technical resources effectively

1.20 The knowledge and experience of subject-matter specialists are invaluable in any statistical programme, and the field of criminal justice statistics is no exception. Experts in crime and victimization, criminal justice policy and programme administration must play a key role in designing the statistical series; in developing the concepts and definitions to be employed; in planning and conducting the analysis; and in preparing the outputs. Much of the raw data for the statistics programme is generated within the operational justice system (i.e., police agencies, courts, prisons) and therefore tends to reflect the policies and processes needed for the day-to-day administration of the system rather than a depiction of the substantive phenomena. The knowledge and experience of subject-matter

specialists are essential to ensure that the data are competently analyzed and placed in a proper context.

1.21 Data processing and analysis require an infrastructure of computer technology. Recent technological advances, if properly mobilized and used, will immensely facilitate all aspects of information production. Working with computers, however, raises many issues that must be addressed in a proactive way. These issues range from organizational concerns to security and access, from procurement and maintenance to training and development.

Articulating the scope and content clearly

1.22 A comprehensive programme of criminal justice statistics should describe the scope and structure of crime in society in the context of demographic, social and economic realities. It should also reflect the response to the problem of crime on the part of the criminal justice system including costs of administrative interventions.

1.23 These broad objectives may mean different things to different people. However, a national system of criminal justice statistics cannot be all things to all users. It follows then that a decision has to be made, through a priority-setting exercise, as to what information packages are to be sought. The outcome of this exercise will depend on the amount of resources available, the commitment and willingness of data suppliers to provide the data required and the hierarchy of information requirements of the major stakeholders. Experience suggests that the following four broad categories of information should be given the highest priority in the determination of the content of a national criminal justice statistics programme:

(a) Crime data that indicate the incidence of victimization in society by type of victimization; crimes reported and not reported to the authorities and reasons for not reporting; and the level of fear of crime;

(b) Caseload data, which indicate the number and types of cases handled by the different components of the criminal justice system (police, courts, corrections); and the characteristics of persons processed through the system, such as age, sex, education, language and marital status;

(c) Resource data regarding the numbers of persons employed in the criminal justice services; expenditures; and the distribution of services;

(d) Qualitative descriptions of the justice services, outlining organizational structures, responsibilities and jurisdictions, and programmes operated.

1.24 The importance of collecting crime data is self-evident. Caseload statistics enable justice administrators to compare the volume and composition of their workloads and the disposition of cases. Resource data, when combined with caseload data, can provide performance indicators and outline the level of services provided by the municipal, regional and central Governments. Accurate descriptions of justice services provide a framework within which statistics can be meaningfully interpreted.

Using an integrated approach

1.25 Countries differ greatly in their level of statistical development in the field of criminal justice. The kinds of programme goals set by each will depend on the current state of national criminal statistics, but the ultimate goal is to achieve a fully integrated system of criminal justice statistics, a goal that few, if any, have achieved.

1.26 An important step towards an integrated system of criminal justice statistics is the development and use of common concepts and classifications, both within and across components of the criminal justice system and, as much as possible, between criminal justice and outside agencies. Uniform classifications allow the linking of data from different components of the criminal justice system and between the criminal justice system and other agencies.

Maintaining a high public profile

1.27 A high public profile for the justice statistics system is advantageous from many points of view: it contributes to a higher level of awareness of statistical information and hence to its wider utilization; it helps to achieve higher response rates and hence better quality data; it contributes to the effectiveness of feedback mechanisms with data users; and, very importantly, it enhances protection of the system from political interference.

C. THE NEED FOR COMPLEMENTARY INFORMATION

1.28 A criminal justice system can generate and maintain vast amounts of data in the form of records of events, victims, offenders, circumstances, processes, dispositions and decisions. Such data are the raw material for ongoing decisions on individual cases and are typically more or less organized in some type of operational filing/record system to serve administrative purposes. These operational systems represent the primary source of core or baseline criminal justice statistics.

1.29 Most operational systems are designed primarily to monitor the day-to-day operation of various components of the criminal justice system. Hence, they do not always contain the kinds of information necessary to support good decisions about policy, programmes and services. While the development of criminal justice statistics must inevitably start from these records, several alternative data sources and approaches to data collection that should be considered as complementary to those data are available from the administrative records contained in the various justice operational systems.

1.30 Since the establishment of modern information gathering on crime, it has been recognized that a sizable portion of criminal events are never reported to the police and are therefore not included in police or any other statistics. This unknown number, often referred to as the “dark figure” of crime, has prompted researchers to look beyond the instruments of traditional criminal justice statistics for ways of assessing it. Because they capture this “dark figure”, crime victimization surveys have evolved as a valuable complementary data source to police statistics. Other data sources for crime statistics include self-report surveys and general population censuses and surveys. Public and private agencies not thought of as criminal justice organizations may also provide information on specific crimes, offenders and victims. These and other potential data sources for crime statistics are presented in chapter VII.

II. ORGANIZATIONAL MODELS FOR A NATIONAL SYSTEM OF CRIMINAL JUSTICE STATISTICS

A. GENERAL CONSIDERATIONS

2.1 The organization of a programme for improving criminal justice statistics must reflect the needs of a country and its criminal justice system, its degree of centralization, its traditions and its past practices and procedures, as well as the availability of skilled personnel, technical resources and funds. No single blueprint can be offered for such a range of circumstances.

2.2 Certain basic principles of organization, however, are particularly relevant to a statistical programme. Given the wide diversity of skills and functions, and given that subject-matter experts often lack statistical expertise and statistical experts often lack subject-matter expertise, statistical programmes require a clearly defined delegation of responsibility and authority, coordination and mechanisms for sharing skills and expertise.

2.3 While delegation allows for the efficient exploitation of specialized skills, coordination is necessary to bridge the divisions that specialization brings. Coordinating mechanisms are essential aspects of any statistical organization. Coordination within and between agencies, between subject-matter specialists and technical experts, and between the users and producers of data is one of the greatest challenges to the development of a good statistical system. The ways in which these principles are realized in any country depends a good deal on the way in which criminal justice is organized, the kinds of records produced and maintained by criminal justice agencies and the way information flows from one agency to another and from one justice component to another.

2.4 Chapter II presents some of the main advantages and disadvantages of different administrative and organizational approaches to national criminal justice statistics systems. The selection is not exhaustive but is intended to make clear some of the main choices and trade-offs implied by each choice.

2.5 One of the major characteristics distinguishing different types of criminal justice statistics is the degree of centralization of data collection and processing, which is typically a reflection of the degree of administrative centralization of the criminal justice system itself.

B. CENTRALIZED APPROACH

2.6 A centralized data-collection system may be very broadly defined as one in which most data collection, processing, dissemination, design and development are performed by one government agency at the national level. In a country with a national form of Government in which most criminal justice agencies are subsumed under a single ministry of justice, a central bureau of justice statistics might be responsible for (a) system design and operation; (b) data collection, analysis and publication of reports; and (c) system modification and enhancement.

2.7 Data from local level units, such as a police department or court location, or a local prosecutor or correctional facility, are sent directly to a national statistics bureau. The data are typically produced at the local level, and these producers are responsible for transforming administrative data into statistical data. The form in which data are sent to the central bureau has important cost and policy implications. If each agency sends to the national bureau all the individual data (i.e., case-specific or person-specific information), the bureau is in a position to create a large flexible database, but requires significant resources for processing, training of data producers, quality control and analysis. At the same time, controversies may easily arise as to the use, distribution, confidentiality and ownership of the information.

2.8 If, however, each local or other small agency aggregates its own data into summary tables or reports, each agency faces new resource requirements in terms of processing and data quality control. Furthermore, the national database is less flexible and the ability of the national bureau to answer information requests depends on the quality of the forms and procedures governing the process of aggregation.

2.9 In a centralized model, the national bureau becomes the single agency where external users who wish to acquire national statistical series on a particular topic can find all available data. Provided that the bureau has a close relationship with the national statistical office, which would facilitate uniform, comparable or harmonized classifications, such an arrangement can provide users with criminal justice information complemented with broader statistical data.

2.10 There are three types of statistical organizations under centralized systems: (a) an independent agency; (b) an agency in the justice ministry; and (c) an agency in the national statistical office.

Independent agency

2.11 One way of organizing a criminal justice statistics system is found in countries that have set up national criminal justice statistics offices that are independent of the agencies responsible for the operations of the criminal justice system. Presumably, officials of an independent office can deal with officials of criminal justice agencies or other parts of Government on an equal basis and can thereby more easily gain access to data from outside the criminal justice system, such as economic or demographic data. The statistical office can also participate more directly in policy decision-making, including decisions on the allocation of resources for statistics. Finally, such an office, with no evident vested interest in the data produced, can have more credibility than a statistics programme lodged within a criminal justice agency. However, such a model may have certain disadvantages that may be particularly important to some countries. These include:

(a) **Duplication and overlap** For most countries, an independent office of criminal justice statistics would have to be newly created. The creation of any new agency creates a new bureaucracy and therefore the potential for duplication and overlap in the use of scarce human, technical and fiscal resources. Such problems might be minimized if the office were made part of a central national statistical office where administrative support staff and equipment were already available.

(b) **Distance from data source** An office outside of the criminal justice system might have greater difficulty in establishing good relations with the operational agencies that produce the primary records on which the statistics are based. Furthermore, the office may not gain sufficient access to subject-matter experts for the effective design, implementation and analysis of criminal justice statistics.

2.12 It should be emphasized that a fully independent bureau of criminal justice statistics is not a very common practice in the majority of countries. The level of independence, however, varies significantly; thus, while some bureaus formally do not meet the level of full independence (for example, they are part of the central criminal justice department), they are still fairly autonomous in discharging their assignments.

Agency in the justice ministry

2.13 There are significant advantages to locating a criminal justice statistics office within a national ministry or department responsible for justice, with a single minister responsible for both statistical and operational functions. The development of operational and statistical information systems useful for decision-making is far less problematic, as is active use of the data. There are, however, major disadvantages in such an approach, including the following:

(a) **Credibility and objectivity** The analysis and interpretation of results and how these are perceived may be or may be seen to be influenced by the vested interests and perhaps the political interests of those responsible for policy and administration. Indeed, the office responsible for criminal justice statistics and crime-related data might find itself pressured by the threat of the withdrawal of resources if its products displease senior policy and decision makers in the agency;

(b) **Relations with other statistical agencies** Such an office may on occasion find it difficult to deal on an equal basis with other statistical services or even with the senior operational personnel in other criminal justice agencies.

2.14 In brief, the location of a criminal justice statistics office within the justice ministry, despite its apparent efficiency, might also make it vulnerable to interference, even if inadvertent.

Agency in the national statistics office

2.15 Another form of organization is the placement of the criminal justice statistics office within an existing national statistical office. Many countries have a single national agency responsible for gathering and analyzing a wide range of statistics, including vital statistics, census data, economic statistics, labour force statistics, and health, education and welfare statistics. If crime and criminal justice statistics were placed within such an agency, the expected results would be a reduction of administrative costs; ready access to other important data sets such as various demographic and economic data; ready access to other experienced and skilled statisticians; and finally, savings in the cost of the actual collection and analysis of the data owing to the existing national infrastructure, including communications, equipment and personnel.

2.16 However, locating an agency in a national statistical office can have some disadvantages. These include:

(a) **Priorities** The priorities of the national statistical bureau may override those of the criminal justice system. In such a case, the allocation of resources may not be favorable to the justice statistics component and the work of the justice statistics office may therefore be curtailed. This in turn could lead to dissatisfaction within the criminal justice system, with the ultimate result that the relationship with operating agencies might deteriorate.

(b) **Distance from users** There may be a tendency for the staff of a central bureau to become more concerned with the methods and priorities of the parent statistical office than with the needs and priorities of the criminal justice system, which is one of the most important users of criminal justice statistics.

C. DECENTRALIZED APPROACH

2.17 Another, and more common, form of organization might be called “decentralized” and is often found in countries that have federalist forms of Government. The decentralized approach implies the existence of a network of statistical services at various levels of Government or in various regions of the country. Such a system may also have a national bureau. Data are compiled locally or regionally from primary data sources, and nationwide statistics are aggregated only at the national bureau, if one exists. Unlike centralized systems, however, data collection, editing and analysis are conducted at subnational levels, producing reports on issues specific to the particular subnational entity. With this approach, the volume of data received at the national level is generally less than in a centralized system, and the national bureau usually has less responsibility for training and quality control of the data.

2.18 The decentralized approach is often associated with a federal system of Government and the centralized approach with a central system of Government, but successful examples of each approach can be found under both forms of Government. A country may find that certain statistical series are more easily collected under a centralized approach (for example, national victim statistics), while other statistical series are more amenable to a decentralized approach (for example, national criminal justice statistics). The best approach for a particular statistical series in a given country depends upon the specific opportunities and constraints within the country.

2.19 It should also be noted that within a decentralized national data-collection system, there could be centralized data collection at one level of Government and decentralized collection at another

level. For example, there could be centralized collection at the municipal level but decentralized collection at the regional level.

2.20 Two types of statistical organization are found under decentralized systems: (a) agencies within components of the justice system; and (b) a network of state/provincial agencies.

Agencies within components of the justice system

2.21 One way of organizing a criminal justice statistics system is to have it incorporated in and operated by each major component agency of the criminal justice system: police, courts and corrections. The immediate advantage of such an approach is that a suitable foundation already exists in many countries, and it is easier and certainly less costly to develop an existing system than to establish a new one, particularly when resources are limited. Furthermore, the personnel responsible for the collection of data, who are already closely involved with the agency, can be expected to have a high commitment to the accuracy and reliability of the data. Finally, the administrators of each agency or each sub-unit are in a strong position to arrange for and ensure the collection of data within their own agencies. This type of organization, however, has certain disadvantages, including the following:

(a) **Limited commitment** Whatever the theoretical plans or stated commitment, very little upgrading may actually take place in response to a programme of improvement. This can occur because decision makers in one component of the system have no responsibility for statistics in another component and consequently will not invest significant energy to modify or enhance their statistics for the benefit of another component;

(b) **Limited coordination** Above all, decentralization makes coordination very difficult. Coordination is important because of the tendency for each component to collect its own statistics on the basis of its own priorities. However, as mentioned previously, the police statistics that would be most useful to court administrators, or the court statistics that would be most useful to prison administrators, are not necessarily those that are of first priority to the agency that collects them.

Network of state/provincial agencies

2.22 A particular problem for federated countries is the relationship between provinces/states or other subnational entities and the national capital. One advantage of developing the operations of a criminal justice data-collection process at the state level is that

relatively small administrative and geographical units are likely to be sensitive to the significance of their own local data. However, individual states or provinces may not be sensitive to federal or national needs. Often they are unable or unwilling to make their own data compatible with those of other states or provinces to produce nationally comparable data. Where there are major differences in definitions and concepts used by these different subnational agencies, it is often impossible for a national agency to reprocess the data to produce comparable information. Even if efforts are made to present national data from independently produced subnational data, the number of footnotes, caveats and data limitations can be so great that meaningful interpretation of the results is not possible. Furthermore, if the bulk of the work and responsibility for justice statistics is decentralized to subnational authorities, the quality of national data is constrained by the quality and comparability of data in the weakest subnational programme (i.e., the lowest common denominator).

2.23 The question of coordination deserves separate attention. A major problem in criminal justice statistics is the difficulty in tracking an offender through the system or, more generally, in making data from one agency available to another in a form useful to the receiving agency. The problem is often aggravated in a federated nation where statistics are compiled at state or provincial levels. A few developed countries have recently experimented with the introduction of a national office of crime statistics associated with the national statistical services. One of the main benefits in these cases has been the development of a structure or basis for coordination and a growing appreciation of the value of system-wide or inter-agency data which is consistently defined, consistently verified at an acceptable level of data quality and more comparable in the end.

D. A SHARED RESPONSIBILITY AND COMMITMENT

2.24 Regardless of the degree of centralization or decentralization, an important aspect of the organization and improvement of a system of criminal justice statistics is the development of relationships with other institutions inside and outside of Government, including private research institutes and public or private universities. Such institutions are important sources of criminal justice and other social and economic data; evaluation and analysis of data; and technical and substantive expertise and skills.

2.25 However, to successfully implement a national system of criminal justice statistics, a work plan is

required that involves as many of the key players—data suppliers and users—as possible. Foremost, it requires the establishment of strong working relationships and partnerships together with a clear delineation of responsibility and commitment. Given the overall terms of reference of implementing a national system, three basic questions must be addressed:

(a) Where are you now in the development and production of timely, useful, comprehensive and comparable national justice information and statistics?

(b) Where do you want to be?

(c) How do you expect to get there?

2.26 While it may be relatively easy to define the present situation and how it has evolved, answers to the two remaining questions are less apparent. Defining where you want to be requires an examination of views from each of the agencies having a shared responsibility for the administration of justice in the country as well as other organizations that may be identified as potential users of the information. Moreover, this consultation may require dealing with components across agencies since representation of the courts, prosecutors' offices, police or corrections may be fragmented across organizational structures.

2.27 There are bound to be differences of opinion in regard to what information is required and how the data should be collected, processed, analyzed, interpreted and documented. However, given a spirit of goodwill and cooperation, and faced with collective responsibility for putting forward a national strategy for justice statistics and information, these problems may be overcome. What is seen as a more difficult task is solving the problems associated with the funding of the total effort and devising the nature and organizational structure of the mechanism that will be created to achieve the overall goals and objectives.

2.28 In approaching these challenges, the following step-by-step process may provide a useful starting point for planning:

(a) Provide the historical background to the development of the present situation;

(b) Analyze the background in order to learn from past errors;

(c) Outline the parameters of the criminal justice system and who has responsibility for what;

(d) Develop a high-level profile of information currently available and the gaps that currently exist as viewed by the various stakeholders;

(e) Develop a fairly detailed concept of national information requirements that all the stakeholders can buy into;

(f) Examine the possible options relating to a proposed organizational structure for the collection, processing and dissemination of national criminal justice information and statistics;

(g) Obtain, in as detailed a form as possible, an estimate of all resources currently being spent on justice information and statistics, locally, regionally and nationally, by all stakeholders;

(h) Develop criteria for the evaluation (refer to section E below for more detail) of the options identified in (f);

(i) Choose and recommend the option all stakeholders are willing to commit to. This option must consider the development of a clear mandate and statement of objectives, information requirements, mechanisms and processes to ensure the ongoing involvement and commitment of all partners, as well as a practical funding proposal. In order to ensure their participation, it will be necessary to involve senior managers from the outset of this initiative.

2.29 In addition to the above tasks, it may be useful to prepare background papers to address key issues in the country that provide input and direction to the overall process. These may include topics such as privacy and confidentiality; the development of systems technology as applied to the justice community; and the experience of other countries in this field.

E. CRITERIA FOR EVALUATING AVAILABLE ORGANIZATIONAL OPTIONS

2.30 The overall objective in selecting an organizational structure should be to choose an approach that will result in the continuous and timely production of useful, high quality and comparable national justice statistics and information as well as the ability to address issue-specific policy research requiring ad hoc data collection. Each country will have to decide which approach can best meet this objective. To help make that decision easier, examples of criteria that could be considered are presented below, according to the following three main categories: organizational issues, statistical issues and respondent/user issues.

Organizational issues

2.31 **Commitment and ownership** The option should promote federal and regional consensus on national statistical priorities and how they are to be

achieved. It must be designed to ensure a commitment from all participating jurisdictions to provide adequate support and resources that are apportioned in some agreed-upon way and are stable over time.

2.32 **Evolution versus revolution** The option should be, and should be viewed as, a clean start, unencumbered by traditional assumptions and patterns of operation that may have hampered progress in the past. It should maximize the use of existing systems and pools of expertise and avoid unnecessary organizational change.

2.33 **Accountability** The option should ensure that those charged with the production of national justice statistics are held accountable to the persons who are ultimately responsible for both the administration of justice and for national statistics.

2.34 **Simplicity** The option should attempt to achieve organizational simplicity and ensure clear lines of accountability, communication and decision-making. It should be designed so as to establish programs incrementally, if necessary, according to an overall plan.

2.35 **Resource coordination** The option should promote the coordination of resources and effort by utilizing resources already committed to the system and avoiding duplication of effort.

2.36 **Human resources** The option should attract and retain highly qualified staff.

Statistical issues

2.37 **Statistical integrity and credibility** The option must ensure that it has political independence in terms of the impartiality and objectivity of its outputs such that all users, including the public, can have confidence in its products.

2.38 **Flexibility** The option must be designed to recognize and adapt to changing information needs and priorities. It must be able to adopt alternative methods and modes of data collection and production.

2.39 **Uniformity** The option should facilitate consensus in such areas as standard definitions, units of count, security and quality, and it should be able to support their implementation and maintenance.

2.40 **Comparability and continuity** The option should facilitate the comparability of national justice statistics across components of the justice system and with other social and demographic statistics. It should

recognize the importance of longitudinal continuity in statistical series.

2.41 Security of information The option must be designed to ensure that databases containing personal information are secure.

Respondent/user issues

2.42 Respondent burden The option should minimize respondent burden, limiting national statistical activities to those that are demonstrably necessary.

2.43 Systems development The option should derive national statistics from operational information systems, to the extent possible.

2.44 Consultation and communication The option should ensure communication among all those involved in or affected by the statistical process, including data providers, systems designers, programme managers and information users. There should be mechanisms for consulting non-government users of justice information on their needs and priorities.

2.45 Accessibility of information The option should ensure that data are available and useful to the full range of criminal justice users at all levels and users outside the criminal justice system. It should offer a central focal point for users to access national statistics and information on all components of the justice system.

III. SCOPE AND CONTENT OF A NATIONAL SYSTEM OF CRIMINAL JUSTICE STATISTICS

3.1 This chapter describes in general terms the scope and content of criminal justice statistics at the national level. The content of criminal justice statistics is established by the criminal legal system of each nation. It is the criminal legal system that defines crimes and consequently designates individuals as offenders. Transnational differences in definitions of such widely-used terms as crime, offender, victim, suspect, charge or conviction are inevitable. Similar observations apply to data from the administrative records of the police, courts and prisons. The range of data is wide, including not only data produced by the criminal justice system, but also data produced by other agencies necessary for understanding crime and criminal justice.

A. THE CRIMINAL EVENT

3.2 The criminal event is the most basic category for any criminal justice statistics system. It includes data on the “criminal act”, the “offender” and the “victim”.

The criminal act

3.3 To monitor, assess and deal with fundamental government concerns regarding public order and safety, statistical series are needed on the prevalence and severity of criminal offences. It is imperative to know the extent to which particular types of offence are concentrated in certain communities and regions, the characteristics of the offence and its severity. For example, a statistical series on criminal events should include not only the number and type of offences or selected offences, but also classifications such as urban and rural, geographical area, and size and type of place.

3.4 Despite the importance of data on criminal acts, they are perhaps the most challenging to collect. A large body of research has documented the problem of underreporting of criminal acts in the statistics derived from reports of offences to policing authorities. Available data on criminal acts, then, typically capture only those offences officially known and recorded by the police. The extent to which such data can provide an index or measure of crime is an open question. More precisely, there remains a great deal of debate on the kinds of bias introduced when official police statistics are used to provide a measure of criminal behaviour. Research has shown that not all offences are equally likely to come to the attention of the authorities because of the priorities that the police authorities themselves attach to various

criminal acts, and because of the varying likelihood that victims or witnesses will bring these acts to official attention.

3.5 To the extent that users of the data wish to compare the police record of events to actual charges, court dispositions and the like, it is crucial that the definitions and recording procedures share common concepts and classifications. While the national criminal code provides the critical point of departure, many countries have found it useful to introduce common classification schemes that distinguish violent and non-violent offences, personal and property offences, and criminal code and other offences. Furthermore, as police usually record cases for their own operational purposes, and as these cases may involve more than one criminal event, explicit agreement on how to distinguish and count events is necessary, at least for selected offences.

The offender

3.6 Justice statistics users want information on accused persons that indicates their prevalence in various groups of the population, as well as the severity of the offences committed. This implies statistics on the number of offenders charged and their proportion in the population for specified periods, including such classifications as type of offence, sex, age, national or ethnic origin, geographical area of residence, and size and type of place.

3.7 Because basic statistics on the characteristics of offenders are normally derived from the records of policing officials, they are subject to many of the same limitations and qualifications discussed under the previous section on the criminal act. The probability of apprehension and charge is greater for some crimes than for others (e.g., murder compared to theft) and for some categories of individuals than for others (e.g., juvenile compared to adult offenders, as well as some visible minorities). Therefore, police statistics may provide a biased sample of the population of offenders.

3.8 It must also be recognized that the status of the offender changes depending on the data source. For example:

(a) Police records often include suspects and persons charged;

(b) Court records include persons appearing in court, convicted, and sentenced;

(c) Prison records include inmates.

3.9 Each data source has its own strengths and limitations. For example, prison records usually provide more detailed and accurate information on individual offenders than police records, but prison records provide an even more biased sample of offenders than police records since offenders sentenced to prison tend to be those involved in more severe crimes. The further along in the offender processing system offender statistics are gathered, the more likely they are to be accurate and more detailed but the less likely they are to be representative of all offenders.

The victim

3.10 Statistical series on victims are used to monitor and assess the impact of crime on and the relative safety of various segments of the community. Such series, then, are classified according to the characteristics of victims and the type and severity of their injuries and losses. Interest in statistics on victims is relatively recent and such data are therefore perhaps the weakest and most variable of criminal justice statistics. In some countries, police officials routinely gather some victim data and are examining ways of enhancing such series. In a growing number of countries, victimization surveys have become a regular exercise aimed at collecting more general information on victims, the criminal event and public perceptions of the criminal justice system.

B. THE CRIMINAL JUSTICE SYSTEM

3.11 The development of criminal justice statistics is closely tied to the operations of the criminal justice system itself. Broadly speaking, the system is composed of five major justice components: police, prosecutors, courts, prisons and non-custodial measures. Each component can be broken down into smaller subcomponents, resulting in a complex network of agencies concerned with crime, offenders and/or victims.

(a) **Police component** The police component is typically composed of national, state, regional and/or local police agencies. In addition, there may be specialized policing agencies concerned with specific issues, such as traffic, drugs, executive protection, tax violations or environmental crimes;

(b) **Prosecution component** The prosecution component may be composed of public prosecutors at various levels of Government, public defenders or private defense systems;

(c) **Court component** The court component may range from local courts with limited jurisdiction to general trial courts, appellate courts and courts with specialized jurisdictions, such as tax courts, juvenile courts and admiralty courts;

(d) **Prison component** The prison component includes institutions such as jails for pretrial detainees and prisons for post-trial detainees as well as various specialized institutions for juveniles, the criminally insane, sex offenders, alcoholics and drug abusers. In addition, this component often includes probation and parole agencies, various kinds of community treatment centres and privately contracted halfway houses;

(e) **Non-custodial component** The non-custodial component varies greatly from country to country and is typically the least well documented. It includes a wide range of non-custodial dispositions, activities and facilities, such as fines and fine programmes, community alternatives to incarceration, treatment programmes and community service orders.

C. DEFINING THE SCOPE OF CRIMINAL JUSTICE STATISTICS

3.12 The most important step in defining the scope of a criminal justice system is to identify the users and uses of the data. Who are the potential, present and past users of the system? To what uses will the data be put (e.g., administration, planning, policy research and analysis, etc.)? What are the critical policy issues that should be included in a programme to improve criminal justice statistics? Who should submit data to the national system? Who should receive the data? What data should be submitted, in what form, at what intervals and most importantly, for what purposes?

3.13 Statistical data are gathered to answer questions. Therefore, a preliminary step in developing a programme to improve the national system of criminal justice statistics is the identification of the important questions to be answered. What are the problems of crime and criminal justice that are of greatest national concern? An analysis of requirements for a justice statistics programme might list the following categories of concern, which could serve as the starting point:

(a) Incidence of crime (seriousness, trends, structure, etc.);

(b) Characteristics of offenders;

(c) Workload of the system (crimes, arrests, dispositions, offenders under supervision);

(d) Offenders and cases moving through the system;

- (e) Recidivism;
- (f) Characteristics of victims;
- (g) Resources expended (fiscal and human);
- (h) Correlates of crime (economic, demographic, etc.);
- (i) Social and economic cost of crime;
- (j) Citizen's attitudes towards and concerns about crime and criminal justice.

3.14 The next step is to identify the pertinent questions subsumed under each category. For illustrative purposes, some sample questions are provided below.

(a) Possible questions regarding the amount of crime:

- What is the prevalence or frequency of various crimes?
- What is the crime rate? Which areas of the country have the highest crime rates?
- Are particular types of crimes increasing or decreasing?
- How prevalent is family violence?

(b) Possible questions regarding offender characteristics:

- How many offenders are there?
- What do we know about the offender?
- To what extent are offenders and victims similar? How are they different?
- Who is the "typical" offender?
- What types of crime are committed by which offenders?
- What are the characteristics of career criminals? How much crime do they account for?
- How much crime is attributable to youths?
- To what extent do people of different ethnic groups participate in crime?
- Are women becoming more involved in crime?
- What are the family, socio-economic and educational backgrounds of prison inmates?

- What is the role of drugs and alcohol in offenders' lives?
- How does drug and alcohol use by offenders differ from that in the general population?

(c) Possible questions regarding criminal justice processing and caseload:

- How does the criminal justice system process cases? What is discretion and how is it exercised in the handling of criminal cases?
- How does police strength in one part of the country compare with strength in other parts?
- What is the relationship between police strength and crime?
- How many people are arrested in a typical year, and for what offences?
- What percentage of crimes result in an arrest?
- What effect does delay in victim reporting have on arrests?
- What is the role of the prosecutor?
- How many arrests result in prosecution? How many prosecutions result in conviction?
- To what extent are defendants released pending trial?
- How many released defendants fail to appear for trial or commit additional offences?
- Are juveniles handled differently from adults? Can they be tried in a criminal court?
- How are courts organized? To what extent do the various courts interact?
- What are the main differences between adult and juvenile courts?
- How many cases brought by the prosecutor result in guilty pleas? How many result in guilty verdicts?
- How long does it take for a criminal case to move through the criminal justice system?
- Are similar sentences given for similar offences?

- Is the caseload for courts of appeal increasing?
- How many people are under some form of correctional supervision?
- How do sentence lengths differ from actual time served?
- How many prisoners are confined in local or national facilities?
- Are prison populations increasing?
- How many people are serving community-based sentences such as probation?
- In what types of facilities are prisoners held?
- How many parolees return to prison?

(d) Possible questions regarding the cost of crime:

- How much does the Government spend on criminal justice?
- What is the cost for policing, criminal prosecution and court systems, and for corrections?
- What do justice monies buy? How are they spent?
- How much does it cost to keep a person in prison or on probation?
- How much does it cost to build a prison or a jail?
- How much is spent per capita for the criminal justice system?
- What is the relationship between a country's per capita spending for justice and its crime rate? Between its per capita spending for justice and degree of urbanization?
- What proportion of total government spending goes to policing, courts and corrections?
- How has this proportion changed over the past one or two decades?

3.15 Naturally, even such a long list of questions is not exhaustive and in practice such questions must always be a matter of ongoing review and debate. Requirement analysis must start with the premise that a national system of criminal justice statistics cannot be all things to all users. The analysis should focus initially on areas of consensus; that is, areas where there is widespread

agreement on the need for information; on areas that are practical; and on data series that are feasible.

3.16 In addition to the information priorities identified for crime and criminal justice statistics in a country, it is important to be able to make comparisons to relatively similar countries in the region or the world and to view the national situation in a global context. The questionnaire for the Seventh United Nations Survey of Crime Trends and Operations of Criminal Justice provides a useful checklist for categories of data that are collected in many countries. (For more details on this survey, see chapter VIII.)

D. DEVELOPMENTAL FRAMEWORK

Information requirements

3.17 Information requirements may be classified into four types that cut across all justice components: caseload, case characteristics, resources and qualitative descriptions. These categories may assist a country in deciding priorities and implementation strategies specific to each justice component, organization or agency providing the information. At the very least, they may suggest the need for information standards that cut across all justice components and facilitate a systemic or case flow analysis of the information as well as integration with non-justice data.

3.18 **Caseload data** Caseload data measures the volume of events in the justice system. Caseload data may include annual or some other time frame-specific volume indicators, such as the number of incidents reported to police; the number of charges filed⁵ by police; the number of persons charged; the number of persons appearing in court; the number of court appearances; and the number of admissions to correctional facilities. Caseload statistics enable a cross-jurisdictional comparison of workloads and the disposition of cases.

3.19 Caseload data should be considered the basic building block in developing a national system of criminal justice statistics. They provide the necessary framework for the gathering and interpretation of case characteristics and resource data. As well, these data should promote linkages across justice components and facilitate the creation of flow statistics—the processing of individuals through the entire criminal justice system.

3.20 **Case characteristics data** Data on case characteristics provide more detail on the caseload.

⁵ In some jurisdictions, these are referred to as “charges laid”.

These data include, for example, the types of offences committed, the age and sex of offenders, the types of sentences handed, the magnitude of the sentences, and the ethnicity and education level of inmates. Caseload and case characteristics data enable justice agencies to compare the volume and composition of their workloads and the disposition of cases. These data help target client groups improve the effectiveness and efficiency of current programming through comparative analysis at the subnational level. To a large degree, such data may be developed for each component of the justice system.

3.21 Resource data Resource data quantify the costs of administering the justice system. They include such items as the number of persons employed, the functions of persons employed, expenditures on wages and salaries, operating costs and revenues. Resource data, when combined with caseload data, can provide performance indicators and outline the level of authority and the level of services provided by the various agencies involved.

3.22 Qualitative information Qualitative information describes the criminal justice process, organizational structure, legislative authority, responsibilities and programmes within each component of the justice system. This type of information is essential because it provides the context

within which caseload, case characteristics and resource data can be meaningfully interpreted.

3.23 An example of data elements that may be included in the ongoing collection of baseline crime statistics is given in figure 1. The data elements are organized by justice component and type of information requirement that cuts across the components of the justice system, as mentioned above. It is important to note that information for caseload and case characteristics data come from record-keeping systems on case files while resource data are derived from financial systems. Qualitative descriptions are obtained by compiling information from operational documents or writing them from scratch.

A system approach

3.24 To the extent that the components of criminal justice constitute a system, the output of one agency is the input to another. For example, cases filed by the police with the prosecutor should represent output statistics for the police and input statistics for the prosecutor. Similarly, cases disposed of by the courts should be a judicial output statistic and a prison input statistic. However, a system approach is clearly limited. Each component has some degree, small or large, of independence. Nevertheless, a system perspective can be useful in defining statistical needs and relationships.

Figure 1. An example of information requirements, by justice component and type of information

<i>Justice component</i>	<i>Type of information</i>			
	<i>Caseload</i>	<i>Case characteristics</i>	<i>Resource</i>	<i>Qualitative description</i>
<i>Police</i>				
CONTROL	• Calls to police	• Incident classification (most serious offence)	• Staff complement and/or strength:	• Scope
• Person I.D.	• Incidents reported	• Type of charge (by criminal code section)	by type	• Coverage
• Region I.D.	• Incidents investigated	• Offender and victim characteristics (age, sex, ethnicity, offender-victim relationship, etc.)	by activity	• Services provided
• Force I.D.	• Officers deployed	• Incident characteristics (type of firearm, level of injury, loss of property, drug/alcohol use, etc.)	• Budget and/or actual expenditure:	• Facilities
• Population policed	• Incidents founded		by type	• Organizational structure
	• Suspects detained		by activity	• Component-specific process description
	• Crimes cleared by charge		• Material profile	
	• Crimes cleared otherwise		by type	
	• Persons charged			
	• Recidivism rate			

Figure 1. An example of information requirements, by justice component and type of information (cont.)

<i>Justice component</i>	<i>Type of information</i>			
	<i>Caseload</i>	<i>Case characteristics</i>	<i>Resource</i>	<i>Qualitative description</i>
<i>Prosecution</i>				
CONTROL • Person I.D. • Region I.D. • Court I.D.	• Person cases initiated • Case type • Charges initiated • Appeals initiated • Court appearances • Case convictions • Cases disposed of	• Person cases by offence type • Charges by section • Offender characteristics (age, sex, etc.) • Type of appearances • Type of disposition	• Staff complement and/or strength: by type by activity • Budget and/or actual expenditure: by type by activity • Material profile by type	• Scope • Coverage • Services provided • Facilities • Organizational structure • Component-specific process description
<i>Courts</i>				
CONTROL • Person I.D. • Region I.D. • Court I.D. • Type of court	• Person cases initiated • Case type • Charges initiated • Appeals initiated • Court appearances • Court hearings • Case elapse time • Case convictions • Cases disposed of • Recidivism rate	• Person cases by offence type • Charges by section • Offender characteristics (age, sex, etc.) • Type of appearances • Date of hearing • Disposition type • Sentence type	• Staff complement and/or strength: by type by activity • Budget and/or actual expenditure: by type by activity • Material profile by type	• Scope • Coverage • Services provided • Facilities • Organizational structure • Component-specific process description
<i>Prison</i>				
CONTROL • Person I.D. • Region I.D. • Facility I.D.	• Persons admitted • Revocations • Recidivism rate • Average inmate count (on-register and actual) • Releases	• Offence type (most serious offence) • Offender characteristics (age, sex, etc.) • Release type • Time served	• Staff complement and/or strength: by type by activity • Budget and/or actual expenditure: by type by activity • Material profile by type • Capacity by type	• Scope • Coverage • Services provided • Facilities • Organizational structure • Component-specific process description
<i>Non-custodial</i>				
CONTROL • Person I.D. • Region I.D. • Facility I.D.	• Persons admitted • Persons re-admitted • Offender count • Infractions and violations • Releases	• Offence type (most serious offence) • Offender characteristics (age, sex, etc.) • Release type • Time served	• Staff complement and/or strength: by type by activity • Budget and/or actual expenditure: by type by activity • Material profile by type • Capacity by type	• Scope • Coverage • Services provided • Facilities • Organizational structure • Component-specific process description

NOTE: I.D. = Identification number

3.25 In a system approach, it is necessary to link input, process, output and resource data and view them together rather than separately. Such criminal justice system indicators can be extremely useful to monitor the demands for criminal justice services, the provision of services, the criminal justice processing of offenders, the links between agencies and between components of the criminal justice system, the effects of the decisions of one component on the other components, and the costs and impact of criminal justice decisions and services. An illustrative tabular summary for statistics on the criminal justice system is presented in figure 2. This illustrative framework indicates that four types of statistical indicators are needed to reflect the operation of the criminal justice system: input statistics (case flow and

caseload information); process statistics (how the work is accomplished); output statistics (what is accomplished); and resource statistics (resources consumed).

