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CROSS-CUTTING ISSUES

Criminal Justice Information

Criminal justice
assessment
toolkit

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UNITED NATIONS OFFICE ON DRUGS AND CRIME
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Criminal Justice Assessment Toolkit

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1. INTRODUCTION TO THE ISSUE

Assessing a criminal justice system can be quite challenging, particularly when there is very little quantitative information available on the system itself, on the problems and the types of crime that it is confronted with, or on the resources at its disposal. The capacity and the current performance of the system itself are difficult to assess in the absence of that information. Unfortunately, the information that is available is often of dubious quality. Even when the required information has been collected and is available somewhere, it is often still difficult to gather and analyze the data that could provide an overview of the crime and security situation and the capacity of the system itself. Analyzing that data and understanding its limitations are sometimes beyond the ability of the assessor who is hard-pressed for time and cannot necessarily meet with representatives of the main agencies responsible for collecting that data.

Assessors should remain cautious when analyzing and interpreting the data they receive. Wherever possible, they should make use of local expertise in interpreting that data and understanding its limitations. They must remain alert to the possibility that they may have been provided only with the data that serve the purposes and interests of certain agencies or individuals. In the context of developing countries, the data that is provided is often outdated and one should ascertain whether it still valid. In many countries, census data – which is typically used to put some crime statistics in context and provide a basis from valid comparisons among jurisdictions or over time – is often weak or incomplete and may introduce even more uncertainty about the information that is available to the assessor.

Crime statistics do not necessarily provide a good indication of the prevalence of crime and victimization in a given country, because they are greatly influenced by the willingness of victims to report the crime to the police. Victims and witnesses of crime are unlikely to report it to the authorities when they do not have much trust in them or cannot reasonably expect much help from them.

One of the first steps in developing the capacity of a country to enhance the overall capacity of its criminal justice system often consists of assisting it in developing some simple criminal justice statistics and basic management information systems. That task has been among the stated priorities of the United Nations Crime Prevention and Criminal Justice Programme for many years. In fact, there were once great hopes that easier access to relatively inexpensive information management technologies would accelerate the development of greater national capacities to collect criminal justice information. That promise did not always come true and many countries still have wholly inadequate criminal justice information systems. Even in situations where countries have received some assistance to develop information systems, the effort to maintain such systems was not always sustained, and the integrity of these systems was often quickly compromised.

1.1 USES AND PURPOSES OF CRIMINAL JUSTICE INFORMATION

According to the United Nations Manual for the Development of a System of Criminal Justice Statistics:

> 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. (UN, 2003, p. 1)

Criminal justice statistics are used for several main interdependent purposes: administration, planning, evaluation, and policy research and analysis. They can also be used, at times, as a basis

for developing performance-monitoring indicators. From a management and accountability point of view, the timely collection of management information from which statistics can be derived is essential. According to the Manual mentioned above:

> 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. (UN, 2003, p. 1)

Donor agencies and development partners are typically concerned with developing the capacity of a country's justice and security sector and are very interested in developing reliable criminal justice information systems. Criminal justice information is essential to the proper planning of justice reforms and capacity building and technical assistance initiatives. For example, reforms to promote access to justice may be significantly advanced by a better understanding of the caseloads of the courts, the volume and nature of cases before them, the average time required for cases to be processed, or the typical delays involved in court proceedings. Donors are also keenly interested in monitoring the impact of the assistance they provide, and justice information systems can offer a useful basis for that process.

For the assessor, gaining access to criminal justice data can be complicated. Few countries have a centralized data collection system. In many countries, the data is collected by different agencies, using rules, protocols, and definitions that can vary widely from each other. During an assessment of a criminal justice system, the assessor typically is looking for: caseload data, case characteristics data, and resource data. In addition, the assessor may be trying to identify other information on the criminal justice process, the organizational structure of its various components, as well as the authority and responsibilities of each component. The last type of information is crucial because it makes it possible for the assessor to interpret the data on caseload, case characteristics, and resources.

1.2 TYPES OF TECHNICAL ASSISTANCE INTERVENTIONS

Technical assistance in the context of a broader strategic framework may include work that would support the:

- The detailed assessment of existing criminal justice information systems;

- The development of a system mapping to identify the flow of cases within the criminal justice system and map out the data that should be collected;

- The conduct of "feasibility studies" to determine whether necessary information is easily retrievable from existing records, "pre-tests" to determine particular forms or survey questions provide the information anticipated in the form anticipated, and "pilot studies" to test the value of large-scale series or surveys by first testing the implementation of small regional or local prototypes;

- The development and implementation of management information systems with a capacity to support management decisions and generate simple system-wide statistics;

- The development of agency-based management information system to enhance the management capacity and the accountability of various criminal justice agencies;

- The conduct of methodological studies to design and test cost-effective data-collection procedures;

- The development of human rights-based and other indicators to monitor the system's compliance with human rights and other international standards, e.g. juvenile justice indicators;

- The development of statistical reporting system to monitor the implementation and impact of compliance with international conventions such as, the UN Convention against Transnational Organized Crime;

- The development of performance indicators for various aspects of the criminal justice system, e.g., court delays, cases solve by the police, etc.;

- The development and conducting of pilot information gathering exercises;

- The development and conducting of victimization surveys;

- The training of criminal justice officials in the collection and utilization of statistical data and in the implementation of management information systems.

