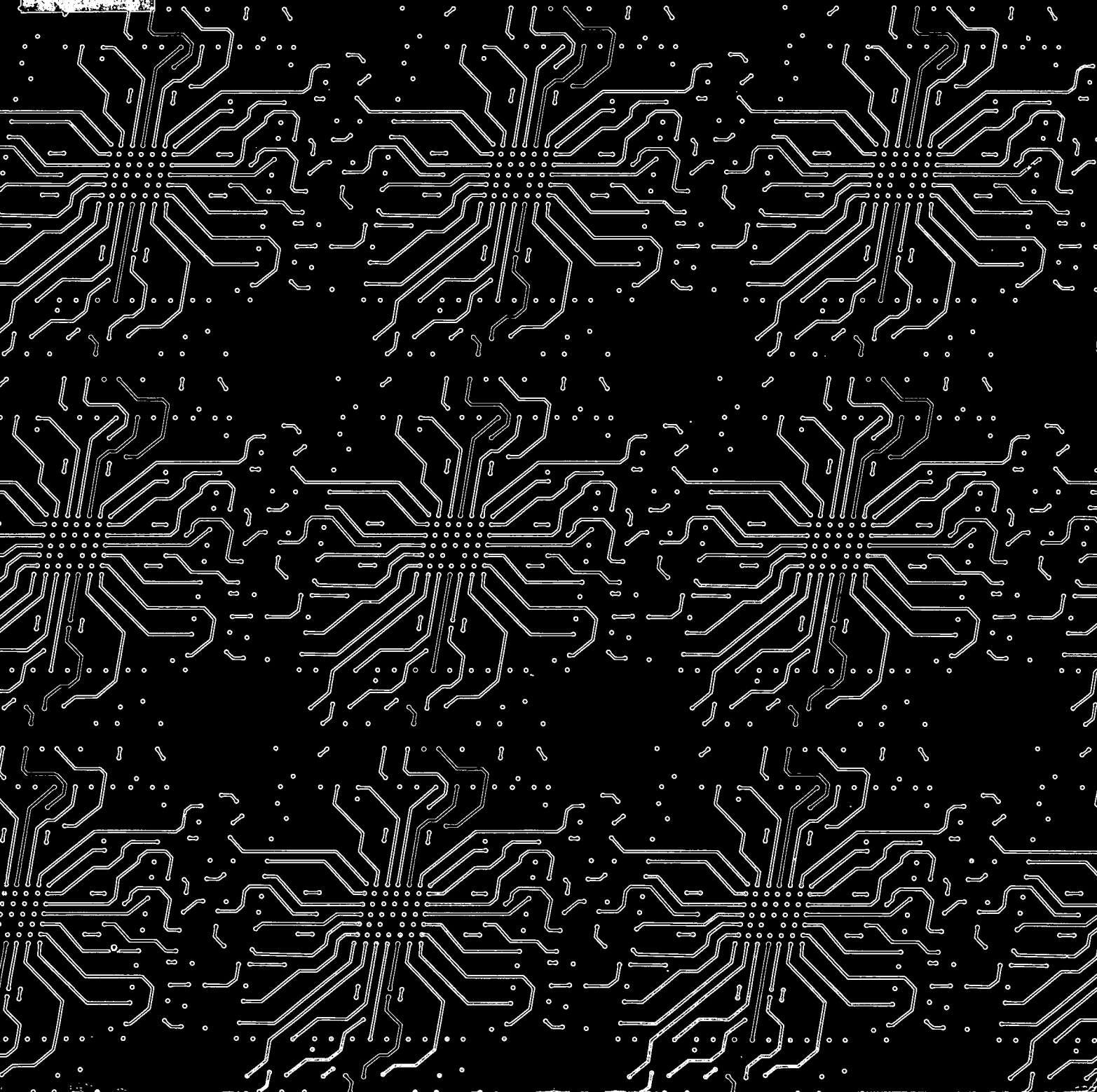
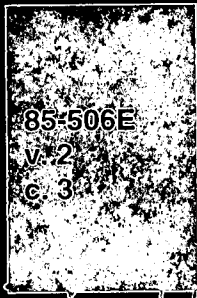


**Volume 2**

# **The Future of National Justice Statistics and Information in Canada**

Report of the  
National Project on  
Resource  
Coordination  
for Justice Statistics  
and Information

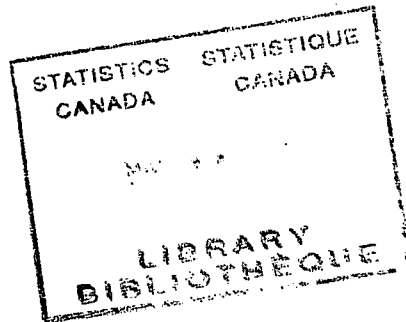


**Cover:**  
**Artist's illustration of**  
**a wiring pattern of a**  
**ceramic layer in a 2-inch-square**  
**logic module used in the**  
**new IBM 4341 processor.**

**Volume 2**

# **The Future of National Justice Statistics and Information in Canada**

Report from  
the Work Group of  
the National Project  
on Resource  
Coordination for  
Justice Statistics  
and Information  
(NPRC)



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## UNIVERSE OF JUSTICE AGENCIES

### JUSTICE AGENCIES

In its early stages, the Work Group of the NPRC agreed that the justice agencies to be covered are those outlined and defined below.

#### A. Law Enforcement

The main police forces to be included are:

1. Public police forces
  - federal
  - provincial
  - municipal;
2. Provincial highway patrol forces which enforce traffic regulations (e.g. in New Brunswick);
3. Harbour and Railway Police
  - National Harbours Board Police
  - Canadian National Railway Police
  - Canadian Pacific Department of Investigation.

The law enforcement agencies which are **not to be covered** at this time are:

1. municipal by-law enforcement personnel and agencies which are not part of municipal police forces; examples are fire, health and building code inspectors;
2. special provincial statute enforcement agencies such as those working in the areas of welfare and automobile insurance fraud and on fish and wildlife matters;
3. agencies enforcing federal statutes such as those related to tax, customs, immigration and unemployment insurance;
4. federal, provincial and municipal agencies whose main function is to provide security for individuals and/or buildings;
5. provincial enforcement agencies whose main function is to enforce weight restrictions and vehicle standards;

6. private security agencies and personnel.

The above agencies have been excluded on the assumption that they primarily act as investigators with respect to potential offences and refer cases to the public police forces when substantial evidence is found. Should this not prove correct, the inclusion of the above agencies could be reconsidered.

**Police Related Services**

The following services are to be covered with respect to their descriptions, their resources, and their expenditures:

1. police academies and police training programmes;
2. police commissions and police directorates;
3. laboratory services;
4. ministry administration related to policing;
5. police-related policy planning and research found outside of the forces themselves;
6. central police services such as communications and computing;
7. special support units such as the Coordinated Law Enforcement Unit in British Columbia.

**Other Justice Services Provided by the Police**

The other justice services provided by the police in the areas outlined below are to be covered in terms of programme descriptions, caseloads and resources wherever required:

1. prosecutions;
2. lock-up facilities and operations;
3. supervision and holding of remanded and sentenced persons;
4. escort of prisoners
  - lock-up to court
  - correctional centre to court
  - between correctional centres;
5. escort of mental patients;
6. court security;
7. custody and care of inebriated persons who are not charged;
8. service of documents;



9. seizure of licenses and permits;

10. firearms registration.

## **B. Prosecutions**

The prosecution services which are to be included are those provided by:

1. staff lawyers of the Department of Justice, Canada;

2. staff lawyers of the provincial ministries of justice;

3. lawyers in private practice commissioned to act on behalf of  
- Canada  
- provinces;

4. staff lawyers and lawyers in private practice who are employed or commissioned by other provincial and federal ministries;

5. staff lawyers and lawyers in private practice employed or commissioned by municipal governments;

6. public police forces  
- federal  
- provincial  
- municipal.

Prosecutions undertaken by private citizens are **not to be covered** on the assumption that there are very few such prosecutions in Canada.

## **C. Legal Services**

The types of legal services to be covered are outlined below.

Legal aid programmes:

1. government-run legal aid service agencies which provide counsel in family and children's, civil and criminal cases;

2. services provided by the private bar under legal aid plans;

3. other government-run legal aid programmes such as  
- native court workers  
- public education  
- preventive law  
- duty counsel  
- prisoner representation  
- representation and tribunals;

4. other government legal services for the public which are not part of legal aid programmes such as family legal counsel and representation.

Legal services provided by the bar:

1. counselling and representation on
  - civil cases
  - family and children's cases
  - criminal cases.

Legal services to government:

This service **may be covered** with respect to the resources allotted to them.

**D. Adjudication**

The services to be included are as follows:

1. federal courts
  - Supreme Court of Canada
  - Federal or Queen's Bench Court  
(both Appeal and Trial Divisions);
2. provincial courts
  - Appeal Court
  - Supreme or Queen's Bench Court
  - District and County Courts
  - Provincial Courts, all Divisions;
3. municipal courts
  - Criminal and By-Law Courts only in Saskatchewan,  
Québec and Nova Scotia;

With respect to the above courts, the following information would be collected:

- (i) the caseload data are to be separated by type of case
  - criminal
  - civil
  - family and children's;
- (ii) the resource data are to include all the court services
  - the judiciary
  - court registries
  - court clerks
  - reporters/recorders
  - sheriffs/bailiffs
  - counselling services
  - administration - headquarters and regional.
4. criminal court-related services
  - administrative and regulatory procedures related to the payment of fines
  - suspension of drivers' licences

- hearing of summary conviction matters
- quasi-courts such as those established in Native Indian communities.

**Not to be covered** at this time as adjudication services are boards and tribunals such as those related to labour, workman's compensation, securities and landlord and tenant matters. Nor are coroners' courts and services to be considered as part of the over-all adjudication services.

#### **E. Adult Corrections**

The services to be included are:

1. federal services
  - institutions for sentenced persons
  - community correction centres - public and private
  - parole
  - purchased services for both institutional and field supervision programmes
  - services provided by other government ministries and agencies
  - administration - headquarters and regional;
2. provincial and municipal (Nova Scotia only) services
  - institutions for sentenced persons, remanded persons and used as temporary lockups
  - community correction centres - public and private
  - probation and other community programmes
  - purchased services for all programmes
  - services provided by other government ministries and agencies
  - administration - headquarters and regional.

#### **F. Juvenile Services**

The services to be included are:

1. justice services in British Columbia, Manitoba and New Brunswick
  - pretrial detention and supervision
  - institutions for sentenced juveniles
  - community centres/group homes for sentenced juveniles
  - foster placements for sentenced juveniles
  - field supervision and community-based programmes.
2. social services for juveniles in conflict with the law;
  - all provinces and territories
  - institutions for sentenced juveniles
  - community centres/group homes for sentenced juveniles
  - foster placements for sentenced juveniles
  - field supervision and community-based programmes

Note: The above does not include those services for juveniles which are provided at the request of parents and/or the superintendent of child welfare.

## **G. Other Services**

The other justice services which may be covered on a selected basis are:

1. regulatory agencies, i.e. fire, liquor;
2. coroners' services;
3. private agencies providing justice related services;
4. other ministry management and support services
  - finance
  - personnel
  - research and planning
  - computer services
  - justice secretariats;
5. commissions and inquiries;
6. compensation for criminal injuries.

### WORKING DEFINITIONS OF "NATIONAL CRIMINAL AND CIVIL JUSTICE STATISTICS"

"National CRIMINAL justice statistics are those that are integrated to pertain to the whole of Canada, and to each of the provinces and territories thereof, depicting the incidence of crime and experience in the administration of criminal justice".

#### CLARIFICATION OF TERMS UNDERScoreD

##### "Integrated"

- for macro-data, the simple aggregation of tabular data received in standardized format from a range of respondents;
- for micro-data, the simple aggregation of unit record data received in batch in standardized format from a range of respondents;
- the flow of data through the sequential phases of the criminal justice system, so that events in each of the phases can be linked together and events occurring in one cycle through the system can be linked to events in successive cycles.

##### "Depicting"

- past experience depicted through statistics descriptive of the whole universe;
- past experience depicted through statistics which draw inferences for a total universe based upon experience in a representative sample;
- future experience depicted through predictions based upon past experience;
- using absolute figures as well as analyses: depicting standardized measures (social indicators, activity and performance indicators, indices, rates and ratios, etc.); depicting data reliability and validity;
- but excluding analyses depicting the reasons for such experience.

### **"Incidence of Crime"**

- socially-defined incidents which are systematically reported and which, if adjudicated, might be determined to have been criminal incidents (e.g. victimization studies, reported and recorded crime);
- incidents which, following adjudication, have been determined to have been criminal incidents;
- the nature of the basic ingredients of such incidents:
  - the offender
  - the victim
  - the circumstances
  - the legal definition of the event
  - the social definition of the event.

### **"Experience in the Administration of Criminal Justice"**

- actual observation of facts or events:
  - the processing of offences and delinquencies
  - the processing of offenders and delinquents, as well as their recycling through the system
  - the characteristics of offenders and delinquents
  - the caseloads or workloads of justice services delivered, complemented by qualitative descriptions of those services and their programmes
  - the resources (men, money and materials) utilized in delivering justice services;
- within each of the following services of the criminal justice system:
  - law enforcement
  - pre-trial services
  - prosecution
  - legal services
  - adjudication
  - adult corrections (probation, institutional, parole and mandatory supervision)
  - juvenile post-court services
  - adult post-court services
  - other administrative services.