3.26 Typically, the statistical series on the administration of justice available in many countries is not the result of systematic planning but more the result of ad hoc and incremental development. Consequently, a country may find it has extensive statistical data on police activities and virtually no data on judicial activities. Similarly, a country's statistical series may cover agency inputs and outputs quite thoroughly but include little on processes or resources. It is important to assess which questions may be met in both the short and long term in relation to overall information priorities.

Figure 2. Illustrative framework for a system approach to criminal justice statistics

<i>Justice component</i>	<i>Type of statistical indicator</i>			
	<i>Input statistics</i>	<i>Process statistics</i>	<i>Output statistics</i>	<i>Resource statistics</i>
<i>Police</i>	• Calls for police service • Criminal incidents reported to police • Suspects • Suspects detained	• Incidents investigated • Officers deployed • Incidents founded	• Crimes cleared by charge • Crimes cleared otherwise • Persons charged • Cases filed with the prosecutor	• Staff complement • Authorized strength • Budget/expenditure
<i>Prosecution</i>	• Person-cases initiated • Charges initiated	• Court appearances, by type of court hearing	• Person-cases disposed, by type of disposition • Number of persons convicted	• Staff complement • Authorized strength • Budget/expenditure
<i>Courts</i>	• Person-cases initiated • Charges initiated • Recidivism rate (persons re-appearing) • Appeals initiated	• Court appearances • Court hearings • Case elapse time (first appearance to disposition)	• Person-cases disposed, by type of disposition • Sentences, by type of case • Length of sentence, amount of fine, etc.	• Staff complement • Authorized strength • Budget/expenditure • Average cost per trial
<i>Prisons</i>	• Admissions • Parole and probation revocations • Recidivism rate (offenders re-admitted)	• Average inmate count (on-register and actual) • Infractions and violations	• Releases by type	• Staff complement • Authorized strength • Prison capacity • Budget/expenditure
<i>Non-custodial</i>	• Admissions • Recidivism rate (offenders re-admitted)	• Average offender count • Infractions and violations	• Releases by type	• Staff complement • Authorized strength • Programme capacity • Budget/expenditure

NOTE: A "person-case" comprises all of the charges against one person.

3.27 For all of the justice components, users want statistics on both prevalence and incidence, that is, on both stocks and flows. For example: for some purposes, users of prison statistics want information on the flow of prisoners—on admissions and releases. For other purposes, users want information on the size of the prison population at a particular time. Thus, the development of criminal justice statistics must take into account statistics on both stocks and flows.

Unit of count

3.28 A formidable obstacle to comparable national-level statistics is the problem of unit of count. Each component of the criminal justice system identifies and records information in ways developed mainly in connection with its own activities. The police may use units such as incidents, charges, suspects, victims and persons charged. The courts generally count cases, charges, convictions and sentences. At the end of the process, prisons count mainly offenders and inmates. Incidents can include one or several offenders charged with one or several crimes committed against one or more victims. Consequently, one incident reported by police will not necessarily produce one court case. Further, a court case may involve one or several offenders charged with one or several crimes committed against one or several victims. Thus, 10 cases disposed of by the courts through sentence to prison do not necessarily equal 10 persons committed to prison.

3.29 Clearly there is value in linking key police decisions to court decisions and court decisions to release decisions. In this way, for example, the “funneling” process in criminal justice can be measured. How many crimes lead to charges? How many charges to prosecutions? How many prosecutions to convictions? How many convictions to prison sentences? And how many prison sentences to various types of release? Some common units of count are essential to permit the measurement of flow from one component of the system to the next, a capability that is very desirable because it enhances data analysis possibilities and provides a powerful data quality verification capacity.

3.30 At the same time, each component must recognize its own unique information needs in the light of its unique role and goals. It seems that there is room for many units of count, but only some of these are relevant for an integrated system.

3.31 It is therefore crucial that designers of criminal justice statistical systems consider including, in addition to any other units they may need, a person-based unit of count for each component. Since the “person” is the only unit of count that has continuity throughout the criminal

justice system, it permits the measurement of flow through the system. For police agencies, it means collecting data on “persons charged”; for the courts, it means collecting “person-case” data (all charges against one person); and for prisons, it means collecting data on “persons admitted”. Further, if each component also agreed to use the same “person identifier”, it would be possible to perform record linkage, and other analysis, which have the potential to improve vastly our understanding of the dynamics of the criminal justice process. Including person-based data as one of the primary units of count also has the advantage of improving comparability because the definition of person does not vary within components.

3.32 While the issue of counting procedures may appear to be a technical one to be resolved by formal prescriptions, decisions on counting and classifying do have profound implications for the usefulness of the data produced. For example, how are police to record criminal incidents? If a single offender commits a variety of crimes in one “incident”, how many offences should be recorded for statistical purposes? If, as in many countries, only the most serious offence is counted for statistical purposes, the result is to deflate incidence statistics and at the same time inflate the proportion of serious to non-serious incidents. The problem is aggravated when statistics are used in an index, such as an index of the crime problem. How is seriousness to be counted? Quite apart from technical solutions, decisions on what and how to count, as well as formal rules, procedures and training, must be a central part of the planning process and must reflect the needs of users.

The use of a standard offence classification scheme

3.33 Every statistical system has several fundamental requirements. One of these is a person-based unit of count; another is a standard classification of criminal offences. All criminal offences that can result in a formal charge against an accused must be classified by some type of consistently applied coding system that identifies each offence uniquely. Such a standard classification scheme allows the collection of meaningful and comparable information about criminal activity. A standard offence classification scheme is one of the most important requirements of a national system of criminal justice statistics.

3.34 In developing detailed information requirements for each justice component, it is extremely important to develop a comprehensive offence classification scheme that is acceptable to all components. Aggregate data-collection programmes need standard offence categories in order to collect basic caseload information. Even unit record data-

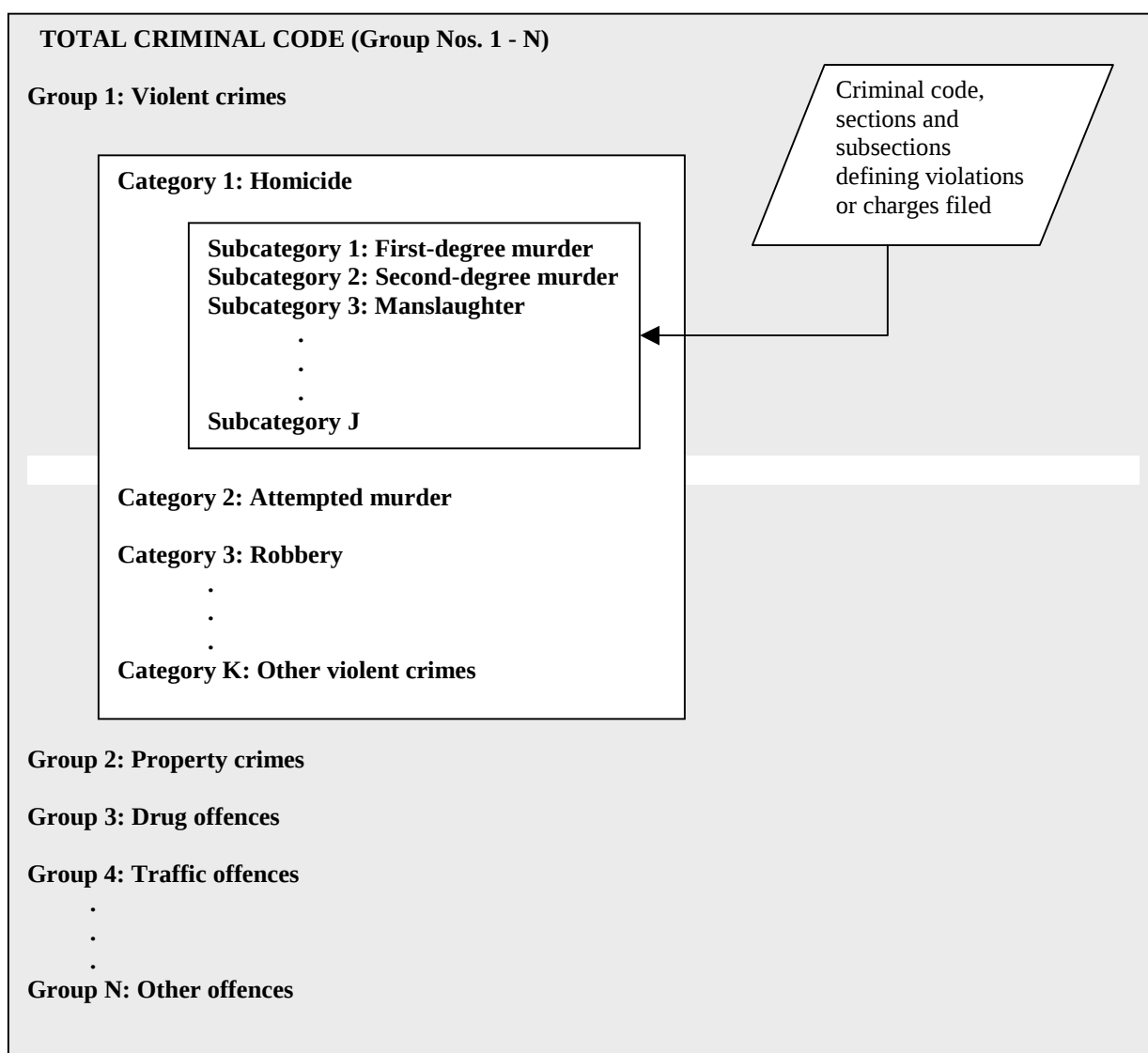
collection programmes that usually collect offence information at the most detailed level possible need some method of summarizing offence information for presentation purposes. In all cases, a hierarchical offence classification scheme is indispensable. Such a scheme can address the need for the following:

- (a) eventual cross-component integration and case flow analysis of the data;
- (b) flexibility to organize the data in a more meaningful fashion from an operational perspective in each justice component;

- (c) sufficient detail to reorganize data to meet ad hoc requests for information;
- (d) flexibility to accommodate changes in the country's criminal code(s).

3.35 Figure 3 suggests a basic structure for a hierarchical offence classification scheme that may be adapted to a country's criminal code and information priorities. In the illustrative example, the offences are classified into N major groups, each group into categories, and each category into subcategories.

Figure 3: Example of a hierarchical offence classification scheme



E. DEMOGRAPHIC, SOCIAL AND ECONOMIC INFORMATION REQUIREMENTS

3.36 Social statistics in any field are most useful and informative when they are linked to statistics in other fields. This is no less true of criminal justice statistics. Even rudimentary analysis requires data from non-justice statistical series. For example, if analysts wish to determine the extent to which increases in crime can be accounted for by increases in the population, they will obviously require population data. Hence, to calculate a crime rate (e.g., offences per 100,000 population), population data are required. Criminal justice statistics are the most useful if they can be linked to statistics that describe the social and economic context, the environment within which the criminal justice system operates.

3.37 The potential list of statistics on the social and economic context is very long, but access to such data is necessary in order to develop crime and criminal justice indicators, provide a context for understanding crime data, and facilitate criminal justice planning, administration, policy analysis and research. Perhaps most important, any attempt at causal analysis, at examining the relationship between crime and development, or at developing and evaluating innovative strategies of crime prevention requires extensive contextual data describing the changing social and economic environment in which crime and responses to crime occur.

3.38 Major categories of contextual statistics include the following:

(a) Demographic data such as size of population; age, sex and ethnic composition of the population; numbers of migrant workers and their countries of origin; and numbers of illegal aliens and their countries of origin;

(b) Economic data, especially data on structures of opportunity, such as rates and distribution of employment and distribution of real income, and patterns of consumption of various goods and services as a measure of the quality of life;

(c) Education and welfare data, again as they reveal opportunity structures, such as literacy levels, composition of the work force by level of education, number of single-parent families, and number of welfare recipients;

(d) Health data, such as the number of deaths caused by suicide, disease, accidents or violent means.

3.39 Much work in developing concepts, categories and classifications as well as recording and coding rules for contextual statistics is performed by other agencies in countries, including national statistical offices, with the responsibility for collecting these kinds of data. Criminal justice practitioners and analysts can benefit from this work.

F. IDENTIFYING IMPLEMENTATION PRIORITIES

3.40 The examples and illustrations of data series and data classification given in this chapter are not equally relevant for every country, given the large disparities that exist between countries in the level of development of criminal justice statistics. Furthermore, the information needs and problems confronting justice policy and administration vary from one country to another.

3.41 Criminal justice statistics in most countries are based upon crimes reported to law enforcement agencies. Some countries may have good judicial and correctional data as well, but only a few have developed systems to capture such intricate and complex data as those on the movement of offenders and cases through the justice system; on expenditures of human and fiscal resources; on the characteristics of victims; on the attitudes of citizens towards crime; and on the treatment of offenders.

3.42 An ideal approach to improving a national criminal justice statistics system compares defined requirements to available data, identifies gaps and disparities, and designs and implements series to fill the gaps and correct the disparities. Rarely, however, can such a pure approach be used. Most situations call for a more practical approach, whereby identified requirements are compared to available data to identify those areas where requirements could be met most easily. It is important that such an approach reflect and accommodate systems that are already in place, as well as different priorities within Government and specifically within criminal justice; limited financial and human resources; and concern for the burden placed on the producers of data.

3.43 In situations where a large number of data requirements are identified, an incremental approach to building the statistical system may be the appropriate solution. Good statistics can be costly, and resources are usually scarce. Therefore, it is important to conduct a careful analysis of the requirements to determine—and prioritize—the critical issues to be included in a programme to develop or improve a system of criminal justice statistics.

3.44 A requirement analysis, then, asks to what extent requirements can be met

- (a) through data already collected;
- (b) through data that could be easily modified;
- (c) through new statistical series that would meet a variety of needs and that could be implemented with existing resources.

3.45 Planning of a statistics system should also distinguish between transitory and continuing needs (see box below). The development of a national system is a slow and complex process and should be primarily designed to be responsive to permanent rather than transitory needs. This is not to say that transitory needs are not important, but they cannot be the basis for developing an ongoing statistical series. Transitory requirements can often be best satisfied by special surveys or issue-focused research studies. It is important to avoid the mistake of repeatedly altering an ongoing statistical series to accommodate one-time information requests.

Permanent needs refer to the type of information needed to support the ongoing management, planning and evaluation functions of the criminal justice system (e.g., caseload, case characteristics, and resource data). **Transitory needs** usually relate to ad hoc questions that arise when developing or revising justice policies. The answer moves the process forward but the information will not be collected again.

G. FURTHER DEVELOPMENT: CRIMINAL JUSTICE INDICATORS

3.46 Given the impracticality, indeed impossibility, of making all criminal justice statistics comparable, increasing emphasis is being given to defining certain core issues where it is most necessary and feasible to produce consistent and comparable data. A core of criminal justice indicators is a response to the most important and enduring questions for administration, planning and policy-making in criminal justice. Among national and international agencies, awareness of the importance of criminal justice indicators for understanding and monitoring the relationship between crime and economic growth and development is growing.

3.47 Broadly speaking, social indicators, including indicators of crime and criminal justice, help Governments to assess and monitor the conditions, circumstances and trends of well-being in populations and the social impact of public expenditures and policies. Thus, indicators of crime and criminal justice, in the context of social indicators, help to identify and monitor social problems and disparities.

3.48 Another type of indicator, often referred to as a performance indicator, is used to measure the efficiency and cost-effectiveness of public expenditures and the performance of government institutions. Statistical requirements for social and performance indicators typically go beyond the information that is routinely collected in administrative records and also demand the integration of criminal justice statistics with other social and economic databases, thus requiring common classifications between criminal justice statistics and other social and economic statistics.

3.49 In sum, agreement on the development of key indicators can be considered as a next level in the development of a system of criminal justice statistics.

IV. COLLECTING CRIMINAL JUSTICE STATISTICS

4.1 Methods and approaches for data collection and processing follow, in part, from the information requirements introduced in chapter III: they must flow from user needs. At the same time, decisions on data collection must take into account social and cultural demands, past practices and the organizational structure of the criminal justice system in the country. Some major factors or constraints in determining the best and most practical method for data collection are addressed in chapter IV. They include available resources; information flow; and technical considerations related to data collection as part of record keeping and operational information systems, such as problems associated with deriving statistical data from operational systems, an aggregate versus unit record approach, and a complete count versus a sample approach to data collection.

A. AVAILABLE RESOURCES

4.2 Chapter III emphasized the importance of establishing clear priorities for data needs, given that the funds available for statistical development are often limited. This is no less true in the selection of data-collection methods. User requirement analysis defines the potential benefits of particular data sets. The next step is to define, as accurately as possible, the likely cost of collecting such data. Factors to be considered include the current state of statistical development, the availability of in-house expertise, and the availability of information technology.

4.3 In this context, cost must be a major consideration in the evaluation of alternative strategies. Some of the typical ambiguity in cost-benefit analyses can be reduced through an incremental approach that makes extensive use of various pretests and studies, including the following:

(a) **Feasibility studies** to determine whether necessary information is easily retrievable from existing records;

(b) **Pretests** to determine whether particular forms or survey questions provide the information anticipated in the form anticipated;

(c) **Pilot studies** to test the value of large-scale series or surveys by first testing the implementation of small regional or local prototypes;

(d) **Methodological studies** where some investment is made explicitly to design and test cost-effective data-collection procedures.

B. INFORMATION FLOW

4.4 Most information about the activities of the criminal justice system is initially recorded on some type of manual form. In automated environments, key pieces of information are later captured for storage and manipulation in an operational information system. The format of information storage is important because it determines the process needed for transferring information to a national data-collection programme.

4.5 In a manual environment (where all or most information is stored on paper), information is usually transferred to the national data-collection system through the use of questionnaires or data-collection forms, which contain a number of boxes asking for different types of information. Normally, each respondent keeps track of the required information using tally sheets and forwards the results to a statistical office on a regular basis. For unit record or incident-based data collection (see aggregate and unit record approaches to data collection in section C below), the respondent fills out a separate form for each new case or incident. In either case, the process involves manually recording information from operational records and forwarding it to a statistical office on paper forms.

4.6 In automated environments, the transfer of information to a statistical office is quite different from the manual approach. Automated environments have all or most of the required data stored in a computer system, usually designed to support major operational activities. To transfer data from the operational system to the statistical office, two main options are available. The first option is to write a computer program that can produce paper reports (summarizing the various data elements) that can be sent to the statistical office. The second option is to write a program that searches the operational system for the needed information and automatically captures and stores all required data in an electronic file. These machine-readable data can then be sent to the statistical office on tape, diskette or electronically via the Internet. The second option is much more efficient because it eliminates the need to capture the data a second time at the statistical office.

4.7 Some locations will be mixed environments. That is, they will have some information needed by the national collection programme stored in automated systems, while other information will be available only in paper form. In these locations, a combination of the above described data transfer methods can be used.

4.8 Figure 4 illustrates how the various types of criminal justice information (i.e., caseload, case characteristics and resource information) flow from police operational systems to a national statistical office. It shows how data can be tallied from manual environments and forwarded directly on paper forms, or captured by an automated system and then transferred to the statistical office in machine-readable form. Information on caseload and case characteristics is almost always included in police operational systems and consequently can feed directly into the national data-collection system. Resource information is less frequently available in operational systems and must often be collected from separate financial, human resources or inventory control systems. Qualitative descriptions are also obtained separately, often by compiling information from several operational documents or writing them from scratch.

C. TECHNICAL CONSIDERATIONS RELATING TO RECORDS AND OPERATIONAL INFORMATION SYSTEMS

4.9 The criminal justice system of a country gathers, generate, maintains and disseminates vast amounts of data in the form of records of events, victims, offenders, circumstances, processes, dispositions and decisions. Such data are the raw material for ongoing decisions on individual cases and are typically organized in some type of system to serve administrative purposes. These systems are generally referred to as operational systems.

4.10 The term “information system” in the criminal justice system is commonly used to refer to anything from a file box containing the names of suspects to monthly management reports on the incidence of crime to case-docketing lists used by the courts. For the purposes of the present *Manual*, “information system” applies to any process used to capture, store, analyze and disseminate information on the crimes, victims, offenders, circumstances, processes, decisions and dispositions that constitute the business of the justice system.

4.11 An operational information system is designed to facilitate decision-making on individual cases for use at the operational or line level of an agency and to monitor the functioning of the agency. Statistical systems, in contrast, are concerned with aggregations and combinations of data rather than specific crimes, offenders or dispositions. To illustrate this difference, it is useful to compare a criminal history operational system with a criminal history statistical system. In the operational system each offender is fingerprinted and a listing of each arrest and disposition associated with the offender is tied to the fingerprint record. The users of such a system are generally involved in making operational decisions on specific individuals. What characterizes an

operational information system is the specificity of the questions asked and the individually distinct information required. In the case of a criminal history statistical system, the system is concerned with aggregate information in order to answer such questions as the average time between arrests of persons arrested for burglary, the proportion of individuals arrested for burglary who are subsequently convicted of burglary or the average sentence for burglary, whether arrests for burglary are increasing in proportion to arrests for all other kinds of crime.

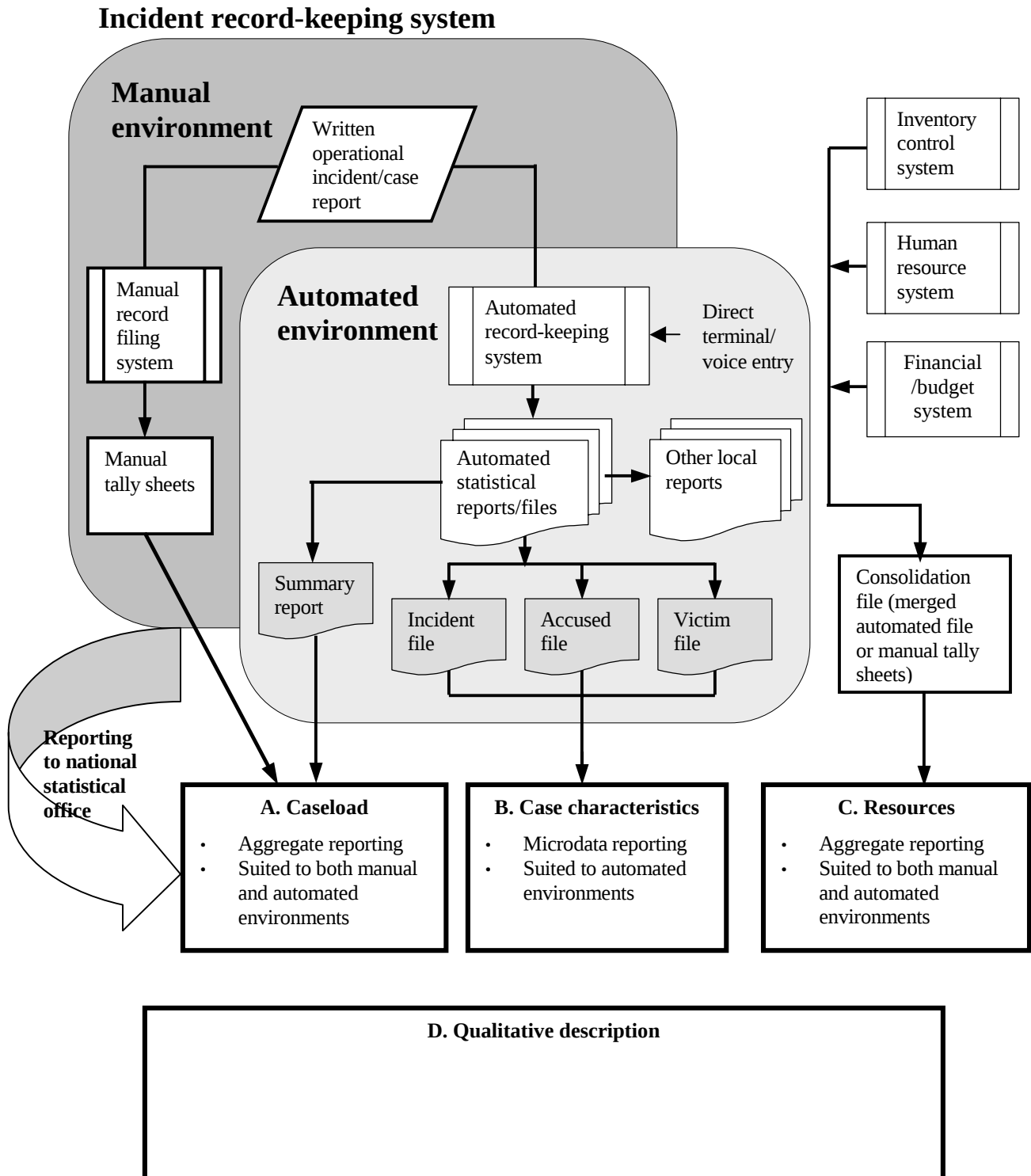
4.12 A very basic piece of information collected in a criminal justice operation system is the specific geographical location or jurisdictional identity of an event. For example, street addresses associated with a particular crime and the court location that sentenced the offender are preserved (i.e., geo-referenced). With this information, digitized maps can be constructed within a geographic information system (GIS) to serve as tools for the analysis of crime. Integrating GIS in crime statistics applications would allow better management, faster retrieval and improved presentation of crime data. In addition, it would facilitate the production of spatially referenced crime information for any specified configuration of geographical units.

Issues related to deriving statistical data from operational systems

4.13 The quality of statistical series built upon existing operational information systems reflects the quality of those operational systems and their administrative records. Bad records produce bad statistics. One of the greatest obstacles to the development of criminal justice statistics has been the inadequacy of administrative records and systems. However, even good operational systems, that is, those that meet administrative needs, may not contain the kinds and amount of information necessary for good statistics.

4.14 In an ideal situation, the operational aspects of criminal justice information should be very closely integrated with the statistical component, with both being part of an overall computerized criminal justice information system. For example, a victim of assault by an acquaintance would provide the incident information at the police station, with a police officer gathering and entering all the relevant data on when and where the crime occurred, as well as information about the offender and the victim. The system could then retrieve a criminal history, if any, for both the victim and the accused, and forward it for further investigation. The system would automatically filter the variables needed for input into the statistical component of the system, which could then undertake further processing of the

Figure 4. Information flow from police operational systems reporting to a national statistical office



data to produce weekly and monthly statistical reports and forward them to the regional level, and so forth. An ideal system would automatically assign an integrated file number that would permit tracing of the case as it moves throughout the criminal justice system. From the police station, a copy of the case file would be forwarded to the local prosecutor and court where the case would be heard. As the case progresses, the court would add relevant operational information to the file, including sentencing information. The file could then be forwarded to the appropriate prison in situations where incarceration was ordered. In both the court and correctional components of the system, the ideal system would filter statistical information from the case files as they are updated at various stages of the criminal justice process. The ultimate goal of a fully integrated criminal justice information system would be to enter case-specific information only once, but in such a way that it would meet the needs of all the users within and outside the criminal justice system.

4.15 As the above describes an ideal situation, it does not actually exist in a real world environment. In many environments, the quality and coverage of criminal justice records in operational systems remain crucial issues in the collection of criminal justice statistics. Field personnel may not fill out records accurately or consistently; differences in definition and recording may occur between individuals, offices, agencies and regions.

4.16 A review of and improvements in the quality of records and operational systems can have direct and immediate benefits in terms of better information and decision-making (therefore, more efficient and effective justice). Since the benefits are often readily apparent, decision-makers are increasingly willing to invest in the improvement of records and operational systems and the training of the field staff responsible for producing and maintaining records.

4.17 The problem of coverage is more difficult to resolve. Operational systems rarely meet all statistical requirements unless they are specifically designed to do so. In some countries, for example, some statistical series are produced through what is called a common database system. In such an approach, the information needs of both operational and statistical users are considered and a single system is developed so that the needs of one do not constrain the needs of the other. This is a common arrangement in computer-supported information systems but there is no inherent reason why this approach should not be used in a manual information system. A major advantage of a common database approach is that both operational and statistical users receive similar training and technical support. Furthermore, data need only be recorded once. The principal disadvantage is that

additional trained personnel are generally required within the agency to operate the information system, and these personnel are responsible for neither operational nor statistical functions.

4.18 More often, statistical systems are derived from operational systems or directly from administrative records. In any case, data-collection decisions require decisions on the operational systems, the relationship between operational and statistical systems, and how and in what form data in an operational system should be submitted to a statistical system. In analyzing this process, planners should consider the following issues:

(a) What is the relative interest of a contributing agency (data producer) in supporting (i) its own operational applications? (ii) the provision of data for national statistics?

(b) What kinds of training, technical assistance and fiscal resources are available to data contributors?

(c) How much raw data can the collection agency handle from contributors?

(d) What system of data collection can best satisfy the need for statistical information, with due regard for the reliability and validity of particular sets of data in the sense of their legal value, for example, sentences upheld and sentences not upheld?

(e) If data are submitted in aggregated format, how will this limit the statistical system's ability to analyze them?

Aggregate and unit record approaches to data collection

4.19 An operational system is concerned with specific cases, offenders and the like, and must have unique identifiers so that the composite information on each case or person can be assembled. Depending upon the data set, this can be done in several ways: for example, criminal identification numbers may be associated with the fingerprints of an offender and all data associated with that offender tagged with that number; or a case file number may be assigned so that all data associated with a particular case can be uniquely identified.

4.20 Research on and development of identification technologies is very important in the design of operational systems since the identification logic is the key to pulling together all the relevant data associated with the particular individual, case or event in question. The identification problems in a statistical system are different. Insofar as the statistical system uses pre-aggregated input, unique identification of individual crimes, cases, or other elements is not an issue. The principal identification problem in a statistical system involves being able to pull

together data sets associated with the same classifications or variables.

4.21 In an operational system, data on the specific geographical location or jurisdictional identity of an event are typically preserved. As in the case of time, geographical or jurisdictional information is commonly used as an aggregation criterion in a statistical system and is more often than not an independent variable. It is important for geographical or jurisdictional aggregations of the operational system to coincide with those of the statistical system. A difference in the geographical/jurisdictional base of either system may complicate the process of deriving statistical information from an operational information system.

4.22 Decisions concerning levels of aggregation are important for every statistical series. The major advantages of collecting aggregate data compared with unit record data are that the amount of information received by the statistical bureau is reduced and that the analysis requirements are reduced because the data are received at the same level of aggregation as that in which they will be reported, usually in tabular form. Another advantage is that aggregate data can sometimes be less expensive to collect and easier to process, especially in a non-computerized environment.

4.23 However, unit record data have several major advantages compared to aggregate data. The level of detail in unit record data is much greater, significantly increasing flexibility in data analysis. Since they permit the cross-tabulation of any combination of variables, unit record data can answer a wide range of ad hoc questions that often cannot be answered with the aggregate data-collection approach. In addition, unit record data greatly enhance the system's capability to verify data quality through validation rules and procedures. With access to each record, it is possible to identify and correct a wide range of data quality problems. When resources permit, the unit record approach to data collection should take precedence over the aggregate data approach.

4.24 In aggregate data collection, the choice of level of aggregation is crucial and depends on several considerations, including the following:

- (a) The level of detail required in the analysis and results;
- (b) The type of database being constructed;
- (c) The data handling capabilities in the criminal statistics bureau;
- (d) The capabilities of the data contributors;

(e) The data collection system, whether centralized, decentralized, or some combination of the two.

4.25 The first consideration, the level of detail needed for analysis, is perhaps the most crucial. If those planning the data collection prepare "mock-up" versions or detailed outlines of the tabulations they intend to produce, they are far less likely to make mistakes in their determination of the appropriate levels of aggregation.

4.26 The scope of aggregation varies depending on the intended uses of the statistics, but two dimensions are almost universally employed: a time frame and classifications based on jurisdiction, bureaucracy or geography. The time frame in an operational system is the time or date associated with specific events, such as the crime, arrest or sentencing. In a statistical system, time is an aggregation criterion, such as the number of crimes reported or number of offenders committed to prison in a given calendar year. For further information concerning aggregate versus unit record data, see section A of the annex.

4.27 In some environments, the option of the combined use of both unit record and aggregate approaches may be desirable and appropriate. For example, unit record data may be centrally collected from local contributors by a provincial or state bureau, while aggregate data are sent from the provincial or state bureau to a national repository for use in the publication of national statistics.

Complete count versus sample data collection

4.28 Another major decision—one with major cost implications—concerning the approach or strategy for data collection is the choice between complete count and sample-based data collection. A complete count is a comprehensive approach that attempts to gather aggregate or unit record data from every potential data provider. In the case of the police component, for example, a complete count approach entails collecting data from every policing agency on every crime reported to the police. In a sample-based approach, data on reported crimes are gathered only from a sample of police agencies that are thought to be a representative subset of the whole. Another kind of sample might gather information on prosecutions for selected time periods thought to be representative of all prosecutions in a year.

4.29 Traditionally, many countries have used a complete count approach to gathering criminal justice statistics, since information on the total incidence of a phenomenon is desired. This approach serves many users because it permits analysis of results for each contributing

jurisdictional or geographical unit within the country, providing both contributors and users with an opportunity to see the results for their particular jurisdictions or areas. This enables them to compare themselves with similar jurisdictions, geographical areas and national averages.

4.30 A complete count approach, however, may not be the best choice in every situation. For example, if statistical planners are only interested in estimates of the national incidence of some phenomenon, sampling may be a cheaper and quicker approach than a complete count. Precision is not always necessary in order to answer some types of questions.

4.31 In the past fifty years substantial progress has been made in sampling techniques, which in some circumstances permits statisticians to derive accurate estimates of the totality of the phenomenon in question quickly and cheaply. Sampling is particularly effective if

time and financial resources are limited, if the amount of information required makes a complete count approach cost-prohibitive and if technical expertise in sampling design is available.

4.32 The major point to be made is that the choice between complete count and sample approaches represents a trade-off. Both approaches are subject to error, both demand quality control techniques and both can be useful depending on the level of precision and detail needed.

4.33 Current practice indicates that complete count data collection is preferred for core statistics such as those on reported crime, courts, sentencing and corrections. In contrast, sample data collection is more appropriate for capturing information that would be impossible to obtain from operational systems, such as statistics on unreported crime and victimization.

V. PROCESSING CRIMINAL JUSTICE STATISTICS

5.1 Regardless of how data are collected, a processing system is required. A well-planned and efficient system of data processing is essential for timely tabulation and analysis. The development of a data processing system requires consideration of processing steps and procedures; personnel and training requirements; equipment and facilities requirements; timetables for each operation; and fiscal resources and requirements.

5.2 Decisions concerning specific steps and procedures should be based on the kinds of analysis intended for the data. If, for example, proposed tabulations are precisely defined before data are processed, the processing can be planned specifically to meet these needs.

5.3 One of the most pressing questions in the area of data processing concerns the role of computers, including microcomputer technology. This is considered later in the chapter. First, the major processes and steps for data processing will be reviewed, including receiving and recording; securing and storing; editing; and analyzing the data.

A. DATA PROCESSING STEPS AND PROCEDURES

Receiving and recording data

5.4 Data can be received and recorded in various ways. As mentioned above, they can be received on unit record forms or pre-tallied on ledger sheets. In automated environments, machine-readable data may be transmitted directly to the receiving office. Data can be received daily, weekly, monthly, quarterly or in some other batch mode. They may be received in one mode, for example an investigative case summary, and converted into another mode for entry into the information system. They may be gathered by an agency and entered into its own information system or forwarded to another agency to be entered into that information system.

5.5 Too often, the design of recording forms and the documentation of coding and classification rules are treated as trivial or technical matters. As mentioned in previous chapters, decisions on what is recorded and how it is recorded are crucial. It is important to provide clear documentation of rules and procedures as well as formal training of personnel on how to record and edit data.

Securing and storing data

5.6 Whether a file-card box, filing cabinet, ledger or computer is used to store data, an information system must have procedures to store the data; to index the data in the system so that they can be identified and retrieved; to secure the data from physical damage or unauthorized use; and to update, add to, expunge or modify the data.

5.7 Data can be put into the system in a variety of ways, from simply filing a form in a filing cabinet to entering data directly into a computer terminal. Whatever the method used, the filing system must be designed to facilitate retrieval and thus must reflect an understanding of the ways the data are most likely to be used.

Editing and verifying data

5.8 Whether a system is manual or automated, procedures must be established to edit the data. Among these are procedures that allow the identification of inconsistencies. Data may be contradictory (e.g., date of arrest may be earlier than date of birth), atypical (e.g., an offender given a sentence three times longer than the norm for that particular offence) or inconsistent with established law, policy or procedure. While the emphasis should always be on collecting high-quality data, a statistical program must also have guidelines on how to clean data errors and gaps without distorting the original data.

5.9 Editing should also identify any part of a set of data that is missing or that has not been updated in a timely manner. Editing is not complete until inconsistencies, errors and gaps have been dealt with. This means that editing measures must include procedures for “cleaning the data”. This can be extremely time-consuming, as some manual intervention may be required even when computer editing programs are used. Manual intervention may require obtaining new or updated data from a source—a time-consuming proposition while trying to maintain a timely production cycle, but unavoidable in certain circumstances.