2. OVERVIEW OF AVAILABLE CRIME AND CRIMINAL JUSTICE INFORMATION

The first task consists of identifying what information is available. Unless some ministry or agency has been charged with the responsibility of collecting criminal justice data, the assessor will likely have to consult a variety of sources. Most countries have a centre of responsibility for collecting general statistics, e.g. a General Statistics Office. That centre, however, is not necessarily responsible for the collection of criminal justice statistics. Nevertheless, it often offers a good starting point for enquiries, as it will not only provide the assessor with some basic information on the country's population, economy and development situation, but frequently also will be helpful in identifying the main contacts within each criminal justice agency for obtaining relevant data.

In situations where crime and criminal justice information systems are inadequate or non-existent, part of the work of the assessor may involve exploring the feasibility and desirability of the country embarking in the development of such a system. In such cases, various forms of technical assistance may be provided to advance the process. In situations where some crime and/or criminal justice information exists, the assessor's role will also consist of identifying a number of key indicators that may contribute to the overall assessment of the justice system. At the same time, the assessor may also be able to identify specific areas, e.g. prison data, where the existing information system may require enhancements.

The country may have provided its response to the United Nations Survey on Crime Trends and the Operations of Criminal Justice Systems (CTS) at some point in the past. The Survey started in the 1970s and is carried out every two years. Its questionnaire consists of four parts dealing with information, primarily statistical, on the main components of the criminal justice system (police, prosecution, courts and prisons). The CTS questionnaire may guide the assessor in identifying the main crime and criminal justice statistical elements agreed upon by the international community for mutual exchange of information.

There may be crime statistics collected by Interpol. These data was collected at the international level until 2004, but has since been discontinued.

A "country profile" may be available from the UNODC field offices. The format for the profile places a heavy emphasis on the country situation with respect the illicit drugs, organized crime and terrorism and it may also contain some basic information about the criminal justice system, including some figures on personnel and resources. The guidelines for country profiles also suggest the collection of basic statistics and information on the population, and on the country's social and economic development.

Survey data may also be available, either from specialized victim surveys such as national surveys or the International Crime Victim Survey – ICVS or from multi-purpose surveys containing crime modules, the Afrobarometer for example.

Other development agencies, such as UNDP, World Bank, African Development Bank, Inter-American Development Bank, etc., will likely also have developed country profiles that may include relevant information.

2.1 SCOPE AND CONTENTS OF ADMINISTRATIVE CRIMINAL JUSTICE STATISTICS

The contents of a system of criminal justice statistics reflect the country's own legal system. It is the legal system that defines crimes and consequently designates individuals as offenders. Transnational differences in definitions of such widely used terms as "crime", "offence", "offender", "victim", "suspect", "charge", "conviction", or "sentence" are inevitable. Similar observations apply to data from the administrative records of the police, courts, and prisons.

Keeping in mind that, in most instances, there may not be a "comprehensive criminal justice information system", but rather a collection of agency-based data gathering systems of different quality and limited data coverage, the assessor will normally be trying to identify three main types of data that are typically included, to a varying extent, in a criminal justice information system. These include:

- **Caseload data**: Data that measure 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 filed 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. Caseload data is often expressed in terms of rates per population

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

- **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.

For information systems to be useful and provide reliable information, data reporting methods and practices must be clearly defined. As part of that exercise it is important to determine the level of data aggregation that will be deemed acceptable at each level. The more aggregated the reported data, the more restricted its future analysis.

The issue of collecting and reporting data disaggregated by age and by gender is a particularly important one. Given the crucial importance of the age and gender factors in determining the appropriate community and justice system responses to children in conflict with the law, all indicators should preferably distinguish between different age categories. Data should also be disaggregated by region, types of criminal offences, and other important characteristics of the criminal incidents. Unfortunately, however, because of their limited means and the difficulties they face in collecting data at the local level and communicating them to a central point where they can be collated and analyzed, developing countries tend only to have national data that is compiled on the basis of aggregated reports from the local levels. This severely limits the analyses that can then be conducted on the basis of that data.

In many instances, it makes sense for criminal justice officials to attempt to derive statistical data from existing operational systems. The statistical data thus collected will obviously reflect the quality of those operation systems and their administrative records. One of the frequent obstacles to the development of criminal justice statistics is the adequacy of administrative records and systems.

2.2 VICTIMIZATION SURVEYS

Administrative criminal justice statistics tend to offer very limited information on criminal victimization (only the criminal incidents that come to the attention of the police) and on the victims themselves. Statistics on victims are typically the weakest, least developed, and most variable of criminal justice statistics. In some countries, police routinely collect some information on victims of crime who report their victimization. In a growing number of countries, victimization surveys have become an additional source of information on criminal victimization, its impact on victims, the victims' response and their needs, and victims' reporting behaviour. Victimization surveys are large-scale studies that ask randomly sampled members of the population about their experience with crime.