**"National CIVIL justice statistics are those that are integrated to pertain to the whole of Canada, and to each of the provinces and territories thereof, depicting non-criminal cases coming before a court, tribunal or administrative body and experience in the administration of justice."**

#### **CLARIFICATION OF TERMS UNDERScored**

##### **"Integrated"**

- for macro-data, the simple aggregation of tabular data received in standardized format from a range of respondents;
- for micro-data, the simple aggregation of unit record data received in batch in standardized format from a range of respondents;
- the flow of data through the sequential phases of the criminal justice system, so that events in each of the phases can be linked together and events occurring in one cycle through the system can be linked to events in successive cycles.

##### **"Depicting"**

- past experience depicted through statistics descriptive of the whole universe;
- past experience depicted through statistics which draw inferences for a total universe based upon experience in a representative sample;
- future experience depicted through predictions based upon past experience;
- using absolute figures as well as analyses: depicting standardized measures (social indicators, activity and performance indicators, indices, rates and ratios, etc.); depicting data reliability and validity;
- but excluding analyses depicting the reasons for such experience.

##### **"Non-criminal Cases"**

- cases coming before a court, a tribunal, or administrative body including matters which involve civil litigation;
- matters which are pursuant to the Divorce Act or provincial family law;
- matters which are pursuant to the Bankruptcy Act;
- matters which involve social welfare law and regulations;
- matters which involve administrative law and regulations and all other actions involving matters not defined as "incidents of crime";
- the nature of the basic ingredients of such cases:
  - the parties
  - the social definition of the issue(s)
  - the legal definition of the issue(s);

## **"Experience in the Administration of Justice"**

- actual observation of facts or events:
  - the processing of cases
  - the consequences for parties
  - the characteristics of parties
  - the caseloads or workloads of justice services delivered, complemented by qualitative descriptions of those services and their programmes
  - the resources (men, money and materials) used in delivering justice services;
  
- within each of the following services of the civil justice system:
  - counselling and conciliation
  - legal services
  - adjudication
  - court services
  - enforcement procedures
  - post-court services
  - other administrative services
  - other support services.



# METHODOLOGIES FOR DEFINING FEDERAL AND PROVINCIAL REQUIREMENTS

### INTRODUCTION

Over the past several months, significant efforts have been undertaken to clarify what is needed at both federal and provincial levels with respect to national justice information. Some of this work actually preceded the formation of the NPRC, with the definition of the work plan of the National Work Group (NWG) including two projects on defining information needs.<sup>(1)</sup> The NPRC served as the first major "user" of the work done in this area, but also stimulated further projects, including extensive provincial/territorial requirement surveys coordinated by the National Task Force (NTF).

The following is a description of the methodologies utilized in establishing the requirements summarized in Volume I. More detailed presentations of these requirements are included with this Volume, Chapter 14 illustrating provincial requirements and Chapter 15 illustrating federal requirements. Even though both listings are of a higher level of detail than the Volume I summary, they still represent an "intermediary" summary of the source documents - specifically, Project 2 Defining Federal Requirements, and the report "Provincial Information and Statistics, Requirements, Priorities and Availability" prepared by the National Task Force. The reader is advised that a full understanding of current requirements would require examination of these source documents (identified in the bibliography).

Unlike pure empirical research, the pursuit of knowledge on the question of information requirements can only lead to more sophisticated impressions of what is needed, not to a final or absolute statement. The question "what information do you need?", when posed to government officials, can elicit responses which vary according to many factors. The results, therefore, should be interpreted in light of their relativistic nature, but nevertheless should be granted the validity which comes with the systematic and comprehensive gathering of the opinions of experts.

---

(1) The NWG was formed in April 1978, the two projects referred to are:  
Project 2 - Defining Federal Data Requirements, and Project 5 - Defining  
Provincial/Territorial Requirements.

## Methodology for Establishing Federal Requirements

In January 1979, the Federal Provincial Advisory Committee on Justice Information and Statistics reviewed a work plan, prepared by the National Work Group (NWG). Among 13 projects identified, "Defining Federal Information Requirements" (Project 2) was given a top priority.

Project 2 was coordinated by the Department of Justice, managerial responsibility was assumed by the Federal Interdepartmental Committee on Justice Information and Statistics (FIDC), and direction provided by an FIDC Steering Committee comprised of representatives of the Department of Justice, Statistics Canada, and the Ministry of the Solicitor General. The Federal Statistical Activities Secretariat assisted in planning and processing the survey results.

The task of Project 2 was translated into two objectives:

- a) to prepare a statement of the information on justice matters in Canada which is required by various federal departments to assist in meeting their objectives or fulfilling their mandate;
- b) to propose, from a federal perspective, what is required for national information on justice matters.

Project 2 went further than cataloging information needs and included inquiries on needs distribution, urgency of needs, system deficiencies, information uses, and preferred modes of information.

The methodology for Project 2 involved conducting interviews with 65 federal officials, as well as conducting a content analysis of 42 published documents.

The National Project on Resource Coordination (NPRC) was initiated prior to the release of the final results of Project 2. For the purposes of the NPRC, a format was designed to display federal and provincial requirements in conjunction with other factors the NPRC was mandated to examine (i.e., availability of information, specifications of availability, specifications of requirements, requirement/availability discrepancies, priorities). This format was eventually modified to accommodate the work carried out separately at federal and provincial levels and is utilized in Chapters 14 and 15 of this Volume.

At the request of the Chairman of the NPRC, representatives of the NWG with assistance from the Ministry of the Solicitor General, coordinated the identification of federal needs for the NPRC. The results of Project 2 were utilized to create initial listings of requirements. These listings were divided according to three "fields of observation", i.e., caseload/workload (quantitative), resources, and qualitative descriptions. They were utilized as initial starting-points for the final selection and specification of requirements.

Meetings and/or consultations with selected key federal officials took place for each of the sectors shown in Chapter 15, i.e., police, trial courts, appeal courts, legal aid, probation (for both adult and juvenile

systems), federal institutions, provincial institutions, parole (for adult only), post court services (for juvenile only), and civil justice.

Because the time frame for the NPRC was restricted, the difficult task of priority-setting was not attempted for the federal information needs listed in Chapter 15. In some respects Chapter 15 should be considered only as a global inventory of federal interests, particularly given the fact that they were prepared independently of resource considerations. Furthermore, unlike the provincial requirements, this listing of what the federal agencies would ideally like to see available includes some information more appropriately obtained through special studies (e.g., occasional surveys) than through on-going national statistical programmes.

The federal and provincial listings differ in another way as well. Due to differences in methodology, the federal listing emphasizes what is required as input for information systems while the provincial listing emphasizes output requirements. Thus, unlike the provincial listing, the federal one contains information items which are non-statistical in nature but which, for technical reasons, need to be included in an information system. Examples of these non-statistical items include personal identifiers (name, date of birth, address, etc.), process dates and location/reporting unit identifiers. This difference helps to explain an apparent, but largely artificial, distinction between federal and provincial requirements in terms of micro data versus aggregate data: all primary data bases are micro in nature (and therefore must have, as input, non-statistical identifiers for their file structures), although the information they contain may be made available in a summary form. The extent to which federal departments require micro data is, therefore, something which remains to be precisely determined.

### **Methodology for Establishing Provincial Requirements**

At the request of the Chairman of the NPRC, the National Task Force on the Administration of Justice undertook to provide input on provincial information requirements.

Five separate surveys were distributed to senior managers of justice services in the provinces and territories. Though addressed to provincial agencies only, the services covered in the surveys included those provided by all three levels of government. The surveys were designed and responses collated by:

Quebec	- Police
Ontario	- Crown Counsel
Saskatchewan	- Legal Aid
Alberta	- Courts
British Columbia	- Adult Corrections

The post-court juvenile services information requirements were not surveyed as approximately 85% of these services are provided through social service ministries. Most services for juveniles in conflict with the law are combined with services for other juvenile and family services. Time limits did not allow this work to be undertaken.

The survey forms identified the types of statistics and information which might be required based on the review of some available literature and the experience gained by preparing reports for the NTF. Similar to the federal exercise, three types of information and statistics were covered - caseloads, resources, and qualitative descriptions.

Respondents were asked to indicate the priority of each of their information requirements along the following lines:

Priority 1 - information which is considered essential and should be made available in the near future;

Priority 2 - information which is desirable but not essential and which should be reported at some future date;

Priority 3 - information which is not considered important at the present time.

Priorities are summarized in Chapter 14 but, for the following reasons, should be interpreted cautiously: (1) the priorities indicated by each province may not represent a consensus of opinions within each province; (2) aggregations of priorities across provinces are problematic; (3) no consideration was given to the comparison of priorities between sectors - e.g., the relative importance of police data and court data; (4) priorities contained in Chapter 14 are presented for broad categories of data types and are thus approximations of priorities given for specific data items.

The survey asked for an indication of the availability of the information along the following lines:

Yes - information which is presently available for the province or territory;

Partial - information which is available but not on a comprehensive basis;

No - information not available.

The summaries of availability presented in Chapter 14 are intended to provide only a general impression of the relative ease with which certain types of information may be obtained.

The respondents were also asked to identify the qualitative descriptions which would be of use to them and to outline the resources they devoted to data collection within their agency; the former but not the latter is presented in Chapter 14.

In order to simplify the surveys and to concentrate efforts, the surveys called only for that information which should be collected nationally on a regular basis. No attempt was made to identify statistics and information which would form part of the content of special studies.

In total, 63 surveys were distributed to the justice agencies and 56 were completed. Chapter 14 gives an overall impression of the results of this survey according to the NPRC format. The reader is again advised, however, that a full appreciation of the results of five extensive surveys cannot be gained from this type of display, and is referred to the final report of the NTF for a complete analysis of the results.



### PROVINCIAL REQUIREMENTS

#### INTRODUCTION

This chapter contains an "intermediary summary" of provincial information requirements, availability, and priorities as derived from five surveys coordinated by the National Task Force (NTF) on behalf of the NPRC.

The surveys covered five main justice sectors – police, courts, crown counsel, legal aid and corrections. The reader is referred to Chapter 13 for a description of the methodologies utilized in the surveys, to Chapter 4 for an "amalgamated summary" of the federal and provincial requirements and to the NTF publication, "Provincial Information Requirements, Priorities and Availability" for a complete analysis and display of the survey results.

PROVINCIAL REQUIREMENTS

SECTOR: POLICE

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>CASELOAD/WORKLOAD QUANTITATIVE</b></p> <p><b>CASELOADS:</b></p> <p>Reported and Actual Offences</p> <p>Offences Cleared by Charge and Otherwise</p> <p>Offences by Type</p> <p>No. of Persons Charged, Adult/Juvenile, Sex</p> <p>Population Served</p>	<p>Annual publication with various geographic breakdowns</p>	<p>U.C.R. Program (STC). Annual Publication. Existing problems with the data include inconsistent reporting practices, non-standard geographic areas, timeliness of reports, unknown degree of validity, complex reporting rules, etc.</p>	<p><b>Fully met</b> - in terms of required data categories, although some data quality issues remain to be addressed.</p>	<p>Assumed to be essential information, although provinces were not queried regarding their caseload information requirements.</p>
<p><b>RESOURCES</b></p> <p><b>COSTS:</b></p> <p>Amount of Expenditure</p> <p>Type of Expenditure (salaries, benefits, vehicles, other operating costs, facility and capital expenditures, accommodation costs, academics, commissions and directorates, laboratories)</p> <p>Funding Source (federal, provincial, municipal)</p>	<p>By police type and division/municipality; by function.</p>	<p>National availability is through the police administration statistics published by Statistics Canada. Some resource data is also available from the RCMP Police, the Ontario Provincial Police, the Sûreté du Québec, and municipal police forces, especially the larger ones. Most jurisdictions indicated that the information items were available or partially available. Exceptions were NB, PQ, and Man., which indicated that the information was either generally not available or partially available.</p>	<p><b>Partially met</b> - Statistics Canada does not publish all the resource information outlined here. Data available from national, provincial and municipal/regional police forces may not be comparable due to differences in organization and administrative procedures.</p>	<p>In general, resource information is seen as essential or highly desirable by the provinces although there are inter-provincial differences with respect to priority and types of information required. For example: Manitoba sees most resource information as non-essential; Ont. S.G. is primarily interested in municipal police force staffing data; PEI, NB, NS, PQ, ALTA, and BC place high priority on almost all resource requirements listed.</p>
<p><b>MANPOWER:</b></p> <p>Police Type (RCMP, NHB, CN/CP, RCMP Prov. contract, QPF, OPP, Regional/Municipal, RCMP Mun. contract)</p> <p>No. of staff (actual and authorized strength)</p> <p>Type of Staff (police, public servants, civilian members)</p> <p>Rank or Classification</p> <p>Function (admin., support services, federal criminal law enforcement, drugs, other criminal investigations, special units)</p> <p>Sex (male, female)</p>	<p>By province, detachment/force and region/sub-division.</p>	<p>(Continuation of text from previous row)</p>	<p>(Continuation of text from previous row)</p>	<p>(Continuation of text from previous row)</p>