Analyzing the data

5.10 Analysis refers to the broad range of ways in which the data in the system can be arranged. This may involve procedures for arranging them in alphabetical or chronological order, summarizing them through the use of

frequencies, percentages, rates and ratios, preparing more sophisticated cross-tabulations or developing computer simulation models of the entire justice system. In every case, proper analysis requires that an appropriate question, issue or problem be posed to give direction to the analysis; appropriate procedures, methods or logic must be used to conduct the analysis; and analysts with appropriate expertise must be given access to the appropriate data. It is important for administrators and policy makers to understand that simply amassing a database is not analysis. Well-framed questions, access to the appropriate data and staff trained in the subject matter are essential if appropriate analysis is to be performed. See chapter VI for more detail on analysis.

B. DATA SECURITY AND ACCESS ISSUES

5.11 Much of the information held in the files of criminal justice agencies is sensitive, and this raises a number of issues concerning how best to secure the data from unauthorized access and from tampering and abuse. Particularly in the area of criminal justice, procedures to safeguard the security of and control the access to data are necessary to ensure the integrity of criminal justice statistics.

C. TECHNOLOGIES FOR DATA PROCESSING

5.12 As indicated at the beginning of this chapter, one of the crucial data processing decisions involves whether and how to computerize. While nearly all countries have access to computers, computer capacities vary considerably from country to country. Even when computer resources are available in a country, they may not be widely available within the criminal justice system. Despite the great potential of automated data processing, many countries still rely heavily or partially on manual clerical operations. In fact, manual processing usually plays some role even in those countries with advanced data processing capabilities, such as in the preparation of simple hand-tallies to check the consistency of data on preliminary returns.

5.13 The introduction of major administrative computerized systems into government agencies, such as those involved in crime and justice operations and statistics, is a complex and costly process. It may take several years to accomplish. Computerization is likely to be implemented in phases, or circumstances may dictate that computerization be used for only some functions of the criminal justice statistics system. Whatever the circumstances, it is of vital importance to plan the computerization very carefully at all stages of the process.

Mistakes can be very costly and are best avoided by putting great effort into the early stages of planning.

5.14 Each country must develop its processing system in accordance with its needs, its level of statistical development and its fiscal, human and technical resources. As computer technologies play an increasing role in data processing, an overview of the implications of this technology is warranted. The following sections focus on four major issues: local support; organization of staff; selection and use of software; and selection and use of hardware.

Local support

5.15 A crucial factor in the use of computers is the availability of expertise for systems and project management, facilities management, hardware and software selection and maintenance, and programming and analysis. In many countries local resources may be unavailable to provide such expertise and support for the necessary training. This typically means reliance on consulting firms or outside experts who, in the worst case, may have little appreciation of national circumstances and requirements. Intensive training and development of in-house expertise, especially in programming and analysis, are crucial for carrying out an ongoing programme of automated statistics processing.

Organization of staff

5.16 Computerization creates new responsibilities and tasks that must be either integrated within the existing organization or supported by an outside organization. An automated data processing system usually requires at least two levels of technical personnel: systems analysts who determine the computer operations, software and hardware that are necessary to meet the processing and analysis requirements; and programmers who prepare specific programs necessary for data processing. Despite the increasing availability of software packages, in-house programming capabilities are necessary to tailor them to meet specific needs and to create new programs if necessary. Trained system and programming staff are currently in high demand in all areas, both public and private. They are often difficult to find and more difficult to keep owing to the vastly increasing job market for these kinds of skills world-wide. A programme of criminal justice statistics may need to look to national statistical services for support.

5.17 In systems that rely on mainframe computers, the technical staff is usually placed in a central unit responsible for managing and maintaining the system. When skilled programmers are scarce, they too are often

placed in such a central unit and isolated from subject-matter specialists and planners. Difficulties in communication often result, producing inefficiencies in data processing and analysis. Technical staff may not be sufficiently sensitive to criminal justice issues and the requirements of criminal justice administrators and practitioners who, in turn, may be insufficiently aware of the capabilities of computers in meeting their needs.

5.18 The advances in microcomputer technology in the last two decades have made decentralization much easier than in the past. New, more accessible and user-friendly software packages have also made it easier for subject-matter specialists to acquire a greater awareness of what computers can do to meet their needs. In all cases, attention to coordination and communication between subject-matter and technical staff is essential.

Selection and use of computer software

5.19 The development of application programs for use in the processing of criminal justice statistics requires an extensive amount of time and technical expertise. With the greatly increased availability of commercial software packages for various applications, an attractive alternative to the development of custom-made programs is to use such readily available software. However, since it is rare that a package or packages will satisfy all data processing requirements, some customization and additional programming are almost always required. Nevertheless, the use of appropriate software can substantially reduce the development costs and programming burden, even when some customization is required. Thus, the acquisition of packaged software for record-keeping, data editing and tabulation can be particularly beneficial in countries with a limited budget and a shortage of trained systems personnel.

5.20 With the increasing number and diversity of packages, a major issue is the selection of appropriate software. Mistakes in software selection can severely reduce the value of the results. Thus, it is important for the data processing staff to learn about and keep up-to-date, as much as possible, on available software packages prior to acquisition. Assessing the appropriateness of any package requires answers to four basic groups of questions:

(a) **Capabilities** Is the package designed to meet the specific needs in question? Has it been successfully used for the application in question? Is there documentation on results of tests or other user responses? Are the package's statistical and numerical capabilities adequate to deal with the amount of data in question?

(b) **Hardware requirements** Will the package work on existing equipment and configuration?

Has the package been successfully used on comparable equipment?

(c) **Support** Does proper documentation exist for use by technical staff? Are training and instructional aids available? Is there ready, ongoing access to expertise on the package? Is the program maintained by a reliable and accessible organization?

(d) **Ease of use and cost** Is the program easy to learn? Is it inexpensive to run?

5.21 The burden of proof should rest with the vendor. If at all possible, no decision should be made before actual tests are run on existing equipment with the participation of both technical staff and subject-matter specialists.

Selection and use of computer hardware

5.22 Chronologically, deciding on computer hardware and other equipment should be the last decision to be made. It is advisable to invest in hardware depending on the defined system functionality requirements, not the reverse. For a criminal justice statistics system, the computing equipment needed depends in large part on the level of the statistical programme in question, on the amounts and kinds of data to be processed, and on the types of analysis required.

5.23 The purchase and installation of a computer system can be an expensive and long-term process. If a bureau of criminal justice statistics has no acceptable computer system, it might well, as a first step, explore the availability and appropriateness of computer facilities in other government agencies, as well as the possibility of renting time on university or commercial computers.

5.24 As indicated, the centralization of computing facilities has often been seen as a way of reducing costs and making efficient use of scarce human resources. In some ways large, expensive mainframe computers made centralization inevitable. The advent of powerful and relatively inexpensive microcomputers together with the introduction of open platforms has allowed greater flexibility in considering the degree of centralization of operations. The choice of a computing system can now more easily reflect the organization of the system of criminal justice statistics and its degree of centralization. In a decentralized computing system, it is particularly important to ensure the compatibility of hardware and software acquired. Incompatible equipment and software can hinder the ease of compiling comparable national data.

5.25 If a new system is contemplated, the primary decision to be made is the choice of computer system

concept: centralized mainframe solution, centralized client/server solution or decentralized solution. In addition, many of the same kinds of questions asked about software packages equally apply. Among the major ones to be considered are the following:

(a) The system's capacity in relation to the specific needs in question;

(b) Compatibility with existing equipment;

(c) The manufacturer or vendor's ability to provide service, technical support and training;

(d) The manufacturer's global market share and presence in the country;

(e) The cost.

VI. ANALYZING, EVALUATING AND DISSEMINATING CRIMINAL JUSTICE STATISTICS

6.1 Evaluation, analysis and dissemination of criminal justice statistics are essential components of a criminal justice statistics system. Analysis and dissemination raise again the primary issues in the design of criminal justice statistics: Who are the users and what are the uses of criminal justice statistics? Evaluation of the statistics and their dissemination can help to improve the quality of the data; evaluation can also encourage continuing development towards meeting the requirements of users with timely, valid and reliable statistics from the criminal justice statistics system.

A. DATA ANALYSIS

6.2 Plans for the analysis of data should be developed at the earliest stage possible because these plans will help to specify the kinds of data required. The plans for analysis are themselves shaped by the requirements of users, the level of the statistical programme, and the availability of computing resources. Well-specified analysis plans also help to demonstrate to the intended users of criminal justice statistics the value of those statistics.

6.3 Analysis should normally be limited to presentation and technical interpretation of the data. While users often want interpretive analysis of the policy implications of statistical findings, a bureau of criminal justice statistics may jeopardize its credibility and perceived objectivity by performing this type of analysis. Therefore, policy analysis and data interpretation may be more appropriately performed by subject-matter specialists under the guidance of statistical experts.

Descriptive statistics

6.4 Given the current state of criminal justice statistics and the prevalence of simple unit of count programmes, analysis of criminal justice statistics tends to be limited in many countries. Much of the analysis is in the form of simple descriptive statistics such as frequencies, percentages, rates and rates of change. These simple statistics, as explained below, can answer many basic questions. For example, how many crimes were reported in a given year? What percentage of the total crimes reported were property offences? How many crimes were reported for every 100,000 adults in the population? What was the rate of increase in the number of crimes from one year to the next?

6.5 **Counts and frequencies** Often the major output of a criminal justice statistics system is a simple unit count (e.g., of crime) and classification of these units (e.g., theft or murder). When dealing with nominal classification categories (e.g., types of crime, urban or rural, etc.), the arithmetic involves simply counting up the cases in each category. However, when using interval data, data that is distributed along a scale (such as age of offender, income or length of sentence) decisions are needed on how many categories to use and where to establish the cut-off points for calculating frequencies. Sometimes these decisions are only possible after the data have been examined, but some help in establishing categories can be obtained by examining the summary statistics of national statistical services and other agencies. There are obvious advantages in using categories comparable to and consistent with those employed by other statistics-producing agencies. Such decisions on categories to be used in analysis also strongly influence the level of aggregation at which data should be collected and processed.

6.6 **Percentages** Percentages are often used in reporting crime data because they are simple to calculate and are useful for showing the relative proportions of each category within a given class (e.g., violent crime, 6 per cent; non-violent crime, 94 per cent; total crime, 100 per cent). The calculation of percentages is only appropriate if the total number of cases is sufficiently large (as a rule of thumb, at least 50). To avoid misleading interpretation, the actual number of cases is also typically reported along with percentages.

6.7 **Rates** Most programmes of criminal justice statistics have found the calculation of rates to be particularly valuable for describing unit of count data, as rates allow for easy comparison of units across groups and over time. The most common rates in criminal justice, such as crime rates, use population data as their base.

$$\text{Crime rate} = \frac{\text{Number of crimes}}{\text{Total population}} \times 100,000$$

6.8 The calculation of rates requires deciding on which unit of count to use as the numerator and which to use as the denominator. For example, to calculate the incarceration rate there is a choice between various numerators such as number of inmates on specified dates, number of admissions over a specified period or

number of prison sentences over a specified period. There is also a choice of various denominators such as total population, adult population, population at risk or convicted population. These decisions must be shaped by the intended uses of the data but are also constrained by the data that are available.

6.9 Rates of change Calculations of rates of change are useful for monitoring the extent of change in crime and official responses to crime. The calculation is quite simple but requires time series data or data for at least two periods in time. For example, if the prison services of a country had 50,000 inmates in a given year and 65,000 inmates in the following year, the rate of growth would be:

$$\text{Rate of growth} = \frac{65,000 - 50,000}{50,000} = 0.30,$$

or 30 per cent per year.

Tabulations

6.10 To the extent that the statistical system permits linking data, cross-tabulations of two or more variables are among the most important outputs. Tabulation plans require decisions such as the data series to be used, the variables that are to be cross-classified and with what classification and values. These plans are normally formulated using table outlines designed to answer the major questions of analysis.

Other analytical techniques

6.11 Other more sophisticated techniques of analysis, such as derived indices, correlation and regression, and estimation and weighting procedures for the analysis of sample data may be necessary to answer some questions and to handle some kinds of data (e.g., victimization survey data). These kinds of techniques have been made far easier and more accessible with the development of statistical software packages.

6.12 There are dangers, however, in having personnel untrained in statistics use such analytical software to create these types of statistical outputs. It is always important to understand the assumptions underlying these techniques and to ensure that the software is consistent with the design of the survey or data series. For sophisticated analysis, it may be more practical for a bureau to call upon external experts from such sources as national statistical services or universities.

B. DATA EVALUATION

6.13 Every analysis programme must include a technical evaluation of the data collected. This evaluation should consider counts of errors and missing items, verification of calculations, views of subject-matter specialists on the reasonableness of the data and comparisons of the data with other available sources. Problems that cannot be traced or corrected should be made known to the users of the statistics.

6.14 More systematic evaluation is also desirable, especially if technical reviews of the data persistently reveal errors. A full evaluation might include an audit of the field staff's recording and classification of different data elements, as well as an audit of data processing staff procedures. Also useful are assessments of coverage and bias: for example, a few countries have used victimization surveys to assess the coverage and bias of police-reported crime data. A full evaluation might also include record and reverse record checks: for example, victimization surveys have been evaluated by comparing individual answers to official records of the criminal events. Finally, evaluation might include cost-benefit analyses, although few systematic attempts to weigh the benefits of statistical series against their costs are available.

6.15 Again, outside experts and specialists in research and development can be of great assistance in designing and conducting evaluations of statistical series and programmes as well as in evaluating the uses and benefits of the data.

6.16 Evaluations may indicate the need for major, often costly, methodological research and programme development to find ways of improving statistical series. It is only through the inclusion of such self-corrective feedback mechanisms that statistical systems can reach higher levels of efficiency, quality and usefulness.

C. DATA DISSEMINATION

6.17 The present *Manual* has emphasized the importance of ensuring that criminal justice statistics are useful. Dissemination plans, outputs and products are intended to ensure that the statistics are actually used. Dissemination can take many forms, including informal information sharing, formal publications, responses to specific requests and provision of raw data.

6.18 The dissemination strategy selected should take into consideration the varied needs and skills of users, and

the quality and nature of the data. For example, statistical information is most frequently disseminated through statistical reports and publications. Statistical tables are typically the major output of the analysis of data and a major component of such reports. Some users, however, prefer brief, readable, non-technical summary statements. Often the use of visually appealing charts and graphs helps users to see the implications of statistical data more easily than statistical tables. Similarly, specialized reports designed to meet the particular needs of specific user groups help to ensure that they easily find the data they require.

6.19 Dissemination through published reports is only one of many dissemination techniques and should be supplemented, as much as possible, by responses to specific requests for information, special tabulations, direct access to computers through remote-access terminals and the release of data tapes and disks. Such approaches are often expensive and demanding of human resources; thus, many statistical agencies charge users the costs of preparing the requested material.

6.20 In recent years, the use of the Internet as a dissemination vehicle has grown tremendously. Dissemination by Internet is a cost-effective method of reaching a wide range of users and saves time once the system is in place. Investment in this dissemination vehicle is usually modest, relying heavily on the expertise of a team of designers and programmers. Government

agencies and statistical bureaus are increasingly going this route to reach the general public, while users increasingly expect to obtain the information they need on the Internet. Initially, basic and widely demanded information can be made available on the Internet while specialized or detailed tables and data requests continue to be fulfilled through published reports and the other dissemination methods mentioned above. Thereafter, Internet dissemination can be expanded incrementally to meet wider user demands, depending on the technical capacity and resources available.

6.21 To enable users to interpret the criminal statistics correctly, the methods used in the collection, processing and analysis of data, as well as their limitations, if any, should be disseminated with the data. In some cases, however, it may be preferable to present such technical information in appendices or separate technical reports in order to allow persons with the interest and skills to review the technical issues without imposing those issues on readers with no interest or technical training.

6.22 It is beneficial to both producers and users of criminal justice statistics if data producers released a list of products to be disseminated with a time frame. This would allow producers to plan their activities and allocate resources according to the scheduled outputs, while at the same time allowing users to plan their actions accordingly.

VII. THE ROLE OF VICTIMIZATION SURVEYS AND OTHER DATA SOURCES

7.1 Not all criminal justice statistics needs can be met through administrative and operational information systems. It is widely recognized that a sizeable portion of criminal events are not reported to the police and that certain types of information relevant to crime and criminal justice are not readily available from the criminal justice system. These limitations of official records as a source of statistics for describing crime and its characteristics have prompted criminologists and researchers to seek alternative sources for measuring and understanding crime.

7.2 Two major efforts in this regard are victimization surveys and self-report surveys. These techniques use questionnaires or interviews with samples of individuals who answer questions concerning whether they have been victimized by crime or whether they have performed certain criminal acts. The crime victimization survey, in particular, has emerged as an important vehicle for collecting information on citizens' direct contact with crime and the criminal justice system. The victimization survey and other alternative sources of data for studying crime and aspects of crime are presented below.

A. VICTIMIZATION SURVEYS

7.3 The launching of victimization surveys in a number of countries, as well as internationally,⁶ has demonstrated the value of these surveys as a complementary data source for police statistics. Victimization surveys usually reveal a higher incidence of crime than those found using statistics of crime reported to the police. Part of the reason for this result is that not all people report victimization incidents to the police. Victimization surveys can provide a great deal of information on criminal incidents that is not usually available in police records. In addition, such surveys can offer insights into public perceptions regarding the different components of the justice system. However, while they can provide extensive and intensive information, victimization surveys are generally expensive and require a high level of technical expertise. For example, to produce reliable estimates at the subnational or local level, sampling strategies can become quite complicated, and sample sizes may need to be quite

large. Furthermore, victimization surveys are most useful if they are conducted regularly, even annually if possible.

7.4 Victimization surveys are large-scale studies that ask randomly sampled members of the population about their experiences with crime. Generally, victimization surveys consist of two parts. First, all respondents (whether they have been victims of crime or not) are asked questions from a "screening questionnaire". In addition to supplying social and demographic information about themselves, respondents are questioned about their fear of crime and attitudes toward the criminal justice system. More importantly, the screening questionnaire is used to identify those respondents who experienced one or more of the types of victimization that are of interest.

7.5 A detailed series of questions about the victimization incident comprises the second major part of the interview. Victims may be asked about the location and circumstances of the crime or about their relationship to the offender. They may also be questioned about any financial loss or physical injury they might have sustained. Information may also be gathered about whether or not the victim reported the crime to the police or took any other action in the aftermath of the victimization episode.

7.6 Besides measuring different types of offences, some of the current issues that victimization surveys are being used to address are hate crime, family violence, violence against women, senior (elder) abuse, stalking, bribe requests, perceptions of the criminal justice system (police, criminal courts, prison system, parole system) and public perceptions of crime (fear levels).

Methodology

7.7 As in most surveys, victimization surveys collect data from the target population with reference to a specific time period. The target population stipulates the persons that are to be included and excluded from the survey. Victimization surveys usually include persons aged 15 and over, 16 and over, or 18 and over depending on the information requirements of the survey.

7.8 Victimization surveys typically employ sample survey methodology. The topic of sampling technology is too extensive to take up in the present *Manual*. However, it is covered in textbooks on sampling and in other United Nations publications. The choices are

⁶ The International Crime Victim Survey (ICVS) was launched in 1989 by the Ministry of Justice of the Netherlands, and subsequently (1991) further developed with the involvement of the United Nations Interregional Crime and Justice Research Institute (UNICRI). To date, more than seventy countries have taken part in this project at least once.

numerous, and techniques can be complicated when coverage is national or over some otherwise large area. For such surveys, it is advisable to obtain the advice of a qualified survey statistician.

7.9 A method that may be used in victimization surveys is the area-based stratified sample design. First, the geographical area that is being surveyed (target geographical area) is divided into strata or geographical areas that are relatively homogeneous. Within each stratum, a random sample of households is then selected. Finally, either all eligible persons or a sample of those eligible in the selected households are interviewed. A variation to this design is the use of cluster sampling, whereby each stratum is subdivided into clusters, and a sample of clusters selected from each stratum. All or a sample of households in each selected cluster are then selected; and from each household, all eligible persons or a sample of eligible persons are interviewed. An alternative to area-based sampling is the use of electoral registers as a frame from which sample persons are drawn.

7.10 Some victimization surveys select households using the random digit dialling technique. A random sample of telephone numbers is selected from each stratum. With this technique, households without telephones are automatically excluded from the survey. This technique is therefore unsuitable for countries with low levels of telephone ownership.

7.11 In victimization surveys, data collection is carried out using a structured questionnaire. A typical interview lasts between 15 and 30 minutes. Traditionally, victimization surveys have used paper and pencil questionnaires. However, new technologies now allow questionnaires to be administered using computer-assisted telephone interviewing (CATI) for telephone interviews or computer-assisted personal interviewing (CAPI) for personal interviews. With these techniques, the questions appear on a computer screen. The interviewer asks the respondents the questions and enters the responses directly into the computer. The data capture program allows a valid range of codes for each question and automatically follows the flow of the questionnaire. Built-in edits and fewer processing steps save time and result in better quality data. Computer assistance also helps to standardize the interview process.

Advantages

7.12 Crime victimization surveys offer several advantages. First, results from victimization surveys can show crimes that have not been reported to the police because such surveys collect information directly

from victims of crime about reported and unreported crimes. In so doing, victimization surveys provide an indication of the propensity of citizens to report incidents and information on the repercussions of victimization, as well as on attitudes towards crime and criminal justice. It can provide a more valid estimate of the actual crime rate than official records.

7.13 Second, crime rates derived from victimization surveys are not sensitive to changes in legal definitions or operational policies and procedures in the same way that police statistics can be. For example, crime rates as recorded by the police may show an increase as a result of a broader definition of crime, when in fact there was no change. Likewise, a change recording policy (such as computerization) may increase efficiency and result in a higher number of crimes recorded. Victimization surveys are not sensitive to these types of developments.

7.14 Third, in victimization surveys samples are drawn from the general population and data are collected from both victims and non-victims over a given time period. This allows researchers to compare the two groups and to analyze which social and demographic groups face the greatest risk of victimization and how these risks are affected by particular kinds of lifestyle behaviours such as drinking alcohol or living alone. These data can help in the development of theoretical models that link victim involvement in criminal events to social, demographic and behavioural factors.

7.15 Fourth, victimization surveys permit an investigation of the consequences of victimization and how victims cope with these consequences. For example, respondents may be asked how their victimization experience has affected their attitudes toward crime and the criminal justice system, their level of injury, emotional trauma and the monetary value of a theft or vandalism.

7.16 Finally, victimization surveys are particularly useful in helping administrators of criminal justice and policy makers monitor people's perceptions, concerns and fears about crime and criminal justice. Effective criminal justice policies and programs and relevant criminological theories must address the subjective side of crime and address people's everyday fears and concerns. The fear of crime can be as great a problem as crime itself, and public disenchantment with criminal justice and the agencies of control provides not only an indicator of serious problems, but also a significant challenge to criminal justice. Victimization surveys allow us to go beyond merely counting incidents. They provide data on the costs of victimization, on the

financial losses, on the physical injuries and on the concern and fear victimization may produce.

Disadvantages

7.17 The victimization survey has some disadvantages and limitations. First, crimes with a rare occurrence cannot be accurately captured. Second, not all crimes can be captured through this survey method. For example, murder cannot be included, nor can consensual crimes for which there are no direct victims such as drug use and gambling. In fact, the latter are not captured very well through either official data or victimization surveys. Similarly, crimes in which victims are unaware that they have been victimized cannot be well captured in victimization surveys or official data sources. For example, fraud, embezzlement, employee pilferage, price-fixing and the wide range of consumer, corporate and white-collar crimes are not included in victimization surveys.

7.18 Victimization surveys are relatively new and methodologies for specific groups of victims or types of crime are often not well developed. Special methodologies will be needed to measure, for example, victimization of aboriginal or minority groups, white-collar crime, consensual crime and what has been called enterprise crime, which includes organized crime and the crimes of organizations and the State.

7.19 Perhaps the most serious impediment to widespread use of victimization surveys is their cost. Because crime is relatively rare and unevenly distributed, sample sizes must be large, especially if there is an intention to prepare estimates at low levels of aggregation. Obtaining stable estimates of rare crimes through sample surveys also requires prohibitively large samples to be selected from the population. Telephone interviewing, when feasible, can help keep costs down.

7.20 Victimization surveys are subject to a variety of problems common to all forms of survey research. Responses are sensitive to the wording of the questions asked, and ambiguously worded questions can produce unreliable results. For example, questions phrased in layman's terms produce better results than those using judicial terminology. Responses are also sensitive to the techniques used for the interview. Mail-in forms, telephone surveys and in-person interviews may elicit different responses and frequently result in different response rates. Responses and response rates are sensitive to the persistence of interviewers in asking questions and can be sensitive to the passage of time. Less serious events, in particular, may be forgotten, or people may mistakenly import events that happened to

them previously into the study time period, a phenomenon called "telescoping". Victim data are also sensitive to the interpretations and recording decisions made by interviewers in coding victim responses.

How victimization surveys complement police-reported data

7.21 Victimization survey data and police data reveal different facts about crime. They measure the phenomenon of crime in two very different ways and from different perspectives. The choice of which data to use depends on the interests of the investigator, the questions to be answered and the level of analysis desired.

7.22 Victimization surveys cannot replace administrative statistics and will not produce hard operational data for the police. However, a well-planned and executed crime victimization survey, especially if conducted periodically, can complement police-reported data and provide essential information to policy makers and administrators. To maximize their potential use and facilitate comparison with the next survey, it is desirable to retain information on and from victimization surveys, preferably on a centralized and accessible database.

7.23 Joint publication of victimization and police-reported data helps to inform the public about the full nature and extent of crime. Data from victimization surveys can be used to contextualize information from police-reported data. However, this has to be done with great care. The definitions, types and categories of crime and victimization from the two sources often differ widely. These complexities have to be dealt with when using the two sources complementarily.

7.24 The two data sources can also be used to test alternative hypotheses related to criminal activity. Neither police statistics nor victimization surveys alone can provide comprehensive information about crime. However, they can confirm and complement one another. (See figure 5 for comparison of the two sources.) Some combination of improved official statistics and periodic victimization surveys would appear to be the best approach. Together, they contribute to a better overall understanding of crime.

B. SELF-REPORT SURVEYS

7.25 Self-report surveys involve interviewing a sample of respondents on the crimes they themselves have committed. This type of survey is especially important in gathering information on so called victimless

Figure 5. Comparison of police-reported data and victimization surveys

<i>Police-reported data</i>	<i>Victimization surveys</i>
Data collection	
Administrative police records	Personal reports from individual respondents
Complete count	Sample
100 per cent coverage of all police agencies	Sample survey using self-administered, telephone, or face-to-face interview
Data submitted on paper or in machine-readable form	Computer-assisted telephone interviewing (CATI) or computer-assisted personal interviewing (CAPI)
Usually annual	Periodic
All recorded criminal incidents regardless of age of offender or victim	Target population is over a certain age
Counts only those incidents reported and recorded by police	Covers crimes reported and not reported to police
Scope and definitions	
Primary unit of count is the criminal incident	Primary unit of count is the criminal victim (at the personal and household levels)
All crimes contained in criminal code or penal code.	Some types of crimes can not be assessed through victim interviews
“Most serious offence” rule results in an undercount of less serious crimes	Statistics are usually reported on a “most serious offence” basis but counts for every crime type are possible
Include attempted crime	Includes attempted crime
Sources of error	
Inaccurate reporting by the public or inaccurate recording by the police	Respondent error
Non-responding police department	Non-response
Processing error, edit failure	Errors in coding, editing, imputation and estimation
Police discretion	Sampling error
Changes in policy and procedures, legislative changes	Non-sampling error related to coverage

crimes (e.g., drug, gambling, smuggling and prostitution offences) that are not likely to show up in police-reported statistics or victimization surveys. In general, the reliability and validity of such statistics depend to a great extent on the willingness of respondents to report that they committed a crime and on their ability to recall events. For the most part, tests of such studies have found

them to be quite reliable, particularly for less serious offences.

C. CAUSE OF DEATH STATISTICS

7.26 For countries that have a well-developed civil registration and vital statistics system, cause of death

statistics offer an additional source of data for crimes that result in death. When deaths are registered, the cause of death is one of the items asked on the death certificate. Statistics on deaths by cause, therefore, can be a source of information on the number of homicides. These statistics, however, are subject to certain limitations, the seriousness of which depends on the quality of statistics on deaths in the particular country or region. First, the statistics cover only those deaths that are registered and have the cause of death entered. Second, the attribution of cause of death is subject to inaccuracies arising from factors such as ignorance of the real cause and discretion on the part of the person reporting the cause. Third, rules and conventions for defining the cause of death may preclude certain cases of homicide. In summary, unless a country's vital statistics system is known to have a high degree of completeness and accuracy, the use of statistics on cause of death to complement police statistics on homicide should be treated with caution.

D. POPULATION CENSUSES AND HOUSEHOLD SURVEYS

7.27 Population censuses contribute important information for the interpretation of justice statistics. Probably the most widely used data for this purpose are those on population size. The amount of crime is frequently expressed relative to population size, for example as a crime rate per 100,000 population. Formulating the amount of crime as crime rate effectively controls for the differences in population size among regions or for population growth over time. This is useful when comparing incidence of crime among cities or countries, or when examining crime trends over time. However, crime rates can also be affected by a number of other social or demographic factors, such as the age composition of the population; the incidence of low income; unemployment rates; family composition; high school dropout rates; and migration. Data from population censuses and surveys can provide a useful overall context that allows a more meaningful and informed interpretation of criminal justice statistics.

E. OTHER POTENTIAL SOURCES

7.28 In some countries, public and private agencies not thought of as criminal justice organizations also collect a considerable amount of information on specific crimes, offenders and victims. These may include regulatory and social service agencies of the Government as well as private organizations concerned with some aspects of crime and deviance or advocates for particular kinds of victims, for example:

- (a) Insurance companies;
- (b) Tax and customs authorities;
- (c) Trade associations concerned with the theft of trade secrets, unfair pricing or consumer fraud;
- (d) Environmental protection organizations;
- (e) Regulatory agencies concerned with banking and security institutions;
- (f) Security departments of private corporations;
- (g) Alcohol regulation agencies;
- (h) Mental health agencies;
- (i) Victim support organizations (e.g., rape crisis and battered women's centres);
- (j) Hospitals and the medical health community;
- (k) School authorities;
- (l) National security agencies.

7.29 Statistical planners, then, may wish to consider an inventory and review of available statistics maintained by non-justice agencies. It would also be advisable to determine the comparability between data elements and data definitions in such series and those produced by justice agencies, and then to work with non-justice agencies in refining existing statistical series and developing new ones.

VIII. INTERNATIONAL COLLECTION OF DATA ON CRIME AND CRIMINAL JUSTICE

8.1 Although the focus of the present *Manual* is on the development of a national system of criminal justice statistics, it is helpful for national offices involved in the collection of crime statistics to know about efforts to collect crime and criminal justice data at the international level. This chapter introduces the reader to two such ongoing activities.

A. THE UNITED NATIONS SURVEYS OF CRIME TRENDS AND OPERATIONS OF CRIMINAL JUSTICE SYSTEMS

*Historical background*⁷

8.2 In its early years, the United Nations paid intermittent attention to the possibility of developing the collection of criminal statistics at the international level. There were relevant resolutions of the Economic and Social Council between 1948 and 1951, but little seems actually to have been done until the early 1970s, when the present series of surveys were initiated. The Economic and Social Council, in its resolution 1984/48 of 25 May 1984, requested the Secretary-General to maintain and develop the United Nations crime-related database by continuing to conduct the surveys of crime trends and operations of criminal justice systems.

8.3 In the beginning, the surveys covered five-year periods starting from 1970. In the 1980s, the questionnaire was developed and improved with the help of a succession of institutions⁸ in the United States of America, which hosted expert group meetings to consider the results of one survey round and plan an improved version of the next. In the early 1990s, smaller parallel meetings were held at the United Nations Interregional Crime and Justice Research Institute (UNICRI). Most recently, the Government of Argentina⁹ hosted meetings in Buenos Aires (1997, 1999 and 2001), and the Government of the Netherlands hosted a meeting in Veldhoven (1998).

⁷ Summarized from William Burnham, "A short history of the collection of UN crime and justice statistics at the international level" in *Global Report on Crime and Justice*, Graeme Newman, Ed. (New York, Oxford University Press, 1999).

⁸ The hosts included the School of Criminal Justice, Rutgers University, New Jersey, 1981; the Criminal Justice Center, Sam Houston State University, Texas, 1983; and the Bureau of Justice Statistics, United States Department of Justice, Washington D.C., 1986.

⁹ These meetings were organized by the Ministry of Justice of Argentina and the Latin American Crime and Justice Research

8.4 Originally, the rationale for collecting and comparing statistics at higher than the national level was to search for the causes of crime. By the second survey, developed at the Rutgers University expert group meeting, the focus had shifted away from the causes of crime to the operations of criminal justice systems. That focus was more in keeping with the overall mission of the United Nations: one of assisting Governments in the management of criminal justice and, indeed, calling upon Governments to provide an official accounting to the international community of their criminal justice operations.

8.5 However, another problem arose as a result of this new rationale: the survey became highly detailed, requesting data concerning every level and aspect of the criminal justice system. In the second and third rounds the survey questionnaire became excessively large, requesting too much detail, with the result that it became a burden on officials of member countries whose job it was to fill it in. It also became apparent that often no single national government department existed that had access to the variety of information requested, although a number of Governments have since developed whole government departments whose mission is to compile justice statistics (see section B in chapter II). As a result, the fourth and fifth surveys have been reduced somewhat in scope. The sixth survey was shortened by 65 per cent to ease completion, and the seventh survey followed that pattern. Beginning with the sixth survey, the interval between survey rounds was shortened from five to three years.

The utility of the surveys

8.6 The questionnaire for the Seventh United Nations Survey of Crime Trends and the Operations of Criminal Justice Systems, sent out to Governments in April 2001, consisted of a series of questions designed to elicit responses in the form of data, primarily statistical data, on the main components of the criminal justice systems for the period 1998–2000. Inquiries were made on four main components of criminal justice system: police, prosecution, courts, and prisons and

Institute (IIDEJUAL), which was established on 14 February 2000 within the Ministry of Justice and Human Rights of Argentina to conduct research about crime and criminal justice in Latin America.

penal institutions. The list of statistical information sought in the seventh survey is given in figure 6. (See section G of the annex for the full questionnaire.)

8.7 The major goal of the United Nations surveys on crime trends and the operations of criminal justice systems is to collect data on the incidence of reported

crime and the operations of criminal justice systems with a view to improving the analysis and dissemination of that information globally. The survey results provide an overview of crime trends and relationships between various parts of the criminal justice system and promote informed decision-making in administration at the national and international levels.

Figure 6. List of statistical information included on the Seventh United Nations Survey of Crime Trends and Operations of Criminal Justice Systems

<i>Justice component</i>	<i>Type of information requested</i>
<i>Police</i>	• Police personnel by sex • Total police budget • Number of crimes recorded, by type of crime • Number of persons brought into initial formal contact with the police and/or the criminal justice system, by type of crime • Number of persons brought into formal contact with the criminal justice system, by adult/youth and sex
<i>Prosecution</i>	• Prosecution personnel by sex • Total prosecution budget • Number of persons prosecuted, by type of crime; by adult/youth and sex
<i>Courts</i>	• Number of judges by status (professional, lay) and sex • Total court budget • Number of persons brought before criminal courts, by disposition (convicted, acquitted, other) • Number of persons convicted, by type of crime • Number of adults convicted of any type of crime, by type of sentence • Number of persons convicted, by adult/youth and sex
<i>Prisons/penal institutions</i>	• Number of adult and youth prisons, penal institutions and correctional institutions; number of spaces (beds) available • Staff in adult and youth prisons, by sex • Total prison budget • Number of persons incarcerated on a given day, by category (awaiting trial, sentenced, etc.) • Average length of detention for adult prisoners awaiting trial (time between arrest and pronouncement of guilt or innocence) • Average length of time served in prison by adults after conviction • Number of convicted prisoners on a given day, by adult/youth and sex • Number of persons on probation on a given day, by adult/youth • Number of persons on parole on a given day, by adult/youth

8.8. The most important function of the United Nations crime survey is that it collects statistics of the most official kind. The survey's main purpose is not to measure the exact amount of crime that exists in the world, but rather to provide an accounting of crime and the government response to it. The survey challenges countries to develop national crime and justice recording systems that are systematic, coherent and predictable. The data gathered benefits both the international community and each responding Government. Firstly, information can be used in determining crime trends and problem areas for intervention in the form of technical cooperation. Secondly, the data gathered provide information for such reports as the *Global Report on Crime and Justice*.¹⁰ Thirdly, the data can be used for can be utilized by Governments interested in comparing themselves to other similarly situated States.

Methodological concerns with international crime and justice data

8.9 The data from the United Nations crime survey are compiled from a standard questionnaire sent to national officials by the United Nations Statistics Division. The official respondents then adapt their national-level statistics to fit the categories of crime and justice defined by the survey questionnaire. It should be noted, however, that because the different agencies of criminal justice in a country are often not part of one organization and may indeed be operated almost independently of each other, the ways in which such data are obtained and collated might be very different within each country. The often fragmented way in which the questionnaire may be filled in by different officials from different bureaucracies sometimes introduces inconsistencies and contradictions in the statistics reported within a particular country's survey questionnaire. Therefore, the use of official statistics cross-nationally requires a careful examination of the sources for the statistics of the individual countries.

8.10 Another difficulty for the use and interpretation of statistics from the United Nations crime survey is that they are aggregated from official national statistics of crime and, as such, they constitute political statements by Member States. The crime and justice statistics that a country makes available to the international community have an essential political element, with all the ramifications that this may entail.