The **UNODC** has itself been involved for many years in conducting the **United Nations Crime Victim Surveys**. Household surveys like the **International Crime Victim Survey** (ICVS) may have covered the country being assessed or at least its capital city at one point in time. These surveys provide an alternative source of data on crime to complement administrative statistics. They offer internationally standardized indicators for measuring experiences of and attitudes on crime. At the country level, surveys may be used to monitor differences in crime experienced and perceptions between countries and over time. By collecting social and demographic information on respondents, crime surveys also allow analysis of how both objective and subjective risks of crime vary for different groups within the population, in terms of age, gender, education, income levels and lifestyles. One of the most important aspects of the Survey is its ability to provide estimates of the quantity of crime that is not reported to the police.

The reasons for the non-reporting of crimes may have to do with the inaccessibility of the authorities, which makes reporting difficult, complicated reporting procedures and a lack of confidence that reporting victimization to the police will result in solving the crime or punishing the perpetrator.

Other more general surveys conducted by the local government or by private groups may have included questions on recent victimization, public perception of the justice system, or public concerns about crime. The findings of such surveys, however, may be difficult to locate during an assessment.

A. Have special studies been conducted in recent years, such as victimization survey, survey of victims who came into contact with the justice system, studies of specific groups of victims, e.g., victims of abuse of power, victims of violence against women, child victims, victims of human trafficking; etc.?

B. Are the following statistics available on an annual or other periodic basis? (Are the data disaggregated by age, gender, region, or other important characteristics of the incidents?)
- Victimization rates by types of crime, types of victims
- Perception of risk of victimization
- Fear of crime
- Number of crimes reported to the police by victims (by type of offences)
- Number of children who have been victimized (rates)
- Rate of reporting by victims
- Number of victims who were required to testify in court, of whom how many were children?
- Changes over time in the victimization rate or the reporting rate?

3. CASELOAD DATA

3.1 ADMINISTRATIVE CRIME STATISTICS

The "criminal event" is the most basic category for any criminal justice statistics system. It includes data on the "criminal offence", the "offender", and the victim. Depending on the system, these data are captured in different ways. In many instances, data may be available on the incidents, but neither on the offenders nor the victims.

What the system typically captures is the information on criminal incidents that comes to the attention of the police. A "crime rate" is calculated on the basis of the number of criminal incidents known to the police for each 100,000 people. The rate can be calculated more or less accurately depending on the strength of the census data used to estimate the total size of the population. Because an "incident" may involve multiple offences, many systems count only the most serious offence. Finally, because the offender is not necessarily known when a crime is reported to the police, the information on the offender may be incomplete. This is why, for example, one cannot be sure of how many of the reported incidents involved juveniles, or men, or women.

In administrative crime statistics, only criminal incidents that come to the attention of the police are counted. For a variety of reasons, victims and witnesses of crime may not report the incident to the police. That "reporting rate", as it is usually referred to, may be affected by a number of factors, including public confidence in the police or lack thereof. The difference between how much crime occurs and how much crime is reported or discovered by the police is usually referred to as the "dark figure of crime". Crime statistics are therefore a very imperfect measure of the number of crimes actually committed. They are a more accurate measure of the caseload of the police or of police activity.

When it comes to measuring the caseload of each components of the criminal justice system, one quickly encounters the problem of the different "units of count" used by each part of the system. The problem is summarized as follows in the Manual for the Development of a System of Criminal Justice Statistics (UN, 2003, p. 19):

"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."

A. Is there a national organization responsible for collecting crime statistics?

B. How are crime statistics reported (periodicity, coverage, time lag before they are available, year of most recent statistics, etc.)?

C. Are the following statistics available on an annual or other periodic basis? Do they cover the whole country or part of it? What are the most recent data available?

- Crimes reported to the police by type of crime, serious of offences, or region
- Cases that have been solved or cleared (the offender has been identified)
- Crime reported to the police by type of offenders (age, gender, ethnicity, etc.)