PROVINCIAL REQUIREMENTS

SECTOR: POLICE

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b><u>RESOURCES (Continued)</u></b></p> <p><b>TRANSPORTATION:</b></p> <p>No. of Automobiles</p> <p>No. of Motorcycles</p> <p>No. of Other Vehicles</p> <p>No. of Boats</p> <p>No. of Airplanes</p> <p><b><u>QUALITATIVE DESCRIPTIONS</u></b></p> <p>Federal, provincial and municipal policing outlining overall organization and responsibility.</p> <p>Services provided by the forces and the organization of these services within the major forces.</p> <p>Police related services operated by the three levels of government.</p> <p>Other major justice services rendered by the police which do not fall under police enforcement and crime prevention duties such as court security and prosecutions.</p> <p>Contracted police services and conditions specified in contracts.</p>	<p>By detachment, region and province.</p>	<p>(Not specified)</p>	<p><b>Not Met</b> - no regular publication of qualitative descriptions exists, although the information would be available from various sources.</p>	<p>(Not specified)</p>

PROVINCIAL REQUIREMENTS

SECTOR: COURTS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><u>CASELOAD/WORKLOAD</u> <u>QUANTITATIVE</u></p> <p><b>CASES:</b></p> <p>No. of Cases Heard and Disposed of During Year</p> <p>No. Initiated During the Year</p> <p>No. Completed During the Year</p> <p>No. Pending at Beginning and End of the Year</p> <p>No. with Scheduled Court Appearances During the Year</p> <p>No. with Actual Court Appearances During the Year</p> <p>No. and Type of Appeals (by accused on sentenced, conviction or both; by crown counsel on sentence or acquittal)</p> <p>Handling Method (staff prosecutors vs. private practice lawyers or police officers acting for the Crown)</p> <p>Adult vs. Juvenile Cases</p> <p>Court Type or Level (court of appeal; court of superior criminal jurisdiction - e.g. Superior, Supreme and Queen's Bench; county and district courts; provincial court, magistrate's court, sessions of the peace, youth court, provincial traffic court; unified family court/provincial family court; small claims/small debt court; administrative tribunal; municipal court; surrogate court)</p> <p>Case Type (criminal indictable appeal, juvenile appeal, summary conviction appeal, civil appeal, criminal, juvenile delinquency, traffic)</p> <p>Type of Major Offence (most serious initial; most serious final)</p> <p>Major Type of (Civil) Legal Problem (contract, tort, property, divorce, family, adoption, custody, maintenance, probate, administrative tribunal, appeal from lower court appeal, debt, consumer action, landlord and tenant, etc.)</p>	<p>By province and community (court location).</p>	<p>National availability: Statistics Canada Adult Court Program and Juvenile Court Program. No National Civil Justice Statistics collected.</p>	<p><b>Not Met</b> - With the exception of certain information available for juveniles, no national program now exists. The Statistics Canada program is currently under review and their most recent publication (which excluded Que., Alta., Yukon &amp; N.W.T.) was for 1973. Within provincial jurisdictions, basic counts are generally available whereas more detailed information is generally not available. However, much of the information is only available on paper files and is thus difficult and costly to access.</p>	<p>Provinces and territories attached quite varied priorities to the provision of caseload data. A general conclusion to be drawn is that most felt that basic counts and caseload data were of high priority and should be made available within the near future. Case characteristics were of medium to low priority: they were desirable but not essential.</p>

PROVINCIAL REQUIREMENTS

SECTOR: COURTS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>CASELOAD/WORKLOAD QUANTITATIVE (Continued)</b></p> <p><b>CASES (Continued):</b></p> <p>Originating Trial Court (provincial, juvenile, county, district, supreme, Queen's Bench, etc.)</p> <p>Trial Type (jury, non-jury, preliminary hearing)</p> <p>No. of Charges and Counts</p> <p>Civil Matters Contested/Uncontested</p> <p><b>PROCESS:</b></p> <p>Dates (case initiation, case completion)</p> <p>Appeal Outcomes (sentence upheld, sentence altered, conviction upheld, conviction quashed, retrial ordered, other)</p> <p>Criminal Case Dispositions (guilty plea, stayed, withdrawn, found unfit for trial, abated, proceeding stopped for other reasons, dismissed, acquitted, committed for trial and found guilty)</p> <p>Length of Time to Dispose of Case (average, frequency dist.)</p> <p>Stage of Process at which Criminal Case Disposition Occurs (at first appearance, at appearance prior to trial appearance, at trial)</p> <p>Stage of Process at Which Civil Case Disposition Occurs (settled or discontinued prior to court appearance, default judgment, etc.)</p> <p>No. of Court Appearances Per Case (average, frequency dist.)</p> <p>Plea (guilty/not guilty)</p> <p><b>SENTENCING AND BENCH WARRANTS:</b></p> <p>No. and Type of Sentences (penitentiary, gaol, probation, fine, discharge, other)</p> <p>Aggregate Sentence Length</p> <p>Length of Probation Order</p> <p>Amount of Fine</p> <p>Aggregate Length of Sentence in Default of Payment of Fine</p> <p>No. of Bench Warrants Issued</p> <p>No. of Bench Warrants Executed</p>		<p>Process data is generally not available or only partially available, exceptions being some data items in N.W.T., Ont., and P.Q.</p> <p>This information is either not available or only partially available except for N.W.T. and P.Q. where some data items may be available.</p>	<p>Not Met.</p> <p>Not Met.</p>	<p>Process information is generally considered to be medium to low priority except for a high-medium priority attached to dispositions by Sask., Ont., P.Q., and N.B. and to stages and dates by Sask., P.Q., and N.B.</p> <p>There was agreement that this information is of low to medium priority, the one exception being some information of high priority to P.Q.</p>

PROVINCIAL REQUIREMENTS

SECTOR: COURTS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>CASELOAD/WORKLOAD</b> <b>QUANTITATIVE (Continued)</b></p> <p><b>ACCUSED:</b></p> <p>No. of Accused</p> <p>Adult - Juvenile</p> <p>No. of Juveniles Raised to Adult Court</p> <p>Age</p> <p>Sex</p> <p>Place of Residence (community and province)</p>		<p>With the exception of N.W.T. and P.Q. where some information may be partially available, the provinces/territories indicated that this type of data was not available.</p>	<p><b>Not Met.</b></p>	<p>Characteristics of the accused have a medium to low priority in all provinces/territories responding to the survey.</p>
<p><b>HEARINGS:</b></p> <p>No. and Type (motions, bail hearings, bail applications, writs, bail estreatment, summary conviction appeals, wire tap applications, preliminary hearings, hearing with respect to raising a juvenile to adult court, chamber applications, etc.</p> <p><b>QUALITATIVE DESCRIPTIONS</b></p> <p><b>DISTRIBUTION OF SERVICES AND FACILITIES:</b></p> <p>No. of Courthouse Facilities</p> <p>No. Served by Resident Judge vs. Visiting Judge</p> <p>No. Served by Full Time Court Staff, Part-Time Staff and Visiting Staff</p> <p>No. of Courtrooms</p> <p>Estimated Population Served</p>	<p>By province and location of court sittings (community); data linkages to court level.</p>	<p>availability survey with no general conclusions to be drawn.</p> <p>With few exceptions, all of this information is available from the 9 jurisdictions responding to the survey.</p>	<p>collects and disseminates data on court hearings.</p> <p><b>Not Met</b> - No national program exists which provides qualitative descriptions of court-related administrative features.</p>	<p>information, ranging from high to medium to low depending on the province and type of data.</p> <p>General agreement that this information is of high priority and should be made available in the near future. An exception was N.W.T., which rated it as low to medium priority.</p>
<p><b>UTILIZATION OF COURTROOM FACILITIES:</b></p> <p>No. of Days Court Sat</p> <p>No. of Hours Court Sat</p> <p>Organization and Jurisdiction</p>	<p>By province and community; data linkages to court level, case type.</p>	<p>Responses were varied, but generally tended to indicate that information was available or partially available, except for N.B. and Alta.</p>	<p><b>Not Met.</b></p>	<p>Priority ratings were mixed, with Yukon, B.C. and P.Q. being most in favour and N.W.T., Sask. and Ont. being least in favour. If responses were averaged, the overall priority would probably be medium to low.</p>

PROVINCIAL REQUIREMENTS

SECTOR: COURTS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<b>QUALITATIVE DESCRIPTIONS (Continued)</b>				
<p><b>ORGANIZATION AND JURISDICTION:</b></p> <p>Description of the courts' structure and jurisdiction; e.g. criminal, civil, juvenile, family, probate, small claims, etc. and monetary, subject matter, geographic, venue limitations on jurisdiction, etc. and appeal structure and limitations, etc.</p> <p>Description of legislation, orders-in-council, and court rules establishing and regulating the operation of the courts.</p> <p><b>JUDICIAL ADMINISTRATION:</b></p> <p>Description of the judicial administration or management structure by level of court.</p> <p>Description of support services provided to the judiciary, e.g. law clerks, research assistants, judges' law library staff, clerical and secretarial support, etc.</p>		<p>Of the 9 responding jurisdictions, all indicated that the information was available; Sask. indicated that some information was only partially available.</p> <p>Available in 8 out of 9 reporting jurisdictions (the exception being B.C.)</p>	<p><b>Not Met.</b></p> <p><b>Not Met.</b></p>	<p>High priority was given by all jurisdictions except Ont. where it was a medium priority and N.B. where it was of medium to low priority.</p> <p>High priority in all reporting jurisdictions except Ont. where it was medium to high and N.B. where it was medium.</p>
<p><b>COURT SERVICES ADMINISTRATION:</b></p> <p>Description of the management structure for court services including the division of administrative responsibilities of personnel in charge or administering the courts and court related services. Degree of centralization versus decentralization; e.g. provincial headquarters, regional and local management centres. Degree of unification of administrative services to the various levels of court.</p> <p>Description of special support service units, e.g. court planning, research, personnel, training, central records management, information systems, public information, etc.</p> <p>Description of services provided to each level of court including registrars, masters, court clerks, reporters, recorders, sheriffs, bailiffs, counselling, referees, other support services, etc.</p> <p>Salary ranges and classification of personnel</p>		<p>Available in all responding jurisdictions, but only partially available in P.Q.</p>	<p><b>Not Met.</b></p>	<p>High priority for all provinces/territories except N.B. where it was of medium priority. This information is essential and should be made available in the near future.</p>

PROVINCIAL REQUIREMENTS

SECTOR: COURTS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>QUALITATIVE DESCRIPTIONS (Continued)</b></p> <p><b>COURT SERVICES ADMINISTRATION: (Cont'd)</b></p> <p>Description and inventory of fees charged by court services, eg. filing fees, law stamps, sherrifs' fees, transcript fees, etc.</p> <p><b>COURT PROCEDURES:</b></p> <p>Description of procedures used to handle high volume types of cases including traffic; other provincial summary matters; parking and municipal by-laws, landlord and tenant disputes; small claims matters; family cases. Administrative non-trial methods for disposing of contested and uncontested cases. Use of fine option, traffic points, ex-parte trials procedures and administrative systems as alternatives to judicial disposition of cases.</p> <p>Description of hearing officers, Justice of the Peace Courts, administrative tribunals attached and under the control of the courts, and other mechanisms to permit disposition of cases without resorting to the use of trial procedures before a judge.</p> <p>Description of the enforcement of court orders. Collection of overdue fines, family maintenance payments and use of gaol in default of payment. Bail estreatment.</p> <p>Description of special mediation or arbitration or reconciliation services attached to the courts. Samll claims referee and family counselling. Court rules affecting caseflow. Time limitations and procedures to enforce these limitations in civil cases.</p> <p><b>RESOURCES</b></p> <p><b>MANPOWER:</b></p> <p>No. of Personel</p> <p>Type of Personnel (judges, super-numery judges, hearing officers, sitting Justices of the Peace, law clerks, clerical staff, secretaries, judges' law library staff, assistants, other support staff, administrative staff, research staff, registrars, court clerks, court reporters, sheriffs, bailiffs, court security staff, accountants, other professionals, etc.)</p>	<p>By province and community (court location); data linkages to number of cases, level of court.</p>	<p>Available in all reporting jurisdictions, but only partially available in B.C., Ont. and P.Q.</p> <p>This information is available in all jurisdictions responding to the survey.</p>	<p><b>Not Met.</b></p> <p><b>Not Met - no national program exists which collects and disseminates court resources information.</b></p>	<p>High priority in all provinces/territories except N.B. where it was of medium-low priority. This information is essential and should be made available in the near future.</p> <p>There is general consensus that manpower data is of high priority and should be made available in the near future. The one exception was Yukon, which felt it was of low priority.</p>