8.11 In addition, as many scholars of criminology have argued for a long time now, official data on crime

are fraught with systematic and random error. These data give account only of those crimes that are reported to the police and recorded by the authorities, thus representing an incomplete account of crime committed in society. The unknown amount of crime in any given society—the “dark figure” of crime—is left out of official statistics and has to be measured by alternative means such as victimization surveys (see chapter VII).

8.12 Another factor that should be considered when analyzing cross-national data is the problem of definitions. Different countries may define particular types of crime much differently. Systemic differences in legal standards can have an influence on crime rates quite apart from the actual amount of crime in the society. Furthermore, the definitions used in the international survey questionnaire are of necessity general, making it difficult to reflect in accurate detail the varied legal definitions and recording practices used by countries.

8.13 Official cross-national data are generally available for only a small number of the world's countries. As a result, theoretical formulations based on available international data may be biased towards the more highly developed countries.

8.14 In spite of these and other seemingly insurmountable difficulties in the collection of valid and reliable crime data, official crime statistics at the international level have some value as a measure of crime itself.

B. THE INTERNATIONAL CRIME VICTIM SURVEYS

Historical background

8.15 The collection and compilation of non-official data on crime at the international level started fairly recently. Early efforts to collect information from victimization surveys were made largely by researchers and administrators of developed countries, where the diffusion of such surveys was relatively rapid, while their presence in the developing countries was very small.

8.16 The first round of the International Crime Victim Survey (ICVS) was implemented in 14 developed countries in 1989 by the Ministry of Justice of the Netherlands in cooperation with the British Home Office and the University of Lausanne, Switzerland. The interviews were conducted by telephone using computer-assisted telephone interviewing technique (CATI). In the same year pilot studies were conducted in Indonesia (Jakarta) and

¹⁰ *Global Report on Crime and Justice*, Graeme Newman, Ed. (New York, Oxford University Press, 1999). Excerpts available at <http://www.uncjin.org/Special/GlobalReport.html>.

Poland (Warsaw). The United Nations Interregional Crime and Justice Research Institute (UNICRI) became involved with the ICVS in 1991, when the project was expanded to include developing and countries and countries in transition.

8.17 The second round of surveys was conducted in 1992, with the participation of 13 developed countries, 13 developing countries and seven countries in transition. Since telephone penetration in developing countries was not very high, face-to-face interview method was used in those countries, and the surveys were done mainly in the capital cities. The third round of surveys, conducted in 1996/1997, included twelve developed countries, 15 developing countries and 21 countries in transition. The most recent round of the ICVS was done in 2000. In this round, surveys were conducted in 17 developed countries as well as 16 capital cities in Eastern Europe/Central Asia, four cities in Asia, seven in Africa and four in Latin America.¹¹ At the conclusion of four rounds of the ICVS, more than 140 surveys have been completed in at least 70 different countries.¹²

The utility of the surveys

8.18 The International Crime Victim Survey was organized using a standardized methodology that benefited from experience gained in measuring crime levels and related issues through national victimization surveys. Thus it is able to provide independent and comparative information on victimization experiences, the context of crime and attitudes toward crime and

criminal justice policy, as well as an opportunity to develop and test criminological theories in a wider context. The list of statistical information sought in the 2000 ICVS is given in figure 7. The full questionnaire (face-to-face version) is reproduced in section H of the annex.

8.19 A major advantage of the ICVS is that it is able to transcend the different definitions of crime in each country since the questionnaire constructs its own crime categories which are the same in every country surveyed. Thus it offers better comparative material than results from independently organized national victimization surveys, where differences in design seriously compromise the capacity to compare.

8.20 A number of developing countries have received assistance to develop and implement victimization surveys as an important research and policy tool. Once they have been sensitized to the significance, potentials and limitations of the survey, researchers, policy makers and administrators can make more informed decisions in the management of criminal justice systems.

8.21 The survey shares other well-known objectives of national-level victimization surveys in terms of information gathering on experiences with crime and its level, victimization risk, propensity to report to the police, attitudes about police and punishment, crime prevention, and policy evaluation based on the results of the survey. It is also expected that the experience with the international survey will stimulate development and implementation of national and local surveys.

¹¹ For more information on the ICVS, see <http://www.unicri.it/icvs>.

¹² The results of the ICVS have been published in several reports. A list of these reports is available at: http://www.unicri.it/icvs/publications/index_pub.htm.

Figure 7. List of questions asked in the 2000 International Crime Victim Survey

<i>Victimization in last five years, by type of crime</i>	<i>When (last year)</i>	<i>How often (last year)</i>	<i>Where</i>	<i>Reported to the police?</i>	<i>Details of report*</i>	<i>Reported to others?</i>	<i>Victim support</i>	<i>Seriousness</i>
<i>Household crimes</i>								
Theft of car	x	x	x	x				x
Theft from car	x	x	x	x	x			x
Car vandalism	x	x	x	x				x
Motorcycle/moped theft	x	x	x	x				x
Bicycle theft	x	x	x	x				x
Burglary	x		x	x	x		x	x
Attempted burglary	x		x	x				x
<i>Personal crimes</i>								
Robbery	x	x	x	x	x	x	x	x
Theft of personal property	x	x	x	x				x
Sexual offences	x	x	x	x	x	x	x	x
Assaults/threats	x	x	x	x	x	x	x	x
<i>Additional questions on specific crime</i>								
Theft of car	Was the car recovered							
Burglary	Was something stolen; value of property stolen; was something damaged; value of damage							
Robbery	Was anything stolen; number of offenders; whether offender known; whether weapons used; what weapon.							
Theft of personal property	Whether pick pocketing							
Sexual offences; and assaults/threats	What happened; was it considered a crime; number of offenders; whether offenders known to victim; who was offender; was weapon used; what weapon							
<i>Victimization in last year, by type of crime</i>	<i>Crime-specific questions asked</i>							
Consumer fraud	Type of fraud; reported to police; reported to others							
Corruption	Who was corrupt; reported to police; reported to others							
<i>Police, crime prevention and protection</i>								
Do police do a good job in local area								
Are the police helpful								
Recommended sentence for burglar, and length of prison detention								
Firearm ownership, type of firearm and reason for ownership								
Security measures against burglary								
<i>Attitude towards crime and security</i>								
Feelings of safety outside after dark								
Feelings of safety at home after dark								
Perceived likelihood of being burgled								
Causes of juvenile crime								
<i>Personal and household information</i>								
Town size			Age and sex					
Household size			Occupation					
Type of dwelling			Years of formal education					
Household income level			Marital status					
Satisfaction with household income			Social (going out) behaviour					

* Including: Why did you report? Why did you not report? Were you satisfied with the way the police dealt with the matter? Why were you not satisfied?

Figure 7. List of questions asked in the 2000 International Crime Victim Survey (cont.)

Additional items in the face-to-face questionnaire

Questions on corruption (if experienced last year)
Who asked for a bribe
Whether reported to the police
Why reported to police
Satisfaction with report
Why not satisfied
Why not reported to police
Opinion on corruption
Whether or not likely that (list of 13 officials) will ask for a bribe
Changes over time in ease of finding the right official who will deal with problem
Changes over time in ease of getting a fair treatment
Changes over time in ease of getting an official to do a favour

Additional items in the African version of the questionnaire

Victimization in last five years, by crime	When (last year)	How often (last year)	Where	Reported to the police?	Details of report*	Reported to others?	Victim support	Seriousness
Car hijacking	x	x	x	x	x	x	x	x
Theft of livestock	x	x	x	x	x			x

Additional questions on specific crime

Car hijacking	Number of offenders, Whether offender known, presence of weapon, type of weapon, whether weapon used, car actually stolen, car recovered, injury, see a doctor or healer, whether a crime
Theft of livestock	What kind of animals were stolen, value of stolen animals

* Including: Why did you report? Why did you not report? Were you satisfied with the way the police dealt with the matter? Why were you not satisfied?

ANNEX

INTRODUCTION

Chapters I through VII of the *Manual for the Development of a System of Criminal Justice Statistics* have set out a general framework for the development of a national system of criminal justice statistics. In doing so, they have attempted to identify and address the broad concerns inherent in the creation of a system of criminal justice statistics. To help highlight some of the more practical issues related to the design and creation of a sound data-collection system, the present annex presents a set of sample data-collection forms and supporting material.

As an extension of the *Manual*, the annex provides concrete examples to illustrate key design issues. For each major component of the justice system (police, courts and corrections), it offers the following:

- Sample data-collection forms for both aggregate and unit record data collection, showing the types of variables that may be collected and possible layouts for the different forms;
- Sample tables showing various methods of presenting data, highlighting the different types of data that can be produced using aggregate and unit record collection methods.

In addition, the annex provides:

- Examples of a standard offence classification scheme and of a most serious offence scoring rule;
- Examples of data analysis using crime, courts and corrections statistics.

It should be emphasized that the materials that follow are not recommendations, but are samples of forms, tables and data processing tools and instruments. They are not ready-to-apply solutions; rather, they provide a good starting point for countries to begin thinking of data-collection instruments appropriate to their own environment. It is assumed that each country will develop its data-collection approach to reflect the specific characteristics of its criminal justice system. As countries improve their capacity for data collection and dissemination, they will increase their understanding of crime and the operation of the criminal justice system and enhance their ability to track trends and identify emerging patterns in criminal behaviour.

The annex also includes instruments used in the two international data-collection activities pertaining to crime and criminal justice described in chapter VIII, namely:

- The United Nations Survey of Crime Trends and Operations of Criminal Justice Systems;
- The International Crime Victim Survey.

The international survey instruments serve as models for countries embarking on similar types of data collection. As more countries undertake these types of data collection and participate in international data-collection activities, it will become increasingly possible to build a global picture of the crime situation and to make international and regional comparisons regarding differing experiences with crime and crime prevention.

A. KEY DESIGN ISSUES IN THE COLLECTION OF CRIME STATISTICS

At the point when work actually begins on designing a specific data-collection instrument, it is essential to address several basic questions. Keeping in mind all of the points covered in chapters I-VIII, the following five key issues must be addressed in designing a good data-collection instrument:

1. Does the data being collected strike a balance between relevance and respondent burden?
2. Should the instrument be collecting aggregate or unit record data?
3. Is the data-collection method manual or automated?
4. Does the design of the data-collection instrument promote data integration?
5. Are units of count consistently defined and applied?

Each of these issues is elaborated below.

1. Balancing relevance and respondent burden

The statistics produced by a data-collection instrument must be as relevant as possible to data users. This is vital because data collection and reporting require the participation and support of a wide range of criminal justice personnel. If the information collected by the data-collection instrument is not relevant, the burden on the criminal justice system will be greater than the benefit received, and critical support for the effort will not be sustained. Consequently, when designing a justice statistics program, decision makers must be sensitive to the fact that collecting data places a real burden on respondents. Every effort must be made to minimize the size of the burden and to ensure that the information that is collected is of the highest possible value to the greatest number of users. Only by balancing respondent burden with data relevance can a viable statistical programme succeed in the long term.

2. Aggregate versus unit record data collection

The term “aggregate data” refers to data that summarize the attributes of a given population according to a predefined set of indicators. For example, if the population consists of the number of cases heard in court, aggregate data might be the total number of cases heard by offence category, the total number resulting in a finding of guilt, the total number requiring more than one year to complete or the total number resulting in a prison sentence. As such, collecting aggregate data involves defining a limited set

of information categories and then counting the number of cases that fall into each category over the course of a given time period. Information provided by such a collection scheme is limited to the specific categories defined in the instrument. It is not possible to manipulate or reprocess the data to answer questions involving categories more detailed than those defined, or to do cross-tabulations not predetermined by the instrument.

Unit record data collection, on the other hand, collects a predefined set of variables for each member of a specified population. If the population is defined as cases heard in court, a unit record data-collection scheme would collect a separate record for each case heard by the court. For example, it might collect the following variables: date of offence, type of offence, date of first court appearance, date of disposition, type of disposition, type of sentence and length of sentence. As this method of data collection stores a separate record for each case as well as information about each variable for each case, it can be cross tabulated or otherwise manipulated to analyze and answer questions related to any of the variables it collects. The inherent ability to answer ad hoc questions at the individual case level offers considerable flexibility and utility.

Aggregate data collection has often been used in situations where data volumes are very large, or where information requirements have been narrowly defined or are not subject to change over a short or medium period of time. In these situations, the potential for lower cost (often associated with aggregate data collection) outweighs the inherent loss of analytical flexibility. However, in situations where complex processes are being described or where data volumes are relatively low, unit record data collection has a distinct advantage.

In low data volume environments, moreover, aggregate data collection may not always result in a meaningful reduction in costs. Both aggregate and unit record data collection require a base level of administrative support. Generally, the smaller the data volume, the smaller the differences in administrative support between the two approaches. Thus, in many cases, the potential savings realized through aggregate data collection may not outweigh the potential loss in data flexibility and utility.

Unit record data collection has the further advantage of facilitating data verification and data quality assessment. This is an important consideration for ensuring the reliability of statistics. Experience

gained in the collection of data from many jurisdictions shows that data suppliers and users must have a high level of confidence in the data. The best mechanism to promote confidence is to facilitate data verification and analysis at the most detailed level possible.

3. Manual versus automated data collection

Many criminal justice operations rely on hardcopy case files for detailed case information and employ a manual data-collection method. Manual data collection usually implies the creation of a standardized collection form to capture information for each new case. These forms can be used to transfer information from existing operational documents or tally sheets, or they can be placed in each case file as it is opened and updated as each step of the operational process occurs. When the case is completed or transferred to the next component of the criminal justice system, the form can be submitted for data-collection purposes. Manual forms can be used to collect either aggregate or unit record data, but the structure and content of the two types of forms are quite different and will be examined further when sample data-collection forms are described.

Manual collection of aggregate data can be undertaken with a fairly modest level of resources, regardless of case volumes. In contrast, in a manual unit record data-collection environment, the number of variables collected has a large impact on the cost of data collection. Generally, the larger the number of variables, the greater the level of resources needed to capture these data. However, the degree to which this relationship holds true is dependent on data volumes.

In locations with small or medium case volumes, the manual collection of unit record data may be undertaken with a fairly modest level of resources. As suggested earlier, the establishment and maintenance of a data-collection programme requires a base level of administrative support irrespective of data volumes. In this context, each additional variable adds marginally to data-collection costs. To a certain point, the benefit gained from the addition of each additional variable outweighs the cost of collecting that variable. This is true because each new variable that is added to a unit record collection scheme creates opportunities for the creation of a wider range of statistics. The scope and design of a data-collection programme must seek to balance costs and benefits with information requirements and utility. Thus, the output from the data collection must be sufficiently useful to as many users as possible to justify the base level of resources used in its creation and maintenance.

An example of the differences between aggregate and unit record approaches to data collection

Perhaps the best way to compare aggregate and unit record data is to look at a specific example: for instance, what information would be available from each database if we wanted to know about case elapsed time in the court system. With an aggregate data collection approach, counts would be available on how many cases fell into predetermined elapsed-time categories. For the purposes of this example, let us say that three elapsed time categories were defined: less than six months, six months to one year, and greater than one year. With these three categories, it is possible to determine the distribution of case elapsed times according to the time frames defined by the categories. That is, there would be a count of the total number of cases that took less than six months to complete, but it would not be possible to identify how many took one month, or how many took 5 months to complete. Similarly, there would be a count of the total number of cases that took more than one year to complete, but it would not be possible to identify how many took two years or how many took three years to complete.

In contrast to aggregate data, unit record data are available at the individual record level. Continuing with the example of case elapsed time, a unit record data-collection approach would collect information on the date of first court appearance and date of case disposition. With these two dates available for all cases heard in court, it is possible to calculate elapsed time for each case and then to total up the number of cases for any specified time frame. It is simply a matter of defining which time frames are of interest, and then querying the database to find out how many cases fall into each category. For example, if information were needed on the distribution of cases that were disposed of within six months, a database query could be performed to show the number of cases completed within one month, two months, three months, four months, five months and six months. If still greater detail were needed, a modified query could show the number of cases disposed of in five days, ten days, 15 days and so on.

In a high case-volume environment, each additional variable collected in a manual data-collection scheme can add substantially to overall data-collection costs. With very large data volumes, the cost of collecting a large number of unit record variables can become prohibitive. At this point, the number of variables must be reduced, or automation becomes essential to data collection.

Automated data-collection systems can be used to collect aggregate or unit record information. For automated criminal justice data-collection to occur, automated operational systems must be in place. Where such systems exist, it is possible to write special computer programs to extract required data elements and generate specified statistics automatically. These types of programs usually reside in the operational system or a management information subsystem. Once installed, the only human intervention required is to invoke the program at specified time periods to generate machine-readable outputs that can be sent to a central data-collection location on tape or diskette, or by electronic means.

4. Data integration

Data integration refers to the degree to which data from different sources and data-collection programs can be used in combination to create a new and enhanced understanding of a given subject. Integration is especially important in the field of justice, in which the three main components of a justice system (police, courts and corrections) often function independently of each other. When designing a justice statistics programme, every effort should be made to incorporate data integration concepts.

To promote the notion of integrated data, the sample materials presented in the annex include a number of attributes related to integration. For example, the aggregate data-collection forms all incorporate the use of a “standard offence classification scheme”, wherein the offence categories used and their definitions are the same for each component of the justice system. In concert with the common offence classification categories, they feature a common offence severity classification method to determine the most serious offence in cases with more than one infraction.

All of the sample data-collection instruments presented in sections B to D of the annex feature a

person-based unit of count that permits counting the number of persons processed by the system. A person-based approach is recommended because persons can be more consistently defined across different components of the justice system, and the person-based unit of count facilitates the analysis of flow from one component of the justice system to another. As part of a person-based statistics program, all of the unit record data include an integrated file number (IFN) or its equivalent. An IFN is a unique identifier attached to each accused individual entering the criminal justice system. The purpose of an IFN is to create a global file number that can be used by police, courts and corrections to track an accused individual through each component of the system.

5. Consistent primary units of count

As mentioned in section D of chapter III, one of the most formidable obstacles to obtaining and maintaining comparable national-level statistics is the problem of unit of count. The major problem concerning the comparability of some units of count stems from significant variations in the way they are defined from one location to another. For example, police agencies often use “incident” as a primary unit of count. The definition of an incident can, however, vary widely among police agencies. In one location, an incident might include all of the offences committed by a single offender in the same time period, while in another location an incident might include all offences committed by one or more offenders in the same time period. In some locations, there will be a separate incident count for each victim, whereas in other locations the number of victims will not affect the incident count. When more than one offence is included in an incident, a most serious offence (MSO) rule will be applied. Variations in the way these MSO rules are defined and used in different locations further hinder national comparability of crime statistics.

Data comparability problems also exist regarding the definition of court “cases”. For instance, some courts define a case as all of the charges for one or more offenders stemming from a single incident. In other court locations, a case might include only charges for a single offender, producing a separate case for each offender, with no relation to the number of incidents. In still other locations, each charge or offence might be counted as a case, with no reference to the number of offenders or incidents. Again, such variations in the definition of primary unit of count significantly reduce the comparability of data between different court locations.

B. EXAMPLES OF POLICE SECTOR INFORMATION REPORTING

Data-collection systems for police-reported crime statistics are usually designed to have local law enforcement agencies as respondents or providers of data. (This section does not include the victimization surveys described in chapter VII). The counting process is initiated when a crime comes to the attention of the police. Those investigating the incident complete an “occurrence report” that forms the basis of the collection system. The information in the occurrence report is then used to determine the nature of the criminal incident, the number of violations of the law, the number of offenders involved, the date and location of the incident, a unique case identifier for each offender and the basic characteristics of the offenders.

Summarizing the information contained in occurrence reports for eventual incorporation into national or subnational level statistics can be accomplished in a variety of ways, including the following:

- Sending copies of occurrence reports to a designated statistical office where the contents can be captured to create an aggregate or unit record crime database;
- Using occurrence reports to produce tally sheets that can be sent to a statistical office where the contents can be captured to create an aggregate crime database;
- Using occurrence reports to fill out unit record collection forms that can be sent to a statistical office where the contents can be captured to create a unit record crime database;
- Automating the occurrence report and collecting crime data using special data-collection computer programs to provide aggregate or unit record data to a statistical office.

Most crime reporting systems will be based on one, or some combination, of the above approaches. As indicated in chapter IV, the choice of data-collection method depends on the intended use of the data and the availability of resources.

Section B offers two manual data-collection forms as examples of the structure and content that should be considered when designing a crime reporting system. The first form is an example of the content in an aggregate data-collection process; the second, in a unit record data-collection process.

1. *Collecting aggregate crime statistics*

Collecting aggregate crime data requires each local police respondent to tally, on a regular basis, statistics on criminal activity in their area. This is most easily accomplished by creating tally sheets for each information category on the data-collection form and ticking off appropriate categories each time an occurrence report is filed. At the end of each month or quarter (or whatever predetermined time frame is used), the information on the tally sheets is summarized and transferred to the manual crime reporting form, and sent to a designated statistical office. At the statistical office, data from other local police forces are added together to create regional and national crime totals.

Figure A.1 presents a sample collection form for aggregate crime data. It contains the basic fields necessary for a person-based aggregate statistics program. A person-based statistical programme includes the collection of one or more primary units of count based on the number of persons being processed by the system. Such an approach is recommended because persons can be more consistently identified across different components of the justice system, and the person-based unit of count facilitates the analysis of flow from one component of the justice system to another. (For more detail on this, please see the paragraphs on “unit of count” in section D of chapter III).

The sample aggregate crime data-collection form includes a range of fields that provide a general overview of police-reported crime. It includes some general fields to identify the respondent (e.g., the local police force that is reporting the crime information), a time period for data collection and respondent contact information to facilitate follow-up activities. The form collects four specific data elements: (a) offences reported; (b) offences cleared (by charge and otherwise); (c) adults charged (by sex); and (d) youths charged (by sex).

When a crime is reported to police, it is recorded as a “reported offence” in the month that it was reported. Unfounded offences should not be included in reported offence totals. When an incident includes more than one crime, only the most serious offence is recorded.

Figure A.1. Sample form for aggregate crime data collection — police sector

CRIME STATISTICS COLLECTION FORM										
Name of police force						Location				
Address										
Statistics for month of						Year				
Statistics compiled by						Phone No.				
Offence	OFFENCES REPORTED	OFFENCES CLEARED			PERSONS CHARGED					
		Total	By charge	Other -wise	Adults			Youths		
					Total	Male	Fem.	Total	Male	Fem.
Violent crimes total										
Homicide										
Attempted murder										
Robbery										
Kidnapping										
Sexual assault										
Sexual abuse										
Major assault										
Common assault										
Abduction										
Property crimes total										
Break-and-enter										
Arson										
Fraud										
Theft										
Possession of stolen property										
Mischief										
Other crimes total										
Weapons										
Public order										
Morals–sexual										
Gaming										
Administration of justice										
Other crimes										
Traffic offences total										
Impaired driving										
Other traffic offences										
Drug offences total										
Drug trafficking										
Drug possession										
Other offences total										

Offences can be cleared by charge or otherwise. If a criminal investigation results in someone being charged, that offence is recorded as “cleared by charge”. Sometimes, however, the police cannot file a charge even though they have identified the offender and have enough evidence to charge that individual. This happens, for example, if the case involves diplomatic immunity, the victim refuses to sign a complaint or the offender dies before a charge can be filed. Such cases are considered to be solved, but are recorded as “cleared otherwise”. Offences cleared are reported in the month that they are cleared.

The “persons charged” field reflects the number of people against whom charges were filed, but does not count the number of charges filed. Consequently, a person who is simultaneously charged with more than one offence is counted only once, against the most serious offence. If the same offender is charged later in the year for a different incident, he or she is counted again. Persons charged are subdivided into adults and youth, and male or female. Classification of offenders as “adult” or “youth” is as defined by local legislation.

All of the above data elements are reported against one of the offence categories listed in the far left column of the form. When an incident includes multiple offences, the most serious offence is reported. The reader should note that the offence categories shown in the aggregate crime data-collection form are illustrative and derived from a sample offence classification scheme that is also applied to the sample court form and the sample corrections form. Using a standard offence classification scheme facilitates data analysis across components of the justice system. (See section E for the content of the sample standard offence classification scheme used and a most serious offence scoring rule.)

2. Collecting unit record crime statistics

The process for collecting unit record crime data is quite different from the aggregate approach. Crime information is still recorded by local police agencies, but because data are collected on the characteristics of individual cases, tally sheets cannot be used. Instead, a separate form must be filled out for each incident. Further, when there is more than one accused in an incident, a separate form must be completed for each offender.

Figure A.2 shows a sample form for the collection of unit record crime data. The form has four sections: (a) incident information; (b) victim information; (c) offender information; and (d) ad hoc data collection. Each section contains case-specific

information relating to a single crime incident identified by the “incident number” field. The incident number links incident information with information on victims and offenders.

The “incident information” section of the form attempts to capture the main characteristics of each criminal incident known to the police. It identifies the source of data, such as the name of the police force reporting the incident and the location of the police force. It asks for the type of offence reported, the date of the incident, the date the incident was reported, the incident clearance status and the date the incident was cleared, as well as the total number of offenders and victims associated with the incident. “Type of offence reported” requires a short description of the offence and may be guided by a standard classification scheme. (See section E for an example of a standard offence classification scheme.) “Date of incident” is the date on which the incident occurred, or is believed to have occurred. If an incident was not reported, the date reported would be the date the incident became known to the police.

The incident information section also asks for the location where the incident occurred, the type of weapon present, the property stolen if applicable, and the target of the incident. In identifying the type of weapon present, the weapon does not have to be used to be counted. “Property stolen” is asked in all incidents involving theft. “Target of incident” identifies the target in property damage, robbery and theft offences.

The “victim information” section of the form captures information relating to victims in incidents with violence. On the form, each victim is assigned a sequential reference number. For each victim, the form lists the name, age, sex, relation to the offender and level of injury at the time of the incident. The sample form has space to record information for four victims, but additional forms can be attached if there are more than four victims in a single incident. On each of these additional forms, the name and location of the police force, incident number and page number should be recorded in the incident information section.

The “offender information” section of the unit record crime form records information about each offender involved in the incident. When there are multiple offenders in an incident, a separate form must be completed for each offender. Since individual offenders are linked to a specific incident by the incident number located in the incident information section of the form, it is important to record this information, as well as the name and location of the police force. The offender information section of the form records the offender’s name, date of birth and sex.

Figure A.2. Sample form for unit record crime data collection — police sector

CRIME DATA COLLECTION FORM											
INCIDENT INFORMATION											
Name of police force			Location			Incident Number			Page __ of __		
Type of offence reported			Date of incident Day Month Year			Date incident reported Day Month Year					
Incident clearance status ☐ Unfounded ☐ Cleared by charge ☐ Not cleared ☐ Cleared otherwise			Date incident cleared Day Month Year			Total number of offenders			Total number of victims		
Weapon(s) present ☐ Firearm ☐ Knife ☐ Club ☐ Explosive ☐ Fire ☐ Other—specify ()		Location of incident ☐ House ☐ Business ☐ Parking lot ☐ School ☐ Street ☐ Other—specify ()		Property stolen ☐ Vehicle ☐ Firearm ☐ Boat ☐ Identification ☐ Money ☐ Passport ☐ Jewelry ☐ Stocks/bonds ☐ Office equipment ☐ Bicycle ☐ Household item ☐ Other—specify ()				Target of incident ☐ Person ☐ House ☐ Vehicle ☐ Bank ☐ Gas station ☐ Convenience store ☐ Other—specify ()			
VICTIM INFORMATION											
No.	Name	Age	Sex ☐ Male ☐ Female	Relation to offender ☐ Spouse ☐ Child ☐ Business relation ☐ Ex-spouse ☐ Other family ☐ Acquaintance ☐ Parent ☐ Friend ☐ Stranger				Level of injury ☐ No injury ☐ Major injury ☐ Minor injury ☐ Death			
No.	Name	Age	Sex ☐ Male ☐ Female	Relation to offender ☐ Spouse ☐ Child ☐ Business relation ☐ Ex-spouse ☐ Other family ☐ Acquaintance ☐ Parent ☐ Friend ☐ Stranger				Level of injury ☐ No injury ☐ Major injury ☐ Minor injury ☐ Death			
No.	Name	Age	Sex ☐ Male ☐ Female	Relation to offender ☐ Spouse ☐ Child ☐ Business relation ☐ Ex-spouse ☐ Other family ☐ Acquaintance ☐ Parent ☐ Friend ☐ Stranger				Level of injury ☐ No injury ☐ Major injury ☐ Minor injury ☐ Death			
No.	Name	Age	Sex ☐ Male ☐ Female	Relation to offender ☐ Spouse ☐ Child ☐ Business relation ☐ Ex-spouse ☐ Other family ☐ Acquaintance ☐ Parent ☐ Friend ☐ Stranger				Level of injury ☐ No injury ☐ Major injury ☐ Minor injury ☐ Death			
OFFENDER INFORMATION											
Last name						First name					
Date of birth Day Month Year				Sex ☐ Male ☐ Female		Integrated file number					
CHARGES FILED											
Charge No.	Date filed Day Month Year		Offence description		Statute violated		Section	Subsection	Para.	Counts	
Charge No.	Date filed Day Month Year		Offence description		Statute violated		Section	Subsection	Para.	Counts	
Charge No.	Date filed Day Month Year		Offence description		Statute violated		Section	Subsection	Para.	Counts	
Charge No.	Date filed Day Month Year		Offence description		Statute violated		Section	Subsection	Para.	Counts	
Charge No.	Date filed Day Month Year		Offence description		Statute violated		Section	Subsection	Para.	Counts	
AD HOC DATA COLLECTION											

It also asks for an integrated file number (IFN) for each offender. In cases where the offender is not found, the offender section of the form is left blank.

As part of a person-based unit record statistics program, an integrated file number is a unique identifier attached to each offender entering the criminal justice system. The purpose of the IFN is to create a global file number, which can be used by police, courts and corrections to follow each offender through the various components of the justice system. To be successful, agreement must be reached among the different components of the system on the technical and operational specifications of this field. However, since the police are the initial point of contact for the system, it is they who will have to assign this identifier. Once established, this identifier will permit record linkage across the criminal justice system and create a powerful analytical tool for understanding the flow of offenders through the system.

The second part of the offender information section collects information on the charges filed against the offender in an incident. For each charge filed against the offender, a sequential reference number is assigned, and information entered on the date the charge was filed, a brief description of the offence, the statute violated, the section, subsection and paragraph of the statute under which the charge was filed, and the number of counts against the offender for that charge. The form has space to record five different charges, but additional forms may be attached if the offender is charged with more than five different offences. These additional forms should contain information that will tie them to the appropriate incident and offender, such as name and location of police force, incident number and integrated file number.

To illustrate, if a single incident had three offenders who all participated in a robbery that included an assault, a separate form would be filled out for each offender. The incident number at the top of each form would be the same for all three offenders in the incident, but the offender information section of each form would be filled out to record the specific characteristics of each offender. If each offender was charged with one count of robbery, this information would be recorded in the "charges filed" section of each form. However, if only one of the offenders was charged with the assault, this charge information would be recorded only in the charges filed section of the form for that offender. By so doing, it is possible to link each incident, and each accused person within an incident, to the specific charges flowing from the incident.

The "ad hoc data collection" section of the form provides space to record extra data to be appended to regularly collected crime statistics. These data can be used to answer special research questions, test specification changes or add new data elements.

3. Sample tables

To help highlight the kinds of information that can be produced from the sample data-collection forms, the following pages present sample tables that can be generated from aggregate and unit record data. The reader should note that the aggregate data-collection approach allows the production of only such tables as those shown in the aggregate sample tables. On the other hand, the unit record approach allows the generation of tables such as those illustrated under both the sample aggregate tables or unit record tables, plus a wide range of others not shown.

(a) Sample tables from aggregate crime data

TABLE A.1. OFFENCES REPORTED AND CLEARED, BY TYPE OF OFFENCE, 2001

<i>Type of offence</i>	<i>Offences reported</i>		<i>Offences cleared</i>					
			<i>Total</i>		<i>By charge</i>		<i>Otherwise</i>	
	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>
Total								
Violent crimes								
Property crimes								
Traffic offences								
Drug offences								
Other								

TABLE A.2. ADULTS CHARGED, BY TYPE OF OFFENCE AND SEX, 2001

<i>Type of offence</i>	<i>Adults charged</i>					
	<i>Total</i>		<i>Male</i>		<i>Female</i>	
	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 male population)</i>	<i>Number</i>	<i>Rate (per 100,000 female population)</i>
Total						
Violent crimes						
Property crimes						
Traffic offences						
Drug offences						
Other						

TABLE A.3. YOUTHS CHARGED, BY TYPE OF OFFENCE AND SEX, 2001

<i>Type of offence</i>	<i>Youths charged</i>					
	<i>Total</i>		<i>Male</i>		<i>Female</i>	
	<i>Number</i>	<i>Rate (per 100,000 youth population)</i>	<i>Number</i>	<i>Rate (per 100,000 male youth population)</i>	<i>Number</i>	<i>Rate (per 100,000 female youth population)</i>
Total						
Violent crimes						
Property crimes						
Traffic offences						
Drug offences						
Other						

TABLE A.4. OFFENCES REPORTED, BY TYPE OF OFFENCE: 1999, 2000 AND 2001

<i>Type of offence</i>	<i>Offences reported</i>					
	<i>1999</i>		<i>2000</i>		<i>2001</i>	
	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>
Total						
Violent crimes						
Property crimes						
Traffic offences						
Drug offences						
Other						

TABLE A.5. PERSONS CHARGED, BY SEX, TYPE OF OFFENCE AND REGION, 2001

<i>Sex of person charged and type of offence</i>	<i>Persons charged</i>							
	<i>Total</i>		<i>Region 1</i>		<i>Region 2</i>		<i>Region ...</i>	
	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 population)</i>
<i>Both sexes</i>								
Total								
Violent crimes								
Property crimes								
Traffic offences								
Drug offences								
Other								
<i>Male</i>								
Total								
Violent crimes								
Property crimes								
Traffic offences								
Drug offences								
Other								
<i>Female</i>								
Total								
Violent crimes								
Property crimes								
Traffic offences								
Drug offences								
Other								

(b) Sample tables from unit record crime data

TABLE A.6. VICTIMS OF VIOLENT CRIME, BY SEX, LEVEL OF INJURY AND TYPE OF WEAPON
PRESENT AT INCIDENT, 2001

<i>Victim's sex and level of injury</i>	<i>Type of weapon present at incident</i>						
	<i>Total</i>	<i>Firearm</i>	<i>Knife</i>	<i>Club</i>	<i>Explosive</i>	<i>Fire</i>	<i>Other</i>
<i>Both sexes</i>							
Total							
No injury							
Minor injury							
Major injury							
Death							
<i>Male</i>							
Total							
No injury							
Minor injury							
Major injury							
Death							
<i>Female</i>							
Total							
No injury							
Minor injury							
Major injury							
Death							

TABLE A.7. OFFENCES REPORTED, BY TYPE OF OFFENCE AND LOCATION OF INCIDENT, 2001

<i>Type of offence</i>	<i>Location of incident</i>						
	<i>Total</i>	<i>House</i>	<i>Business</i>	<i>Parking lot</i>	<i>School</i>	<i>Street</i>	<i>Other</i>
Total							
Violent crimes							
Property crimes							
Traffic offences							
Drug offences							
Other							

TABLE A.8. VICTIMS OF VIOLENT CRIME, BY SEX, LEVEL OF INJURY AND RELATIONSHIP TO ACCUSED, 2001

Victim's sex and level of injury	Relationship of victim to accused									
	Total	Spouse	Ex - spouse	Parent	Child	Other family	Friend	Business relation	Acquaintance	Other
<i>Both sexes</i>										
Total										
No injury										
Minor injury										
Major injury										
Death										
<i>Male</i>										
Total										
No injury										
Minor injury										
Major injury										
Death										
<i>Female</i>										
Total										
No injury										
Minor injury										
Major injury										
Death										

TABLE A.9. VICTIMS OF VIOLENT CRIME, BY LEVEL OF INJURY, SEX AND AGE, 2001

Level of injury	Sex and age of victim																	
	Total						Male						Female					
	Total	<18	18-	25-	40-	55 +	Total	<18	18-	25-	40-	55 +	Total	<18	18-	25-	40-	55+
			24	39	54				24	39	54				24	39	54	
Total																		
No injury																		
Minor injury																		
Major injury																		
Death																		

TABLE A.10. ACCUSED PERSONS, BY TYPE OF OFFENCE, SEX AND AGE, 2001

Type of offence	Sex and age of accused person																	
	Total						Male						Female					
	Total	<18	18-	25-	40-	55	Total	<18	18-	25-	40-	55	Total	<18	18-	25-	40-	55
			24	39	54	+			24	39	54	+			24	39	54	+
Total																		
Violent crimes																		
Property crimes																		
Traffic offences																		
Drug offences																		
Other																		

TABLE A.11. REPORTED ROBBERY OFFENCES, BY TYPE OF WEAPON PRESENT AT INCIDENT AND TARGET OF OFFENCE, 2001

<i>Type of weapon present</i>	<i>Target of offence</i>							
	<i>Total</i>	<i>Person</i>	<i>House</i>	<i>Vehicle</i>	<i>Bank</i>	<i>Gas station</i>	<i>Convenience store</i>	<i>Other</i>
Total								
Firearm								
Knife								
Club								
Explosive								
Other								

TABLE A.12. SELECTED REPORTED PROPERTY CRIMES, BY TYPE OF CRIME AND PROPERTY STOLEN, 2001

<i>Type of property crime</i>	<i>Property stolen</i>								
	<i>Total</i>	<i>Money</i>	<i>Jewelry</i>	<i>Firearm</i>	<i>Passport</i>	<i>Bicycle</i>	<i>Vehicle</i>	<i>...</i>	<i>Other</i>
Theft									
Break and enter									
Possession of stolen property									
Other									

C. EXAMPLES OF COURT INFORMATION REPORTING

Data-collection systems for court statistics are generally designed to have local courts as respondents. The counting process is initiated when an individual enters the court to have one or several charges dealt with. Usually, court staff will open a file for each new case initiated. The information contained in each case file forms the basis of data collection. Ideally, court case files should contain information on the number of charges (by type of offence) for each offender, the date the court file was opened, the first court appearance date, the date of each subsequent court appearance, the date on which the case was disposed of, the type of disposition, the type of sentence given and its magnitude, and a unique case identifier for each offender, as well as the basic characteristics of each offender (e.g., age and sex).