D.   Is police data available on victims?

3.2 POLICE CASELOAD DATA

A. Number of calls to the police (by region, time period, types of call)

B. Number of incidents reported (type of incidents, region)

C. Number of incidents investigated

D. Number of officers deployed

E. Number of incidents founded

F. Number of suspects detained (age, gender)

G. Number of crimes cleared by charge

H. Number of crimes cleared otherwise

I. Number of persons charged (age, gender)

J. Number of diversion cases

K. Number of recidivists

3.3 PROSECUTION CASELOAD DATA

A. Number of person/cases initiated

B. Number of cases by types of cases, by type of offences, or by type of proceedings

C. Number of charges initiated

D. Number of appeals initiated

E. Number of court appearances

F. Number of cases diverted to other agencies

G. Number of convictions

H. Number of cases disposed of in a given period of time

3.4 COURT CASELOAD DATA

A. Number of person/cases initiated

B. Number of cases by type of cases, by type of offences, or by type of proceedings

C. Number of charges initiated

D. Number of appeals initiated

E. Number of court appearances

F. Number of court hearings

G. Average case elapse time

H. Number of case convictions

I. Number of cases disposed of

J. Number of cases referred to alternative mechanisms

K. Number of cases dealt with by tribal courts or informal conflict resolution mechanisms

3.5 PRISON CASELOAD DATA

A. Number of adults admitted

B. Number of children admitted

C. Number of cases on remand

D. Number of cases serving a sentence

E. Number of revocations

F. Recidivism rate

G. Average inmate count (on-register and actual)

H. Number of releases

I. Number of early/conditional releases such as parole

3.6 ALTERNATIVE SANCTION PROGRAMMES DATA

    A. Number of adults admitted in programmes such as probation

    B. Number of children/juveniles admitted in programmes such as probation

    C. Number of revocations

    D. Recidivism rate

    E. Average offender count on probation

4. CASELOAD CHARACTERISTICS DATA

Caseload characteristics data can and should be captured at every level of the justice system: police, prosecution, courts (or alternative conflict resolution system), prisons, and non-custodial sentence. Part of the output of one part of the system (e.g. police: cases solved) is part of the input into another part of the system (e.g. prosecution). However, in most instances, except, in the cases of very well developed national information systems, there too many discrepancies between the data collected at each level by each part of the system for the data produced by each agency to be totally coherent with the data produced by others.

Caseload characteristics data is essential in order to estimate the demand for the services of each agency and to assess the capacity of an agency and, eventually, its performance. In many situations, the best that an assessor can expect is partial data on caseload from which estimates will have to be derived.

4.1 POLICE CASELOAD CHARACTERISCTICS

    A. Incident classification: type of offences

    B. Type of charge

    C. Offender and victim characteristics: age, sex, ethnicity, offender-victim relationship, etc.

    D. Incident characteristics: type of firearm, level of injury, loss of property, drug/alcohol use, etc.

4.2 PROSECUTION CASELOAD CHARACTERISTICS

    A. Number of person/cases by offence type

    B. Number of juvenile offender by type of offence

    C. Number of charges by offence

    D. Offender characteristics: age, sex, etc.

    E. Type and number of appearances

    F. Type of disposition

4.3 COURT CASELOAD CHARACTERISTICS

    A. Person/case disposition by type s by offence type

    B. Charges by section/division

    C. Offender characteristics: age, sex, etc.

    D. Type and number of appearances/proceedings

    E. Length of proceedings

F. Type of cases/offenders dealt with by alternative mechanisms or traditional courts

G. Number of appeals

4.4 PRISON CASELOAD CHARACTERISTICS

A. Proportion of inmates on remand vs. sentenced

B. Inmates by offence type

C. Inmates by level of security classification

D. Average time spent by inmate in prisons (time served)

E. Inmates' characteristics (age, sex, etc.)

4.5 NON-CUSTODIAL PROGRAMMES' CASELOAD CHARACTERISTICS

A. Number of offenders in non-custodial programmes (age, gender, etc.)

B. Characteristics of offenders on non-custodial programmes

C. Number of offenders on probation

D. Number of offenders fined

E. Number of offenders involved in restorative justice programmes

5. RESOURCE DATA

Resource data include such items as the number of persons employed, the functions of persons employed, expenditures in wages and salaries, etc. The level of criminal justice resources are sometimes measured and expressed in relation to the overall size of the population. For example, the population per police officer ratio (P.P.R.) and the number of police officers per 100,000 (two equivalent measures) are almost universally used to describe the resources allocated to police forces in a jurisdiction. In other instances, the number of lawyers per 100,000 population, or the number of judges per 100,000 population is sometimes used also.

For each component of the system, the assessor should try to identify data on:

A. Staff complement and strength

B. Budget and actual expenditure, if possible by type of activity

C. Human resources capacity

PLEASE REFER TO INDIVIDUAL SECTOR TOOLS FOR QUESTIONS THAT IDENTIFY AND EXAMINE RESOURCE DATA IN DEPTH.

6.   PERFORMANCE INDICATORS

Few countries have in place the kind of data gathering process necessary to collect data on the various aspects of their criminal justice system and develop indicators to monitor their performance. Every criminal justice agency should certainly be encouraged to adopt performance-based indicators and to set in place the necessary data gathering mechanisms to monitor them.

It is generally agreed, however, that the resource analysis exercise should be linked to performance indicators and to approved performance targets for each function within a criminal justice agency. Comparisons of performance indicators between police departments, or between prosecutor services, or between courts are of limited usefulness and should be made with caution. The development of a framework for performance and accountability specific to each criminal justice agency is likely to offer the best way forward. One should remember however that a performance indicator is almost always a proxy of the outcomes it is attempting to measure. An indicator should therefore rarely be used on its own. It needs to be qualified and interpreted on the basis of other indicators as well as contextual information.

A good performance accountability system should: focus on outcomes, represented by a few selected indicators to measure performance; generate data consistently over time; provide information for both policy and program management decisions; and report outcomes regularly and publicly.[1] The performance monitoring system should also have clear operational significance, from the point of view of those involved in the operations of the organization, or it will simply not function.

Where performance indicators do exist, it would be help to get an explanation from several sources as to what they represent, whether they are meaningful, and what they do and do not reveal about a particular function or process. It can be particularly difficult to develop meaningful performance indicators existing data about a system is limited and the capacity to gather data is also undeveloped.