PROVINCIAL REQUIREMENTS

SECTOR: COURTS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>RESOURCES (Continued)</b></p> <p><b>MANPOWER (Continued):</b></p> <p>Employment Status (full-time, part-time, fee for service basis, etc.)</p> <p>Function (province court administration, headquarters, special units, etc.)</p> <p><b>COSTS:</b></p> <p>Amount of Federal Government Expenditures and Grants (federally appointed judges' salaries and allowances, judges' annuities and allowances to widows, Office of the Commissioner for Federal Judicial Affairs, Canadian Judicial Council, Unified Family Court Grants, etc.)</p> <p>Amount of Provincial/Territorial Government Court Expenditures</p> <p>Amount of Municipal Government Court Expenditures</p> <p>Type of Expenditure (salaries, benefits, fees for service, other operational expenditures, facility and capital costs)</p> <p><b>REVENUE:</b></p> <p>Amount of Revenue</p> <p>Type or Source of Revenue (fines, court costs, transcript fees, civil jury fees, filing fees, law stamps, process service, execution of court orders, sheriffs' fees, etc.)</p> <p>Level of Government (federal, provincial, municipal)</p>	<p>By province; data linkages required to manpower functions and types, level of court, and to type of legal matter (civil/criminal).</p> <p>By province; data linkages required to level of court.</p>	<p>Availability responses were mixed, with no overall patterns emerging.</p> <p>The information is partially available in all jurisdictions except P.Q. and N.B., where it is not available.</p>	<p><b>Not Met</b></p> <p><b>Not Met.</b></p>	<p>There was general agreement that expenditure information is of high priority and should be made available in the near future.</p> <p>Priorities assigned to this information were generally high to medium: the information is either essential or highly desirable and should be made available.</p>

PROVINCIAL REQUIREMENTS

SECTOR: CROWN COUNSEL

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b><u>CASELOAD/WORKLOAD</u></b> <b><u>QUANTITATIVE</u></b></p> <p><b>CASES:</b></p> <p>No. of Cases Heard and Disposed of During Year</p> <p>No. Initiated During the Year</p> <p>No. Completed During the Year</p> <p>No. Pending at Beginning and End of the Year</p> <p>No. and Type of Appeals (by accused on sentence, conviction or both; by crown counsel on sentence or acquittal)</p> <p>Handling Method (staff prosecutors vs. private practice lawyers or police officers acting for the Crown)</p> <p>Adult vs. Juvenile Cases</p> <p>Court Type or Level (court of appeal; court of superior criminal jurisdiction - e.g. Superior, Supreme and Queen's Bench; county and district courts; provincial court, magistrate's court, sessions of the peace, youth court, provincial traffic court)</p> <p>Case Type (criminal indictable appeal, juvenile appeal, summary conviction appeal, criminal, juvenile delinquency, traffic)</p> <p>Type of Major Offence (most serious initial; most serious final)</p> <p>Originating Trial Court (provincial, juvenile, county, district, supreme, etc.)</p> <p>Trial Type (jury, non-jury)</p> <p>No. of Charges and Counts</p> <p><b>PROCESS:</b></p> <p>Dates (case initiation, case completion)</p> <p>Appeal Outcome (sentence upheld, sentence altered, conviction upheld, conviction quashed, retrial ordered, other)</p>	<p>By province and community (court location).</p>	<p>There is no National crown counsel reporting system. At Provincial levels all Provinces indicated some degree of availability for the requirements listed, however, there is considerable variation in both the type and extent of information available. B.C., Ont., and P.Q., indicated that a high proportion of information items are not available, while Alberta, Sask., Man., N.B., and P.E.I., indicated that most of this information is fully or partially available. Newfoundland, Nova Scotia &amp; the Territories did not respond to the survey.</p>	<p><b>Not Met</b> - no National information is compiled.</p>	<p>The response from Crown Counsel Directors indicates a high interest in national information. Of all survey responses to information items, over 80% indicated that the item was essential or highly desirable on a National level.</p>



PROVINCIAL REQUIREMENTS

SECTOR: CROWN COUNSEL

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>CASELOAD/WORKLOAD</b>  <b>QUANTITATIVE (Continued)</b></p> <p><b>PROCESS: (Continued)</b></p> <p>Criminal Case Dispositions (guilty plea, stayed, withdrawn, found unfit for trial, abated, proceeding stopped for other reasons, dismissed, acquitted, committed for trial and found guilty)</p> <p>Length of Time to Dispose of Case (average, frequency dist.)</p> <p>Stage of Process at which Case Disposition Occurs (at first appearance, at appearance prior to trial appearance, at trial)</p> <p>No. of Court Appearances Per Case (average, frequency dist.)</p> <p>Plea (guilty/not guilty)</p> <p><b>SENTENCING AND BENCH WARRANTS:</b></p> <p>No. and Type of Sentences (penitentiary, gaol, probation, fine, discharge, other)</p> <p>Aggregate Sentence Length</p> <p>Length of Probation Order</p> <p>Amount of Fine</p> <p>Aggregate Length of Sentence in Default of Payment of Fine</p> <p><b>ACCUSED:</b></p> <p>No. of Accused</p> <p>Adult - Juvenile</p> <p>No. of Juveniles Raised to Adult Court</p> <p><b>WITNESSES:</b></p> <p>No. and Type Testifying at Request of Crown Counsel (police witnesses, expert witnesses, civilian witnesses)</p> <p><b>MOTIONS OR WRITS:</b></p> <p>No. and Type Heard (e.g. habeas corpus)</p> <p><b>HEARINGS:</b></p> <p>No. and Type (motions, bail hearings, bail applications, writs, bail estreatment, summary conviction appeals, wire tap applications, preliminary hearings, hearing with respect to raising a juvenile to adult court, chamber applications, etc.)</p>				



PROVINCIAL REQUIREMENTS

SECTOR: CROWN COUNSEL

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>RESOURCES (Continued)</b></p> <p><b>COSTS:</b></p> <p>Amount of Expenditures</p> <p>Type of Expenditure (salaries, benefits, fees and disbursements paid to private practice lawyers, disbursements for cases handled by salaried prosecutors, witness fees, law library costs, other operational expenditures and facility and capital costs)</p> <p>Staff Lawyer Salary Scales and No. of Lawyers at Each Level</p> <p>Non-Lawyer Staff Salary Scales (ranges and averages)</p>	<p>By province and community (office location); data linkages required to program functions, type of personnel, court level and no. of cases.</p>	<p>No National compilation of resource data. The survey indicated that most items listed are available or partially available for their own jurisdiction.</p>	<p><b>Not Met</b> - no National information is compiled.</p>	<p>National data on resource allocations and expenditures was generally defined as essential or highly desirable.</p>

PROVINCIAL REQUIREMENTS

SECTOR: LEGAL AID

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>CASELOAD/WORKLOAD</b> <b>QUANTITATIVE (Criminal and Civil)</b></p> <p><b>CLIENTS:</b></p> <p>No. of Persons Seeking Legal Advice</p> <p>Contact Method (through legal aid offices/clinics, duty counsels, law student clinics, other, e.g. private practice lawyers)</p> <p>Socioeconomic (age, sex, resident status, family status, employment status, individual and family income, native - non-native)</p> <p><b>APPLICATIONS:</b></p> <p>No. of Applications for Legal Aid</p> <p>Adult - Juvenile</p> <p>Disposition of Applications (approved and proceeded to court, refused-financial, refused-legal, approved-not proceeded with)</p> <p>Major Offence Type (most serious charge)</p> <p>Major Type of Legal Problem (civil)</p> <p>Case Type (trial, appeal, civil)</p> <p><b>CASES COMPLETED:</b></p> <p>No. of Completed Cases</p> <p>Case Type (trial, appeal, civil)</p> <p>Trial Type (summary trial, indictable trial, preliminary hearing, superior court with/without jury)</p> <p>Major Offence Type (most serious charge)</p> <p>Major Type of Legal Problem (civil)</p> <p>Level of Court</p> <p>Adult - Juvenile</p> <p><b>PROCESS:</b></p> <p>Dates (first appearance, final disposition)</p> <p>Average Length of Time to Dispose of Cases</p> <p>Type of Plea (guilty, not guilty)</p> <p>Stage of Process at which Criminal Case Disposed of (at first appearance, at appearance before trial, at trial)</p>	<p>Breakdowns by province and community</p> <p>Community-level breakdowns</p> <p>By province and community; data linkages to resource information.</p> <p>By province; data linkages to court level, type of representation, costs and civil problem type.</p>	<p>No National program. Some information available within legal aid programs and their annual reports and from F/P agreement forms. Most information is kept manually and is not comparable (e.g., inconsistent terminology) from province to province.</p>	<p><b>Not met</b> - at National level. At Provincial level - no. of clients available in all jurisdictions except PEI; contact method available in some jurisdictions in limited detail; socio-economic data available in roughly half the jurisdictions; geographic detail generally meets requirements.</p> <p><b>Not met</b> - at National level. At Provincial level - no. of applications is fully met, except for desired geographic breakdowns in Ont. and N.B.; case type distinctions fully met except for P.Q.; adult-juvenile available except for Ont., N.B., Nfld.; disposition type generally available in most provinces/territories; offence type fully met except for Sask.</p> <p><b>Not met</b> - at National level. At Provincial level - no. of cases fully met for geographic breakdowns; case type fully met except for P.Q., trial type available in 8 out of 12 jurisdictions; offence and civil problem type fully met; court level available in 8 out of 12 jurisdictions; adult-juvenile fully met except for N.B.</p> <p><b>Not met</b> - at National level. At Provincial level process data available for B.C., partially available for P.Q. and N.S., generally not available for other jurisdictions.</p>	<p>Legal aid Directors expressed high interest in National statistics. Almost all caseload items received rankings of "essential" or "highly desirable" on National level. Slightly less priority was given to information regarding higher levels of detail on case processing and outcomes, client characteristics, frequency breakdowns, and student law clinics.</p>

PROVINCIAL REQUIREMENTS

SECTOR: LEGAL AID

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>CASELOAD/WORKLOAD</b>  <u>QUANTITATIVE Criminal and Civil (Continued)</u></p> <p><b>PROCESS: (Continued)</b></p> <p>Civil Case Disposition (requiring/not requiring representation in court)</p> <p>Criminal Case Outcomes (guilty plea, stayed/withdrawn, dismissed, acquitted, committed for trial and found guilty)</p> <p>Type of Sentence (penitentiary, gaol, probation fine, discharge, other)</p> <p>Civil Case Outcomes (assisted successfully, settled with costs/damages, other outcomes)</p> <p>No. of Court Appearances Per Case (average)</p> <p><b>QUALITATIVE DESCRIPTIONS</b></p> <p>Population Served</p> <p>Activity Breakdowns (function/programs, administration, support staff, special programs e.g., native courtworker, delivery systems/services)</p> <p>Plan Descriptions (coverage, eligibility, contribution, services outside plan)</p> <p>Organization Descriptions (legislative, Order-in-Council, contracts, agreements)</p> <p>Tariff Descriptions (criminal, civil)</p> <p><b>RESOURCES:</b></p> <p><b>COSTS:</b></p> <p>Average cost (per case completed and per person assisted)</p> <p>Type of Expenditures (salaries, administration costs, disbursements, preventive law programs, law student clinics, grants, etc.)</p> <p>Amount of Expenditures (frequency range, average)</p> <p><b>FUNDING:</b></p> <p>Federal Cost-Sharing (no. of cases covered and not covered by agreement)</p> <p>Partial Client Contributions (no. of clients contributing/not contributing)</p>	<p>Data linkages to resource infor.</p> <p>By community/area; data linkages to type of representation, major offence type, type of plea, civil case dispositions, case type, adult-juvenile.</p>	<p>No National program.</p> <p>Some National information compiled by Federal Department of Justice but is not standardized or released as a publication.</p>	<p><b>Not met</b> at National level. At Provincial level - information is generally available for most jurisdictions.</p> <p><b>Not met</b> at National level. At provincial level, average costs fully met; cost breakdowns met in roughly half the jurisdictions; data linkages met in most jurisdictions.</p> <p><b>Not met</b> at National level. At provincial level, funding source not available for Sask., P.Q., N.B. and N.W.T.</p>	<p>Almost all qualitative information was described as "essential" on National basis.</p> <p>Almost all resource information was described as "essential" on National basis.</p>

PROVINCIAL REQUIREMENTS

SECTOR: LEGAL AID

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>RESOURCES: (Continued)</b></p> <p><b>FUNDING: (Continued)</b></p> <p>Source of Funding (government contributions of all types, trust account interest, non-government agencies, investment income, contribution/recovers from clients, costs awarded by court)</p> <p>Amount of Funding</p> <p><b>MANPOWER:</b></p> <p>Number of Personnel Resources</p> <p>Type of Personnel (lawyer, other professional, support staff, native courtworker, etc.)</p> <p>No. of Years Staff Lawyers called to Bar (frequency dist.)</p> <p>Type of Legal Representation (staff lawyer, private practice lawyer, duty counsel)</p>	<p>Annual aggregate tables; data linkages to no. of cases completed and quantitative descriptions; by province and community.</p>		<p><b>Not met</b> at National level. Provincial level - number of personnel available in all jurisdictions except N.B. and N.W.T.; type and years service available in more than half the jurisdictions.</p>	