As with police-reported crime data, court data can be summarized for national or subnational level statistics in a variety of ways. These include:

- Using the contents of case files to produce “tally sheets” that can be sent to a statistical office where the contents can be captured to create an aggregate court database;
- Using case files to fill out unit record collection forms that can be sent to a statistical office where the contents can be captured to create a unit record court database;
- Automating the content of case files and collecting court data using special data-collection computer programs to provide aggregate or unit record data to a statistical office.

Court statistical reporting systems can be based on one or some combination of the above approaches. The choice of data-collection method depends on the intended use of the data and the availability of resources.

This section presents two manual data-collection forms as examples of the structure and content that should be considered when designing a court statistical reporting system. One form is intended to show the content of an aggregate collection process and the other, a unit record collection approach.

1. *Collecting aggregate court statistics*

Although the process of collecting aggregate court information is similar to collecting police-reported crime information, important differences exist. While all or most crime information can be obtained

from a single document (occurrence report), court statistics require information from a variety of documents that are generated at various stages of the court process. This can complicate the data-collection task by creating the need to track case-specific information across a range of processes and documents. However, if aggregate court data collection is based on cases disposed of, the process can be made fairly straightforward. By counting cases only when they are disposed of, files for completed cases can be reviewed once, at the end of the case, to obtain all necessary information. Like crime statistics, these data can be recorded on tally sheets that are sent to a statistical office each month. At the statistical office, data from other court locations are added together to produce regional and national court information tables.

Figure A.3 presents a sample collection form for aggregate court data. It contains several general fields to identify the respondent (i.e., specific court location reporting the information), the type of court (e.g., municipal court, provincial or state court, superior court, appeals court), whether the court hears adult or youth cases, whether data are for male or female and adult or youth, the time period for data collection and respondent contact information. Data for each type of court must be reported on separate forms. Likewise, youth cases should be reported on a different form from adult cases, and males separately from females.

The sample aggregate court statistics form collects information on three topics: (a) cases; (b) charges; and (c) sentences. Cases refer to the number of cases disposed of by the court during the reference period. A case is defined as all of the charges against one person, where the charges are disposed of in the same court on the same date. This creates a person-based aggregate statistics programme that can track, in broad terms, the flow of persons through the justice system. Cases are reported against a standard offence classification scheme that is also used for crime and corrections data collection. In situations where a person is charged with more than one offence, cases must be reported against the most serious offence (see section E below for the content of the sample standard offence classification scheme used and a most serious offence scoring method).

The aggregate court data-collection form also collects information on the total number of charges disposed of by the court in each reference period and the number of these charges resulting in a conviction. Since information is collected on each charge, the most serious offence rule does not apply to the charges fields.

Figure A.3. Sample form for aggregate court data collection

COURT STATISTICS COLLECTION FORM							
Court location			Court I.D. No.		Court type		
Address					Data for: Male [] Female [] Adult [] Youth []		
Statistics for month of			Year				
Statistics compiled by				Phone No.			
Offence	CASES	CHARGES		SENTENCES			
		Disposed	Convicted	Prison	Probation	Fine	Other
Violent crimes total							
Homicide							
Attempted murder							
Robbery							
Kidnapping							
Sexual assault							
Sexual abuse							
Major assault							
Common assault							
Abduction							
Property crimes total							
Break-and-enter							
Arson							
Fraud							
Theft							
Possession of stolen property							
Mischief							
Other crimes total							
Weapons							
Public order							
Morals–sexual							
Gaming							
Administration of justice							
Other crimes							
Traffic offences total							
Impaired driving							
Other traffic offences							
Drug offences total							
Drug trafficking							
Drug possession							
Other offences total							

To be counted, an offence must have at least one appearance in court and a final disposition. A charge is considered to be disposed of under any of the following conditions: (a) the accused is acquitted or found guilty and sentenced; (b) the accused is transferred to another court; (c) the accused is found unfit to stand trial; or (d) the charge is stayed, withdrawn or dismissed. All cases are reported by standard offence classification.

For each charge resulting in a conviction, the aggregate form collects information on the sentence received. When there is more than one sentence given for a charge, the most serious sentence is recorded. Sentences are ranked from most serious to least serious as follows: (a) prison; (b) probation; (c) fine; (d) other. All sentences are reported by standard offence classification.

2. Collecting unit record court statistics

As mentioned above, the process of collecting court statistics is complicated by the need to track case-specific information from a variety of different documents that are generated at various stages of the court process over an extended period of time. This is especially true for unit record data, which require a separate form to be filled out for each case. Perhaps the most efficient way to gather such information is to place the data-collection form in the case file when it is opened and capture the various data elements as they become available during the court process. Once the case is disposed of, the data-collection form may be removed from the file and sent to the appropriate statistical office.

Figure A.4 shows a sample form for the collection of unit record criminal court data. It is composed of three sections: (a) case information; (b) charge information; and (c) ad hoc data collection. Since a court case is defined as all of the charges against one offender, a separate form must be filled out for each offender who enters the court system, regardless of the number of persons who might be involved in the same criminal incident. Defining cases in this way allows the creation of a person-based statistics programme that can be used to track the flow of persons through the justice system.

The case information section of the court unit record form asks for information on the date the case file was opened, the court location, court type and court file number. The date the file was opened refers to the date on which a court file was opened for the person named on the collection form. The court file number is a local file number used by the court to identify and

administer each case. This section then records the last and first names, date of birth and sex of the accused. This information is used in combination to uniquely identify each accused so that all charges against that individual may be linked to the same case.

The case information section also asks for the date of first court appearance, the total number of court appearances and whether there was representation by counsel. The date of first court appearance of the accused may be used in combination with the date of decision to calculate the elapsed time for a case. Total number of court appearances for an accused includes appearances for bail hearings, fitness hearings, preliminary inquiry hearings, trials and sentencing hearings. For trials, each day in court is counted as one appearance. Representation by counsel is considered as “yes” if a lawyer or agent was representing the accused during any part of the case.

As with the unit record crime form, an integrated file number is requested. As described above, the IFN is a global file number that can be used by police, courts and corrections to uniquely identify each offender that enters the system. The use of an IFN permits record linkage across different components of the criminal justice system. The sample form does not ask for language spoken, marital status, education, employment status, ethnic background or occupation. However, these and other similar offender characteristics considered to be appropriate may be added to this or any other form, subject to the feasibility of collecting such items.

The charge information section of the unit record form collects information on all charges against each offender. For every charge disposed of by the court, a sequential reference number is assigned and the following information is collected: the date of offence; a description of the offence; the statute violated; and the section, subsection and paragraph of the statute. Also included for each charge is information on the plea entered by the accused; an indicator of whether a trial was ordered; and if so, whether it was with or without a jury. In terms of court proceedings, the unit record form records the court decision for each charge (e.g., guilty, not guilty, guilty of a lesser offence, etc.), the date of the decision and, for each charge resulting in a conviction, the sentence given and the date of sentencing. In the block for the sentence given, the nature of the sentence is recorded, as well as the length of the prison term and of the probation order, and the amount of fine or restitution to be paid by the offender. Each unit record form has space to record the information for three charges. If the number of charges against an individual exceeds three, additional forms

Figure A.4. Sample form for unit record court data collection

CRIMINAL COURT DATA COLLECTION FORM											
CASE INFORMATION											
Date file opened Day Month Year				Court location		Court type		Court file number		Page ____ of ____	
Offender's last name						Offender's first name					
Offender's date of birth Day Month Year				Sex ☐ Male ☐ Female		Date of first court appearance Day Month Year					
Representation by counsel (at any appearance) ☐ Yes ☐ No ☐ Unknown						Integrated file number			Number of court appearances		
CHARGE INFORMATION				CHARGE INFORMATION				CHARGE INFORMATION			
Charge No.		Date of offence Day Month Year		Charge No.		Date of offence Day Month Year		Charge No.		Date of offence Day Month Year	
Description of offence				Description of offence				Description of offence			
Statute violated ☐ Criminal code ☐ Other-specify ☐ Drug statutes (_____)				Statute violated ☐ Criminal code ☐ Other-specify ☐ Drug statutes (_____)				Statute violated ☐ Criminal code ☐ Other-specify ☐ Drug statutes (_____)			
Section		Subsection		Paragraph		Section		Subsection		Paragraph	
Plea ☐ Guilty ☐ Not guilty ☐ Guilty of lesser offence ☐ No plea Trial ordered ☐ No ☐ Yes ☐ Jury				Plea ☐ Guilty ☐ Not guilty ☐ Guilty of lesser offence ☐ No plea Trial ordered ☐ No ☐ Yes ☐ Jury				Plea ☐ Guilty ☐ Not guilty ☐ Guilty of lesser offence ☐ No plea Trial ordered ☐ No ☐ Yes ☐ Jury			
COURT PROCEEDINGS				COURT PROCEEDINGS				COURT PROCEEDINGS			
Decision on charge ☐ Guilty ☐ Not guilty ☐ Guilty of a lesser offence ☐ Proceedings stayed ☐ Charges withdrawn ☐ Other-specify (_____)				Decision on charge ☐ Guilty ☐ Not guilty ☐ Guilty of a lesser offence ☐ Proceedings stayed ☐ Charges withdrawn ☐ Other-specify (_____)				Decision on charge ☐ Guilty ☐ Not guilty ☐ Guilty of a lesser offence ☐ Proceedings stayed ☐ Charges withdrawn ☐ Other-specify (_____)			
Date of decision Day Month Year				Date of decision Day Month Year				Date of decision Day Month Year			
Sentence given Days Months ☐ Prison ☐ Probation ☐ Fine ☐ Restitution ☐ Absolute/conditional discharge ☐ Suspended sentence ☐ Other-specify (_____)				Sentence given Days Months ☐ Prison ☐ Probation ☐ Fine ☐ Restitution ☐ Absolute/conditional discharge ☐ Suspended sentence ☐ Other-specify (_____)				Sentence given Days Months ☐ Prison ☐ Probation ☐ Fine ☐ Restitution ☐ Absolute/conditional discharge ☐ Suspended sentence ☐ Other-specify (_____)			
Date of sentencing Day Month Year				Date of sentencing Day Month Year				Date of sentencing Day Month Year			
AD HOC DATA COLLECTION											

may be attached to capture information on these charges. These additional forms should include information that will tie them to the appropriate case, such as the court location, court file number and integrated file number.

The “ad hoc data collection” section of the form is designed to allow the collection of additional data not collected as part of the ongoing collection effort, such as special study questions or new data elements to be tested.

3. Sample tables

To help highlight the kinds of information that can be produced from the sample court data-collection forms, the following pages present a selection of sample tables that can be generated from aggregate and unit record data. As noted in the sample police tables, the aggregate data-collection approach allows only production of tables such as those included in the aggregate sample tables, while the unit record approach enables production of all the data views shown in both the sample aggregate and unit record tables, as well as a wide variety of views not shown.

(a) Sample tables from aggregate court data

TABLE A.13. ADULTS WHOSE CHARGES ARE DISPOSED, BY TYPE OF OFFENCE AND SEX OF THE ACCUSED, 2001

<i>Type of offence</i>	<i>Total</i>		<i>Male</i>		<i>Female</i>	
	<i>Number</i>	<i>Rate (per 100,000 cases)</i>	<i>Number</i>	<i>Rate (per 100,000 male cases)</i>	<i>Number</i>	<i>Rate (per 1,000 female cases)</i>
Total						
Violent crimes						
Property crimes						
Traffic offences						
Drug offences						
Other						

TABLE A.14. YOUTHS WHOSE CHARGES ARE DISPOSED, BY TYPE OF OFFENCE AND SEX OF THE ACCUSED, 2001

<i>Type of offence</i>	<i>Total</i>		<i>Male</i>		<i>Female</i>	
	<i>Number</i>	<i>Rate (per 100,000 youth cases)</i>	<i>Number</i>	<i>Rate (per 100,000 male youth cases)</i>	<i>Number</i>	<i>Rate (per 100,000 female youth cases)</i>
Total						
Violent crimes						
Property crimes						
Traffic offences						
Drug offences						
Other						

TABLE A.15. PERSONS WHOSE CHARGES ARE DISPOSED AND PERSONS CONVICTED, BY TYPE OF OFFENCE, WHETHER ADULT OR YOUTH, AND SEX, 2001

<i>Type of offence</i>	<i>Persons whose charges are disposed</i>						<i>Persons convicted</i>					
	<i>Adults</i>			<i>Youths</i>			<i>Adults</i>			<i>Youths</i>		
	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>
Total												
Violent crimes												
Property crimes												
Traffic offences												
Drug offences												
Other												

TABLE A.16. ADULTS CONVICTED BY TYPE OF OFFENCE, SEX AND MOST SERIOUS SENTENCE RECEIVED, 2001

Type of offence	Total					Male					Female				
	Total	Prison	Pro-	Fine	Other	Total	Prison	Pro-	Fine	Other	Total	Prison	Pro-	Fine	Other
	bation					bation					bation				
Total															
Violent crimes															
Property crimes															
Traffic offences															
Drug offences															
Other															

TABLE A.17. PERSONS WHOSE CHARGES ARE DISPOSED, BY TYPE OF OFFENCE AND COURT REGION, 2001

Type of offence	Total		Region 1		Region 2		Region ...	
	Number	Rate (per 100,000 population)	Number	Rate (per 100,000 population)	Number	Rate (per 100,000 population)	Number	Rate (per 100,000 population)
Total								
Violent crimes								
Property crimes								
Traffic offences								
Drug offences								
Other								

(b) Sample tables from unit record court data

TABLE A.18. ACCUSED PERSONS WHOSE CASES ARE DISPOSED, BY TYPE OF OFFENCE AND AGE, 2001

Type of offence	Age of accused						
	Total	Under 18	18-24	25-34	35-44	45-54	55 +
Total							
Violent crimes							
Property crimes							
Traffic offences							
Drug offences							
Other							

TABLE A.19. ACCUSED PERSONS WHOSE CASES ARE DISPOSED, BY TYPE OF OFFENCE, SEX AND NUMBER OF COURT APPEARANCES, 2001

<i>Type of offence</i>	<i>Total</i>						<i>Male</i>						<i>Female</i>					
	<i>Total</i>	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5+</i>	<i>Total</i>	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5+</i>	<i>Total</i>	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5+</i>
Total																		
Violent crimes																		
Property crimes																		
Traffic offences																		
Drug offences																		
Other																		

TABLE A.20. CASES DISPOSED, BY TYPE OF OFFENCE AND ELAPSED TIME FROM FIRST COURT APPEARANCE TO FINAL DECISION, 2001

<i>Type of offence</i>	<i>Case elapsed time (in days)</i>						
	<i>Total</i>	<i>1-30</i>	<i>31-90</i>	<i>91-180</i>	<i>181-270</i>	<i>271-365</i>	<i>365 +</i>
Total							
Violent crimes							
Property crimes							
Traffic offences							
Drug offences							
Other							

TABLE A.21. PERSONS CONVICTED, BY TYPE OF OFFENCE, PLEA ENTERED AND SEX, 2001

<i>Type of offence</i>	<i>Plea entered</i>														
	<i>Total</i>			<i>Guilty</i>			<i>Not guilty</i>			<i>Guilty of lesser offence</i>			<i>No plea</i>		
	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>	<i>Total</i>	<i>Male</i>	<i>Fem.</i>
Total															
Violent crimes															
Property crimes															
Traffic offences															
Drug offences															
Other															

TABLE A.22. CHARGES DISPOSED BY OFFENCE, PLEA ENTERED AND COURT DECISION ON CHARGE, 2001

<i>Offence and plea entered</i>	<i>Court decision on charge</i>				
	<i>Total</i>	<i>Guilty</i>	<i>Not guilty</i>	<i>Proceedings stayed</i>	<i>Charge withdrawn</i>
<i>Homicide</i>					
Total					
Guilty					
Not guilty					
Guilty of lesser charge					
No plea					
<i>Attempted murder</i>					
Total					
Guilty					
Not guilty					
Guilty of lesser charge					
No plea					
<i>Robbery</i>					
Total					
Guilty					
Not guilty					
Guilty of lesser charge					
No plea					
<i>Etc.</i>					

TABLE A.23. PERSONS FOUND GUILTY, BY TYPE OF OFFENCE, SEX AND SENTENCE RECEIVED, 2001

<i>Type of offence</i>	<i>Total</i>					<i>Male</i>					<i>Female</i>				
	<i>Total</i>	<i>Prison</i>	<i>Pro- bation</i>	<i>Fine</i>	<i>Other</i>	<i>Total</i>	<i>Prison</i>	<i>Pro- bation</i>	<i>Fine</i>	<i>Other</i>	<i>Total</i>	<i>Prison</i>	<i>Pro- bation</i>	<i>Fine</i>	<i>Other</i>
Total															
Violent crimes															
Property crimes															
Traffic offences															
Drug offences															
Other															

TABLE A.24. PERSONS SENTENCED TO PRISON, BY TYPE OF OFFENCE, SEX AND LENGTH OF PRISON SENTENCE, 2001

<i>Type of offence</i>	<i>Male</i>							<i>Female</i>						
	<i>To- tal</i>	<i>1-30 days</i>	<i>31- 90 days</i>	<i>91- 180 days</i>	<i>181- 365 days</i>	<i>1-2 yrs</i>	<i>...</i>	<i>To- tal</i>	<i>1-30 days</i>	<i>31- 90 days</i>	<i>91- 180 days</i>	<i>181- 365 days</i>	<i>1-2 yrs</i>	<i>...</i>
<i>Total</i>														
<i>Violent crimes</i>														
Homicide														
Attempted murder														
Robbery														
...														
<i>Property crimes</i>														
Break-and-enter														
Arson														
...														
<i>Traffic offences</i>														
...														
...														

TABLE A.25. PERSONS SENTENCED TO PROBATION, BY SEX, AGE AND LENGTH OF COURT-ORDERED PROBATION SENTENCE, 2001

<i>Sex and age of person sentenced</i>	<i>Length of probation sentence (in months)</i>						
	<i>Total</i>	<i>3 or less</i>	<i>> 3 to 6</i>	<i>> 6 to 12</i>	<i>> 12 to 24</i>	<i>> 24 to 36</i>	<i>> 36</i>
<i>Both sexes</i>							
Total							
Under 18							
18-24							
25-34							
35-44							
45-54							
55+							
<i>Male</i>							
Total							
Under 18							
18-24							
25-34							
35-44							
45-54							
55+							
<i>Female</i>							
Total							
Under 18							
18-24							
25-34							
35-44							
45-54							
55+							

D. EXAMPLES OF CORRECTIONAL INFORMATION REPORTING

Data-collection systems for correctional statistics are designed to have each prison location as the respondent (issues concerning community corrections are not covered in the annex). The counting process is initiated when an individual enters the prison on remand or to serve a jail term order by a court. A file is opened for each new prisoner who enters a correctional facility. The information contained in each prisoner file can address most correctional information requirements, but not all. For example, information on actual-in counts is best obtained by counting the number of prisoners on a given date. Correctional case files contain information on charges resulting in conviction for each prisoner, the date of admission, the sentence length and a unique case identifier for each prisoner, as well as the basic characteristics of each prisoner (e.g., age and sex).

Correctional data can be summarized for national or subnational level statistics in a variety of ways. These include:

- Using the contents of case files, in combination with monthly actual-in counts, to produce “tally sheets” that can be sent to a statistical office where the contents can be captured to create an aggregate corrections database;
- Using case files to fill out unit record collection forms that are sent to a statistical office where the contents can be captured to create a unit record court database;
- Automating the content of case files and collecting data using special data-collection computer programs to provide aggregate or unit record data to a statistical office.

Statistical reporting systems in the corrections area can be based on one or some combination of the above approaches, with the choice of data-collection method depending on the intended use of the data and the availability of resources.

This section presents two manual data-collection forms as examples of the structure and content that should be considered when designing a correctional statistical reporting system. One form shows the content of an aggregate collection process and the other, a unit record data-collection approach.

1. Collecting aggregate correctional statistics

Collecting aggregate corrections data requires each prison facility to tally, on a regular basis, key

statistics of correctional activity in their facility. For most indicators, this can be achieved by creating tally sheets for each information category on the data-collection form and ticking off appropriate categories each time an offender is admitted or released. At the end of each month, the information on the tally sheets is summarized, transferred to the manual corrections reporting form and sent to a designated statistical office. At the statistical office, data from other prison facilities are added together to create regional and national totals. This approach does not, however, apply to actual-in counts. To obtain accurate actual-in counts, it is necessary to count all of the offenders present in the facility at the time a head count is taken.

Figure A.5 presents a sample collection form for aggregate corrections data. It contains a number of general fields to identify the specific prison location that is providing information on the data-collection form, the type of prison (e.g., police lock-up, remand/awaiting trial facility, youth detention facility, maximum security prison, etc.), whether the prison houses male or female offenders, adults or youths, whether data are for male, female, adult or youth, the time period for data collection and respondent contact information. Data for male and female prisoners should always be reported on separate forms. This is also true of data for adult and youth prisoners, even if they are housed in the same facility. Each form collects information on four topics: (a) actual-in counts, (b) admissions, (c) releases, and (d) sentence lengths for new admissions.

The actual-in count refers to a count of offenders who are legally required to be at a correctional facility and are present at the time a headcount is taken. While many facilities take prisoner counts every day, the headcount reported on the collection form is the one taken on the last day of each month. The actual-in count is split into two categories: sentenced and awaiting trial.

The sample aggregate correctional statistics form collects information on the number of admissions and releases during the reference period. Admission and release data describe and measure the changing case flow of correctional facilities over time. However, these data do not indicate the number of unique individuals using correctional services since the same person can be admitted and released several times in a single year.

An admission is defined as a new offender who enters a prison facility, and includes both sentenced and awaiting-trial admissions. This unit of

Figure A.5. Sample form for aggregate corrections data collection

CORRECTIONAL STATISTICS COLLECTION FORM										
Prison location					Prison type					
Address					Houses: ☐ Male ☐ Female ☐ Both ☐ Adult ☐ Youth ☐ Both					
Statistics for month of _____ Year _____					Data for: ☐ Male ☐ Female ☐ Adult ☐ Youth					
Statistics compiled by _____					Phone No. _____					
ACTUAL-IN COUNT										
Total		Sentenced			Awaiting trial					
Offence	ADMISSIONS		RELEASES		SENTENCE LENGTH (DAYS)					
	Sen- tenced	Awaiting trial	Sen- tenced	Awaiting trial	1-30	31- 90	91- 180	181- 365	366- 730	730+
Violent crimes total										
Homicide										
Attempted murder										
Robbery										
Kidnapping										
Sexual assault										
Sexual abuse										
Major assault										
Common assault										
Abduction										
Property crimes total										
Break-and-enter										
Arson										
Fraud										
Theft										
Possession of stolen property										
Mischief										
Other crimes total										
Weapons										
Public order										
Morals–sexual										
Gaming										
Administration of justice										
Other crimes										
Traffic offences total										
Impaired driving										
Other traffic offences										
Drug offences total										
Drug trafficking										
Drug possession										
Other offences total										

count supports a person-based aggregate statistics programme that can track, in broad terms, the flow of persons through the justice system. “Sentenced admissions” refers to prisoners that have been convicted of a crime and ordered to serve a prison term. “Awaiting-trial admissions” refers to persons ordered by the court to be held in custody while awaiting a further court appearance. These individuals have not been convicted and can be held for a variety of reasons (e.g., there is a risk that they won’t appear for their court date, there is a risk that they will re-offend, or they are a danger to themselves or others).

Releases are reported according to whether they are releases of offenders sentenced or awaiting trial. Persons who are released after serving a prison sentence ordered by a court are counted as sentenced releases. Persons released to appear in court, prior to a conviction, are counted as awaiting-trial releases.

All admissions and releases are reported against a standard offence classification scheme that is also used for crime and court data collection. In situations where an offender is admitted on more than one conviction, admissions and releases must be reported against the most serious offence. (See section E for an example of the content of a sample standard offence classification scheme and a most serious offence scoring rule.)

For each sentenced admission during the reference period, the aggregate form collects information on the length of prison sentence to be served, which is reported against a standard offence classification. When the sentence is for more than one offence, the aggregate sentence length, representing the sum of all consecutive sentences imposed on an offender, should be reported against the most serious offence.

2. Collecting unit record correctional statistics

Collecting unit record correctional statistics involves recording case-specific information for each admission or release. As with unit record crime and court data collection, a separate form must be filled out for each individual that enters the system. One possible approach to this task would involve placing the data-collection form in the offender file at the time of admission and then capturing the data in two stages. The first stage would involve capturing all relevant case and admission data. A copy of the form would be sent to the statistical office, where admission information could be summarized and reported. The second stage of data collection would occur when the offender is

released. At that point, release information could be added to the collection form and a final, completed copy of the form sent to the statistical office. A two-stage process is necessary because of the long duration of many incarcerations. If the collection form were not sent to the statistical office until after the release of each offender, the admission information on many forms would be completely out of date and of little value.

Figure A.6 shows a sample form for the collection of unit record corrections data. It is composed of four sections: (a) case information; (b) admission information; (c) release information, and (d) ad hoc data collection. A separate form must be filled out for each offender admitted to the prison system on one or more charges. Admission-based data collection enables the creation of a person-based statistics program.

The “case information” section of the form contains information on the date the case file was opened, the prison location, prison type (e.g., police lock-up, youth detention facility, remand facility, maximum security prison, women’s prison), the prisoner’s name, the prisoner file number and his/her date of birth and sex. “Date case file was opened” refers to the date on which the prison opened a file on the offender. The “prisoner file number” is the number used by the prison to identify and administer each case. As with the unit record crime and court forms, an integrated file number is also requested. As defined above, the IFN is a global file number that can be used by police, courts and corrections to uniquely identify each offender that enters the system. The use of an IFN permits record linkage across different components of the criminal justice system.

The case information section of the form also asks whether the offender has had any previous sentenced admissions and, if so, the number of prior such admissions. It then records some information about the most recent prior admission: the date, the offence committed and length of incarceration.

The “admissions” section of the unit record form collects information for each admission to a prison facility, including the offender’s date of admission, the admission status (e.g., sentenced, awaiting trial, etc.) and, for sentenced admissions, the date of sentencing and the aggregate sentence length. The admissions section of the form also asks for information on the specific offences the prisoner has been convicted of. Each offence is assigned a sequential reference number, and a brief offence description is given, as well as the statute violated, including the statute section,

Figure A.6. Sample form for unit record corrections data collection

CORRECTIONAL DATA COLLECTION FORM									
CASE INFORMATION									
Date file opened Day Month Year			Prison location			Prison type		Page __ of __	
Prisoner's last name			Prisoner's first name			Prisoner file number			
Date of birth Day Month Year			Sex ☐ Male ☐ Female		Integrated file number		Prior admissions ☐ Yes ☐ No		No. of prior admissions
Date of most recent prior admission Day Month Year			Offence committed for most recent prior admission				Length of most recent prior incarceration		
ADMISSION INFORMATION									
Date of admission Day Month Year			Admission status ☐ Sentenced ☐ Awaiting trial ☐ Police lock-up ☐ Other-specify ()			Date of sentencing Day Month Year		Aggregate sentence length	
OFFENCES CONVICTED OF									
Offence No.	Offence description	Statute violated	Sect.	Subsect.	Para.	Counts	Sentence length	Sentence type ☐ Consecutive ☐ Concurrent ☐ Not applicable	
Offence No.	Offence description	Statute violated	Sect.	Subsect.	Para.	Counts	Sentence length	Sentence type ☐ Consecutive ☐ Concurrent ☐ Not applicable	
Offence No.	Offence description	Statute violated	Sect.	Subsect.	Para.	Counts	Sentence length	Sentence type ☐ Consecutive ☐ Concurrent ☐ Not applicable	
Offence No.	Offence description	Statute violated	Sect.	Subsect.	Para.	Counts	Sentence length	Sentence type ☐ Consecutive ☐ Concurrent ☐ Not applicable	
Offence No.	Offence description	Statute violated	Sect.	Subsect.	Para.	Counts	Sentence length	Sentence type ☐ Consecutive ☐ Concurrent ☐ Not applicable	
RELEASE INFORMATION									
Aggregate sentence expiry date Day Month Year			Parole eligibility date Day Month Year			Date of release Day Month Year			
AD HOC DATA COLLECTION									

subsection and paragraph, the number of counts, the length of the sentence associated with the offence and the type of sentence given (e.g., consecutive or recurrent). If an offender is admitted on more than five different offences, another form may be attached to capture this additional offence information. As is the case for crime and court unit records, additional forms for the same offender should carry the information that links the additional offences to the offender, such as prison location, prisoner file number and integrated file number in the case information section of the form.

The “release” section of the unit record collection form asks for the sentence expiry date, the parole eligibility date and the actual date of release. For all three release fields, the information requested is in relation to the aggregate prison sentence (the sum of all consecutive sentences imposed).

The “ad hoc data collection” section of the form permits the collection of information not obtained through regular ongoing collection, e.g., special study data or new data elements.

3. Sample tables

To help highlight the kinds of information that can be produced from the corrections data-collection forms, the following pages present a selection of sample tables generated from aggregate and unit record data. Again, it is important to note that the aggregate data-collection approach can produce only information such as those shown in the aggregate sample tables, while the unit record data can produce all of the data views shown in both the sample aggregate and unit record tables, plus a variety of views not shown.

(a) Sample tables from aggregate corrections data

TABLE A.26. ACTUAL-IN COUNT BY REGION AND ADMISSION STATUS, 31 DECEMBER 1999, 2000 AND 2001

<i>Region</i>	<i>31 December 1999</i>			<i>31 December 2000</i>			<i>31 December 2001</i>		
	<i>Total</i>	<i>Sentenced</i>	<i>Awaiting trial</i>	<i>Total</i>	<i>Sentenced</i>	<i>Awaiting trial</i>	<i>Total</i>	<i>Sentenced</i>	<i>Awaiting trial</i>
Total									
Region 1									
Region 2									
Region 3									
Region 4									
Region...									

TABLE A.27. PRISON ADMISSIONS BY TYPE OF OFFENCE AND SEX OF OFFENDER, 2001

<i>Type of offence</i>	<i>Total</i>		<i>Male</i>		<i>Female</i>	
	<i>Number</i>	<i>Rate (per 100,000 population)</i>	<i>Number</i>	<i>Rate (per 100,000 male population)</i>	<i>Number</i>	<i>Rate (per 100,000 female population)</i>
Total						
Violent crimes						
Property crimes						
Traffic offences						
Drug offences						
Other						

TABLE A.28. PRISON ADMISSIONS AND PRISON RELEASES BY ADMISSION STATUS AND SEX OF OFFENDER, 2001

<i>Admission status</i>	<i>Prison admissions</i>			<i>Prison releases</i>		
	<i>Both sexes</i>	<i>Male</i>	<i>Female</i>	<i>Both sexes</i>	<i>Male</i>	<i>Female</i>
Total						
Sentenced						
Awaiting trial						

TABLE A.29. SENTENCED ADMISSIONS BY TYPE OF OFFENCE, SEX AND LENGTH OF AGGREGATE SENTENCE, 2001

<i>Type of offence and sex of offender</i>	<i>Length of aggregate sentence</i>						
	<i>Total</i>	<i><30 days</i>	<i>1 to <3 months</i>	<i>3 to <6 months</i>	<i>6 to <12 months</i>	<i>1 to <2 years</i>	<i>2+ years</i>
<i>Total</i>							
Both sexes							
Male							
Female							
<i>Violent crimes</i>							
Both sexes							
Male							
Female							
<i>Property crimes</i>							
Both sexes							
Male							
Female							
<i>Traffic offences</i>							
Both sexes							
Male							
Female							
<i>Drug offences</i>							
Both sexes							
Male							
Female							
<i>Other offences</i>							
Both sexes							
Male							
Female							

(b) Sample tables from unit record corrections data

TABLE A.30. SENTENCED ADMISSIONS BY OFFENCE AND AGE OF OFFENDER, 2001

Offence	Age of offender						
	Total	< 18	18-24	25-34	35-44	45-54	55 +
Homicide							
Attempted murder							
Robbery							
Sexual assault							
Major assault							
Common assault							
Other							

TABLE A.31. PRISON ADMISSIONS BY SEX, AGE AND NUMBER OF PRIOR ADMISSIONS, 2001

Sex and age	Number of prior admissions							
	Total	None	1	2	3	4	5	6+
Both sexes								
<18								
18-19								
20-24								
25-29								
30-34								
35-39								
40-44								
45-54								
55+								
Male								
<18								
18-19								
20-24								
25-29								
30-34								
35-39								
40-44								
45-54								
55+								
Female								
<18								
18-19								
20-24								
25-29								
30-34								
35-39								
40-44								
45-54								
55+								

TABLE A.32. PRISON ADMISSIONS AWAITING TRIAL, BY SEX, AGE AND LENGTH OF DETENTION,
2001

Sex and age	Length of detention						
	Total	>2 days	2-4 days	5-9 days	10-19 days	20-30 days	>30 days
Both sexes							
<18							
18-19							
20-24							
25-29							
30-34							
35-39							
40-44							
45-54							
55+							
Male							
<18							
18-19							
20-24							
25-29							
30-34							
35-39							
40-44							
45-54							
55+							
Female							
<18							
18-19							
20-24							
25-29							
30-34							
35-39							
40-44							
45-54							
55+							

E. SAMPLE OFFENCE CLASSIFICATION AND OFFENCE SCORING RULE

1. Example of a standard offence classification scheme

Shown below is an example of a hierarchical offence classification scheme (see fig. 3 in chapter III) designed to be used by each component of the criminal

justice system. The number of offence categories and their definitions are the same for the police, court and corrections components; consequently, data integration capabilities, including comparative analysis of data from different parts of the system, are greatly enhanced.

TABLE A.33. SAMPLE STANDARD OFFENCE CLASSIFICATION SCHEME

<i>Offence category</i>	<i>Definition</i>
(a) Violent crimes	
Homicide	First-degree murder, second-degree murder, manslaughter, infanticide
Attempted murder	Attempted murder
Robbery	Robbery with firearms, robbery with other offensive weapons, other robbery
Kidnapping	Kidnapping, forcible confinement, hostage-taking
Sexual assault	Rape, aggravated sexual assault, sexual assault with a weapon, sexual assault causing bodily harm
Sexual abuse	Sexual interference, sexual exploitation, incest, bestiality
Major assault	Aggravated assault, assault with a weapon or causing bodily harm, discharging firearm with intent, unlawfully causing bodily harm, assault of police officer
Common assault	Minor assaults with no injuries
Abduction	Abduction in contravention of a custody order, abduction where there is no custody order, abduction of a person under 16, abduction of a person under 14
(b) Property crimes	
Break-and-enter	Break and enter business premises or residence, other break-and-enter
Arson	All arson offences
Fraud	Fraud with cheques, credit cards, counterfeiting, other fraud
Theft	Theft of motor vehicles, theft from motor vehicles, shoplifting, other theft
Possession of stolen property	Possession of stolen property
Mischief	Mischief to property, property damage, mischief with data
(c) Other crimes	
Weapons	Possession of explosives, pointing a firearm, use of a firearm in committing offence, careless use, storage or handling of a firearm, possession of prohibited, restricted or other offensive weapons
Public order offences	Causing a disturbance, obstructing a peace officer, trespassing at night
Morals–sexual	Keeping a bawdy house, procuring, other prostitution-related offences, indecent acts, other public morals offences
Gaming	Keeping betting house, gaming house, other gaming and betting offences
Administration of justice	Bail violations, failure to appear or comply with a summons or appearance notice, breach of recognizance, unlawfully at large, escape custody, breach of probation
Other crimes	All other criminal offences not specified elsewhere

TABLE A.33. SAMPLE STANDARD OFFENCE CLASSIFICATION SCHEME (CONT.)

<i>Offence category</i>	<i>Definition</i>
(d) Traffic offences	
Criminal code traffic	Dangerous operation of motor vehicle, vessel or aircraft, dangerous operation causing death or bodily harm, failure to stop at scene of an accident, operation of motor vehicle while disqualified
Impaired driving	Impaired driving, impaired driving causing death or bodily harm, failure to provide a breath sample
(e) Drug offences	
Drug trafficking	Trafficking in drugs, including heroin, cocaine, and cannabis
Drug possession	Possession of drugs, including heroin, cocaine and cannabis
(f) Other offences	
	Income tax, bankruptcy, immigration, environmental protection, other

2. Example of a most serious offence scoring rule

One type of a scoring rule that may be used to select the most serious offence when there is more than one offence in an incident or case is the severity index. There are many possible methods for creating a severity index; the one shown below is based on court sentencing data. This approach has the advantages of reflecting what is actually happening in the system and of being easy to update and maintain.

To create a severity index, the standard offence classification categories have been ranked from

most serious to least serious. The ranking is based on a weighted severity score. To calculate the weighted severity score, the incarceration rate (total convictions resulting in a prison sentence/ total convictions) for each offence category was multiplied by the average prison sentence length (in days) for that offence category.

Again, what is shown below is an illustration, not a recommendation. Individual countries may use different scoring methods, and the resulting rank order of offences may be widely different from the example seen below.