6.1   POLICE PERFORMANCE INDICATORS

Generally recognized indicators of performance are sometimes used. For example, the International CITY/County Management Association (ICMA) has developed a comparative performance measurement system[2]. The ICMA's most recent report presents police performance data from 81 jurisdictions, but readers are warned of the danger of attempting to make direct comparisons between different jurisdictions, as the performance of each department may be affected by a number physical, political, and demographic characteristics of the municipality being policed. Furthermore, many police forces are subject to national guidelines and policies or even to accreditation standards that will define how performance targets are being defined for them.

In policing, the most frequently used indicator is perhaps the **percentage of crime solved** by the police out of all of the criminal incidents that came to their attention (reported crime).   The total **case burden**, defined as "the number of criminal offences (excluding traffic) per authorized police strength" is also used as a general measure of workload and the "percentage of crimes solved" (by category of crimes) as a performance indicator. That indicator is not always based on very robust data because of changes in crime reporting behaviour, how the police defines a "solved crime" (e.g., charges are laid, the offender has been identified, enough evidence has been accumulated to obtain a conviction, there was a confession, etc.), or whether all types of crimes are included or only certain ones (e.g. violent crimes only). Another indicator that can be used is the **proportion of crimes resulting in charges** being instigated.

With respect to the patrol function, the performance indicators that are most commonly used include: the **number of calls received and responded to** (by priority), the **response time to different types of calls**, and **officer utilization time**. Sometime, the "blackout" indicator is used: how many times were there no available officers to respond to a call.   As previously indicated, each community is unique, and comparisons therefore have very limited value without further assessments of crime types, agency reporting practices, response and investigative policies, and solvability factors.

Police performance is also defined in terms of its other functions beside criminal law enforcement. For example, specific indicators are used to assess the workload and to measure the performance of traffic enforcement units. These include: the number of traffic accidents involving fatalities, the number of traffic accidents involving injuries, the number of moving vehicle infractions, and/or the number of drinking and driving arrests.

It is important to point out that there are certain questions that cannot be answered easily by quantification. For example, it is considered beneficial to "good" policing that officers have discretionary time to engage in proactive activities, such as preventing crime, enhancing community relations, and participating in educational projects, among others.

Moore and Poethig[3] offer a discussion of how police effectiveness and performance can be defined differently depending on whether we define its role simply as the first step in the criminal justice process or as an agency of municipal government contributing to the quality of life of the residents.

When a civilian oversight or other public complaint mechanism exists, an assessor may also be able to use as an indicator the number of complaints of misbehaviour (and the number of founded complaints) that came to the attention of these agencies. In some instances, one may also be able to use the number of incidents/complaints of police corruption that came to the attention of authorities.

In other situations, indicators can be developed on the basis of the public perception of the justice system (efficacy, integrity, accountability, corruption, responsiveness, etc.).

Finally, when surveys are conducted on the satisfaction of individuals who came into contact with the police over a certain period of time, the data thus generated may also provide another useful indicator of police performance.

6.2   PROSECUTION PERFORMANCE INDICATORS

Very few jurisdictions have adopted indicators that systematically address the issue of prosecutors' performance. The most obvious indicators in that regard are:
- The average number of cases per prosecutors;
- The average number of appellate cases per prosecutors;
- The number of cases completed per year per prosecutor;
- The number of cases where a prosecution has been initiated and then abandoned or stayed;
- The proportion of cases in a year in which the offenders pleaded guilty;
- The proportion of cases in a year that went to trial;
- The proportion of cases in a year where a conviction was obtained;
- The proportion of cases that went to trial in which the offender was eventually acquitted;
- The number of cases of wrongful convictions in a year;
- The proportion of cases that were diverted away from the formal criminal justice process (and the same indicators for juvenile offenders specifically);
- The average cost per case prosecuted during a given period of time, usually a year.

One may perhaps be also interested in indicators that address some of less tangible aspects of the work of the prosecutors. These indicators are rarely compiled within prosecution services and would likely require a special study based on a review of administrative data. They include:
- Timeliness of prosecution decisions and actions, e.g. Average amount of time a victim/witness must wait before having an initial interview with a prosecutor
- Changes in the rates of diversion and non-prosecution;
- Changes in the rate of witness protection orders obtained by the prosecution, etc.

6.3   COURT PERFORMANCE INDICATORS

Again in the cases of criminal courts, the indicators are fairly simple ones:

- The average number of cases per judge;
- The average length of time for the completion of a criminal case;
- The average number of trials in a year;
- The average number of trial per judge;
- The average length of a trial, the average cost per case.

In terms of the impact of court delays, one can sometimes use the average time spent in custody by accused individuals awaiting trial as an indicator of these delays, or via an analysis of the court's backlog over time. One should remain mindful that, in many circumstances, the available indicators do not

necessarily distinguish clearly between criminal and other types of court cases.