PROVINCIAL REQUIREMENTS

SECTOR: CORRECTIONS - FEDERAL INSTITUTIONS

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><u>CASELOAD/WORKLOAD</u> <u>QUANTITATIVE</u></p> <p>No. of Admissions</p> <p>Type of Admission (warrant, revocation, forfeiture, etc.)</p> <p>Type of Offence</p> <p>Length of Sentence</p> <p>Age</p> <p>Sex</p> <p>Ethnic Origin</p> <p>No. and Type of Releases</p> <p>No. of Transfers Under F/P Contract Agreement</p> <p>No. of Escapes</p> <p>No. and Type of Deaths</p> <p>Security Level</p> <p>Population Counts (average, high, low)</p>	<p>By province and institution.</p>	<p>The majority of the information could be provided in the requested format by CSC. Some core data is available on regular basis from Statistics Canada.</p>	<p>Partially met - for federal corrections data as a whole, high priority items are generally available. But the main problem is the lack of a mechanism for national dissemination.</p>	<p>High priority. Most Provinces indicate that this information is essential and should be made available in the near future.</p>
<p><u>CASELOAD/WORKLOAD</u> <u>QUANTITATIVE</u></p> <p>No. of Admissions (yearly, average, high and low counts)</p> <p>Type of Admission (on sentence, on remand, psychiatric assessment, lockup)</p> <p>Type of Offence/Charge (most serious)</p> <p>Length of Sentence</p> <p>Age</p> <p>Sex</p> <p>Ethnic Origin (native/non-native)</p> <p>No. of Releases</p> <p>Type of Release (F/P contract agreement, appeal, temporary absence, other)</p> <p>Length of Stay</p> <p>No. and Type of Temporary Absence Releases (work, education, medical)</p> <p>No. and Type of Escapes (walkaway, unlawfully at large, etc.)</p> <p>No. &amp; Type of Deaths (suicide, etc.)</p> <p>Population Counts (average, high, low)</p>	<p>By province and institution.</p>	<p>At National level some Provincial caseload information has historically been available through Statistics Canada. Of the 9 Provinces responding to the survey, all are able to provide counts of admissions, releases, population, escapes, and deaths. Most are also able to provide offender characteristics data.</p>	<p>Not met at national level. The Statistics Canada provincial corrections program is currently under review. As well, categories and definitions are not always comparable between jurisdictions.</p>	<p>High priority was given to provincial institution caseload data. There was general agreement that this information is essential and should be made available in the near future.</p>

**PROVINCIAL REQUIREMENTS**

SECTOR: **CORRECTIONS - FEDERAL PAROLE AND MANDATORY SUPERVISION; PROVINCIAL PAROLE (ONT., P.Q., B.C.)**

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b><u>CASELOAD/WORKLOAD</u></b> <b><u>QUANTITATIVE</u></b></p> <p>No. Released on Parole/M.S.</p> <p>Type of Supervision</p> <p>Length of Supervision</p> <p>Age</p> <p>Sex</p> <p>Ethnic Origin</p> <p>Released from Federal/Provincial Institution</p> <p>No. and Type of Parole Decisions or Reviews (grant, defer, deny)</p> <p>No. of Applications for Full Parole and Day Parole</p> <p>No. and Type of Terminations (completed successfully, returned to prison, etc.)</p>	<p>By province.</p>	<p>The majority of this information could be provided on a request basis by CSC.</p>	<p><b>Not Met.</b> No national information program currently exists.</p>	<p>High priority: information is essential and should be made available in the near future.</p>



PROVINCIAL REQUIREMENTS

SECTOR: CORRECTIONS - PROBATION

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><u>CASELOAD/WORKLOAD</u> <u>QUANTITATIVE</u></p> <p>No. of Supervised Admissions</p> <p>Type of Offence</p> <p>Length of Sentence</p> <p>Age</p> <p>Sex</p> <p>Ethnic Origin (native/non native)</p> <p>Admitted from Jail/Parole</p> <p>No. and Type of Case Terminations (expiration of sentence, breach of order, etc.)</p> <p>No. and Type of Reports Prepared (presentence, precourt inquiry, etc.)</p>	<p>By office and province; data linkages to manpower data.</p>	<p>Of 9 responding jurisdictions, all are able to provide caseload counts. Client characteristics are currently available within 6 or 7 of the jurisdictions and partially available from the others.</p>	<p>Not Met. No national program exists.</p>	<p>High priority: this information is essential and should be provided in the near future.</p>

PROVINCIAL REQUIREMENTS

SECTOR: CORRECTIONS - QUALITATIVE

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>QUALITATIVE DESCRIPTIONS</b></p> <p>An overview of the federal and provincial responsibilities for corrections, including a description of those programs whereby federal and provincial services are shared or exchanged.</p> <p>By ministry, a description of the services provided, the overall organization of these services (including organizational charts), the functions carried out by each branch within the department, and the number of persons employed within each branch.</p> <p><b>Institutions:</b></p> <p>a) by ministry, a description of the institutions operated, their characteristics, and a description of the programs operated within the institutions.</p> <p>b) by institutions, a description of the type of facility, age of the facility, security level, and rated bed capacity.</p> <p><b>Probation and Parole:</b></p> <p>a) by ministry, a description of the type of supervision programs operated, case assignment and termination procedures (including administrative terminations), services provided to the institutions and the courts.</p> <p>b) description of the special programs operated including diversion, restitution, community service work orders, and volunteer programs; listing of programs by type and location.</p> <p><b>Purchased Services:</b></p> <p>a) by ministry, a description of the institution and probation/parole programs and services which are purchases from the private sector and from other government departments.</p> <p>b) listing of purchased bed space in community residential centres by location (alloted beds in shared facilities).</p>		<p>The majority of this information is available from all of the provinces, territories, and from the federal government.</p>	<p><b>Not Met.</b> No national program exists for the collection and dissemination of qualitative information.</p>	<p>High priority: with a few exceptions, this information is essential and should be made available in the near future.</p>

PROVINCIAL REQUIREMENTS

SECTOR: CORRECTIONS - QUALITATIVE

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>QUALITATIVE DESCRIPTIONS (Continued)</b></p> <p><b>Purchased Services: (Continued)</b></p> <p>c) listing of the other programs, facilities and services purchased from the private sector or from other government departments.</p> <p><b>Government Services:</b></p> <p>by ministry, a description of the services which are provided to corrections ministries or departments by central units within the justice or social service ministries, or by other government departments (ie. finance, personnel, computing services).</p> <p><b>Current Research and Projects:</b></p> <p>by ministry, a description of research projects or pilot projects that have been undertaken and would be of use or of interest on a national basis.</p>				

PROVINCIAL REQUIREMENTS

SECTOR: CORRECTIONS - RESOURCES

FIELD OF OBSERVATION AND REQUIREMENTS	SPECIFICATIONS REQUIREMENTS	CURRENT AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPENCIES	PRIORITY
<p><b>RESOURCES</b></p> <p><b>COSTS:</b></p> <p>Amount of Annual Expenditures</p> <p>Object of Expenditure</p> <p>Type of Service (probation, institutions, administration, purchased services, parole board, parole service, etc.)</p> <p>Federal/Provincial Expenditure</p> <p>Type of Expenditure (salaries, wages, benefits, operating costs, capital expenditures, purchase of non-governmental services)</p>	<p>By province and institutional location; expressed as per diem costs and average cost per case.</p>	<p>At the provincial level, most of this information is available. For federal corrections, the information is partially available.</p>	<p><b>Not Met.</b> No national program exists.</p>	<p>High priority: this information is essential and should be made available in the near future.</p>
<p><b>MANPOWER:</b></p> <p>No. of Personnel</p> <p>Type of Service (probation, institutions, administration)</p> <p>Function or Classification of Personnel</p> <p>Sex of Personnel</p> <p>Full Time, Part-Time, Casual Employment Status</p> <p>No. and Type of Staff Training Programs</p> <p>Staff/Client Ratio (average, high low)</p>	<p>By province and work location; data linkages to caseload/workload; for federal and provincial employees.</p>	<p>Almost all the required manpower information is available from the 9 responding provinces/territories. It is partially available from the federal level and the majority of this information could be made available.</p>	<p><b>Not Met.</b> No. national program exists.</p>	<p>High priority: information is essential and should be made available in the near future.</p>

**FEDERAL REQUIREMENTS**

**INTRODUCTION**

This chapter contains listings of federal information requirements as derived from efforts coordinated by the National Work Group (NWG) on behalf of the NPRC.

The listings are displayed under the following headings:

<u>Adult</u>	<u>Juvenile</u>
Police	Police
Trial Courts	Trial Courts
Appeal Courts	Appeal Courts
Legal Aid	Legal Aid
Corrections (federal institutions)	Post Court Services (Custody)
Corrections (provincial institutions)	Post Court Services (Probation)
Parole	
Probation	
Civil	

The reader is referred to Chapter 13 for a description of the methodologies utilized to develop these listings, to Chapter 4 for an "amalgamated summary" of the federal and provincial requirements and to the federal Department of Justice publication "Project No. 2: Defining Federal Information Requirements" for supporting information and analysis.

FEDERAL REQUIREMENTS

SECTOR: POLICE - ADULT

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>INCIDENT/OCCURRENCE:</b> Source of Complaint Type of Complaint Offence Type(s) Number of Offences Most Serious Offence Property Damage/Loss Personal Injuries Use of Weapon (type) Outcome (unfounded, cleared, etc)	Research; Policy Planning; Prog. Manag.	Quarterly computer tape from police forces; Annual summary publication; Offender-based micro-data.	U.C.R. (STC)	Annual Publication and computer tape available quarterly; Aggregate level only.	<b>Partially met</b> only most serious offence and outcome are available and only at aggregate level; type of weapon available only for robbery offences at aggregate level.
	<b>VICTIM:</b> Personal I.D. (name, d.o.b.) Socioeconomic (age, sex, ethnic, etc.) Relationship to Accused (kinship, age, economic, ethnic) Alcohol or Drug Impairment	Research; Policy Planning.	Annual Publication; Special Surveys; Offender-based micro-data.	Homicide Program (STC)	Micro-data.	<b>Partially met</b> - available info applies to homicide victims only.
	<b>WITNESS:</b> Number Relationship to Accused Relationship to Victim	Prog. Manag; Policy Planning; Research.	Annual Publication; Offender-based micro-data.	--	--	<b>Not met</b>
	<b>ACCUSED:</b> Personal I.D. (name, d.o.b., FPS) Socioeconomic (age, sex, ethnic, etc.) Previous Criminal Record Co-Accused Relationship to Victim Alcohol or Drug Impairment	Required for all functions	Annual publication and computer tape from all police; Offender-based micro-data.	Homicide Program, U.C.R. (STC)	Annual Publication.	<b>Partially met</b> - Homicide program does not cover all offence types; UCR only has M/F and Adult/Juvenile breakdowns.
	<b>PROCESS:</b> Dates (occurrence, decision, charge laid, pre-charge custody, post-charge custody, bail, release) Type of Custody (stage) Type of Release (On bail, etc) Type of Bail Bail Amount Legal Counsel	Policy Planning; Prog. Manag; Research.	Quarterly computer tapes; Annual Publication; Offender-based micro-data.	--	--	<b>Not Met.</b>
QUALITATIVE	<b>DEPARTMENT I.D.:</b> Name Province Type (Local, OPP, QPF, RCMP)	Prog. Manag; Research.	Annual Publication.	Police Administrative Statistics. (STC)	Annual Publication.	<b>Fully met</b> for towns with population of 750 plus.
	<b>POPULATION POLICED:</b> City/town/region Pop. Rural/urban area (sq.km)	Research; Policy Planning.	Annual Publication.	Police Admin. Stats. (STC)	Annual Publication.	<b>Partially met</b> - area policed no longer available; population data are questionable.

FEDERAL REQUIREMENTS

SECTOR: POLICE - ADULT

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
RESOURCES	<b>CIVILIANS KILLED OR INJURED BY POLICE AND VICE-VERSA:</b> Number Circumstances Type of Injury/Death Outcome	Research; Policy Planning re Public/ Police Safety.	Annual Publication.	Police Admin. Stats., Vital Stats. (STC)	Annual Publication.	<b>Partially met</b> - Vital statistics provides sex, age, province. Police Admin. stats supply, no. of police killed on duty only.
	<b>POLICE ACTIVITIES:</b> Types (patrol, traffic, investigation/detection, prevention, administration, communications, internal affairs, training/research, drugs, other).	Policy Planning; Research.	Computer tape on demand.	--	--	<b>Not Met.</b>
	<b>POLICE STRENGTH:</b> Actual & Authorized Size of Force Types of Personnel (sworn, civilian, cadets, reserves, meter maids, special constables, etc.) Strength by Rank (Chiefs, lieutenants, detectives, constables, etc.) Strength by Unit (traffic patrol, investigation, etc.) Personel Characteristics (age, sex, education, marital status, length of service) Transport Equipment (motor vehicles)	Policy Planning; Prog. Manag; Research.	Annual Publication.	Police Admin. Stats.	Annual Publication.	<b>Partially met</b> - authorized strength info. discontinued following 1977 publication; actual strength info. partially available.
	<b>TYPES OF MANPOWER CHANGES</b> (death, incapacitation, retirement, voluntary & involuntary resignations, other types of engagements & separations)	Prog. Manag.; Research; Policy Planning.	Annual Publication.	--	--	<b>Not Met</b>
	<b>COSTS:</b> Total Force Budget Salaries & Wages Capital Expenditures Overtime Benefits Min-Max. Salaries by Rank Other	Required for all functions	Annual Publication.	Financial Management Statistics.	Annual Publication.	<b>Not met</b> - FMS just gives gross total for federal, provincial, and local governments.