TABLE A.34. SAMPLE OFFENCE SCORING RULE

<i>Rank order</i>	<i>Standard offence classification category</i>	<i>Incarceration rate</i>	<i>Average sentence length (days)</i>	<i>Weighted severity score</i>
1	Homicide	0.90	2555	2300
2	Attempted murder	0.90	2111	1900
3	Robbery	0.92	1175	1081
4	Kidnapping	0.82	849	696
5	Sexual assault	0.64	549	351
6	Sexual abuse	0.72	454	327
7	Break-and-enter	0.75	375	281
8	Drug trafficking	0.79	323	255
9	Arson	0.60	344	206
10	Weapons	0.41	261	107
11	Major assault	0.55	176	97
12	Fraud	0.44	199	88
13	Possession of stolen property	0.51	159	81

TABLE A.34. SAMPLE OFFENCE SCORING RULE (CONT.)

<i>Rank order</i>	<i>Standard offence classification category</i>	<i>Incarceration rate</i>	<i>Average sentence length (days)</i>	<i>Weighted severity score</i>
14	Abduction	0.40	169	68
15	Criminal code traffic	0.56	87	49
16	Theft	0.34	137	47
17	Administration of justice	0.57	53	30
18	Property damage	0.27	96	26
19	Common assault	0.27	72	19
20	Public order offences	0.29	57	17
21	Impaired driving	0.23	69	16
22	Morals–sexual	0.18	86	15
23	Drug possession	0.18	66	12
24	Gaming	0.01	200	2

F. EXAMPLES OF DATA ANALYSIS AND PRESENTATION

A wide range of information about crime and the criminal justice system is produced throughout the world. To help producers of criminal justice data disseminate the vast amount of information they collect in ways that are useful to administrative planners and policy makers as well as informative and interesting to the general public, this section provides some examples of answers that can be derived from criminal justice statistics and other data sources on crime through simple data analysis. The information is presented as answers to questions that are frequently asked by the criminal justice community, the media and members of the public concerning crime and the justice system. Questions addressed by the examples include the following:

- Is crime really decreasing?
- How many homes are being broken into?
- How many people are victimized by strangers?
- Who is victimizing children?
- Is the public satisfied with police services?
- Are courts “softer” on youth?
- Who is in prison?

The illustrative examples are from Canada. One of the examples includes data for other countries to provide a comparative perspective.

1. Is crime really decreasing?

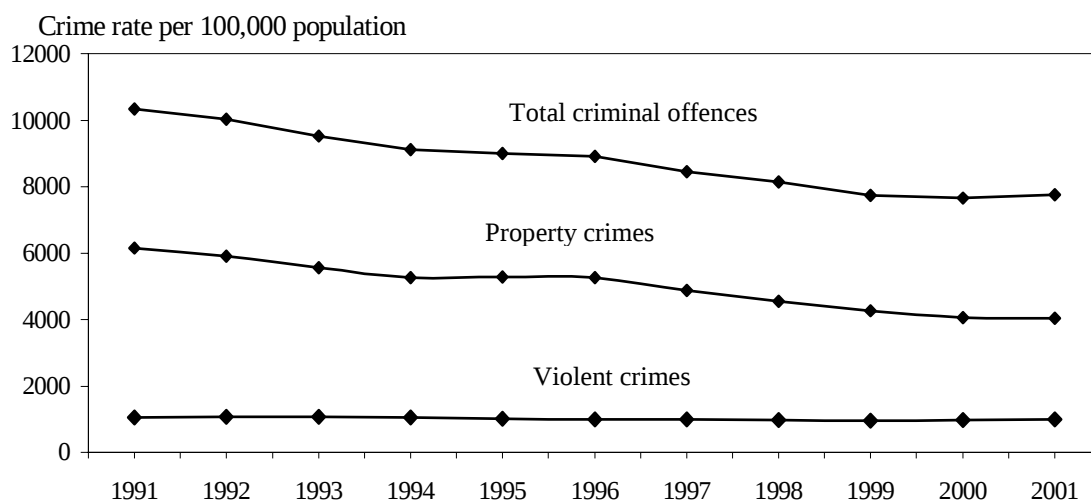
After peaking in 1991, Canada’s crime rate had been falling steadily until 2001 when the police

reported the first overall increase (by one per cent) in a decade. From 1991 to 2000, the total crime rate dropped from 10,342 per 100,000 population to 7,646 per 100,000 population, representing an overall decline of 26 per cent over the nine-year period (figure A.7). During this time, violent crimes decreased by seven per cent while property crimes decreased by 34 per cent. It is too early to tell if the observed increase in 2001 is the start of a new trend or simply a blip in the longer-term downward trend.

Although many factors, such as changes in reporting rates to police by the public, affect the rate of police-reported crime, the declines seen during the 1990s appear to be real. One factor pointing to this conclusion is that the more serious crimes, which are less prone to non-reporting to police or by police, declined during this time period. For example, between 1991 and 2001, the homicide rate dropped 34 per cent; attempted murders were down 38 per cent and robberies declined by 26 per cent.

One possible explanation for the falling crime rates is the ageing of the population. Studies of criminal behaviour suggest that young people have a higher propensity than the general population for criminal activity, and that the prevalence of offending increases to a peak in the teenage and early adult years and then begins to decline. In Canada, the relative size of the high-propensity population is declining. Since the early 1980s the share of the population aged 35 and older has steadily increased their while that of the group aged 15–24 years has declined. Other factors may also

Figure A.7. Trends in police-reported crime rate, Canada, 1991 to 2001



Source: Canadian Centre for Justice Statistics, Statistics Canada, “Crime Statistics in Canada, 2001”. *Juristat*, vol. 22, No. 6.

contribute to declines in crime rates, including economic factors, public attitudes and other social conditions.¹

2. How many homes are being broken into?

According to the 2000 International Crime Victim Surveys, 29 per cent of Canadian residents considered it likely that someone will break into their home in the coming year.²

In 2001, about 280,000 incidents of break-ins were reported to the police, with the majority (167,000 or 59%) occurring at private residences. This is the equivalent of about one break-in for every 70 homes. Another 29 per cent of break-ins occurred at business locations, and the remaining 12 per cent at other places such as sheds and storage facilities.³

Residential break-in rates have generally been falling since 1991, and registered a six per cent decrease in 2001. Given the number of break-ins relative to the total number of property crimes, a decrease of this magnitude in the number of break-ins has a major impact on the total property crime rate as well as on the overall crime rate.

Youths (12- to 17-year-olds) account for a relatively high proportion of those charged with residential break-ins. In 2001, of the 32,382 persons charged with break-ins, 37 per cent were youths and 63 per cent were adults. The proportion of youths in break-and-enter incidents was quite high in comparison to other offences. For example, youths accounted for only 12 per cent of persons charged with theft under \$5,000 and 15 per cent of those charged with common assault.⁴

3. How many people are victimized by strangers?

Victims of violent crime usually know the perpetrator in some way. Over two thirds (70%) of the victims of violent crime in 2001 knew the perpetrator of the crime committed against them. For 28 per cent of victims the perpetrator was a family member, while for 42 per cent the perpetrator was a friend or an

acquaintance. For the remaining 30 per cent of victims the perpetrator was a stranger. Two violent offences showed much higher than average proportions of stranger victimization: robbery (88%) and criminal negligence causing death (58%).⁵

In general, females were less likely than males to be victimized by a stranger. Over three quarters (82%) of female victims knew the perpetrator, compared with less than two thirds (59%) of male victims. Much of this difference was due to the high proportion of female victims who were victimized by their spouse (30%); in comparison, only six per cent of male victims were victimized by their spouse.⁶

4. Who is victimizing children?

In 2001, children under the age of 12 accounted for 6 per cent of all victims of violent crime.⁷ The proportion of child victims was low in comparison to their proportion in the general population (15%).

Children were much more likely than youths (12–17 year-olds) or adults (persons aged 18 or more years) to be victimized by someone they knew. Eighty-four percent of child victims of violent crime knew their perpetrator: 39 per cent were victimized by a family member (including 25 per cent who were victimized by a parent) and 45 per cent were victimized by a friend or an acquaintance (table A.35). In comparison, about 70 per cent of both youth and adult victims of violent crime knew their perpetrator.

TABLE A.35. PERCENTAGE DISTRIBUTION OF CHILD VICTIMS OF VIOLENT CRIME, BY PERPETRATOR'S RELATIONSHIP TO VICTIM, 2001

<i>Perpetrator's relationship to victim</i>	<i>Distribution of child victims (%)</i>
Total	100
Family member	39
Parent	25
Other family member	14
Friend or acquaintance	45
Stranger	16

Source: Canadian Centre for Justice Statistics, Statistics Canada, Revised Uniform Crime Reporting Survey, Special Run, 2002.

¹ Johnson, H. and L. Stratyck (2002). "Why are crime rates down? An exploration of crime patterns in Canada", Draft research paper (Canadian Centre for Justice Statistics, Statistics Canada).

² Canadian Centre for Justice Statistics, Statistics Canada, "Criminal victimization: An international perspective". *Juristat*, vol. 22, No. 4.

³ Canadian Centre for Justice Statistics, Statistics Canada, Revised Uniform Crime Reporting Survey, Special Run, 2002.

⁴ Ibid.

⁵ Ibid.

⁶ Ibid.

⁷ Ibid.

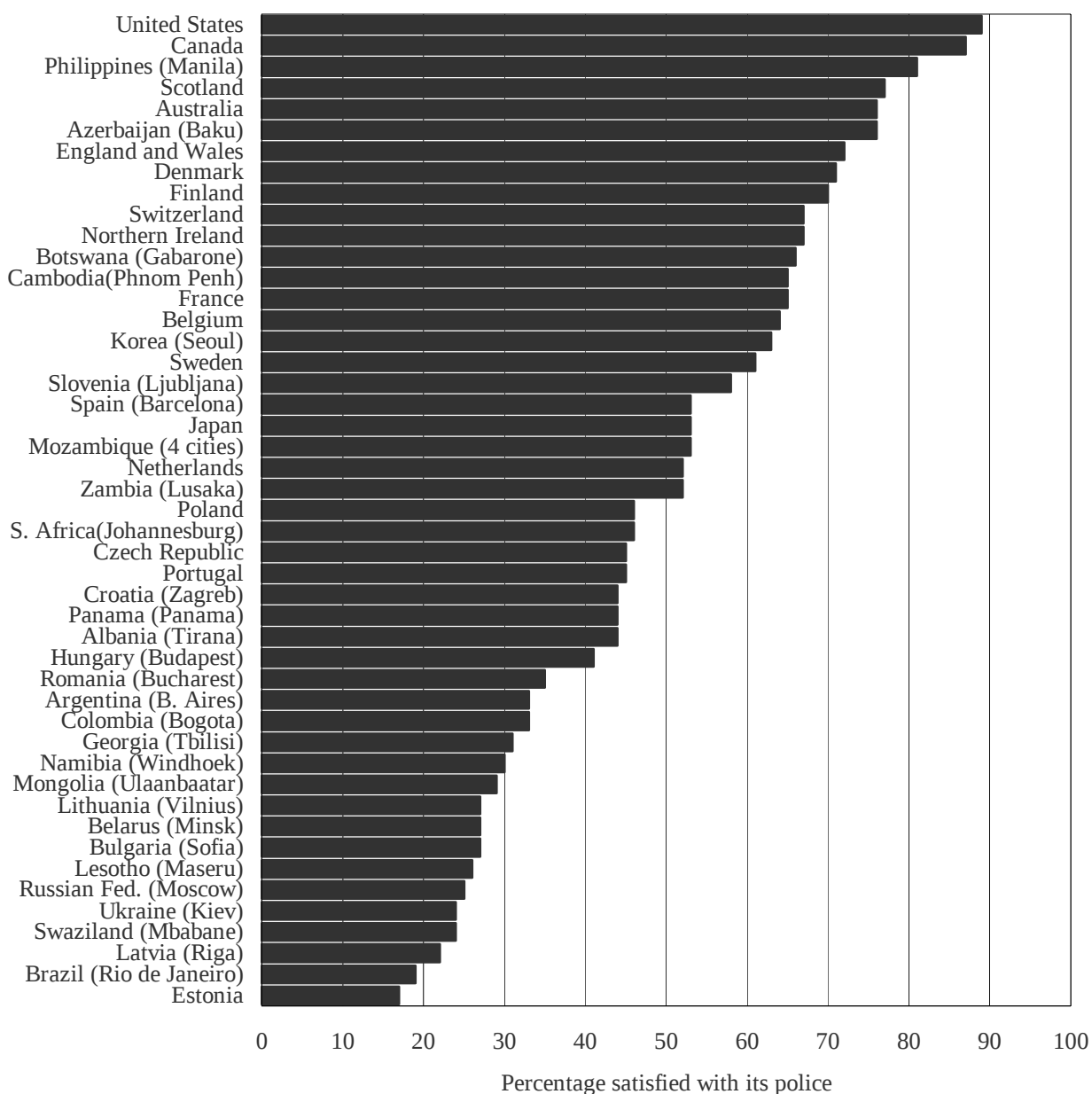
5. Is the public satisfied with police services?

Among the more than 40 countries (or areas) participating in the 2000 International Crime Victim Surveys (ICVS), Americans and Canadians were the most satisfied with their police (figure A.8). When asked if the police in their area did a good job at controlling crime, 89 per cent of Americans responded that the police did a very good or fairly good job. Closely following the United States was Canada, where

87 per cent of the population indicated satisfaction with its police.

Cities in developing countries and countries in transition (the ICVS covered only the major cities in these countries) generally had a lower satisfaction with their police compared to the more developed countries. For example, less than a quarter of the population was satisfied with its police in Estonia, Rio de Janeiro, Riga (Latvia), Mbabane (Swaziland) and Kiev (Ukraine).

Figure A.8. Percentage of the population satisfied with its police in the area of crime control, 1999



Source: UNICRI, The 2000 International Crime Victim Surveys.

6. Are courts “softer” on youth?

Many factors can influence the sentence that is given to an offender, including criminal history, a guilty plea and demonstration of remorse. Differences in sentences between adults and youths may be partly explained by the longer and more varied criminal histories of adults.

The majority of cases heard in both youth and adult courts result in conviction. In 2000–2001, 60 per cent of youth court cases resulted in a conviction. A similar proportion (61%) of adult cases resulted in a conviction.⁸

For most violent and property crimes, youths were slightly less likely than adults to be sentenced to custody upon conviction for an offence. For example, in 2000–2001, for the offence of common assault, youths were sentenced to custody in 25 per cent of convictions while adults were sentenced to prison in 28 per cent of convictions. Similarly for theft, 26 per cent of youth convictions and 38 per cent of adult convictions resulted in a custody sentence. Overall, for both violent and property offences, convicted youths were sentenced to custody in 31 per cent of cases compared to 39 per cent for adults (table A.36).

Robbery, a violent offence, and breaking-and-entering, a property offence, carry a maximum term of three years custody for youths and life imprisonment for adults in Canada. In 2000–2001, the median length of custody in youth court cases for a robbery offence was four months. For adult cases, the median term of imprisonment was 18 months. For breaking-and-entering, the median length of custody ordered in youth cases was three months. For adult cases, the median length of imprisonment was six months.

7. Who is in prison?

There are two types of prisons for adults: federal penitentiaries, which house inmates sentenced to a term of two years or longer, and provincial or territorial prisons, which house inmates sentenced to less than two years. Provincial or territorial prisons may also house persons who are charged with a criminal offence and are being detained (on remand) while awaiting further court appearances.

On an average day in 2000–2001 there were 31,500 adults (18 years or older) being held in Canadian prisons. This average daily count is three per cent higher than in 1991–1992; however, it represents a

TABLE A.36. PERCENTAGE DISTRIBUTIONS OF YOUTH AND ADULT CONVICTIONS BY MOST SERIOUS SENTENCE RECEIVED, BY TYPE OF OFFENCE, 2000–2001

Offence	Youth				Adult			
	Total	Custody	Probation	Other	Total	Prison	Probation	Other
<i>Violent crimes</i>	100	32	59	9	100	38	49	13
Homicide	100	94	6	0	100	85	6	9
Robbery	100	53	42	4	100	77	17	6
Sexual assault	100	30	63	7	100	53	29	18
Major assault	100	35	58	7	100	48	39	13
Common assault	100	25	63	12	100	28	59	13
<i>Property crimes</i>	100	30	55	14	100	40	38	22
Break-and-enter	100	38	56	6	100	61	31	8
Theft	100	26	55	19	100	38	35	27
Possession of stolen property	100	37	49	14	100	46	30	23
Mischief	100	21	61	18	100	24	53	22
<i>Drug offences</i>	100	19	56	24	100	23	19	58

Sources: Canadian Centre for Justice Statistics, Statistics Canada, “Youth Court Statistics, 2000/01”. *Juristat*, Vol. 22, No. 3; and “Adult Criminal Court Statistics, 2000/01”. *Juristat*, Vol. 22, No. 2.

⁸ Canadian Centre for Justice Statistics, Statistics Canada, “Youth Court Statistics, 2000/01”. *Juristat*, vol. 22, No. 3; and “Adult Criminal Court Statistics, 2000/01”. *Juristat*, vol. 22, No. 2.

6.5 per cent decrease since 1996–1997. Compared to the previous year, the average daily count has remained the same in 2000–2001.⁹

In 2000–2001, more than half (60%) of the inmates were held in provincial or territorial facilities, consistent with previous years. The majority of inmates in sentenced custody were male. Males represented 91% of the 80,900 admissions to provincial or territorial prisons and 95 per cent of the 4,300 admissions to federal penitentiaries. These percentages have remained relatively stable over the last few years.

Inmates in provincial or territorial sentenced custody are typically in their early thirties at the time of admission. The median age of persons admitted to provincial or territorial custody in 2000–2001 ranged from 29 to 35 years of age. Inmates under the age of 30 represented 48 per cent of the incarcerated population, down from 55 per cent in 1991–1992. In the federal system, the median age of sentenced offenders was 32 years of age. Forty-three per cent of inmates were under the age of 30, down from 51 per cent in 1991–1992.

The increasing age of inmates in part reflects the general ageing of the population. Furthermore, the increased use of conditional sentences as an alternative to prison for younger offenders with less serious offences also pushed up the median age of inmates.

Incarceration in provincial or territorial prisons is usually for short periods of time. In 2000–2001, 48

per cent of admissions to custody were sentences of less than one month's duration and 38 per cent were between one and six months. The median length of custody ranged from 28 to 119 days across the provinces.

Periods of incarceration at the federal level are by definition longer, as they all must be two years or longer in duration. In 2000–2001, 80 per cent of all federal inmates were sentenced to terms of less than five years. Excluding life sentences, the average sentence length in 2000–2001 at the federal level was 42 months. Offenders sentenced to imprisonment for life accounted for four per cent of all admissions.

A census of inmates in all adult correctional facilities that was conducted in October 1996 provides some additional information on adult inmates. In looking at how the prison population compares to that of the general population, three notable differences emerge. First, inmates are less educated. The percentage of inmates with an education of grade 9 or less was 37 per cent compared to 19 per cent for the general adult population. Second, at the time of admission to prison, offenders had a significantly higher rate of unemployment (52%) than did the general adult population (10%). Finally, at the time of admission to the correctional facility, only 31 per cent of inmates were married, compared to 63 per cent of the adult population. More specifically, provincial or territorial inmates were less likely to be married than were federal inmates (24% compared to 41%).¹⁰

⁹ Canadian Centre for Justice Statistics, Statistics Canada, "Adult Correctional Services in Canada, 2000/01". *Juristat*, vol. 22, No. 10.

¹⁰ Canadian Centre for Justice Statistics, Statistics Canada, "A one-day snapshot of inmates in Canada's adult correctional facilities". *Juristat*, vol. 18, No. 8.

**G. QUESTIONNAIRE FOR THE SEVENTH UNITED NATIONS SURVEY OF CRIME TRENDS
AND OPERATIONS OF CRIMINAL JUSTICE SYSTEMS,
COVERING THE PERIOD 1998–2000**

Centre for International Crime Prevention
Office for Drug Control and Crime Prevention
and
Statistics Division
Department of Economic and Social Affairs,
United Nations

Country name: _____

The officer responsible for coordinating the collection of the data for the entire questionnaire should return all sections of the completed questionnaire no later than **1 October 2001** to the Centre for International Crime Prevention, Office for Drug Control and Crime Prevention, P.O. Box 500, A-1400, Vienna, Austria, or to the Statistics Division, United Nations, New York, N.Y. 10017, United States of America.

This questionnaire is being distributed through the Statistics Division network.

In order to facilitate any clarification of the data provided, information about the coordinating officer should be given below and on the first page of each of the sections of the questionnaire.

Coordinating officer's name: _____
Functional title: _____
Agency: _____
Street: _____

City/state/country: _____
Telephone (including country code and city code): _____
Fax (including country code and city code): _____
E-mail: _____

Introduction

A. Objectives of the Seventh United Nations Survey of Crime Trends and Operations of Criminal Justice Systems

1. The Economic and Social Council, in its resolution 1984/48 of 25 May 1984, requested the Secretary-General to maintain and develop the United Nations crime-related database by continuing to conduct surveys of crime trends and operations of criminal justice systems.
2. The main goal of the Seventh United Nations Survey of Crime Trends and Operations of Criminal Justice Systems, covering the period 1998–2000, is to collect data on the incidence of reported crime and the operations of criminal justice systems with a view to improving the analysis and dissemination of that information throughout the world. The results of the Seventh Survey will provide an overview of crime trends and relationships between various parts of the criminal justice system and promote informed decision-making in administration, at the national and international levels.
3. The data gathered by the Seventh Survey will benefit both the international community as a whole and each responding Government. The information will be used in determining crime trends and problem areas for intervention in the form of technical cooperation, in preparing reports such as the *Global Report on Crime and Justice*¹ and in comparing the crime situation in one country with that of another country in a similar position.
4. The questionnaire for the Seventh Survey consists of a series of questions designed to elicit responses in the form of data, primarily statistical data, on the main components of criminal justice systems for the period 1998–2000. The questionnaire for the Seventh Survey closely resembles the questionnaire for the Sixth United Nations Survey of Crime Trends and Operations of Criminal Justice Systems, which covered the period 1995–1997. The instructions in the paragraphs below should be carefully studied before the questionnaire is completed. Partial replies should be reviewed by the central responding office to ensure that the jurisdictions to which the data refer (for example, national or federal jurisdictions) are clearly defined and that the data are statistically valid. It is important to review the replies in all parts of the questionnaire for consistency.

B. Instructions for completing the questionnaire

5. The questionnaire is compiled in such a way that it can be divided up between different agencies and reassembled in the central responding office before it is returned.
6. Respondents completing the tables are requested to keep the following in mind:
 - (a) If figures provided in one table differ significantly from one year to the next, the discrepancy should be explained in notes to the table;
 - (b) If it is not possible to provide data as classified or defined in a table, an attempt should be made to adjust the data as far as possible and to describe the steps involved in notes to the table or on the facing page;
 - (c) If data are not yet available, provisional data or estimates may be inserted and noted accordingly;
 - (d) If a table can be completed only in part, it should be explained in a note in the appropriate section that the rest of the data are “not available”;
 - (e) If no data at all are available, the words “not yet available”, “not tabulated” or “not collected” as the case may be, should be written in the appropriate space;
 - (f) In most cases, the calendar year should be used as the reporting period. Where some other annual period is used, such as a fiscal year not corresponding to the calendar year, that fact should be noted;
 - (g) Statistics on such matters as criminal justice personnel, court action and the prison population should include data from all levels of government, that is, from the national, state and local authorities.
7. Requests for any clarification or further information in respect of this questionnaire should be addressed to the Director, Centre for International Crime Prevention, Office for Drug Control and Crime Prevention, P.O. Box 500, A-1400 Vienna, Austria. Such requests can also be sent by fax (43-1-26060-5898) or by e-mail (wrhomberg@cicp.un.or.at).

¹ *Global Report on Crime and Justice*, Graeme Newman, Ed. (New York, Oxford University Press, 1999).

I. Police

Definition of terms

1. The definitions below are applicable to many legal codes.
2. “Intentional homicide” may be understood to mean death deliberately inflicted on a person by another person, including infanticide.
3. “Non-intentional homicide” may be understood to mean death not deliberately inflicted on a person by another person. That includes the crime of manslaughter but excludes traffic accidents that result in the death of persons.
4. “Assault” may be understood to mean physical attack against the body of another person, including battery but excluding indecent assault. Some criminal or penal codes distinguish between aggravated assault and simple assault, depending on the degree of resulting injury. If such a distinction is made in your country, please provide the relevant data for aggravated assault under the category “Major assault”. Under the category “Total assault” should be included data on both aggravated assault (i.e., major assault) and simple assault. Please provide the main criterion for distinguishing between aggravated assault and simple assault if such a distinction is made in your country.
5. “Rape” may be understood to mean sexual intercourse without valid consent. Please indicate whether statutory rape is included in the data provided. If, in your country, a distinction is made between sexual assault and actual penetration, please provide relevant information.
6. “Robbery” may be understood to mean the theft of property from a person, overcoming resistance by force or threat of force.
7. “Theft” may be understood to mean the removal of property without the property owner’s consent. “Theft” excludes burglary and housebreaking as well as theft of a motor vehicle. Some criminal and penal codes distinguish between grand and petty theft, depending on the value of the goods and property taken from their rightful owner. If such a distinction is made in your country, please provide the relevant data for grand theft under the category “Major theft”. The category “Total theft” should include data on both grand theft (i.e., major theft) and petty theft. Please provide the main criterion for distinguishing between grand theft and petty theft if such a distinction is made in your country.
8. “Automobile theft” may be understood to mean the removal of a motor vehicle without the consent of the owner of the vehicle.
9. “Burglary” may be understood to mean unlawful entry into someone else’s premises with the intention to commit a crime.
10. “Fraud” may be understood to mean the acquisition of another person’s property by deception. Please indicate whether the fraudulent obtaining of financial property is included in the data provided.
11. “Embezzlement” may be understood to mean the wrongful appropriation of another person’s property that is already in the possession of the person doing the appropriating.
12. “Drug-related crimes” may be understood to mean intentional acts that involve the cultivation, production, manufacture, extraction, preparation, offering for sale, distribution, purchase, sale, delivery on any terms whatsoever, brokerage, dispatch, dispatch in transit, transport, importation, exportation and possession of internationally controlled drugs. Where applicable, reference may be made to the provisions of the Single Convention on Narcotic Drugs of 1961¹ and other regulations adopted in pursuance of the provisions of the Convention on Psychotropic Substances of 1971² and/or the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988.³

¹ United Nations, *Treaty Series*, vol. 520, No. 7515.

² *Ibid.*, vol. 1019, No. 14956.

³ *Official Records of the United Nations Conference for the Adoption of a Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances*, Vienna, 25 November-20 December 1988, vol. I (United Nations publication, Sales No. E.94.XI.5).

13. "Bribery and/or corruption" may be understood to mean requesting and/or accepting material or personal benefits, or the promise thereof, in connection with the performance of a public function for an action that may or may not be a violation of law and/or promising as well as giving material or personal benefits to a public officer in exchange for a requested favor.
14. "Recorded crimes" may be understood to mean the number of penal code offences or their equivalent (i.e., various special law offences), but excluding minor road traffic offences and other petty offences, brought to the attention of the police or other law enforcement agencies and recorded by one of those agencies.
15. "Police personnel or law enforcement personnel" may be understood to mean personnel in public agencies whose principal functions are the prevention, detection and investigation of crime and the apprehension of alleged offenders. If the police are part of the national security force in your country, please try to focus your replies as much as possible on the civil police rather than on the national guard or local militia. If there are many local forces, please provide data on those forces if possible. If police or law enforcement personnel fulfill prosecutorial functions, that fact should be noted in the space below table 1. Data concerning support staff (secretaries, clerks etc.) should be excluded from your replies.
16. If the categories given in paragraphs 2-13 above are not fully compatible with the legal code in your country, please try to adjust the data as far as possible. Alternatively, you may indicate in the space below the table concerned or on the facing page what kinds of crime are included in your statistics that might be comparable to the categories suggested or how the comparable types of crime are defined in your country.

Table 1
Police personnel,¹³ by sex, and financial resources, 1998 – 2000

Category	As at 31 December ¹⁴		
	1998	1999	2000
1.1 Total police personnel			
1.2 Females			
1.3 Males			
1.4 Total police budget/ financial resources (millions of local currency units) ¹⁵			

Comments Table 1

¹³ Please see the definition of the term “police personnel” in paragraph 15 on page 92.

¹⁴ If some alternative reference date has to be used, please indicate that date here: _____

¹⁵ Total police budget/financial resources should include all monies allocated to the civil police function at the national level, including salaries and fixed assets. When calculating salaries, please include total monies spent on every individual employed in the given area. When calculating fixed assets, please include all monies invested in non-personnel assets, such as buildings, automobiles and office equipment.

Table 2

Crimes recorded in criminal (police) statistics, by type of crime including attempts to commit crimes, 1998 – 2000

<i>Type of crime</i> ¹⁶	1998	1999	2000
2.1 Total recorded crimes, regardless of type ¹⁷			
2.2 Intentional homicide: Committed			
2.3 Attempted			
2.4 Committed with a firearm			
2.5 Non-intentional homicide			
2.6 Assault: Major assault			
2.7 Total assault			
2.8 Rape			
2.9 Robbery			
2.10 Theft: Major theft			
2.11 Total theft			
2.12 Automobile theft			
2.13 Burglary			
2.14 Fraud			
2.15 Embezzlement			
2.16 Drug-related crime			
2.17 Bribery and/or corruption			

Source(s) of the data provided in this table: _____

Comments Table 2

¹⁶ Please see the definitions of the terms in paragraphs 2-13 on pages 91-92.

¹⁷ Please note that the total number of recorded crimes may be greater than the sum of the numbers given for the individual types of crime listed in the table. The total should not include minor road traffic offences.

Table 3

Persons brought into initial formal contact with the police and/or the criminal justice system, by type of crime, where initial formal contact might include being suspected, arrested, cautioned etc., 1998 – 2000

<i>Type of crime</i> ¹⁸	1998	1999	2000
3.1 Total persons brought into initial formal contact with the police and/or the criminal justice system, regardless of the type of crime ¹⁹			
3.2 Intentional homicide: Committed			
3.3 Attempted			
3.4 Committed with a firearm			
3.5 Non-intentional homicide			
3.6 Assault: Major assault			
3.7 Total assault			
3.8 Rape			
3.9 Robbery			
3.10 Theft: Major theft			
3.11 Total theft			
3.12 Automobile theft			
3.13 Burglary			
3.14 Fraud			
3.15 Embezzlement			
3.16 Drug-related crime			
3.17 Bribery and/or corruption			

Source(s) of the data provided in this table: _____

Comments Table 3

¹⁸ Please see the definition of the terms in paragraphs 2-13 on pages 91- 92.

¹⁹ Please note that the total number of persons brought into formal contact with the criminal justice system may be greater than the sum of the numbers given for the individual types of crime listed in the table.

Table 4

Persons brought into formal contact with the criminal justice system, by sex and age group, where formal contact might include being suspected, arrested, cautioned etc., 1998 – 2000

<i>Category</i>	1998	1999	2000
4.1 Females			
4.2 Males			
4.3 Adults			
4.4 Female adults			
4.5 Male adults			
4.6 Juveniles			
4.7 Female juveniles			
4.8 Male juveniles			

Source(s) of the data provided in this table: _____

Please provide the definitions of “adult” and “juvenile” that are used in the national criminal justice system:

Adult: _____

Juvenile: _____

Comments Table 4

If, in your opinion, there are some additional explanations that might contribute to a better understanding of the data that you have entered in this part of the questionnaire, please provide those explanations in the space below or on an attached sheet.

II. Prosecution

Definition of terms

1. The definitions below are applicable to many legal codes.
2. “Intentional homicide” may be understood to mean death deliberately inflicted on a person by another person, including infanticide. Please indicate whether certain categories of attempted homicide are charged or prosecuted as “aggravated assault”.
3. “Non-intentional homicide” may be understood to mean death not deliberately inflicted on a person by another person. That includes the crime of manslaughter but excludes traffic accidents that result in the death of persons.
4. “Assault” may be understood to mean physical attack against the body of another person, including battery but excluding indecent assault. Some criminal or penal codes distinguish between aggravated assault and simple assault, depending on the degree of resulting injury. If such a distinction is made in your country, please provide the relevant data for aggravated assault under the category “Major assault”. Under the category “Total assault” should be included data on both aggravated assault (i.e., major assault) and simple assault. Please provide the main criterion for distinguishing between aggravated assault and simple assault if such a distinction is made in your country.
5. “Rape” may be understood to mean sexual intercourse without valid consent. Please indicate whether statutory rape is included in the data provided. If, in your country, a distinction is made between sexual assault and actual penetration, please provide relevant information.
6. “Robbery” may be understood to mean the theft of property from a person, overcoming resistance by force or threat of force.
7. “Theft” may be understood to mean the removal of property without the property owner’s consent. “Theft” excludes burglary and housebreaking as well as theft of a motor vehicle. Some criminal and penal codes distinguish between grand and petty theft, depending on the value of the goods and property taken from their rightful owner. If such a distinction is made in your country, please provide the relevant data for grand theft under the category “Major theft”. The category “Total theft” should include data on both grand theft (i.e., major theft) and petty theft. Please provide the main criterion for distinguishing between grand theft and petty theft if such a distinction is made in your country.
8. “Automobile theft” may be understood to mean the removal of a motor vehicle without the consent of the owner of the vehicle.
9. “Burglary” may be understood to mean unlawful entry into someone else’s premises with the intention to commit a crime.
10. “Fraud” may be understood to mean the acquisition of another person’s property by deception. Please indicate whether the fraudulent obtaining of financial property is included in the data provided.
11. “Embezzlement” may be understood to mean the wrongful appropriation of another person’s property that is already in the possession of the person doing the appropriating.
12. “Drug-related crimes” may be understood to mean intentional acts that involve the cultivation, production, manufacture, extraction, preparation, offering for sale, distribution, purchase, sale, delivery on any terms whatsoever, brokerage, dispatch, dispatch in transit, transport, importation and exportation of internationally controlled drugs. Where applicable, reference may be made to the provisions of the Single Convention on Narcotic Drugs of 1961¹ and other regulations adopted in pursuance of the provisions of the Convention on Psychotropic Substances of 1971² and/or the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988.³

¹ United Nations, *Treaty Series*, vol. 520, No. 7515.

² *Ibid.*, vol. 1019, No. 14956.

³ *Official Records of the United Nations Conference for the Adoption of a Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances*, Vienna, 25 November-20 December 1988, vol. I (United Nations publication, Sales No. E.94.XI.5).

13. “Bribery and/or corruption” may be understood to mean requesting and/or accepting material or personal benefits, or the promise thereof, in connection with the performance of a public function for an action that may or may not be a violation of law and/or promising as well as giving material or personal benefits to a public officer in exchange for a requested favor.
14. “Prosecution personnel” may be understood to mean a government official whose duty is to initiate and maintain criminal proceedings on behalf of the state against persons accused of committing a criminal offence. In some countries, a prosecutor is a member of a separate agency; in others, a prosecutor is a member of the police or judiciary. Please indicate the title of the agency in your country under which the prosecutor functions. If more than one criminal justice system operates in your country (e.g., federal/provincial systems or civilian/martial systems) please provide separate information about prosecutorial functions in each system. Data concerning support staff (secretaries, clerks etc.) should be excluded.
15. “Persons prosecuted” may be understood to mean alleged offenders prosecuted by means of an official charge, initiated by the public prosecutor or the law enforcement agency responsible for prosecution.
16. If the definitions given in paragraphs 2-13 above are not fully compatible with the legal code in your country, please try to adjust the data as far as possible. Alternatively, you may indicate below the table concerned or on the facing page what kinds of crime are included in your statistics that might be comparable to the categories suggested or how the comparable types of crime are defined in your country.

Table 5

Prosecution personnel,²⁰ by sex, and financial resources, 1998 – 2000

<i>Category</i>	<i>As at 31 December²¹</i>		
	1998	1999	2000
5.1 Total prosecution personnel			
5.2 Females			
5.3 Males			
5.4 Total prosecution budget/ financial resources (millions of local currency units) ²²			

Comments Table 5

²⁰ Please see the definition of the term “prosecution personnel” in paragraph 14 on page 98.

²¹ If some alternative reference date has to be used, please indicate that date here: _____

²² Total prosecution budget/financial resources should include all monies allocated to the prosecution function at the national level, including salaries and fixed assets. When calculating salaries, please include total monies spent on every individual employed in the given area. When calculating fixed assets, please include all monies invested in non-personnel assets, such as buildings, automobiles and office equipment.

Table 6
Persons prosecuted, by type of crime, 1998 – 2000

<i>Type of crime</i> ²³	1998	1999	2000
6.1 Total persons prosecuted for any type of crime ²⁴			
6.2 Intentional homicide: Committed			
6.3 Attempted			
6.4 Committed with a firearm			
6.5 Non-intentional homicide			
6.6 Assault: Major assault			
6.7 Total assault			
6.8 Rape			
6.9 Robbery			
6.10 Theft: Major theft			
6.11 Total theft			
6.12 Automobile theft			
6.13 Burglary			
6.14 Fraud			
6.15 Embezzlement			
6.16 Drug-related crime			
6.17 Bribery and/or corruption			

Source(s) of the data provided in this table: _____

Comments Table 6

²³ Please see the definitions of the terms in paragraphs 2-13 on pages 97-98.

²⁴ Please note that the total number of persons prosecuted may be greater than the sum of the numbers given for the individual types of crime listed in the table.

Table 7
Persons prosecuted, by sex and age group, 1998 – 2000

<i>Category</i>	1998	1999	2000
7.1 Females			
7.2 Males			
7.3 Adults			
7.4 Female adults			
7.5 Male adults			
7.6 Juveniles			
7.7 Female juveniles			
7.8 Male juveniles			

Source(s) of the data provided in this table: _____

Please provide the definitions of “adult” and “juvenile” that are used in the national criminal justice system:

Adult: _____

Juvenile: _____

Comments Table 7

If, in your opinion, there are some additional explanations that might contribute to a better understanding of the data that you have entered in this part of the questionnaire, please provide those explanations in the space below or on an attached sheet.