6.4 CORRECTION PERFORMANCE INDICATORS

In the case of prisons, the following indicators are often referred to:

- The ratio of inmates to official beds, e.g. as a measure of prison overcrowding;
- The average number of inmates per guard in an institution;
- The average cost of imprisonment per inmate;
- The number of escapes;
- The number of offenders who die while in custody in a give period of time;
- The number of complaints registered by an ombudsman or by human rights organization about misconduct of prison officials;
- The number of inmates released on conditional release.

Other indicators can sometimes also be used in relation to various alternatives to prison:

- Proportion of all offenders sentenced to probation who successfully complete their probation period;
- The proportion of offenders on parole or some other form of conditional release who complete their sentence, etc.

The percentage of inmates who commit a new offence after their release from prison (or recidivism rate) is often used as a "performance" measure for prisons in general. In practice, however, this is a very problematic indicator for which good data is difficult to obtain.

6.5 CRIME PREVENTION PERFORMANCE INDICATORS

The performance of crime prevention and crime reduction programmes generally tends to be measured in terms of:
- The number of crimes reported to the police, in particular the specific type of crime the program is aiming to reduce; or
- The number of victimization incidents reported by respondents to a victimization survey.

Other indicators are sometimes based on the public perception of safety in the community or on the level of public fear revealed by a survey. One can also think in terms of:

- Improved safety and security in on the streets:
    - o Changes in street crime index – see police statistics, or
    - o Victimization surveys;
- Improved safety and security at home:
    - o Changes in domestic violence,
    - o Changes in residential burglaries, etc.
- Improved safety and security in public and social places:
    - o Changes in crime rates occurring in schools,
    - o Changes in crime rates occurring in the workplace,
    - o Changes in crime rates occurring in urban, centres, parks, nightclub districts, etc.

6.6 JUVENILE JUSTICE RIGHTS-BASED INDICATORS

Indicators can be developed or sometimes exist which would allow an assessor to compare the functioning of criminal justice agencies and institutions with regard to their compliance with human rights and other international standards. For example, some countries have developed juvenile justice standards that allow them to monitor the functioning of the juvenile justice system by reference to children's rights standards.

UNICEF, for example, has developed a set of 11 quantitative educators to monitor the compliance of juvenile justice system with the rights of the child. They are:

- Number of children arrested during a 12 month period per 100,000 child population
- Number of children in detention per 100,000 child population
- Number of children in pre-sentence detention per 100,00 child population
- Time spent in detention by children before sentencing
- Number of child deaths in detention during a 12 month period, per 1,000 children detained
- Percentage of children in detention not wholly separated from adults
- Percentage of children in detention who have been visited by, or visited, parents, guardian, or an adult family member in the last three months
- Percentage of children sentenced receiving a custodial sentence
- Percentage of children diverted or sentenced who enter a pre-sentence diversions scheme
- Percentage of children released from detention receiving aftercare.

PLEASE SEE ALSO **CROSS-CUTTING ISSUES: JUVENILE JUSTICE** for further information on these indicators.

7. DONOR COORDINATION

Understanding what donor efforts are underway to assist the country in developing its justice information system (or parts of it), what has previously been implemented (successfully and unsuccessfully) and what is being planned is critical to developing recommendations for future technical assistance interventions in that are. Other donors may have in interest in specific aspects of the justice system. Some of them, for example, may have been working with UNICEF on the situation of children in conflict with the law. Others may have an interest in women in the criminal justice system. Others may be contemplating information collection and management project as part of good governance and public accountability projects. For example, some projects may be in place to collect data on government expenditures that would include data on resources and expenditures in the various agencies and institutions of the criminal justice system.

A. What criminal justice information is available from other donor/development partners?

B. Which donor/development partners are active in the area of criminal justice information system?

C. Which donor/development partners are involved in other areas of public sector information management systems?

D. Which donor/development partners are active in the area of human rights, prisoners' rights, children's rights, women's rights, etc. and are concerned with monitoring how the criminal justice system respects these rights?

E. What information system development projects have donors supported in the past? What projects are now underway? What lessons can be derived from those projects? What further coordination is required?

F. Can some justice reform and capacity development projects in the justice and security sector incorporate work on developing better systems of information management in the criminal justice sector?

[1] Ammons, D.N. (Ed.), *Accountability for Performance – Measurement and Monitoring in Local Government.* Washington (D.C.): ICMA, p. 61.

[2] Internal City/County Management Association (ICMA) (2003). *Comparative Performance Measurement – FY 2002 Data Report.* Washington (D.C.): ICMA, November 2003, Chapter 13, "Police Services".

[3] Moore, M.H. and M. Peothig (1999). "The Police as an Agency of Municipal Government: Implications for Measuring Police Effectiveness", in Langworthy, H. (Ed.), *Measuring What Matters – Proceedings From the Policing Research Institute Meetings.* Washington, D.C.: National Institute of Justice, U.S. Department of Justice, pp. 151-167.

ANNEX A. KEY DOCUMENTS

UNITED NATIONS

- *Manual for the Development of A System of Criminal Justice Statistics.* Studies in Methods Series F No. 89. United Nations. Department of Economic and Social Affairs, Statistics Division, New York, 2004.