FEDERAL REQUIREMENTS

SECTOR: COURTS - (TRIAL) - ADULT

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<p><b>CHARGE/OFFENCE:</b> Original Offence(s)* (type, number) Most Serious Original* Final Offence(s)* (type, number) Most Serious Final* Victim Information Property Damage/Loss Personal Injuries Witnesses</p> <p><b>ACCUSED/OFFENDER:</b> Personal I.D. Socio-economic* Med./Psych. Prev. Crim. Record Prev. Diverted Co-Accused</p> <p><b>PROCESS:</b> Dates: (offence reported, decision, charge laid, charge withdrawn, preliminary inquiry, trial, first appearance, stay of proceedings, disposition or outcome, sentence, last appearance*)</p> <p>No. of Appearances No. of Remands Reasons for Remands Requestor of Remand Custody on Remand Cases Raised from Juvenile Court Plea* Representation By Counsel Interpreter Required Preliminary Inquiry* Discovery Outcomes (adjudication and sentence)</p>	<p>Policy Analysis/ Evalua- tion; Public Dissemina- tion of Info.</p> <p>Policy Analysis/ Evalua- tion; Public Dissemina- tion of Info.</p> <p>Policy Analysis/ Evalua- tion; Public Dissemina- tion of Info.</p>	<p>Annual Publication; National Coverage; Offender-based micro data.</p>	<p>Courts Program (STC)</p>	<p>Micro data on core elements(*) for all federal statute offence types from almost all courts in BC and Quebec. Micro data or provincial statute offences from all courts in BC.</p> <p>Micro data on indictable offences, aggre- gates on summary convictions (federal and provincial statutes, and Municipal bylaws) available for Yukon &amp; NWT. and a limited/random no. of courts in other jurisdic- tions.</p>	<p><b>Partially Met</b> - no data elements available for <u>all</u> jurisdictions in Canada on offences, offenders, process or resources.</p>
	<p><b>COURT IDENTIFICATION:</b> Location Type</p> <p><b>PROSECUTOR IDENTIFI- CATION:</b> Location Type</p> <p><b>SERVICES AVAILABLE:*</b> Assessment Forensic Legal Social Programmes &amp; Agencies</p>	<p>Policy Analysis/ Evalua- tion; Public Dissemina- tion of Info.</p> <p>"</p>	<p>Annual Publication; National Coverage.</p>	<p>Courts Programs (STC)</p>	<p><b>Partially Met</b> - need better coverage.</p> <p><b>Not Met</b></p> <p><b>Not Met</b></p>	



FEDERAL REQUIREMENTS

SECTOR: COURTS - APPEAL (ADULT)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE:</b> Appeal Related Offence Most Serious Appeal Related Offence	Policy Analysis/ Eval.; Public Dissemina- tion of Info.	Annual Publica- tion; National coverage; Offender-based micro data.	None since 1973 from Statistics Canada		Not Met
	<b>ACCUSED:</b> Personal I.D. Socioeconomic Medical/Psych. Previous Record Previously Diverted Co-Offenders Co-Appellants	"	"	-	-	Not Met
	<b>PROCESS:</b> Dates: (appeal initiated, first hearing, final hearing, outcome) Party Initiating Appeal: (informant, crown, accused) Basis of Appeal (acquittal, conviction, sentence) Sentence	"	"	-	-	Not Met
	Outcome of Appeal (dismissed, new trial, conviction, varied sentence, suspended sentence, acquitted, substituted verdict, abandoned)	Policy Analysis/ Evaluat- ion.	Annual Publica- tion; National coverage; Offender-based micro data.			
QUALITATIVE	Type of Counsel	"	"	-	-	Not Met
RESOURCES	<b>COURT IDENTIFICATION:</b>  Court of First Instance Location Type  Appeal Court Location Type	"	"	-	-	Not Met
	<b>COSTS:</b>  Salaries & Wages Capital Other	"	"	-	-	Not Met
	<b>MANPOWER:</b> Number Type	"	"	-	-	Not Met

FEDERAL REQUIREMENTS

SECTOR: LEGAL AID - ADULT

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>CASE:</b> Nature of Problem Number Legal Issues	Policy Planning/Evaluation; Program Management.	Annual Aggregated tables.	Some Information available from the Legal Aid Plans Annual Report, and Fed-Prov. Agreement Forms.	Available information is virtually non-interpretable (e.g. inconsistent use of terminology) and is non-comparable from province to province.	Not Met
	<b>CLIENT:</b> Personal I.D. (Name, residence, d.o.b.) Socioeconomic (age, sex, ethnic, employment status)	"	"	"	"	Not Met
	<b>PROCESS:</b> Dates Services Provided Referral Source Services Provided to Individuals Services Provided to Groups Refused (Reasons) Stage of Process at which Service(s) Provided Type of Representation (duty counsel, legal aid) Outcomes	"	"	"	"	Not Met
QUALITATIVE	<b>PROGRAM INFORMATION:</b> Description Eligibility Criteria Funding Sources	Policy Planning/Evaluation; Program Management.	Annual Aggregated Tables.	-	-	Not Met
RESOURCES	<b>COSTS PER UNIT:</b> Salaries and Wages Capital Other	Policy Planning/Evaluation; Program Management.	Annual Aggregated Tables.	-	-	Not Met
	<b>MANPOWER:</b> Number Type	"	"	-	-	Not Met

FEDERAL REQUIREMENTS

SECTOR: CORRECTION - ADULT - INSTITUTIONS (FEDERAL)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE(S) RESULTING IN CONVICTION:</b> Number Type(s) Most Serious Offence Aggregate Length of Sentence Length of Sentence for Each Offence Sentence Modifications	Research Planning.	Offender-based micro-data; annually.	Inmate Record System (CSC); Corrections Program(STC).	Computer Run On Demand; Annual Publication.	Partially met - available info. meets most needs except for detailed analyses of sentence lengths wherein additions to the original sentence length resulted in recalculations. Stats Can. Publication contains selected data supplied by CSC.
	<b>OFFENDER:</b> Personal I.D. Socioeconomic Medical/Psych Previous Crim. History Previous Diversion History Previous Incarceration History Previous Parole History Co-Offender Incarc.	Research Planning.	Offender-based micro-data; annually.	IRS (CSC)	Computer Run On Demand.	Partially met - only limited data on socio-economic characteristics and previous history; no data on Med/Psych, Diversion, co-offenders.
	<b>PROCESS:</b> Dates: (warrant of committal, admission, transfer, temp. absence, day parole, probable M.S. release, actual release, warrant expiry, change of legal status).  Admission Status (temporary, detainee, sentenced at Court (W/C), parole violator, mandatory supervision parole violator, M.S. Interrupted, parole/M.S, suspended, transfer). Involvement in Inst. Programmes (Inmate employment, academic education, vocational/technical ed., social, recreational, counselling). Inmate Deaths (type, number) Escapes (type, number) Transfers (type, number) Disciplinary Proceedings (number, types, outcomes, penalties) Time Served in Federal Pens Release Type	Research Planning. Administration	Offender-based micro-data; annually.	IRS NPSIS TA (CSC)	Computer Run On Demand	Partially met - info. available satisfies most requirements except for TA/Day Parole/Parole application dates, details on remand status, institutional programs and disciplinary proceedings.

FEDERAL REQUIREMENTS

SECTOR: CORRECTION - ADULT - INSTITUTIONS (FEDERAL)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
	<b>TEMPORARY ABSENCE PROGRAMME:</b> Type of Release Escort Type Permit Type Reason For Destination Granting Authority Duration Granted Completion Type Supervision Type Offence Type No. of Times Granted No. of Times Actually Used Process Dates (application, decision, granted, actual release, actual return).	Research Planning; Evaluation	Offender-based Micro-data; Quarterly.	TA Program (CSC)	Computer Run On Demand.	Partially Met - available info. meets most general descriptive needs. For analysis/evaluation, more data is needed on process dates, types of supervision, etc. Data linkages are also needed between the TA file and IRS file.
	Day Parole Programme (type, destination, duration granted, completion type, living arrangements, offence type, supervision type) No. of Times Granted No. of Times Actually Used Process Dates (application, decision, granted, actual release, actual return)	Research Policy Planning; Evaluation	Offender-based Micro-data; Annually.	NPSIS (CSC)	Computer Run On Demand	Partially met - only limited data is available on Day Paroles.
QUALITATIVE	<b>INSTITUTION DESCRIPTION:</b> Location Security Level Capacity Population Name	Policy Planning; Evaluation Research.	Monthly; hard copy.	CSC	Manually On Demand.	Fully Met
RESOURCES	<b>COSTS:</b> Regular Salaries & Wages Overtime Pay Capital Other	Policy Planning; Evaluation	Annually; hard copy.	CSC Finance Division.	Manually On Demand.	Fully Met
	<b>MANPOWER:</b> Number Type Location	Policy Planning; Evaluation Research.	Annually; hard copy.	CSC Manpower Planning Division.	Computer Run On Demand.	Fully Met

FEDERAL REQUIREMENTS

SECTOR: CORRECTION - ADULT - INSTITUTIONS (PROVINCIAL)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENTS/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE(S) RESULTING IN CONVICTION:</b> Number Type Most Serious Aggregate Length of Sentence	Research; Policy Planning.	Annual Printout or Publication; National Coverage; Offender-based micro data.	Adult Correctional Program (STC)	Annual publication for Maritimes and Manitoba.	Partially met - Need National coverage.
	<b>OFFENDER:</b> Personal I.D. Socioeconomic Previous Crim. History Previous Incarceration History Prev. Parole History Co-Offender Incarc.	"	"	"	"	Partially met - need National coverage; only limited data available on offender history.
	<b>PROCESS:</b> Dates: (warrant of committal, admission, transfer, temp. absence/day, parole, probable release, actual release, warrant expiry, change of legal status)	"	"	"	"	Partially met - need National coverage.
	<b>ADMISSION STATUS</b> (awaiting trial, awaiting appeal, sentenced at court (W/C), parole violator, parole suspended, transfer) <b>INVOLVEMENT IN INST. PROGRAMMES</b> (inmate employment, academic education, vocational/technical/ recreational, counselling). <b>DISCIPLINARY PROCEEDINGS</b> (number, types, outcomes, penalties) <b>INMATE DEATHS</b> (number, type) <b>ESCAPES</b> (number, type) <b>TRANSFERS</b> (number, type) <b>RELEASE</b> (number, type) <b>TEMPORARY ABSENCE/DAY PAROLE PROGRAMME:</b> (number, type, duration, reason, outcome)	Research; Policy Planning.	Annual Printout or Publication; National Coverage; Offender-based micro-data.	Adult Correctional Program (STC)	Annual publication for Maritimes and Manitoba.	Partially met - Need National Coverage.  Not Met.  Not Met.  Not Met.  Not Met.  Not Met.

FEDERAL REQUIREMENTS

SECTOR: CORRECTION - ADULT - INSTITUTIONS (PROVINCIAL)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
<b>QUALITATIVE</b>	<b>INSTITUTION DESCRIPTION:</b> Name Location Security Level Capacity Population	Research; Policy Planning.	Annual Printout or Publication; National Coverage.	Adult Correc- tional Program (STC)	Annual publications for Maritimes and Manitoba.	<b>Partially Met</b> - Need National coverage; no data available on security classifications.
<b>RESOURCES</b>	<b>COSTS:</b> Salaries & Wages Capital Other	Research; Policy Planning.	Annual Printout or Publication; National Coverage.	-	-	<b>Not Met.</b>
	<b>MANPOWER:</b> Type Location	Research; Policy Planning.	"	-	-	<b>Not Met.</b>

FEDERAL REQUIREMENTS

SECTOR: PAROLE - ADULT

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE/SENTENCE:</b> Type of Offence(s) Number of Offences Most Serious Offence Original Sentence Length Aggregate Sentence Length Portion Served in Institution	Program Management, Administration, Research, Evaluation	National basis Fed. & Prov. Offender-based micro-data available monthly on tape output	IRS NPSIS (CSC)	National coverage except for Que., Ont. & B.C.	<b>Partially Met</b> - not total Canada basis, data not updated monthly, IRS not available in tape output
	<b>PERSONAL CHARACTERISTICS</b> ID (name, d.o.b., F.P.S.) Socioeconomic (age at admission, ethnic origin, marital status, number of dependents, employment status at arrest)	Administration, Planning, Research, Evaluation	National basis Fed. & Prov. Offender-based micro-data available monthly on tape output	IRS NPSIS (CSC)	National coverage except for Que., Ont. & B.C.	<b>Partially Met</b> - available socioeconomic data does not meet all requirements and is of questionable quality
	<b>PREVIOUS RECORD:</b> Age at First Adult Conviction No. of Previous Adult Convictions Type of Previous Adult Convictions (assault, violent sexual offences, B&E, Other) No. of Previous Adult Incarcerations (Fed & Prov) No. of Escapes Previous Parole/M.S. History (number, outcomes) Previous Temporary Absence/Day Parole History (number, outcomes)	Administration, Research, Planning, Evaluation	National basis, Fed. & Prov. Offender-based micro-data available monthly on tape output	IRS NPSIS Manual Systems (CSC)	National coverage except for Que., Ont. & B.C.	<b>Partially Met</b> - NPSIS data dates to 1974 only; IRS data excludes previous provincial incarcerations
	<b>PAROLE WORKLOAD:</b> No. of Applications/Decisions Type of Decisions No. of Cases Reviewed No. of Votes Required Panel/Office Decision Jurisdiction (Fed/Prov) No. of Cases Supervised (parole, M.S.) No. of Parole Refusals No. of Inmates Refusing Parole Review	Program Administration, Research, Evaluation	National basis Fed. & Prov. Offender-based micro-data available monthly on tape output	NPSIS (CSC)	National coverage except for Que., Ont. & B.C.	<b>Partially Met</b> - data available for no. of votes cast, not no. of votes required; no info on panel/office decisions for some decision types; no info on inmates refusing parole review