III. Courts

Definition of terms

1. The definitions below are applicable to many legal codes.
2. “Intentional homicide” may be understood to mean death deliberately inflicted on a person by another person, including infanticide. Please indicate whether certain categories of attempted homicide are charged or prosecuted as “aggravated assault”.
3. “Non-intentional homicide” may be understood to mean death not deliberately inflicted on a person by another person. That includes the crime of manslaughter but excludes traffic accidents that result in the death of persons.
4. “Assault” may be understood to mean physical attack against the body of another person, including battery but excluding indecent assault. Some criminal or penal codes distinguish between aggravated assault and simple assault, depending on the degree of resulting injury. If such a distinction is made in your country, please provide the relevant data for aggravated assault under the category “Major assault”. Under the category “Total assault” should be included data on both aggravated assault (i.e., major assault) and simple assault. Please provide the main criterion for distinguishing between aggravated assault and simple assault if such a distinction is made in your country.
5. “Rape” may be understood to mean sexual intercourse without valid consent. Please indicate whether statutory rape is included in the data provided. If, in your country, a distinction is made between sexual assault and actual penetration, please provide relevant information.
6. “Robbery” may be understood to mean the theft of property from a person, overcoming resistance by force or threat of force.
7. “Theft” may be understood to mean the removal of property without the property owner’s consent. “Theft” excludes burglary and housebreaking as well as theft of a motor vehicle. Some criminal and penal codes distinguish between grand and petty theft, depending on the value of the goods and property taken from their rightful owner. If such a distinction is made in your country, please provide the relevant data for grand theft under the category “Major theft”. The category “Total theft” should include data on both grand theft (i.e., major theft) and petty theft. Please provide the main criterion for distinguishing between grand theft and petty theft if such a distinction is made in your country.
8. “Automobile theft” may be understood to mean the removal of a motor vehicle without the consent of the owner of the vehicle.
9. “Burglary” may be understood to mean unlawful entry into someone else’s premises with the intention to commit a crime.
10. “Fraud” may be understood to mean the acquisition of another person’s property by deception. Please indicate whether the fraudulent obtaining of financial property is included in the data provided.
11. “Embezzlement” may be understood to mean the wrongful appropriation of another person’s property that is already in the possession of the person doing the appropriating.
12. “Drug-related crimes” may be understood to mean intentional acts that involve the cultivation, production, manufacture, extraction, preparation, offering for sale, distribution, purchase, sale, delivery on any terms whatsoever, brokerage, dispatch, dispatch in transit, transport, importation and exportation of internationally controlled drugs. Where applicable, reference may be made to the provisions of the Single Convention on Narcotic Drugs of 1961¹ and other regulations adopted in pursuance of the provisions of the Convention on Psychotropic Substances of 1971² and/or the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988³.

¹ United Nations, *Treaty Series*, vol. 520, No. 7515.

² *Ibid.*, vol. 1019, No. 14956.

³ *Official Records of the United Nations Conference for the Adoption of a Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances*, Vienna, 25 November-20 December 1988, vol. I (United Nations publication, Sales No. E.94.XI.5).

13. “Bribery and/or corruption” may be understood to mean requesting and/or accepting material or personal benefits, or the promise thereof, in connection with the performance of a public function for an action that may or may not be a violation of law and/or promising as well as giving material or personal benefits to a public officer in exchange for a requested favor.
14. “Persons convicted” may be understood to mean persons found guilty by any legal body duly authorized to pronounce them convicted under national law, whether the conviction was later upheld or not. If persons are convicted by any agency other than the courts, please state which agency and provide statistical details in the space provided after tables 10 and 11. In those tables the total number of persons convicted includes the number convicted of serious special law offences but excludes the number convicted of minor road traffic offences and other petty offences.
15. “Professional judges or magistrates” may be understood to mean both full-time and part-time officials authorized to hear civil, criminal and other cases, including in appeal courts, and make dispositions in a court of law. Please include in that category associate judges and magistrates, who may be authorized as above.
16. “Lay judges or magistrates” may be understood to mean persons who perform the same functions as professional judges or magistrates but who do not regard themselves, and are not normally regarded by others, as career members of the judiciary. Data concerning support staff (secretaries, clerks etc.) should be excluded.
17. If the categories given in paragraphs 2-13 above are not fully compatible with the legal code in your country, please try to adjust the data as far as possible. Alternatively, you may indicate below the table concerned or on the facing page what kinds of crime are included in your statistics that might be comparable to the categories suggested or how the comparable types of crime are defined in your country.

Table 8

**Judges, by status and sex, and financial resources, including in appeal courts,
1998 – 2000**

Category	As at 31 December ²⁵		
	1998	1999	2000
8.1 Total professional judges or magistrates ²⁶			
8.2 Females			
8.3 Males			
8.4 Total lay judges or magistrates ²⁷			
8.5 Females			
8.6 Males			
8.7 Total court budget/ financial resources (millions of local currency units) ²⁸			

Comments Table 8

²⁵ If some alternative reference date has to be used, please indicate that date here: _____

²⁶ Please see the definition of the term “professional judges or magistrates” in paragraph 15 on page 103.

²⁷ Please see the definition of the term “lay judges or magistrates” in paragraph 16 on page 103.

²⁸ Total court budget/financial resources should include all monies allocated to the judiciary at the national level, including salaries and fixed assets. When calculating salaries, please include total monies spent on every individual employed as a judge in the criminal justice system. When calculating fixed assets, please include all monies invested in non-personnel assets, such as buildings, automobiles and office equipment.

Table 9
Persons brought before the criminal courts, 1998 – 2000

<i>Category</i>	1998	1999	2000
9.1 Total persons brought before the criminal courts			
9.2 Convicted			
9.3 Acquitted			
9.4 Other (please specify): 			

Comments Table 9

Table 10

Persons convicted in the criminal courts, by type of crime, 1998 – 2000

<i>Type of crime</i> ²⁹	1998	1999	2000
10.1 Total persons convicted of any type of crime ³⁰			
10.2 Intentional homicide: Committed			
10.3 Attempted			
10.4 Committed with a firearm			
10.5 Non-intentional homicide			
10.6 Assault: Major assault			
10.7 Total assault			
10.8 Rape			
10.9 Robbery			
10.10 Theft: Major theft			
10.11 Total theft			
10.12 Automobile theft			
10.13 Burglary			
10.14 Fraud			
10.15 Embezzlement			
10.16 Drug-related crime			
10.17 Bribery and/or corruption			

Source(s) of the data provided in this table: _____

Comments Table 10

²⁹ Please see the definitions of the terms in paragraphs 2-13 on pages 102-103.

³⁰ Please note that the total number of persons convicted may be greater than the sum of the figures given for the individual types of crime listed in the table.

Table 11

Adults convicted of any type of crime, by number and type of sentence, 1998 – 2000

<i>Type of sentence</i> ³¹	1998	1999	2000
11.1 Total adults ³² convicted, regardless of type of sentence			
11.2 Death penalty ³³			
11.3 Corporal punishment ³⁴			
11.4 Life imprisonment ³⁵			
11.5 Deprivation of liberty ³⁶			
11.6 Control in freedom ³⁷			
11.7 Warning or admonition ³⁸			
11.8 Fine ³⁹			
11.9 Community service order ⁴⁰			

Comments Table 11

³¹ If there is more than one sentence per adult convicted, please count the most severe sentence.

³² See definition of adult on table 12.

³³ “Death penalty” may be understood to mean any sentence in which the convicted person is to be legally deprived of life. The death penalty may be carried out by any one of a variety of means, including electrocution, hanging, firing squad, lethal injection or stoning.

³⁴ “Corporal punishment” may be understood to mean any sentence in which the convicted person’s body is to be subjected to physical pain, such as, among other things, flogging, mutilation, electric shock or branding.

³⁵ “Life imprisonment” may be understood to mean any sentence in which the convicted person is to be deprived of liberty in an institution of any kind for the duration of his or her natural life.

³⁶ “Deprivation of liberty” may be understood to mean various forms of detention, including security measures, combined or split sentences (where at least one part of the sentence involves deprivation of liberty) or any other sanction in which the person is forced to stay at least one night in an institution of any kind, whereby the period of detention is fixed at some interval short of the natural life span of the convicted person (i.e., a determinate sentence).

³⁷ Including probation orders, electronic monitoring, conditional sentences with additional supervision requirements and other forms of so-called controlled liberty (i.e., where the person is required to fulfill special requirements with regard to supervision).

³⁸ Including suspended sentences, conditional sentences, findings of guilt without sanctions, formal admonitions, formal warnings, imposing of duties without control, conditional dismissals, and conditional discharges.

³⁹ “Fines” may be understood to mean all sentences that involve paying a sum of money and may include punitive measures as well as compensation and restitution.

⁴⁰ “Community service orders” may be understood to mean sentences in which the convicted person is expected to perform some activity that provides some benefit to the community.

Table 12

Persons convicted in the criminal courts, by sex and age group, 1998 – 2000

<i>Category</i>	1998	1999	2000
12.1 Females			
12.2 Males			
12.3 Adults			
12.4 Female adults			
12.5 Male adults			
12.6 Juveniles			
12.7 Female juveniles			
12.8 Male juveniles			

Source(s) of the data provided in this table: _____

Please provide the definitions of “adult” and “juvenile” that are used in the national criminal justice system:

Adult: _____

Juvenile: _____

Comments Table 12

If, in your opinion, there are some additional explanations that might contribute to a better understanding of the data that you have entered in this part of the questionnaire, please provide those explanations in the space below or on an attached sheet.

IV. Prisons/penal institutions

Definition of terms

1. The definitions below are applicable to many legal codes.
2. “Prisons, penal institutions or correctional institutions” may be understood to mean all public and privately financed institutions where persons are deprived of their liberty. The institutions may include, but are not limited to, penal, correctional, or psychiatric facilities under prison administration.
3. “Prison staff” may be understood to mean all individuals employed in penal or correctional institutions, including management, treatment, custodial and other (maintenance, food service etc.) personnel.
4. If the categories given in paragraphs 2 and 3 above are not fully compatible with the legal code in your country, please try to adjust the data as far as possible. Alternatively, you may indicate below the table concerned or on the facing page what kinds of crime are included in your statistics that might be comparable to the categories suggested or how the comparable types of crime are defined in your country.

Table 13

Adult prisons, penal institutions or correctional institutions, 1998 – 2000

Item	<i>As at 31 December⁴¹</i>		
	1998	1999	2000
13.1 Adult prisons, penal institutions or correctional institutions ⁴² (excluding temporary jail lock-ups)			
13.2 Places (beds) available			

Comments Table 13

Table 14

Juvenile prisons, penal institutions or correctional institutions, 1998 – 2000

Item	<i>As at 31 December⁴³</i>		
	1998	1999	2000
14.1 Juvenile prisons, penal institutions or correctional institutions ³⁰ (excluding temporary jail lock-ups)			
14.2 Places (beds) available			

Comments Table 14

⁴¹ If some alternative reference date has to be used, please indicate that date here: _____

⁴² Please see the definition of the term “prisons and penal or correctional institutions” in paragraph 2 on page 109.

⁴³ If some alternative reference date has to be used, please indicate that date here: _____

Table 15

Staff of adult or juvenile prisons, penal institutions or correctional institutions⁴⁴, by sex, and financial resources, 1998 – 2000

<i>Category of prison staff⁴⁵ members</i>	<i>As at 31 December⁴⁶</i>		
	1998	1999	2000
15.1 Total staff of adult prisons			
15.2 Females			
15.3 Males			
15.4 Total staff of juvenile prisons			
15.5 Females			
15.6 Males			
15.7 Total prison budget/ financial resources, for adult and juvenile institutions (millions of local currency units) ⁴⁷			

Comments Table 15

⁴⁴ Please see the definition of the term “prisons and penal or correctional institutions” in paragraph 2 on page 109.

⁴⁵ Please see the definition of the term “prison staff” in paragraph 3 on page 109.

⁴⁶ If some alternative reference date has to be used, please indicate that date here: _____

⁴⁷ Total prison budget/financial resources should include all monies allocated to prison staff in both adult and juvenile facilities, including salaries and fixed assets. When calculating salaries, please include total monies spent on every individual employed as a prison staff member in the criminal justice system. When calculating fixed assets, please include all monies invested in non-personnel assets, such as buildings, automobiles and office equipment.

Table 16

Persons incarcerated, by category of incarceration, selected day, 1998 – 2000

<i>Category of incarceration</i>	<i>Selected day of the year⁴⁸:</i> _____		
	1998	1999	2000
16.1 Total persons incarcerated ⁴⁹			
16.2 Awaiting first trial or adjudication ⁵⁰			
16.3 Sentenced			
16.4 Administrative detention			
16.5 For non-payment of penal fine			
16.6 Civil law incarceration			

Comments Table 16

⁴⁸ The population of incarcerated persons awaiting trial or adjudication and/or imprisoned offenders on one selected day should be given, preferably a day that may be considered typical for the year.

⁴⁹ The total number of persons incarcerated should not include the number of persons detained due to public intoxication. Please note that the total number of persons incarcerated may be greater than the sum of the figures given for the other categories of incarceration listed in the table.

⁵⁰ Please indicate whether the figure in the category “Awaiting first trial or adjudication” includes persons who were sentenced in the court of first instance but appealed the verdict: Yes ____ No ____.

Table 17

Adult prisoners: time spent in prison awaiting trial, 1998 – 2000

<i>Length of detention (months)</i>	1998	1999	2000
17.1 Average length of time spent in months in prison awaiting trial ⁵¹ , for all offences.			

Comments Table 17

Table 18

Adult prisoners: time actually served in prison after conviction, 1998 – 2000

<i>Length of detention (months)</i>	1998	1999	2000
18.1 Average length of time in months actually served in prison			

Comments Table 18

⁵¹ “Time spent in prison awaiting trial” may be understood to mean the time spent in custody (e.g., police custody, remand prison) between the time of arrest or apprehension and the time of pronouncement of guilt or innocence by a criminal court or other legal body duly authorized to make such a finding by national law, irrespective of whether the decision was later upheld or not.

Table 19
Persons on probation⁵², by age group, selected day, 1998 – 2000

<i>Category</i>	<i>Selected day of the year⁵³:</i> _____		
	1998	1999	2000
19.1 Total persons on probation			
19.2 Adults			
19.3 Juveniles			

Comments Table 19

Table 20
Persons on parole⁵⁴, by age group, selected day, 1998 – 2000

<i>Category</i>	<i>Selected day of the year⁵⁵:</i> _____		
	1998	1999	2000
20.1 Total persons on parole			
20.2 Adults			
20.3 Juveniles			

Comments Table 20

⁵² “Probation” may be understood to mean a procedure whereby an individual found guilty of a crime is released by the court without imprisonment and is placed under the supervision of an official.

⁵³ The population of persons on probation on one selected day should be given, preferably a day that may be considered typical for the year.

⁵⁴ “Parole” may be understood to mean conditional release of a prisoner whereby the individual is allowed to serve the remainder of the sentence outside the prison, assuming that all the terms of that release are met.

⁵⁵ The population of persons on parole on one selected day should be given, preferably a day that may be considered typical for the year.

Table 21

Convicted prisoners, by sex and age group, selected day, 1998 – 2000

Category	<i>Selected day of the year⁵⁶:</i> _____		
	1998	1999	2000
21.1 Total convicted Females			
21.2 Total convicted Males			
21.3 Adult convicted prisoners			
21.4 Female adults			
21.5 Male adults			
21.6 Juvenile convicted prisoners			
21.7 Female juveniles			
21.8 Male juveniles			
21.9 Convicted prisoners who are citizens of other countries			

Please provide the definitions of “adult” and “juvenile” that are used in the national criminal justice system:

Adult: _____

Juvenile: _____

Comments Table 21

If, in your opinion, there are some additional explanations that might contribute to a better understanding of the data that you have entered in this part of the questionnaire, please provide those explanations in the space below or on an attached sheet.

⁵⁶ The population of persons on parole on one selected day should be given, preferably a day that may be considered typical for the year.

H. Questionnaire for the 2000 International Crime Victim Survey

(Version used in face-to-face interview)

UNICRI

UNITED NATIONS INTERREGIONAL CRIME AND JUSTICE RESEARCH INSTITUTE

The International Crime Victim Survey Questionnaire

Cities: Main survey (2000)

INTERVIEWER OBSERVATIONS

City
Size (population)

RESPNUM |_|_|_|_|_|

CODE INTERVIEWER |_|_|

REGION |_|_|_|_|_|

AREA

- (1) Higher status residential area
- (2) Middle status residential area
- (3) Lower status residential area

TYPE OF DWELLING

- (1) Flat/apartment/maisonette
- (2) House
- (3) "Shanties"
- (4) Institution (hospital,
house for the elderly)
- (5) Other

SEX OF INTERVIEWER

- (1) Male
- (2) Female

SUMMARY INFORMATION ABOUT RESPONDENT SELECTION AND PARTICIPATION

<<INTERVIEWER: TO BE FILLED IN EITHER AFTER COMPLETION OF THE INTERVIEW
OR UPON REFUSAL/IMPOSSIBILITY TO CARRY IT OUT>>

NUMBER OF VISITS (insert actual number) |_|_|

DECISION TO PARTICIPATE IN THE INTERVIEW

- (1) yes ---> GO TO MOTIVATION
- (2) no ---> GO TO REFUSED INTERVIEW

REFUSED INTERVIEW: REASONS FOR NOT PARTICIPATING

- (1) the address does not exist
- (2) no household address
- (3) nobody at home
- (4) household: refused because of lack of time
- (5) household: refused because of previous bad experiences
- (6) household: refused because does not participate in interviews
in general
- (7) household: refused this interview because of the subject
- (8) other reasons (SPECIFY)
<<INCLUDE CASES WHETHER THE INTERVIEW WAS TERMINATED BEFORE
ITS COMPLETION>>

MOTIVATION FOR PARTICIPATION

- (1) very good
 - (2) good
 - (3) bad
-

INTERVIEWER INTRODUCTION

- A. I am an interviewer from We are holding a survey at the request of the United Nations about the problems of crime.

The survey is part of an international project which is being done in many major countries. May I ask you a few questions? This interview won't take much of your time. Your answers will, of course, be treated confidentially and anonymously.

- B. << INT.: IF RESPONDENT IS SUSPICIOUS OR DOUBTFUL >>

If you want to check whether this survey is done for the United Nations or if you would like more information, I can give you the phone-number of someone at my office or at the office of the Police/Police Commissioner.

- C. << INT.: IF RESPONDENT ASKS FOR THAT NUMBER >>
His/her telephone is
-

- D. In order to determine which person in your household I should interview, I would like to know how many people there are in your household.

<< INT.: YOU MUST INCLUDE RESPONDENT AND ANY CHILDREN. NOTE THAT A HOUSEHOLD IS DEFINED AS PERSONS SHARING SAME ADDRESS AND EATING FROM THE SAME KITCHEN)

- | | |
|---------------|-------------------------|
| (1) 1 person | (6) 6 persons |
| (2) 2 persons | (7) 7 persons |
| (3) 3 persons | (8) 8 persons |
| (4) 4 persons | (9) 9 persons |
| (5) 5 persons | (10) 10 persons or more |
-

- E. And how many of these are aged 16 or over?

- | | |
|---------------|-------------------------|
| (1) 1 person | (6) 6 persons |
| (2) 2 persons | (7) 7 persons |
| (3) 3 persons | (8) 8 persons |
| (4) 4 persons | (9) 9 persons |
| (5) 5 persons | (10) 10 persons or more |
-

- F. Could I now interview the person in your household aged 16 or more whose birthday is next?
<< INT.: IF PERSON AVAILABLE: NOTE DOWN SEX OF SELECTED RESPONDENT >>

- (1) male
(2) female

<< INT.: IF SAME PERSON AVAILABLE GO TO QUESTION 1 >>

IF DIFFERENT PERSON, GO TO QUESTION H

IF OTHER PERSON, BUT HE/SHE IS NOT AVAILABLE AT THIS MOMENT, GO TO QUESTION G

- G. << INT.: IF NOT AVAILABLE >>

Can you tell me at what time I have the best chance of getting him/her?

<< INT.: IF SELECTED RESPONDENT IS DIFFERENT FROM THE FIRST PERSON CONTACTED IN THE HOUSEHOLD >>

- H. I am an interviewer from We are holding a survey at the request of the United Nations about the problems of crime.

This survey is part of an international project which is being done in all major countries. May I ask you a few general questions? This interview won't take much of your time. Your answers will, of course, be treated confidentially and anonymously.

1. To start with, could you give me a little information about yourself and your household. This is to help us understand better the results of the survey. First of all, could you Tell me the year in which you were born?
<< INT.: RECORD YEAR >>

19 | - | - |

2. How long have you yourself lived in this area?

- (1) less than one year
 - (2) one year - less 5 years
 - (3) 5 years - less 10 years
 - (4) 10 years or more
-

3. May I ask your marital status?

- (1) single
 - (2) married
 - (3) living with someone as a couple
 - (4) divorced/separated
 - (5) widow/widower
-

4. How would define your level of education?

- (1) no education ---> GO TO Q5
 - (2) less than primary
 - (3) primary
 - (4) secondary
 - (5) college
 - (6) higher education/university
-

- 4a. How many years of formal school and any higher education did you have?

<< INT.: RECORD NUMBER OF YEARS >>

<< INT.: COUNT PRIMARY SCHOOL, SECONDARY SCHOOL, COLLEGE AND UNIVERSITY COURSES >>

| - | - |

5. How would you describe your current occupational position. Are you working, keeping house, going to school or college? Or are your retired, unemployed but looking for work?

- (1) working
 - (2) looking for work (unemployed)
 - (3) keeping home (homemaker)
 - (4) retired, disabled
 - (5) going to school/college
 - (6) other (SPECIFY)
-

6. Could you please tell me whether the income of your whole household, after deductions for tax etc., is below or above <median income - xxx>.

<< INT.: TAKE INTO ACCOUNT THE NET INCOME, I.E., THE AMOUNT PEOPLE GET ON THEIR PAYCHECK >>

- (1) below xxx ---> GO TO Q6a
 - (2) above xxx ---> GO TO Q6b
 - (3) don't know ---> GO TO Q6c
-

- 6a. Is it higher or lower than <bottom 24% limit - yyy>?

- (1) higher than yyy ---> GO TO Q6d
 - (2) lower than yyy ---> GO TO Q6d
 - (3) don't know ---> GO TO Q6d
-

6b. Is it higher or lower than <upper 24% limit - zzz>?

- | | |
|---------------------|----------------|
| (1) higher than zzz | ---> GO TO Q6d |
| (2) lower than zzz | ---> GO TO Q6d |
| (3) don't know | ---> GO TO Q6d |
-

6c. Could I ask you how well-off your household is. Do you consider the household to be:
<< INT. READ OUT >>

- (1) considerably/a lot better off than most households
 - (2) slightly better off than most households
 - (3) slightly worse off than most households
 - (4) considerably/a lot worse off than most households
-

6d. How do you feel about the level of your household income.
Are you satisfied with it, fairly satisfied, dissatisfied or very dissatisfied?

- (1) satisfied
 - (2) fairly satisfied
 - (3) dissatisfied
 - (4) very dissatisfied
-

7. To what religious group do you consider yourself to belong?

- | | |
|-----------------------|------------------------|
| (1) religious group 1 | (7) religious group 7 |
| (2) religious group 2 | (8) religious group 8 |
| (3) religious group 3 | (9) religious group 9 |
| (4) religious group 4 | (10) religious group 0 |
| (5) religious group 5 | |
| (6) religious group 6 | (11) other |
| | (12) none |
-

8. I now want to turn to the subject of crime. Has the topic of crime come up in any conversation you have had with your family, friends or colleagues in the last two weeks?

- | | |
|---------|----------------|
| (1) yes | ---> GO TO Q8a |
| (2) no | ---> GO TO Q9 |
-

8a. What was it that you talked about?

.....
.....
.....

I now want to ask you about crimes you or your household may have experienced during the past five years.
Please note I am only interested in offences which you and people who live with you have experienced.
It is sometimes difficult to remember such incidents so I will read the questions slowly and I would like you to think carefully about them. I shall start with some questions about crimes involving cars, and so I need to ask you about car ownership.

OWNERSHIP OF CARS

9. Over the past five years, has anyone in your household had for private use any car, van or truck?
- | | |
|---------|----------------|
| (1) yes | ---> GO TO Q9a |
| (2) no | ---> GO TO Q13 |

- 9a. IF YES. How many most of the time?
<< INT.: COUNT TOTAL NUMBER OF VEHICLES OWNED AT THE SAME TIME >>
- | | |
|------------------|--|
| (1) one | |
| (2) two | |
| (3) three | |
| (4) four | |
| (5) five or more | |

THEFT OF CARS

10. << INT.: IF CARS/VAN/TRUCKS >>
Over the past five years have you or other members of your household had any of their cars/vans/trucks stolen? Please take your time to think about it.
- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q10a |
| (2) no | ---> GO TO Q11 |
| (3) don't know | ---> GO TO Q11 |

- 10a. When did this happen? Was this ... << INT.: READ OUT >>
- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q11 |
| (2) last year (1999) | ---> GO TO Q10b |
| (3) before then | ---> GO TO Q11 |
| (4) don't know/can't remember | ---> GO TO Q11 |

- 10b. << INT.: IF 1999 >> How often did it happen in 1999?
- | | |
|------------------------|--|
| (1) once | |
| (2) twice | |
| (3) three times | |
| (4) four times | |
| (5) five times or more | |
| (6) don't know | |

THEFT FROM CARS

11. Over the past five years have you or have members of your household been the victim of a theft of a car radio, or something else which was left in your car, or theft of a part of the car, such as a car mirror or wheel?
<<INT.: VANDALISM MUST NOT BE REPORTED HERE, BUT UNDER QUESTION 12; IF THE CAR ITSELF WAS STOLEN AS WELL AS THINGS FROM THE CAR, THESE THEFTS MUST NOT BE REPORTED HERE >>
- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q11a |
| (2) no | ---> GO TO Q12 |
| (3) don't know | ---> GO TO Q12 |

11a. When did this happen? Was this ... << INT.: READ OUT >>

- | | | |
|-------------------------------|-----|------------|
| (1) this year | --- | GO TO Q12 |
| (2) last year (1999) | --- | GO TO Q11b |
| (3) before then | --- | GO TO Q12 |
| (4) don't know/can't remember | --- | GO TO Q12 |
-

11b. << INT.: IF 1999 >> How often did it happen in 1999?

- (1) once
 - (2) twice
 - (3) three times
 - (4) four times
 - (5) five times or more
 - (6) don't know
-

CAR VANDALISM

12. Apart from thefts, have parts of any of the cars/vans/trucks belonging to your household been deliberately damaged (vandalized) over the past five years?

<< INT.: IF PERSON THINKS THE DAMAGE WAS DELIBERATE, IT WILL COUNT.
TRAFFIC ACCIDENTS SHOULD NOT BE REPORTED >>

- | | | |
|----------------|-----|------------|
| (1) yes | --- | GO TO Q12a |
| (2) no | --- | GO TO Q13 |
| (3) don't know | --- | GO TO Q13 |
-

12a. When did this happen? Was this ... << INT.: READ OUT >>

- | | | |
|-------------------------------|-----|------------|
| (1) this year | --- | GO TO Q13 |
| (2) last year (1999) | --- | GO TO Q12b |
| (3) before then | --- | GO TO Q13 |
| (4) don't know/can't remember | --- | GO TO Q13 |
-

12b. << INT.: IF 1999 >> How often did it happen in 1999?

- (1) once
 - (2) twice
 - (3) three times
 - (4) four times
 - (5) five times or more
 - (6) don't know
-

OWNERSHIP OF MOTORCYCLES

13. Has anyone in your household owned a moped, motor scooter, or motorcycle over the past five years?

- | | | |
|---------|-----|------------|
| (1) yes | --- | GO TO Q13a |
| (2) no | --- | GO TO Q15 |
-

13a. IF YES. How many most of the time?

<< INT.: COUNT TOTAL NUMBER OF MOTORCYCLES OWNED AT THE SAME TIME >>

- (1) one
 - (2) two
 - (3) three
 - (4) four
 - (5) five or more
-

THEFT OF MOPED, MOTOR SCOOTER, MOTORCYCLE

14. Over the past five years have you or other members of your household had any of their mopeds/scooters/motorcycles stolen?
- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q14a |
| (2) no | ---> GO TO Q15 |
| (3) don't know | ---> GO TO Q15 |
-

14a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q15 |
| (2) last year (1999) | ---> GO TO Q14b |
| (3) before then | ---> GO TO Q15 |
| (4) don't know/can't remember | ---> GO TO Q15 |
-

14b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |
-

OWNERSHIP OF BICYCLES

15. Has anyone in your household owned a bicycle over the past five years?
- | | |
|---------|-----------------|
| (1) yes | ---> GO TO Q15a |
| (2) no | ---> GO TO Q17 |
-

15a. IF YES. How many most of the time?

<< INT.: COUNT TOTAL NUMBER OF BICYCLES OWNED AT THE SAME TIME >>

- | |
|------------------|
| (1) one |
| (2) two |
| (3) three |
| (4) four |
| (5) five or more |
-

THEFT OF BICYCLES

16. Over the past five years have you or other members of your household had any of their bicycles stolen?

<< INT.: INCLUDE CHILDREN'S BICYCLES >>

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q16a |
| (2) no | ---> GO TO Q17 |
| (3) don't know | ---> GO TO Q17 |
-

16a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q17 |
| (2) last year (1999) | ---> GO TO Q16b |
| (3) before then | ---> GO TO Q17 |
| (4) don't know/can't remember | ---> GO TO Q17 |
-

16b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |
-

ALL RESPONDENTS

BURGLARY

17. Over the past five years, did anyone actually get into your house or flat without permission and steal or try to steal something? I am not including here thefts from garages, sheds or lock-ups.

<< INT.: INCLUDE CELLARS, DO NOT COUNT BURGLARIES IN SECOND HOUSES >>

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q17a |
| (2) no | ---> GO TO Q18 |
| (3) don't know | ---> GO TO Q18 |
-

- 17a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q18 |
| (2) last year (1999) | ---> GO TO Q17b |
| (3) before then | ---> GO TO Q18 |
| (4) don't know/can't remember | ---> GO TO Q18 |
-

- 17b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |
-

ATTEMPTED BURGLARY

18. Apart from this, over the past five years, do you have any evidence that someone tried to get into your house or flat unsuccessfully. For example, damage to locks, doors or windows, or scratches around the lock?

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q18a |
| (2) no | ---> GO TO Q19 |
| (3) don't know | ---> GO TO Q19 |
-

- 18a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q19 |
| (2) last year (1999) | ---> GO TO Q18b |
| (3) before then | ---> GO TO Q19 |
| (4) don't know/can't remember | ---> GO TO Q19 |
-

- 18b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |
-

ALL RESPONDENTS

Next I want to ask you some questions about what may have happened to you personally. Things that you have mentioned already or which happened to other members of your household must not be mentioned now.

ROBBERY

19. Over the past five years has anyone taken something from you, by using force, or threatening you? Or did anyone try to do so?

<< INT.: PICKPOCKETING MUST BE REPORTED UNDER Q20 >>

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q19a |
| (2) no | ---> GO TO Q20 |
| (3) don't know | ---> GO TO Q20 |
-

- 19a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q20 |
| (2) last year (1999) | ---> GO TO Q19b |
| (3) before then | ---> GO TO Q20 |
| (4) don't know/can't remember | ---> GO TO Q20 |
-

- 19b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |
-

PERSONAL THEFTS

<< INT.: READ SLOWLY >>

20. Apart from theft involving force, there are many other types of theft of personal property, such as pick pocketing or the theft of a purse, wallet, clothing, jewellery, sports equipment at one's work, at school, in a pub, on public transport, on the beach or in the street. Over the past five years, have you personally been the victim of any of these thefts?

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q20a |
| (2) no | ---> GO TO Q21 |
| (3) don't know | ---> GO TO Q21 |
-

- 20a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q21 |
| (2) last year (1999) | ---> GO TO Q20b |
| (3) before then | ---> GO TO Q21 |
| (4) don't know/can't remember | ---> GO TO Q21 |
-

- 20b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |
-

ALL RESPONDENTS

I would now like to ask you some questions about crimes of violence of which you personally may have been the victim.

SEXUAL OFFENCES

WOMEN ONLY, MEN GO TO Q22

21. First, a rather personal question. People sometimes grab, touch or assault others for sexual reasons in a really offensive way. This can happen either at home or elsewhere, for instance in a pub, the street, at school, on public transport, in cinemas, on the beach or at one's workplace.

Over the past five years has anyone done this to you? Please take your time to think about it.

<< INT.: INCLUDE DOMESTIC SEXUAL ABUSE >>

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q21a |
| (2) no | ---> GO TO Q22 |
| (3) don't know | ---> GO TO Q22 |

21a. When did this happen? Was this ... << INT.: READ OUT >>

- | | |
|-------------------------------|-----------------|
| (1) this year | ---> GO TO Q22 |
| (2) last year (1999) | ---> GO TO Q21b |
| (3) before then | ---> GO TO Q22 |
| (4) don't know/can't remember | ---> GO TO Q22 |

21b. << INT.: IF 1999 >> How often did it happen in 1999?

- | |
|------------------------|
| (1) once |
| (2) twice |
| (3) three times |
| (4) four times |
| (5) five times or more |
| (6) don't know |

ASSAULTS/THREATS

ALL RESPONDENTS

22. Apart from the incidents just covered, have you over the past five years been personally attacked or threatened by someone in a way that really frightened you either at home or elsewhere, such as in a pub, in the street, at school, on public transport, on the beach, or at your workplace?

<< INT.: INCLUDE HERE DOMESTIC ASSAULTS AND SEXUAL VIOLENCE AGAINST MEN, IF MENTIONED BY RESPONDENT >>

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q22b |
| (2) no | ---> GO TO Q22a |
| (3) don't know | ---> GO TO Q22a |

-
- 22a. Take your time to consider. An incident of this sort might also have involved your partner, family member or a close friend. So apart from incidents already covered, have you in the past five years been personally attacked or threatened by someone you know in a way that really frightened you?

- | | | |
|----|------------|----------------------|
| 1) | Yes | ---> GO TO Q22b |
| 2) | No | ---> TO CODING SHEET |
| 3) | don't know | ---> TO CODING SHEET |
| 4) | refusal | ---> TO CODING SHEET |
-

22b. When did this happen? Was this ... << INT.: READ OUT >>

- | | | |
|-------------------------------|-----|-----------------|
| (1) this year | --- | TO CODING SHEET |
| (2) last year (1999) | --- | GO TO Q22c |
| (3) before then | --- | TO CODING SHEET |
| (4) don't know/can't remember | --- | TO CODING SHEET |

22c. << INT.: IF 1999 >> How often did it happen in 1999?

- (1) once
- (2) twice
- (3) three times
- (4) four times
- (5) five times or more
- (6) don't know

<< INT.: GO TO INTERVIEWER OFFENCE CODING SHEET >>

INTERVIEWER:

CHECK EACH OFFENCE ONE BY ONE AND NOTE DOWN ON OFFENCE CODING SHEET.

IF VICTIM WITHIN 5 YEARS, GO TO QUESTION AS INDICATED IN LAST COLUMN.

e.g., If victim of car theft, go to Q 23.

IF VICTIM WITHIN LAST FIVE YEARS OF MORE THAN ONE OFFENCE, WORK THROUGH QUESTIONS IN ORDER

e.g., If victim of bicycle theft and a robbery, go to Q27 and work through to Q27b.
Then, checking this sheet again, go to Q30 and work through to Q30p.

AFTER CHECKING ALL THROUGH THIS CODING SHEET AND COMPLETING DETAILS OF ALL OFFENCES,
GO TO Q34.

Could I now go back to ask you about the crimes you said that happened to you or your household.

VICTIMS OF THEFT OF CAR (yes at Q10)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

23. First of all you mentioned the theft of a car within the last five years.
(The last time) did this incident happen at your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED>>

<< INT. INCLUDE INCIDENTS THAT TOOK PLACE IN GARAGES, SHEDS, DRIVEWAYS, ETC. AS CODE 1 >>

- 1) at home
- 2) near own home
- 3) at the workplace
- 4) elsewhere in the city or local area
- 5) elsewhere in the country
- 6) abroad
- 7) don't know

23a. (The last time) was the car/van ever recovered?

- (1) yes
- (2) no
- (3) don't know

23b. (The last time) did you or anyone else report the incident to the police?

- (1) yes
- (2) no
- (3) don't know

23c. Taking everything into account, how serious was the incident for you or your household.
Was it very serious, somewhat serious, or not very serious?

- | | |
|----------------------|---------------|
| (1) very serious | |
| (2) somewhat serious | CHECK OFFENSE |
| (3) not very serious | CODING SHEET |

VICTIMS OF THEFT FROM CAR (yes at Q11)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

24. You said you had been the victim of a theft from a car within the last five years.
(The last time) did this incident happen at your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED>>

<< INT. INCLUDE INCIDENTS THAT TOOK PLACE IN GARAGES, SHEDS, DRIVEWAYS, ETC. AS CODE 1 >>

- 1) at home
 - 2) near own home
 - 3) at the workplace
 - 4) elsewhere in the city or local area
 - 5) elsewhere in the country
 - 6) abroad
 - 7) don't know
-

24a. (The last time) did you or anyone else report that incident to the police?