- *Questionnaire for the 2000 International Crime Victim Survey.* United Nations Interregional Crime and Justice Research Institute (UNICRI), 2000.

- *Format and Guidelines for the Preparation of UNODC Country Profiles*, UNODC, Vienna, 2004.

- Questionnaire for the Ninth United Nations Survey of Crime Trends and Operations of Criminal Justice Systems, covering the period 2003 – 2004. UNODC, Vienna, 2005.

- *Manual for the Development of Juvenile Justice Indicators,* UNICEF/UNODC (2006).

OTHER USEFUL SOURCES
- Measuring Progress towards Safety and Justice: A Global Guide to the Design of Performance Indicators Across the Justice Sector. Vera Institute of Justice, New York, 2003

ANNEX B. ASSESSOR'S GUIDE / CHECKLIST

The following are designed to assist the assessor in keeping track of what topics have been covered, with what sources, and with whom.

	TOPIC	SOURCES	CONTACTS	COMPLETED
2	Overview of Available Crime and Criminal Justice Information			
2.1	Scope And Contents Of Administrative Criminal Justice Statistics	▪ UN Survey on Crime Trends and the Operations of Criminal Justice Systems ▪ Country Profiles ▪ International crime statistics	▪ UNODC ▪ UNODC ▪ UNODC (Interpol)	
2.2	Victimization Surveys	▪ Reports on victimization surveys ▪ Media reports ▪ Reports by international institutions	▪ Ministry of Justice ▪ Academic institutions ▪ UNODC/ UNICRI ▪ Donor agencies	
3	Caseload Data			
3.1	Administrative Crime Statistics	▪ Police Reports ▪ National Statistics Agency publications ▪ Minister of Justice's publications ▪ Internal police administrative reports/documents	▪ Police officials ▪ National statistical agency ▪ Ministry of Justice ▪ Ministry of Interior	
3.2	Police Caseload	▪ Police reports and publications ▪ Internal police administrative reports ▪ Publications by the Ministry of Interior or Ministry of Justice	▪ Police officials ▪ National statistical agency ▪ Ministry of Justice ▪ Ministry of Interior	
3.3	Prosecution Caseload	▪ Court publications ▪ Annual reports by prosecution services ▪ Reports of the Ministry of Justice or Attorney General	▪ Court officials ▪ Prosecution services ▪ Court administrators or Registrar ▪ Ministry of Justice or Attorney General ▪ Ministry of Interior	

	TOPIC	SOURCES	CONTACTS	COMPLETED
3.4	Court Caseload	▪ Court publications ▪ Annual reports by prosecution services ▪ Reports of the Ministry of Justice or Attorney General ▪ Special studies (including studies on alternative conflict resolution mechanisms and tribal courts)	▪ Court officials ▪ Prosecution services ▪ Court administrators ▪ Registrar ▪ Ministry of Justice or Attorney General ▪ Ministry of Interior ▪ Academic institutions	
3.5	Prison Caseload	▪ Reports from prison authorities ▪ Administrative reports ▪ Ministry of Interior ▪ Reports by human rights organizations	▪ Prison officials ▪ Prisoners' rights and human rights organizations ▪ Ministry of Interior ▪ Academic institutions	
3.6	Non-Custodial Sanctions Programme Caseload Characteristics	▪ Special reports ▪ Ministry of Interior ▪ Correctional services reports ▪ Reports by NGOs	▪ Ministry of Interior ▪ Correctional authorities ▪ Probation services ▪ NGOs	
4	Caseload Characteristics Data	▪	▪	
4.1	Police Caseload Characteristics	▪ Police reports and publications ▪ Internal police administrative reports ▪ Publications by the Ministry of Interior or Ministry of Justice	▪ Police officials ▪ National statistical agency ▪ Ministry of Justice ▪ Ministry of Interior	
4.2	Prosecution Caseload Characteristics	▪ Court publications ▪ Annual reports by prosecution services ▪ Reports of the Ministry of Justice or Attorney General	▪ Court officials ▪ Prosecution services ▪ Court administrators or Registrar ▪ Ministry of Justice or Attorney General ▪ Ministry of Interior	
4.3	Court Caseload Characteristics	▪ Court publications ▪ Annual reports by prosecution services ▪ Reports of the Ministry of Justice or Attorney General ▪ Special studies (including studies on alternative conflict resolution mechanisms and tribal courts)	▪ Court officials ▪ Prosecution services ▪ Court administrators ▪ Registrar ▪ Ministry of Justice or Attorney General. ▪ Ministry of Interior ▪ Academic institutions	