FEDERAL REQUIREMENTS

SECTOR: PAROLE - ADULT

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
QUALITATIVE	<b>PROCESS:</b> Dates: (admission, release, decision, eligible parole date, date of termination) Type of Release Special Conditions of Release Parole Performance Type of Termination Reasons for Termination Length of Time on Parole/M.S. Destination of Parolee	Program Administration, Research/Evaluation	National basis, Fed. & Prov., Offender-based micro-data available output	NPSIS, IRS (CSC)	National coverage except for Que., Ont., & B.C.	<b>Partially Met</b> - info on special conditions may not always be available; no info on date of next parole review and parole
	<b>OFFENCE(S) ON RE-ADMITTANCE:</b> Number Type(s) Most Serious New Sentence Length	Program Administration, Research/Evaluation	National basis, Fed. & Prov., Offender-based micro-data available monthly on tape output.	NPSIS, IRS (CSC)	National coverage except for Que., Ont., & B.C.	<b>Partially Met</b> - data available on aggregate (modified) sentence - not new sentence
	<b>INSTITUTIONS ADMITTED TO CURRENTLY IN &amp; RELEASED FROM:</b> Name Location Type (Fed/Prov) Security Classification	Administration, Research/Evaluation.	National basis, Fed. & Prov., monthly on tape output.	IRS NPSIS, Transfer File (CSC)	National coverage except for Que., Ont., & B.C.	<b>Partially Met</b> - no info on provincial releasing institutions if they differ from decision institutions
	<b>SUPERVISING OFFICE:</b> Location Type of Supervisory Agency	Research, Administration, Planning.	National basis, Fed. & Prov., monthly on tape output.	NPSIS, Manual System (CSC)	National coverage except for Que., Ont., & B.C.	<b>Partially Met</b> - no info in NPSIS on agency type; manual system doesn't provide info on both Fed. & Prov. agencies.
RESOURCES	<b>COSTS:</b> Salaries & Wages Capital Other	Administration, Planning, Research/Evaluation	National basis, Fed. & Prov., available monthly on printout	Finance Divisions, NPB & CSC	On Demand Computer Run	<b>Fully Met</b>
	<b>MANPOWER:</b> No. of Parole Officers No. of Permanent Parole Board Members No. of Temporary Parole Board Members Length of Temporary Appointments Utilization of Regional Community Board Members	Administration, Planning, Research/Evaluation	National basis, Fed. & Prov., available monthly on printout	Manpower Planning Division (CSC)	On Demand Computer Run	<b>Partially Met</b> - data excludes Que., Ont. & B.C.



FEDERAL REQUIREMENTS

SECTOR: ADULT - PROBATION

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
<b>CASELOAD/ WORKLOAD QUANTITATIVE</b>	<b>OFFENCE:</b> Type Number Most Serious <b>CLIENT:</b> Personal I.D. Socioeconomic Previous Criminal <b>PROCESS:</b> Dates: (admission, release, commencement, termina- tion) Duration of Order Type of Probation Special Conditions Type of Termination (outcome)	Research; Policy Planning.	Annual Printouts, National Coverage, Offender-based Micro data.	-	-	<b>Not Met</b>
<b>QUALITATIVE</b>	<b>PROBATION OFFICE IDENT.:</b> Type Location <b>WORKLOAD:</b> Number of Cases Under Supervision Length of Supervision	Research; Policy Planning.	Annual Print- outs; National coverage.	-	-	<b>Not Met</b>
<b>RESOURCES</b>	<b>COSTS:</b> Salaries & Wages Capital Other <b>MANPOWER:</b> Number Type Location	Research; Policy planning.	Annual Print- outs; National coverage.	-	-	<b>Not Met</b>

SECTOR: CIVIL

## FEDERAL REQUIREMENTS

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
<b>CASELOAD/ WORKLOAD QUANTITATIVE</b>	<b>CASES:</b> Area of Law Circumstances	Policy Planning	Annual aggregate tables, printouts	-	-	<b>Not Met</b>
	<b>PARTIES:</b> Type (Individual) Corporate, Govt.) Socioeconomic (Individual) Characteristics (Corp., Govt.)	"	"	-	-	<b>Not Met</b>
	<b>PROCESS:</b> Dates: Type of Legal Representation Steps Taken (Discovery, Appearance, Pleadings, Appeals, etc.) Outcome	"	"	-	-	<b>Not Met</b>
	<b>ENFORCEMENT:</b> Steps Taken Outcome	"	"	-	-	<b>Not Met</b>
<b>QUALITATIVE</b>	<b>ADJUDICATING BODY:</b> Identification Population Served Human Resources Available Services & Programs Available	Policy Planning	Annual aggregate tables, printouts	-	-	<b>Not Met</b>
<b>RESOURCES</b>	<b>COSTS:</b> Costs to Parties Costs to Government Other Costs	Policy Planning	Annual aggregate tables, printouts	-	-	<b>Not Met</b>

FEDERAL REQUIREMENTS

SECTOR: POLICE - JUVENILE

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>INCIDENT/OCCURRENCE:</b> Source of Complaint Type of Complaint Offence Type(s) Number of Offences Most Serious Offence Property Damage/Loss Personal Injuries Use of Weapon (type) Outcome (unfounded, cleared, etc.)	Research, Policy Planning, Program Management, Evaluation	Annual publication, National coverage, offender-based micro-data	UCR, Homicide Program (STC)	Annual Pub., Aggregate Level except for homicide program	<b>Partially Met</b> - UCR only provides aggregate level, summary data on most serious offence, date and outcome. Homicide program limited to only this type of offence.
	<b>ACCUSED:</b> Personal ID (name, d.o.b., address) Socioeconomic (age, sex) Previous Record Outcome (charge, informal, other)	Research, Policy Planning, Program Management, Evaluation	Annual publication, National coverage, offender-based micro-data	UCR, Homicide Program (STC)	Annual Pub., Aggregate Level except homicide program	<b>Partially Met</b> - UCR program only provides sex, outcome (charged/informal) and adult/juvenile split at aggregate level
	<b>PROCESS:</b> Dates (occurrence, decision, charge laid, pre-charge custody, post- charge custody, bail, release) Type of custody (stage) Type of Release Length of Time in Police Custody Fingerprints Taken Photograph Taken	Research, Policy Planning, Program Management, Evaluation	Annual publication, National coverage, offender-based micro-data	--	--	<b>Not met</b>
QUALITATIVE	(Requirements covered in Adult Police)					
RESOURCES	(Requirements covered in Adult Police)					

FEDERAL REQUIREMENTS

SECTOR: COURTS - (TRIAL) - JUVENILE

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>CHARGE/OFFENCE:</b> No. of Offences Type of Final Offence(s)	Research, Policy Planning, Program Management Evaluation	Annual publication, National Coverage, Offender-based Micro-data	Juvenile Court Survey (STC)	Annual Publication; Excludes B.C. & N.W.T.	<b>Partially Met</b> - need total Canada coverage
	<b>ACCUSED/OFFENDER:</b> Personal I.D. (name, d.o.b., address) Socioeconomic (age, sex)	Research, Policy Planning, Program Management Evaluation	Annual publication, National Coverage, Offender-based Micro-data	Juvenile Court Survey + Homicide Program (STC)	Excludes B.C. & N.W.T.	<b>Partially Met</b> - need total Canada coverage; need offender address
	<b>PROCESS:</b> Dates (offence reported, court disposition, outcome of review) Original Plea Final Plea Type of Representation (duty, lay, etc.) Type of Adjudication Type of Disposition Pre-sentence Report Other Assessments (med/psych, etc.)	Research, Policy Planning, Program Management Evaluation	Annual publication, National Coverage, Offender-based Micro-data	Juvenile Court Survey and Homicide Program (STC)	Excludes B.C. & N.W.T.	<b>Partially Met</b> - need total Canada coverage; no info on original plea or type of legal representation; pre-sentence report data is collected but not released
QUALITATIVE	<b>REVIEW OF DISPOSITIONS - CUSTODIAL AND NON-CUSTODIAL:</b> Type of Review (mandatory (optional) Original Disposition (custody, other) Type of Representation Agency Conducting Review (review board, original court) Type of Custody Outcome of Review	Research, Policy Planning, Program Management Evaluation	Occasional Survey Basis; Offender-based Micro-data	--	--	<b>Not Met</b>
	<b>COURT I.D.:</b> Location	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage	Juvenile Court Survey (STC)	Excludes B.C. & N.W.T.	<b>Partially Met</b> - need B.C. & N.W.T.
	<b>COURT-RELATED PROGRAMMES:</b> Legal Social	Research, Policy Planning, Management, Evaluation	Occasional Survey Basis	--	--	<b>Not Met</b>
RESOURCES	<b>COSTS:</b> Salaries & Wages Capital Other	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage	--	--	<b>Not Met</b>
	<b>MANPOWER:</b> No. of Judges No. of Support Staff	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage	--	--	<b>Not Met</b>

FEDERAL REQUIREMENTS

SECTOR: COURTS - (APPEAL) - JUVENILE

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE:</b> Appeal-related Offence Type(s) Original Adjudication and Disposition	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage Offender-based Micro-data	--	--	Not Met
	<b>APPELLANT:</b> Personal I.D. (name, d.o.b., address) Socioeconomic (age, sex)	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	Not Met
	<b>PROCESS:</b> Date of Outcome Outcome of Appeal Type of Legal Representation	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	Not Met
QUALITATIVE	<b>COURT ID:</b> Appeal Court Location	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	Not Met
RESOURCES	(Covered in Adult Section)	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	Not Met

FEDERAL REQUIREMENTS

SECTOR: LEGAL AID - JUVENILE

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
<b>CASELOAD/ WORKLOAD QUANTITATIVE</b>	<b>CHARGE/OFFENCE:</b> Type of Final Offence(s) Number of Offences	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage, Offender-based Micro-data	Juvenile Court Survey (STC)	Excludes B.C. & N.W.T.	<b>Partially Met</b> - need national coverage
	<b>ACCUSED/OFFENDER:</b> Personal I.D. (name, d.o.b., address) Socioeconomic (age, sex)	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage, Offender-based Micro-data	--	--	<b>Not Met</b>
	<b>PROCESS:</b> Outcomes Referral Source Types of Services Provided Dates of Services Stage of Process at which Service(s) Provided Type of Representation (duty counsel, legal aid)	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage, Offender-based Micro-data	--	--	<b>Not Met</b>
<b>QUALITATIVE</b>	<b>PROGRAMME INFORMATION:</b> Programme Description Eligibility Criteria Funding Sources	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage	--	--	<b>Not Met</b>
<b>RESOURCES</b>	<b>COSTS (Gross &amp; Net):</b> Salaries & Wages Capital Other	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage	--	--	<b>Not Met</b>
	<b>MANPOWER:</b> Number Type	Research, Policy Planning, Management, Evaluation	Annual publication, National Coverage	--	--	<b>Not Met</b>

FEDERAL REQUIREMENTS

SECTOR: JUVENILE POST-COURT SERVICES (CUSTODY)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE(S):</b> Number Type(s) Aggregate Length of Sentence	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	Not Met
	<b>OFFENDER:</b> Personal I.D. (name, d.o.b., address) Socioeconomic (age, sex)	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	Not Met
	<b>PROCESS:</b> Dates (admission, release) Admission Status (pre-disposition) detention, remand, observation, post- disposition custody) Release Type Day Release Temporary Leave of Absence	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	Not Met
QUALITATIVE	<b>DESCRIPTION OF PLACE OF CUSTODY:</b> Type of Custody Location Capacity Population Name	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	Not Met
RESOURCES	<b>COSTS:</b> Salaries & wages Capital Other	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	Not Met
	<b>MANPOWER:</b> Number Type (custodial, professional, etc.)	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	Not Met

FEDERAL REQUIREMENTS

SECTOR: JUVENILE POST-COURT SERVICES (PROBATION)

FIELD OF OBSERVATION	REQUIREMENTS	REQUIRED FOR	SPECIFICATIONS OF REQUIREMENTS	CURRENT AVAILABILITY	SPECIFICATIONS OF AVAILABILITY	REQUIREMENT/AVAILABILITY DISCREPANCIES
CASELOAD/ WORKLOAD QUANTITATIVE	<b>OFFENCE(S):</b> Type(s) Number	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	Juvenile Court Program (STC)	Excludes B.C. & N.W.T.	<b>Partially Met</b> - Some data available on number sentenced to probation; not national coverage
	<b>CLIENT:</b> Personal I.D. (name, d.o.b., address) Socioeconomic (age, sex) Previous Record	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	<b>Not Met</b>
	<b>PROCESS:</b> Dates (admission, re- lease, commencement, termination) Duration of Order Conditions (no supervision, supervision, residency, Type of Termination	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage, Offender-based Micro-data	--	--	<b>Not Met</b>
QUALITATIVE	<b>PROBATION OFFICE DESCRIPTION:</b> Location No. of Cases Under Supervision	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	<b>Not Met</b>
RESOURCES	<b>COSTS:</b> Salaries & Wages Capital Other	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	<b>Not Met</b>
	<b>MANPOWER:</b> Number Type	Research, Policy Planning, Manage- ment, Evaluation	Annual pub- lication, National Coverage	--	--	<b>Not Met</b>



### FEDERAL RESOURCE INVENTORY

#### INTRODUCTION

A basic aspect of the NPRC Work Plan was to develop an inventory and assessment of the resources currently allocated to statistical production, analysis and dissemination. Chapter 4 of Volume I contains a presentation of resource expenditures on national justice statistics and information for the fiscal year 1979/80 by justice sector. This chapter presents resource expenditures for each of the three federal departments involved in the production of national data - Statistics Canada, the Ministry of the Solicitor General and the Department of Justice.