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO 24b |
| (2) no | ---> GO TO Q24e |
| (3) don't know | ---> GO TO Q24f |
-

<< INT. IF YES, NOTE WHETHER THE REPORT WAS MADE BY THE RESPONDENT OR SOMEBODY ELSE AND ADJUST QUESTION ACCORDINGLY>>

24b. << INT.: IF YES >> Why did you (they) report it to the police?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) To recover property
 - (2) For insurance reasons
 - (3) Crimes should be reported/serious event
 - (4) Wanted offender to be caught/punished
 - (5) To stop it happening again
 - (6) To get help
 - (7) To get compensation from the offender
 - (8) Other
-

24c. On the whole, were you (were they) satisfied with the way the police dealt with your (their) report?

- | | |
|-----------------------|-----------------|
| (1) yes (satisfied) | ---> GO TO Q24f |
| (2) no (dissatisfied) | ---> GO TO Q24d |
| (3) don't know | ---> GO TO Q24f |
-

24d. << INT.: IF DISSATISFIED (Q24c = 2)

For what reason were you (they) dissatisfied? You can give more than one reason.

- (1) didn't do enough
- (2) were not interested
- (3) didn't find or apprehend the offender
- (4) didn't recover my property (goods)
- (5) didn't keep me properly informed
- (6) didn't treat me correctly/were impolite
- (7) were slow to arrive
- (8) other reasons (PLEASE SPECIFY)
-
- (9) don't know

GO TO Q24f

24e. << INT.: IF NOT >> Why didn't you or no-one else report it?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) not serious enough/no loss/kid's stuff
 - (2) solved it myself/perpetrator known to me
 - (3) inappropriate for police/police not necessary
 - (4) reported to other public or private agencies
 - (5) my family solved it
 - (6) no insurance
 - (7) police could do nothing/lack of proof
 - (8) police won't do anything about it
 - (9) fear/dislike of the police/no involvement wanted with police
 - (10) didn't dare (for fear of reprisal)
 - (11) other reasons (SPECIFY)
 -
 - (12) don't know
-

24f. Taking everything into account, how serious was the incident for you or your household.
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

CHECK OFFENSE
CODING SHEET

VICTIMS OF DAMAGE/VANDALISM TO CAR (yes at Q12)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

25. The damage that you mentioned was done to your vehicle in the last five years.
(The last time) did this incident happen at your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED >>

<< INT. INCLUDE INCIDENTS THAT TOOK PLACE IN GARAGES, SHEDS, DRIVEWAYS, ETC. AS CODE 1 >>

- 1) at home
- 2) near own home
- 3) at the workplace
- 4) elsewhere in the city or local area
- 5) elsewhere in the country
- 6) abroad
- 7) don't know

25a. (The last time) did you or anyone else report the incident to the police?

- (1) yes
- (2) no
- (3) don't know

25b. Taking everything into account, how serious was the incident for you or your household?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

CHECK OFFENSE
CODING SHEET

VICTIMS OF THEFT OF MOTOR SCOOTERS/ MOTORCYCLES (yes at Q14)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

26. You mentioned that you have been the victim of a theft of a motor scooter/ motorcycle within the past five years.
(The last time) did this incident happen at your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED >>

<< INT. INCLUDE INCIDENTS THAT TOOK PLACE IN GARAGES, SHEDS, DRIVEWAYS, ETC. AS CODE 1 >>

- 1) at home
- 2) near own home
- 3) at the workplace
- 4) elsewhere in the city or local area
- 5) elsewhere in the country
- 6) abroad
- 7) don't know

26a. (The last time) did you or anyone else report the incident to the police?

- (1) yes
 - (2) no
 - (3) don't know
-

26b. Taking everything into account, how serious was the incident for you or your household?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

CHECK OFFENSE
CODING SHEET

VICTIMS OF THEFT OF BICYCLES (yes at Q16)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

27. The bicycle theft that you mentioned over the past five years.
(The last time) did this incident happen at your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED>>

<< INT. INCLUDE INCIDENTS THAT TOOK PLACE IN GARAGES, SHEDS, DRIVEWAYS, ETC. AS CODE 1 >>

- 1) at home
- 2) near own home
- 3) at the workplace
- 4) elsewhere in the city or local area
- 5) elsewhere in the country
- 6) abroad
- 7) don't know

27a. (The last time) did you or anyone else report the incident to the police?

- (1) yes
- (2) no
- (3) don't know

27b. Taking everything into account, how serious was the incident for you or your household?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

CHECK OFFENSE
CODING SHEET

VICTIMS OF BURGLARY (yes at Q17)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

28. You said a burglar got into your home without permission in the last five years.
(The last time) was anything actually stolen?

- (1) yes
- (2) no

---> GO TO Q28a
---> GO TO Q28c

28a. What was stolen? << INT.: RECORD >>

.....
.....
.....
.....

28b. (If something stolen) What do you estimate roughly was the value of the property stolen?
<< INT.: WRITE IN COST, EVEN IF ONLY A ROUGH ESTIMATE - IF THE RESPONDENT IS UNCLEAR, ASK FOR THE REPLACEMENT VALUE >>

.....

28c. (The last time) was there any damage done?

- | | |
|---------|-----------------|
| (1) yes | ---> GO TO Q28d |
| (2) no | ---> GO TO Q28e |

28d. (If something damaged) What do you estimate roughly was the value of the property damaged?
<< INT.: WRITE IN COST, EVEN IF ONLY A ROUGH ESTIMATE >>

.....

28e. (The last time) did you or anyone else report the incident to the police?

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q28f |
| (2) no | ---> GO TO Q28i |
| (3) don't know | ---> GO TO Q28j |

<< INT. IF YES, NOTE WHETHER THE REPORT WAS MADE BY THE RESPONDENT OR SOMEBODY ELSE AND ADJUST QUESTION ACCORDINGLY>>

28f.<< INT.: IF YES >> Why did you (they) report it to the police?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) To recover property
- (2) For insurance reasons
- (3) Crimes should be reported/serious event
- (4) Wanted offender to be caught/punished
- (5) To stop it happening again
- (6) To get help
- (7) To get compensation from the offender
- (8) Other

28g. On the whole, were you (were they) satisfied with the way the police dealt with your (their) report?

- | | |
|-----------------------|-----------------|
| (1) yes (satisfied) | ---> GO TO Q28j |
| (2) no (dissatisfied) | ---> GO TO Q28h |
| (3) don't know | ---> GO TO Q28j |

28h.<< INT.: IF DISSATISFIED (Q28g = 2)

For what reason were you (they) dissatisfied? You can give more than one reason.

- (1) didn't do enough
- (2) were not interested
- (3) didn't find or apprehend the offender
- (4) didn't recover my property (goods)
- (5) didn't keep me properly informed
- (6) didn't treat me correctly/were impolite
- (7) were slow to arrive
- (8) other reasons (PLEASE SPECIFY)
-
- (9) don't know

GO TO Q28j

28i. << INT.: IF NOT >> Why didn't you or no-one else report it?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) not serious enough/no loss/kid's stuff
- (2) solved it myself/perpetrator known to me
- (3) inappropriate for police/police not necessary
- (4) reported to other public or private agencies
- (5) my family solved it
- (6) no insurance
- (7) police could do nothing/lack of proof
- (8) police won't do anything about it
- (9) fear/dislike of the police/no involvement wanted with police
- (10) didn't dare (for fear of reprisal)
- (11) other reasons (SPECIFY)
.....
- (12) don't know

28j. Taking everything into account, how serious was the incident for you or your household?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

28k. In some countries, agencies have been set up to help victims of crime by giving information, or practical or emotional support. Did you get help from such a specialised agency?

- (1) yes --> GO TO CODING SHEET
- (2) no --> GO TO Q28l

28l. Do you feel the services of a specialised agency to help victims of crime would have been useful for you?

- (1) no, not useful
- (2) yes, useful
- (3) don't know

CHECK OFFENSE
CODING SHEET

VICTIMS OF ATTEMPTED BURGLARY (yes at Q18)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

29. You said a burglar tried to get into your home in the last five years.
(The last time) did you or anyone else report the incident to the police?

- (1) yes
- (2) no
- (3) don't know

29a. Taking everything into account, how serious was the incident for you or your household?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
 - (2) somewhat serious
 - (3) not very serious
- CHECK OFFENSE
CODING SHEET

VICTIMS OF ROBBERY (yes at Q19)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

30. The theft involving force that had happened to you in the last five years.
(The last time) did this incident happen in your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED>>

- 1) in own home
 - 2) near own home
 - 3) at the workplace
 - 4) elsewhere in the city or local area
 - 5) elsewhere in the country
 - 6) abroad
 - 7) don't know
-

30a. (The last time) How many people were involved in committing this offence?

- (1) one person
 - (2) two people
 - (3) three or more people
 - (4) don't know
-

30b. (About the last incident) Did you know the offender(s) by name or by sight?

<< INT.: IF MORE THAN ONE OFFENDER, COUNT AS KNOWN, IF AT LEAST ONE KNOWN >>

- (1) did not know offender(s)
 - (2) known by sight only
 - (3) know by name
 - (4) did not see offender
-

30c. Did (any of) the offender(s) have a knife, a gun, another weapon or something used as a weapon?

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q30d |
| (2) no | ---> GO TO Q30g |
| (3) don't know | ---> GO TO Q30g |
-

30d. (If weapon) What was it? << INT.: READ OUT >>

- | | |
|--------------------------------|-----------------|
| (1) knife | ---> GO TO Q30f |
| (2) gun | ---> GO TO Q30e |
| (3) other weapon/stick | ---> GO TO Q30f |
| (4) something used as a weapon | ---> GO TO Q30f |
| (5) don't know | ---> GO TO Q30f |
-

30e. Was it a handgun or a long gun?

<<INT. LONG GUNS INCLUDE SHOTGUNS, RIFLES OR MACHINEGUNS>>

- 1) handgun
 - 2) long gun (shotgun, rifle, machinegun)
 - 3) don't know
-

30f. Was the weapon actually used?

- (1) yes
 - (2) no
 - (3) don't know
-

30g. Did the offender actually steal something from you?

- (1) yes
- (2) no

30h. (The last time) did you or anyone else report the incident to the police?

- (1) yes ---> GO TO Q30i
- (2) no ---> GO TO Q30l
- (3) don't know ---> GO TO Q30n

<< INT. IF YES, NOTE WHETHER THE REPORT WAS MADE BY THE RESPONDENT OR SOMEBODY ELSE AND ADJUST QUESTION ACCORDINGLY>>

30i. Why did you (they) report it to the police?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) To recover property
- (2) For insurance reasons
- (3) Crimes should be reported/serious event
- (4) Wanted offender to be caught/punished
- (5) To stop it happening again
- (6) To get help
- (7) To get compensation from the offender
- (8) Other

30j. On the whole, were you (were they) satisfied with the way the police dealt with your (their) report?

- (1) yes (satisfied) ---> GO TO Q30n
- (2) no (dissatisfied) ---> GO TO Q30k
- (3) don't know ---> GO TO Q30n

30k.<< INT.: IF DISSATISFIED (Q30j = 2)

For what reasons were you (they) dissatisfied? You can give more than one reason.

- (1) didn't do enough
- (2) were not interested
- (3) didn't find or apprehend the offender
- (4) didn't recover my property (goods)
- (5) didn't keep me properly informed
- (6) didn't treat me correctly/were impolite
- (7) were slow to arrive
- (8) other reasons (PLEASE SPECIFY)
-
- (9) don't know

GO TO Q30n

30l. << INT.: IF NOT >> Why didn't you report it?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) not serious enough/no loss/kid's stuff
- (2) solved it myself/perpetrator known to me
- (3) inappropriate for police/police not necessary
- (4) reported to other public or private agencies
- (5) my family solved it
- (6) no insurance
- (7) police could do nothing/lack of proof
- (8) police won't do anything about it
- (9) fear/dislike of the police/no involvement wanted with police
- (10) didn't dare (for fear of reprisal)
- (11) other reasons (SPECIFY)
.....
- (12) don't know

30m. Can I just check then, (the last time) did you or anyone else report it to any public or private agency?

- (1) yes
- (2) no
- (3) don't know

30n. Taking everything into account, how serious was the incident for you?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

30o. In some countries, agencies have been set up to help victims of crime by giving information, or practical or emotional support. Did you get help from such a specialised agency?

- (1) yes --> GO TO CODING SHEET
- (2) no --> GO TO Q30p

30p. Do you feel the services of a specialised agency to help victims of crime would have been useful for you?

- (1) no, not useful
- (2) yes, useful
- (3) don't know

CHECK OFFENSE
CODING SHEET

VICTIMS OF THEFT OF PERSONAL PROPERTY (yes at Q20)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

31. The theft of personal property that you mentioned that happened to you in the last five years.

(The last time) did this incident happen in your own home, near your own home, at work, elsewhere in your city or local area, elsewhere in the country or abroad?

<< INT. IF VICTIM MORE THAN ONCE IN THE PAST FIVE YEARS, ASK ABOUT THE LAST TIME IT HAPPENED>>

- 1) in own home
 - 2) near own home
 - 3) at the workplace
 - 4) elsewhere in the city or local area
 - 5) elsewhere in the country
 - 6) abroad
 - 7) don't know
-

31a. (The last time) Were you holding or carrying what was stolen (e.g., was it a case of pick pocketing?)

- (1) yes
- (2) no

31b. (The last time) did you or anyone else report that incident to the police?

- (1) yes
- (2) no
- (3) don't know

31c. Taking everything into account, how serious was the incident for you.
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

CHECK OFFENSE
CODING SHEET

VICTIMS OF SEXUAL OFFENCES (yes at Q21)

(WOMEN ONLY)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED).

32. You mentioned that you had been a victim of a sexual offence in the past five years.
Could I ask you, (The last time) did this incident happen in your own home, near your own home, at work, elsewhere in your town or city or local, area, elsewhere in the country or abroad?

- (1) in own home
- (2) near own home
- (3) at the workplace
- (4) elsewhere in the city or local area
- (5) elsewhere in the country
- (6) abroad
- (7) don't know

32a. (The last time) How many people were involved in committing the offence?

- (1) one person
- (2) two people
- (3) three or more people
- (4) don't know

32b. (About the last incident) Did you know the offender(s) by name or by sight?

<< INT.: IF MORE THAN ONE OFFENDER, COUNT AS KNOWN, IF AT LEAST ONE KNOWN >>

- (1) did not know offender(s) ---> GO TO Q32d
- (2) known by sight only ---> GO TO Q32d
- (3) know by name ---> GO TO Q32c
- (4) did not see offender(s) ---> GO TO 32d

32c. (Only if known by name)

Were any of them your spouse, ex-spouse, partner, ex-partner, boyfriend, ex-boyfriend, a relative or a close friend or was it someone you work with?

<< INT. MEANS RELATIONSHIP AT TIME OF THE OFFENCES>>

<<IF UNCLEAR, PROBE WHETHER EX-SPOUSE, EX-PARTNER,
EX-BOYFRIEND AT TIME OF THE OFFENCE >>

<< MULTIPLE ANSWERS ALLOWED >>

- 1) spouse, partner, (at the time)
- 2) ex-spouse, ex-partner, (at the time)
- 3) boyfriend (at the time)
- 4) ex-boyfriend (at the time)
- 5) relative
- 6) close friend
- 7) someone they work with
- 8) none of these
- 9) refuses to say

32d. Did any of the offender(s) have a knife, a gun, another weapon or something used as a weapon?

- | | | |
|----------------|-----|------------|
| (1) yes | --- | GO TO Q32e |
| (2) no | --- | GO TO Q32g |
| (3) don't know | --- | GO TO Q32g |

32e. (If weapon) What was it? << INT.: READ OUT >>

- (1) knife
- (2) gun
- (3) other weapon/stick
- (4) something used as a weapon
- (5) don't know

32f. Was the weapon actually used?

- (1) yes
- (2) no
- (3) don't know

32g. Taking everything into account, how serious was the incident for you?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
- (2) somewhat serious
- (3) not very serious

32h. Would you describe the incident as a rape (forced intercourse), an attempted rape, an indecent assault, or as just behaviour which you found offensive?

- (1) a rape
 - (2) an attempted rape
 - (3) indecent assault
 - (4) offensive behaviour
 - (5) don't know
-

32i. Do you regard the incident as a crime?

- (1) yes
- (2) no
- (3) don't know

32j. (The last time) did you or anyone else report that incident to the police?

- (1) yes ---> GO TO Q32k
- (2) no ---> GO TO Q32n
- (3) don't know ---> GO TO Q32p

<< INT. IF YES, NOTE WHETHER THE REPORT WAS MADE BY THE RESPONDENT OR SOMEBODY ELSE AND ADJUST QUESTION ACCORDINGLY>>

32k.<< INT.: IF YES >> Why did you (they) report it to the police?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) To recover property
- (2) For insurance reasons
- (3) Crimes should be reported/serious event
- (4) Wanted offender to be caught/punished
- (5) To stop it happening again
- (6) To get help
- (7) To get compensation from the offender
- (8) Other

32l. On the whole, were you (were they) satisfied with the way the police dealt with your (their) report?

- (1) yes (satisfied) ---> GO TO Q32p
- (2) no (dissatisfied) ---> GO TO Q32m
- (3) don't know ---> GO TO Q32p

32m. << INT.: IF DISSATISFIED (Q32l = 2)

For what reasons were you (they) dissatisfied? You can give more than one reason.

- (1) didn't do enough
- (2) were not interested
- (3) didn't find or apprehend the offender
- (4) didn't recover my property (goods)
- (5) didn't keep me properly informed
- (6) didn't treat me correctly/were impolite
- (7) were slow to arrive
- (8) other reasons (PLEASE SPECIFY)
.....
- (9) don't know

GO TO Q32p

32n. << INT.: IF NOT >> Why didn't you report it?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) not serious enough/no loss/kid's stuff
 - (2) solved it myself/perpetrator known to me
 - (3) inappropriate for police/police not necessary
 - (4) reported to other public or private agencies
 - (5) my family solved it
 - (6) no insurance
 - (7) police could do nothing/lack of proof
 - (8) police won't do anything about it
 - (9) fear/dislike of the police/no involvement wanted with police
 - (10) didn't dare (for fear of reprisal)
 - (11) other reasons (SPECIFY)
 - (12) don't know
-

32o. Can I just check then, (the last time) did you or anyone else report it to any public or private agency?

- (1) yes
 - (2) no
 - (3) don't know
-

32p. In some countries, agencies have been set up to help victims of crime by giving information, or practical or emotional support. Did you get help from such a specialised agency?

- (1) yes --> GO TO CODING SHEET
 - (2) no --> GO TO Q32q
-

32q. Do you feel the services of a specialised agency to help victims of crime would have been useful for you?

- (1) no, not useful
- (2) yes, useful
- (3) don't know

CHECK OFFENSE
CODING SHEET

VICTIMS OF ASSAULT/THREATS (yes at Q22)

<< INT.: IF VICTIM MORE THAN ONCE, ASK ABOUT THE LAST TIME WITHIN THE PAST FIVE YEARS THAT THIS EVER HAPPENED >>

33. The assault or threat you mentioned that happened to you in the last five years. (The last time) did this incident happen in your own home, near your own home, at work, elsewhere in your town or city or local, area, elsewhere in the country or abroad?

- (1) in own home
 - (2) near own home
 - (3) at the workplace
 - (4) elsewhere in the city or local area
 - (5) elsewhere in the country
 - (6) abroad
 - (7) don't know
-

33a. (The last time) How many people were involved in committing the offence?

- (1) one person
 - (2) two people
 - (3) three or more people
 - (4) don't know
-

33b. (About the last incident) Did you know the offender(s) by name or by sight?
<< INT.: IF MORE THAN ONE OFFENDER, COUNT AS KNOWN, IF AT LEAST ONE KNOWN >>

- (1) did not know offender(s) ---> GO TO Q33d
 - (2) known by sight only ---> GO TO Q33d
 - (3) know by name ---> GO TO Q33c
 - (4) did not see offender ---> GO TO Q33d
-

33c. (Only if known by name) Were any of them your spouse, ex-spouse, partner, ex-partner, boyfriend, ex-boyfriend, a relative or a close friend or was it someone you work with?

<< INT. MEANS RELATIONSHIP AT TIME OF THE OFFENCES>>

<<IF UNCLEAR, PROBE WHETHER EX-SPOUSE, EX-PARTNER,
EX-BOYFRIEND AT TIME OF THE OFFENCE >>

<< MULTIPLE ANSWERS ALLOWED >>

- 1) spouse, partner, (at the time)
 - 2) ex-spouse, ex-partner, (at the time)
 - 3) boyfriend (at the time)
 - 4) ex-boyfriend (at the time)
 - 5) relative
 - 6) close friend
 - 7) someone they work with
 - 8) none of these
 - 9) refuses to say
-

33d. (The last time) can you tell me what actually happened, were you threatened, or was force used?

- (1) just threatened
 - (2) force used
 - (3) don't know
-

33e. Did (any of) the offender(s) have a knife, a gun, another weapon or something used as a weapon?

- (1) yes ---> GO TO Q33f
 - (2) no ---> GO TO Q33h
 - (3) don't know ---> GO TO Q33h
-

33f. (If weapon) What was it? << INT.: READ OUT >>

- (1) knife
 - (2) gun
 - (3) other weapon/stick
 - (4) something used as a weapon
 - (5) don't know
-

33g. Was the weapon actually used?

- (1) yes
 - (2) no
 - (3) don't know
-

33h. Did you suffer an injury as a result?

- (1) yes ---> GO TO Q33i
 - (2) no ---> GO TO Q33j
-

33i. (If injury) Did you see a doctor or a healer as a result?

- (1) yes
 - (2) no
-

33j. (The last time) did you or anyone else report that last incident to the police?

- (1) yes ---> GO TO Q33k
 - (2) no ---> GO TO Q33n
 - (3) don't know ---> GO TO Q33p
-

<< INT. IF YES, NOTE WHETHER THE REPORT WAS MADE BY THE RESPONDENT OR SOMEBODY ELSE AND ADJUST QUESTION ACCORDINGLY>>

33k. Why did you (they) report it to the police?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) To recover property
 - (2) For insurance reasons
 - (3) Crimes should be reported/serious event
 - (4) Wanted offender to be caught/punished
 - (5) To stop it happening again
 - (6) To get help
 - (7) To get compensation from the offender
 - (8) Other
-

33l. On the whole, were you (were they) satisfied with the way the police dealt with your (their) report?

- (1) yes (satisfied) ---> GO TO Q33p
 - (2) no (dissatisfied) ---> GO TO Q33m
 - (3) don't know ---> GO TO Q33p
-

33m.<< INT.: IF DISSATISFIED (Q314i2 = 2)

For what reasons were you (they) dissatisfied? You can give more than one reason.

- (1) didn't do enough
- (2) were not interested
- (3) didn't find or apprehend the offender
- (4) didn't recover my property (goods)
- (5) didn't keep me properly informed
- (6) didn't treat me correctly/were impolite
- (7) were slow to arrive
- (8) other reasons (PLEASE SPECIFY)
-
- (9) don't know

GO TO Q33p

33n. << INT.: IF NOT >> Why didn't you report it?

<< INT.: MULTIPLE RESPONSES ALLOWED >>

<< INT.: IF NO CLEAR ANSWER: Can you tell me a little more?

- (1) not serious enough/no loss/kid's stuff
 - (2) solved it myself/perpetrator known to me
 - (3) inappropriate for police/police not necessary
 - (4) reported to other public or private agencies
 - (5) my family solved it
 - (6) no insurance
 - (7) police could do nothing/lack of proof
 - (8) police won't do anything about it
 - (9) fear/dislike of the police/no involvement wanted with police
 - (10) didn't dare (for fear of reprisal)
 - (11) other reasons (SPECIFY)
 -
 - (12) don't know
-

33o. Can I just check, (the last time) did you or anyone else report it to any public or private agency?

- (1) yes
 - (2) no
 - (3) don't know
-

33p. Taking everything into account, how serious was the incident for you?
Was it very serious, somewhat serious, or not very serious?

- (1) very serious
 - (2) somewhat serious
 - (3) not very serious
-

33q. Do you regard the incident as a crime?

- (1) yes
 - (2) no
 - (3) don't know
-

33r. In some countries, agencies have been set up to help victims of crime by giving information, or practical or emotional support. Did you get help from such a specialised agency?

- (1) yes --> GO TO CODING SHEET
 - (2) no --> GO TO Q33s
-

33s. Do you feel the services of a specialised agency to help victims of crime would have been useful for you?

- (1) no, not useful
- (2) yes, useful
- (3) don't know

CHECK OFFENSE
CODING SHEET

CONSUMER FRAUD

ALL RESPONDENTS

34. Now changing the subject a little. Last year (in 1999), were you the victim of a consumer fraud?

In other words, has someone when selling something to you or delivering a service cheated you in terms of quantity or quality of the goods/service?

- (1) yes ---> GO TO Q34a
 - (2) no ---> GO TO Q35
 - (3) don't know ---> GO TO Q35
-

<< INT.: IF MORE THAN ONCE, ASK ABOUT THE LAST TIME >>

34a. << INT.: IF YES >> (The last time) how did this fraud take place? Was it to do with ...

<< INT.: READ OUT >>

- (1) construction or repair work
 - (2) work done by a garage
 - (3) a hotel, restaurant or pub
 - (4) a shop of some sort
 - (5) some other things (PLEASE SPECIFY)
.....
 - (6) <don't know> DON'T READ OUT
-

34b. (The last time), did you or anyone else report this consumer fraud to the police?

- (1) yes ---> GO TO Q35
 - (2) no ---> GO TO Q34c
 - (3) don't know ---> GO TO Q35
-

34c. (The last time) did you or anyone else report it to any public or private agency?

- | | | |
|----------------|-----|------------|
| (1) yes | --- | GO TO Q34d |
| (2) no | --- | GO TO Q35 |
| (3) don't know | --- | GO TO Q35 |

34d. <<IF YES>> Who did you report it to?

.....
.....

CORRUPTION

35. In some areas there is a problem of corruption among government or public officials. During 1999, has any government official, for instance a customs officer, police officer or inspector in your own country, asked you or expected you to pay a bribe for his service?

- | | | |
|----------------|-----|------------|
| (1) yes | --- | GO TO Q35a |
| (2) no | --- | GO TO Q35i |
| (3) don't know | --- | GO TO Q35i |

<< INT.: IF MORE THAN ONCE, ASK ABOUT THE LAST TIME >>
35a. << INT.: IF YES >> (The last time) What type of official was involved (the last time)?

- | |
|----------------------------------|
| (1) government official |
| (2) customs officer |
| (3) police officer |
| (4) inspector |
| (5) elected municipal councilors |
| (6) municipal officials |
| (7) tax/revenues officials |
| (8) doctors / nurses |
| (9) teachers / professors |
| (10) officials in courts |
| (11) private sector |
| (12) other (PLEASE SPECIFY) |
| |
| |

35b. (The last time), did you or anyone else report this to the police?

- | | | |
|----------------|-----|------------|
| (1) yes | --- | GO TO Q35e |
| (2) no | --- | GO TO Q35c |
| (3) don't know | --- | GO TO Q35i |

35c. (The last time) did you or anyone else report it to any public or private agency?

- | | | |
|----------------|-----|------------|
| (1) yes | --- | GO TO Q35d |
| (2) no | --- | GO TO Q35h |
| (3) don't know | --- | GO TO Q35h |

35d. <<IF YES>> Who did you report it to?

.....

continue with Q35h

35e. (if reported) Why did you report it?
<<INT. IF RESPONDENT DID NOT REPORT PERSONALLY, ASK ABOUT REASONS WHY OTHER PERSON
REPORTED == MULTIPLE RESPONSE >>

- 1) Considered it as a crime that should be reported/ serious event
- 2) Wanted offender to be caught/ punished
- 3) To recover the money
- 4) To stop the plight of corruption
- 5) To get help
- 6) To get compensation from the offender
- 7) Other reason

Continue with question 35f

35f. On the whole, were you satisfied with the way the police dealt with your report?

- 1) yes (satisfied) ---> GO TO Q35i
 - 2) no (dissatisfied) ---> GO TO Q35g
 - 3) don't know ---> GO TO Q35i
-

35g. For what reasons were you dissatisfied? You can give more than one reason.
<< INT. MULTIPLE ANSWERS ALLOWED >>

- 1) didn't do enough
- 2) were not interested
- 3) didn't treat me correctly/were impolite
- 4) didn't find or apprehend the offender
- 5) didn't keep me properly informed about investigation
- 6) other reasons
- 7) don't know

Continue with question 35i

35h. (if not reported) Why didn't you report it to the police?
<< INT. IF NO CLEAR ANSWER: >> Can you tell me a little more?
<< INT. MULTIPLE ANSWERS ALLOWED >>

- 1) Because this way I solved my problem
- 2) police were involved
- 3) didn't dare for fear of reprisals from the official involved
- 4) not worth reporting
- 5) perpetrator known to me/long standing relationship
- 6) police wouldn't have done anything / wouldn't have been interested
- 7) didn't want the incident publicly known
- 8) reported to other authorities instead
- 9) fear/dislike of the police/no involvement wanted with police
- 10) lack of time / too much trouble
- 11) other reasons
- 12) don't know

Continue with question 35i

ALL RESPONDENTS

- 35i. It is known that in some countries the problem of corruption among government or public officials is highly perceived by citizens. Imagine a person who needs something that is entitled to him/her by law. Is it likely or not likely that this person would have to offer money, a present or a favour (i.e., more than official charge), to get help from:

	Category	1) Likely	2) Not likely	3) Don't know
1	Members of Parliament			
2	Officials in the ministries			
3	Elected municipal councilors			
4	Municipal officials			
5	Customs officials			
6	Police officers			
7	Tax/revenues officials			
8	Doctors / nurses			
9	Inspectors			
10	Teachers / Professors			
11	Officials in courts			
12	Private sector			

Continue with question 35j

- 35j. In comparison to ten years ago, is now easier or more difficult...

		1) Easier	2) More difficult	3) Don't know
1	To find the right official who will deal with your problem			
2	To get fair treatment			
3	To get a given official to do you a favour			

Continue with question 36

36. Now I would like to ask some questions about your area and about your opinion of crime in your area.
In some areas, people do things together and try and help each other, while in other areas people mostly go their own way. In general, what kind of area would you say you live in. Is it one where people mostly help each other, or where people mostly go their own way?

- (1) mostly help each other
- (2) mostly go their own way
- (3) mixture
- (4) don't know

37. How safe do you feel walking alone in your area after dark? Do you feel very safe, fairly safe, a bit unsafe, or very unsafe?

<< INT.: IF RESPONDENT SAYS NEVER GOES OUT, STRESS "HOW SAFE WOULD YOU FEEL" >>

- (1) very safe
- (2) fairly safe
- (3) bit unsafe
- (4) very unsafe

38. How safe do you feel when you are home alone after dark?
Do you feel very safe, fairly safe, a bit unsafe or very unsafe.

- 1) very safe
- 2) fairly safe
- 3) bit unsafe
- 4) very unsafe

39. What would you say are the chances that over the next twelve months someone will try to break into your home? Do you think this is very likely, likely or not likely?

- (1) very likely
 - (2) likely
 - (3) not likely
 - (4) don't know
-

40. Taking everything into account, how good do you think the police in your area is in controlling crime?
Do you think they do a very good job, a fairly good job, a fairly poor job or a very poor job?

- (1) very good job
 - (2) fairly good job
 - (3) fairly poor job
 - (4) very poor job
-

41. And what about the helpfulness of the police. How far would you agree that the police do everything they can to help people and be of service? Would you fully agree, tend to agree, tend to disagree or fully disagree?

- (1) fully agree
 - (2) tend to agree
 - (3) tend to disagree
 - (4) fully disagree
-

42. People have different ideas about the sentences which should be given to offenders. Take for instance the case of a man of 20 years old who is found guilty of burglary for the second time.
This time, he has stolen a colour TV. Which of the following sentences do you consider the most appropriate for such a case?

<< INT.: READ OUT - REPEAT IF NECESSARY >>

- (1) fine ---> GO TO Q43
 - (2) prison ---> GO TO Q42a
 - (3) community service ---> GO TO Q43
 - (4) suspended sentence ---> GO TO Q43
 - (5) any other sentence
(PLEASE SPECIFY)
.....
..... ---> GO TO Q43
 - (6) <don't know> (DO NOT READ) ---> GO TO Q43
-

42a. << INT.: IF PRISON - Q42 = 2 >>

For how long do you think he should go to prison?

- (1) 1 month or less
 - (2) 2 - 6 months
 - (3) 6 months - 1 year
 - (4) 1 year
 - (5) 2 years
 - (6) 3 years
 - (7) 4 years
 - (8) 5 years
 - (9) 6-10 years
 - (10) 11-15 years
 - (11) 16-19 years
 - (12) 20-24 years
 - (13) more than 24 years
 - (14) life sentence
 - (15) don't know
-

43. I now want to finish by asking a few more questions about yourself and your household.
How often do you personally go out in the evening for recreational purposes, for instance
to a pub, restaurant, cinema or to see friends? Is this almost every day, at least once a
week, at least once a month or less?

- (1) almost every day
 - (2) at least once a week
 - (3) at least once a month
 - (4) less often
 - (5) never
 - (6) don't know
-

<< OPTIONAL >>

43a. During the last week, how often were you visited by the following people who live in your
neighbourhood: immediate neighbours, other neighbours, relatives not living with you, or
friends.
Was this

- (1) three or more times
 - (2) twice
 - (3) once
 - (4) not at all
 - (5) don't know/can't remember
-

44. In order to help us understand why some homes are more at risk of crime than others, could
I ask you a few questions about the security of your houses? Is your house protected by
the following...

<<INT. ASSURE RESPONDENT THAT THESE DATA WILL BE TREATED CONFIDENTIALLY AND ANONYMOUSLY>>

<< INT. READ OUT>>

<<INT. MULTIPLE ANSWERS ALLOWED>>

- (1) a burglar alarm
 - (2) special door locks
 - (3) special window or door grilles
 - (4) a dog that would detect a burglar
 - (5) a high fence
 - (6) a caretaker or security guard
 - (7) a formal neighbourhood watch scheme
 - (8) friendly arrangements with neighbours to watch each other's houses.
 - (9) not protected by any of these
 - (10) respondent refuses to answer
-

<< OPTIONAL >>

45. Do you rent your house, or do you own it?

- | | |
|---------------------|-----------------|
| (1) house is rented | ---> GO TO Q45a |
| (2) house is owned | ---> GO TO Q46 |
| (3) other | ---> GO TO Q46 |
| (4) don't know | ---> GO TO Q46 |
-

<< OPTIONAL >>

45a. << INT.: IF RENTED >>

Is it rented from a private landlord, or from a local authority or public housing agency?

- (1) private landlord
 - (2) local authority
 - (3) public housing agency
 - (4) other landlord
-

46. There is much concern about crime committed by young people. Would you like to say what you think would be the most effective way of reducing crime by young people? You can give up to three ways if you wish.

<< INT. CODE UP TO THREE ANSWERS >>

- 1) Better discipline by parents / better parenting/family upbringing to give better respect for the law
 - 2) More discipline in school / better education
 - 3) Reducing poverty / increasing employment levels
 - 4) Better policing / more police
 - 5) Increasing sentences for crime / making sentences tougher
 - 6) Other answers
-

47. Do you or someone else in your household own a handgun, shotgun, rifle or air rifle?

- | | |
|----------------|-----------------|
| (1) yes | ---> GO TO Q47a |
| (2) no | ---> GO TO Q48 |
| (3) refused | ---> GO TO Q48 |
| (4) don't know | ---> GO TO Q48 |
-

47a. Could you tell me which sort of gun or guns you own?

<< INT.: MULTIPLE ANSWER POSSIBLE - CODE ALL GUNS IF MORE THAN ONE MENTIONED >>

- (1) handgun
 - (2) shotgun
 - (3) rifle
 - (4) air rifle
 - (5) other rifle
 - (6) don't know
 - (7) refused to say
-

47b. For what reason do you own the gun (guns)?

<< INT.: MULTIPLE ANSWER >>

- (1) for hunting
 - (2) target shooting (sports)
 - (3) as part of a collection (collector's item)
 - (4) for crime prevention/protection
 - (5) in armed forces or the police
 - (6) because it has always been in our family/home
 - (7) refused to answer
-

48. Is your house insured against burglary?

- (1) yes
 - (2) no
 - (3) don't know
-

Thank you very much for you co-operation in this survey. We realize that we have been asking you some difficult questions. So if you like, I can give you again a telephone number of a person in my office if you want to check.

INTERVIEWER OFFENCE CODING SHEET

	(1)	(2)	(3)	
	Non-vehicle owner	Non-victim	Victim 5 years	
				Yes at Q GO TO Q
Theft of cars			10	23
Theft from cars			11	24
Car damage/vandalism			12	25
Theft of motor scooters/cycles			14	26
Theft of bicycle			16	27
Burglary	xxx		17	28
Attempted burglary	xxx		18	29
Robbery	xxx		19	30
Personal thefts	xxx		20	31
Sexual offences	xxx		21	32
Assaults/threats	xxx		22	33

INTERVIEWER:

CHECK EACH OFFENCE ONE BY ONE. IF VICTIM WITHIN 5 YEARS, GO TO QUESTION AS INDICATED IN LAST COLUMN.

e.g., If victim of car theft, go to Q 23.

FOR VEHICLE OFFENCES: IF NON-VEHICLE OWNERS TICK FIRST COLUMN

IF VICTIM WITHIN LAST FIVE YEARS OF MORE THAN ONE OFFENCE, WORK THROUGH QUESTIONS IN ORDER

e.g., If victim of bicycle theft and a robbery, go to Q27 and work through to Q27b. Then, checking this sheet again, go to Q30 and work through to Q30p.

VICTIMS:

AFTER CHECKING ALL THROUGH THIS SHEET AND COMPLETING DETAILS OF ALL OFFENCES, GO TO Q34.

NON-VICTIMS:

IF NOT VICTIM OF ANY OFFENCE IN LAST 5 YEARS, GO TO Q34

03-55448 (E) 141003