	TOPIC	SOURCES	CONTACTS	COMPLETED
4.4	Prison Caseload Characteristics	▪ Reports from prison authorities ▪ Administrative reports ▪ Ministry of Interior ▪ Reports by human rights organizations	▪ Prison officials ▪ Prisoners' rights and human rights organizations ▪ Ministry of Interior ▪ Academic institutions	
4.5	Non-Custodial Sanctions Programme Caseload Characteristics	▪ Special reports ▪ Ministry of Interior ▪ Correctional services reports ▪ Reports by NGOs	▪ Ministry of Interior ▪ Correctional authorities ▪ Probation services ▪ NGOs	
5	Resource Data	▪	▪	
5.1	Police Resources	▪ Police reports and publications ▪ Internal police administrative reports ▪ Publications by the Ministry of Interior or Ministry of Justice	▪ Police officials ▪ National statistical agency ▪ Ministry of Justice ▪ Ministry of Interior	
5.2	Prosecution Resources	▪ Court publications ▪ Annual reports by prosecution services ▪ Reports of the Ministry of Justice or Attorney General	▪ Court officials ▪ Prosecution services ▪ Court administrators or Registrar ▪ Ministry of Justice or Attorney General ▪ Ministry of Interior	
5.3	Court Resources	▪ Court publications ▪ Annual reports by prosecution services ▪ Reports of the Ministry of Justice or Attorney General ▪ Special studies (including studies on alternative conflict resolution mechanisms and tribal courts)	▪ Court officials ▪ Prosecution services ▪ Court administrators ▪ Registrar ▪ Ministry of Justice or Attorney General ▪ Ministry of Interior ▪ Academic institutions	
5.4	Prison Resources	▪ Reports from prison authorities ▪ Administrative reports ▪ Ministry of Interior ▪ Reports by human rights organizations	▪ Prison officials ▪ Prisoners' rights and human rights organizations ▪ Ministry of Interior ▪ Academic institutions	
5.5	Non-Custodial Sanctions Programmes' Resources	▪ Special reports ▪ Ministry of Interior ▪ Correctional services reports ▪ Reports by NGOs	▪ Ministry of Interior ▪ Correctional authorities ▪ Probation services ▪ NGOs	
6	Performance Indicators	▪	▪	

	TOPIC	SOURCES	CONTACTS	COMPLETED
6.1	Police Performance Indicators	■ Administrative data/official reports of the main criminal justice agencies ■ Crime data ■ Victimization survey data/reports. Reports and Administrative data of the police ■ Police reports and publications ■ Internal police administrative reports ■ Publications by the Ministry of Interior or Ministry of Justice ■ Reports from the Home Office ■ Reports for civilian police oversight agencies ■ Reports human rights organizations	■ Police officials ■ National statistical agency ■ Ministry of Interior ■ Ministry of Justice and/or Attorney General, ■ Human rights organizations, ■ UNICEF national office, ■ Ministry of Interior of Ministry of Justice and/or Attorney General, ■ Civilian oversight of police agencies; ■ Ombudsman's office and other human rights organizations; ■ Defence Bar ■ Academic institutions	
6.2	Prosecution Performance Indicators	■ Court publications/reports ■ Annual reports by prosecution services ■ Reports of the Ministry of Justice or Attorney General	■ Court officials ■ Prosecution services ■ Court administrators or Registrar ■ Ministry of Justice or Attorney General ■ Ministry of Interior ■ Academic institutions	
6.3	Court Performance Indicators	■ Court publications, including annual reports ■ Annual reports by prosecution services ■ Reports of the Ministry of Justice or Attorney General	■ Court officials ■ Prosecution services ■ Court administrators ■ Registrar ■ Ministry of Justice or Attorney General ■ Ministry of Interior ■ Academic institutions	
6.4	Corrections Performance Indicators	■ Reports from prison authorities ■ Administrative reports ■ Ministry of Interior ■ Reports by human rights organizations	■ Prison officials ■ Prisoners' rights and human rights organizations ■ Ministry of Interior ■ Academic institutions	

		TOPIC	SOURCES	CONTACTS	COMPLETED
6.5		Crime Prevention Performance Indicators	▪ Administrative data/official reports of the main criminal justice agencies ▪ Crime data, victimization survey data/reports. ▪ Reports from prison authorities ▪ Administrative reports ▪ Ministry of Interior ▪ Reports by human rights organizations	▪ Police officials ▪ National statistical agency ▪ Ministry of Interior ▪ Ministry of Justice and/or Attorney General, ▪ Human rights organizations,	
6.6		Juvenile Justice Rights-Based Indicators	▪ Report and Administrative data of the police, the courts and prisons/detention centres ▪ Reports and administrative data of child protection agencies ▪ UNICEF reports ▪ Defense Children International reports ▪ Reports produced by Ombudsman's Office and human rights agencies ▪ Coroner's reports; ▪ Reports from Health Care Services providers or hospitals; ▪ Administrative data from child detention centres ▪ Report from school authorities ▪ Media reports ▪ Court cases ▪ Scholarly studies ▪ Assessments conducted by other donors	▪ Police officials ▪ Court officials ▪ Prison officials ▪ Child protection agencies/departments ▪ Children's rights and human rights organizations ▪ Ombudsman/human rights authority ▪ UNICEF national office ▪ Academics ▪ Donors ▪ Government Ministries (Attorney General, Justice, Ministry of Interior) ▪ Journalists	
7		Donor Coordination	▪ Donor reports ▪ Site visits ▪ Meetings with donors ▪ Government reports ▪ Project descriptions	▪ Donors ▪ Government Ministries (Attorney General, Justice, Ministry of Interior)	

UNITED NATIONS
Office on Drugs and Crime