Of these three agencies, the Justice Division of Statistics Canada is the only one for which all expenditures can be accurately and confidently categorized as resources spent on the production, analysis and dissemination of national justice statistics and information. The entire 1979/80 budget of the Justice Division is, therefore, presented. It includes resources allocated by the Statistics Canada "parent" in support of the Division's work.

With respect to the other two federal departments, the definitional parameters for resource expenditures on national data are less well defined. Each department dedicates resources to the development of national data, i.e. in the form of funding contribution to the National Work Group and the National Task Force, or in terms of personnel commitments to exercises such as the NPRC. Also, each agency currently expends resources on the production of national data which might otherwise be spent if a completely effective national justice statistics agency were now operational. An example would be the resources currently budgeted by the Ministry of the Solicitor General in pursuit of national victimization data.

There are, obviously, problems involved in establishing what should be included in a federal resource inventory. Each of the tables presented in this chapter, however, is footnoted to clarify for the reader what is included.

## Definition of Terms

The tables in this chapter utilize the following terminology and definitions:

- Direct Resources - resources budgeted specifically for a particular programme i.e., personnel and other direct costs.
- Parent Services - resources available from the parent department in support of a particular programme e.g., data processing.
- Outside Services - external resources purchased by the agency to fulfill internal functions e.g., personal service contracts.
- Transferred Resources - resources committed to external agencies for special functions and/or projects e.g., contribution to NWG, NTF, etc.
- Management and Administration - functions of planning, directing, organizing, motivating, controlling etc., plus non-controllable expenses (overhead) not elsewhere included.
- Research and Analysis - functions associated with using statistical data.
- Development - non-operational functions of developing and/or improving statistical systems - can be further specified as: conceptual (e.g., planning and designing new systems); procedural (e.g., improving currently operating systems); EDP (e.g., purchasing and/or transferring technology).
- Operations - functions associated with routine fulfilment of the programme mandate - can be further specified as: maintenance (e.g., updating data base); collection (e.g., gathering of data); processing (e.g., coding of data); dissemination (e.g., release of data).

NPRC  
RESOURCE INVENTORY  
FISCAL YEAR 79/80

AGENCY: STATISTICS CANADA (JUSTICE DIVISION)

FUNCTIONS	DIRECT RESOURCES		PARENT SERVICES		OUTSIDE SERVICES		TRANSFERRED RESOURCES		TOTAL RESOURCES	
	M/Y*	BUDGET**	M/Y	BUDGET	M/Y	BUDGET	M/Y	BUDGET	M/Y	BUDGET
MANAGEMENT AND ADMINISTRATION	8.3	329.9							8.3	329.9
RESEARCH AND ANALYSIS	9.0	206.7	2.8	76.4	8.0				9.0	214.7
DEVELOPMENT	4.6	96.3							14.5	334.7
OPERATIONS	24.8	521.7	12.8	356.4	2.0		7.1 (NWG)	162.0 (NWG)	37.6	880.1
TOTAL	46.7	1154.6	15.6	432.8	10.0		7.1	162.0	69.4	1759.4

\* MAN YEARS

\*\* TOTAL FOR PERSONNEL AND OTHER EXPENSES (\$,000)

JUSTICE DIVISION EXPENDITURES BY PROGRAMME

	M/Y	BUDGET
Law Enforcement (UCR, Homicide, Police Admin.)	12.7	335.9
Adult Corrections (Penitentiaries, Adult Inst.)	14.8	354.2
Adult Courts	12.5	302.7
Juvenile Courts	13.1	295.5
Other (Administration, Research and Analysis, NWG, etc.)	16.3	471.1
TOTAL	69.4	1759.4

NPRC  
RESOURCE INVENTORY  
FISCAL YEAR 79/80

AGENCY: MINISTRY OF SOLICITOR GENERAL (RESEARCH AND STATISTICS DIVISIONS)

FUNCTIONS	DIRECT RESOURCES		PARENT SERVICES		OUTSIDE SERVICES		TRANSFERRED RESOURCES		TOTAL RESOURCES	
	M/Y*	BUDGET**	M/Y	BUDGET	M/Y	BUDGET	M/Y	BUDGET	M/Y	BUDGET
MANAGEMENT AND ADMINISTRATION	1.5	60.0	N/A	N/A					1.5	60.0
RESEARCH AND ANALYSIS	2.1	70.0				70.0			2.1	140.0
DEVELOPMENT OPERATIONS	1.3	45.0				200.0		143.5 (NMG & NTF)	1.3	388.5
TOTAL	4.9	175.0				270.0		143.5	4.9	588.5

\* MAN YEARS

\*\* TOTAL FOR PERSONNEL AND OTHER EXPENSES (\$,000)

MAIN 78/80 EXPENDITURES INCLUDED ABOVE ARE:

CONTRIBUTION NMG 100.0  
 CONTRIBUTION NTF 43.5  
 IN HOUSE CONTRIBUTIONS  
 TO NATIONAL STATISTICAL  
 DEVELOPMENT 45.0  
 CONTRACTED SERVICES  
 (VICTIMIZATION SURVEY) 200.0  
 CONTRACTED RESEARCH 70.0  
 IN HOUSE RESEARCH 70.0

TOTAL 79/80 MSG RESEARCH DIVISION BUDGET  
 WAS APPROXIMATELY \$2.9 MILLION INCLUDING  
 \$.6 MILLION FOR THE STATISTICS DIVISION

NPRC  
RESOURCE INVENTORY  
FISCAL YEAR 79/80

AGENCY: DEPARTMENT OF JUSTICE

FUNCTIONS	DIRECT RESOURCES		PARENT SERVICES		OUTSIDE SERVICES		TRANSFERRED RESOURCES		TOTAL RESOURCES	
	M/Y*	BUDGET**	M/Y	BUDGET	M/Y	BUDGET	M/Y	BUDGET	M/Y	BUDGET
MANAGEMENT AND ADMINISTRATION	.2	10.0	N/A	N/A					.2	10.0
RESEARCH AND ANALYSIS	1.5	90.0			1.0	28.0			1.5	118.0
DEVELOPMENT	.8	45.0						78.4 (NWG & NTF)	.8	123.4
OPERATIONS	.3 <sup>1</sup>	5.0							.3	5.0
TOTAL	2.8	150.0			1.0	28.0		78.4	2.8	256.4

\* MAN YEARS

\*\* TOTAL FOR PERSONNEL AND OTHER EXPENSES (\$,000)

(1) Refers to an estimate of the expenditure on the production of national statistics from the Central Divorce Registry. Total Department of Justice annual expenditure on C.D.R. = \$150,000

MAIN 78/80 EXPENDITURES INCLUDED ABOVE ARE:  
 CONTRIBUTION NWG 50.0  
 CONTRIBUTION NTF 34.4  
 IN HOUSE SUPPORT FOR NTF 30.0  
 IN HOUSE PRIMARY DATA COLLECTION 70.0  
 CONTRACT & IN HOUSE SUPPORT FOR "PROJECT 2" 48.0  
 CONTRIBUTION TO FPSC, NPRC, etc. 25.0

TOTAL 79/80 BUDGET OF THE EVALUATION AND STATISTICS DIVISION OF THE DEPARTMENT OF JUSTICE = \$764,300



## NOTES ON CONDITIONS AND CRITERIA FOR EVALUATING OPTIONS

NOTE: This document is the initial detailed statement of criteria for assessing organizational options which preceded the final version presented in Chapter 6.

The broad objective of every option must be the substantial strengthening of national statistics and information pertaining to the administration of justice. Beyond this there are other important considerations to be reckoned with in constructing and selecting ways of improving national justice statistics. Some of these considerations are discussed in this document. It will be evident that some of the conditions and criteria are contradictory in full or in part, so trade-off's will have to be made between them. It should also be noted that different weighting could be given to each item according to different perspectives; the rating and ranking of options will require discussion according to the importance as well as the substance of each condition or criterion.

1. It was noted in the review of past efforts to renovate the production of national justice statistics (Chapter 3) that, at different times and according to different view points, the central problem in producing adequate justice statistics was taken to be either (i) the lack of consensus and commitment among participating governments and departments, or (ii) the insufficiency of resources to do the work properly, or (iii) less than optimal technical design and organizational structure of the full statistical production process. In fact, a lasting remedy must deal with all these dimensions together. The question of an optimal method of producing statistics can only be answered with reference to purely technical-statistical considerations, and to organizational (jurisdictional division of labour) considerations, and to resource considerations, and to political support for both the ends and the means; every one interlocks with the others. Every option must therefore be evaluated as to how, and how well, it addresses (singly and holistically) the political, organizational, technical and resource aspects of a system of national justice statistics.
2. The cost(s) of producing national justice statistics must be apportioned in some agreed-upon way relative to the benefits derived. Thus, there must be explicit discussion in the argument for every option of:
  - a) who wants national justice statistics, in principle and in their particulars?

- b) who has the greatest capability to produce national justice statistics, or who has control over whether these statistics can be produced?
  - c) who has to contribute what (e.g., in terms of dollars, data, or services) to produce national statistics?
  - d) who will use these national statistics, and which users stand to benefit most and least?
  - e) who is most able, and who is least able, to support the cost of producing these statistics?
  - f) how will costs of production be distributed relative to benefits and relative to ability to pay? How should the costs be apportioned?
3. The matter of degree of organizational change — whether merely incremental, or large-scale — should be weighed carefully in considering how best to improve the production of national justice statistics. Neither one is inherently cheaper or more certain to be effective. We should be ready to accept that large-scale change may have to be considered seriously in light of past failures of incremental change, but we must not assume that large-scale change is imperative or that well-designed incremental change is bound to fail. The solution(s) ultimately chosen must persuasively demonstrate that the minimum change necessary for success will be required.
  4. Not only have past attempts at statistical improvement been incremental; they have also usually been delineated at a relatively high level of generality. Solutions to be considered by the NPRC ought therefore to be specified in more than general outline, reaching down to the concrete level of operational details and programme specifics. (This may entail making an assessment of the effectiveness and causes of undereffectiveness of current and past programmes of national justice statistics in order to be able to spell out the details of enlightened modifications.)
  5. Options must be assessed in terms of their administrative responsiveness and flexibility — the cost and ease with which changes can be made to the structure, content and operation of the system and its constituent programmes.
  6. While recommendations will be directed towards improving justice statistics over the longer term, options ought also to address what should be done in the immediate situation and the short-term future (the next 2-3 years) before the long-term plans will take full effect. Explicit consideration must also be given to how best to make the transition from the present to a future structure.
  7. The weighting of options for the improved production of justice statistics ought to be approached with a clean conceptual slate, not accepting uncritically some of the prevailing conventional wisdom on which statistical production and organization have rested. It is not



enough to reassert such articles of faith as "statistics should be a by-product of the operation of management information systems and the production of administrative data" — this is an issue that ought to be subjected to critical scrutiny before it is taken as axiomatic. And such postulates should not be taken as universally true when they may be true only under certain conditions — which ought to be spelled out.

8. We should give appropriate but not excessive weight to the expression of information needs as the basis for revamping the organization and production of justice statistics. Valid options must be responsive to the instability and evolution of information needs and priorities.
9. Every alternative organizational structure for a desired statistical system (especially the degree of centralization or decentralization) inevitably and implicitly imposes a methodology upon the substantive programmes constituting that statistical system. The methodology compelled by the broad organizational structure carries with it benefits and constraints in terms of the variety and features of data elements, the mode and frequency of data acquisition, data quality, per-unit data costs, amount and nature of processing required or possible, etc. Every organizational option must therefore be weighted concretely and explicitly in terms of the statistical efficiency, statistical effectiveness and statistical reliability which would accompany its implicit methodology.

Where the statistical efficiency, effectiveness and quality of an option are not reliably known, extra weight should be given to options for which these features are demonstrable.

10. Options must be evaluated in terms of their degree of political vulnerability. To what degree is each option dependent on consensus and active involvement by controlling participants? Is total or near-total unanimity and participation in the system necessary for its successful functioning? How vulnerable to failure would the system be if one or several jurisdictions were unable or unwilling to maintain their participation? How would the statistical system as a whole be affected by policy or key personnel changes in any participating jurisdiction?

How well does each option take account of the necessary link between interest groups which either hold the data and/or would use the statistics, and the statistical organization which would consume the data and produce the statistics? How responsive would the organizational structure of that option be to the so-called "user-community"?

11. How well does each option for improving national justice statistics take account of the divided and sometimes competitive jurisdictional and functional responsibilities in the administration of justice?
12. The proficient production of statistics is in certain respects substantially different from other kinds of bureaucratic government activities. The production of statistics is a process comprised of distinct but interlocking activities — programme design (methodology), data creation and transmission, processing and computation, information display and dissemination, administration, etc. However these various

activities are performed, their overall integration (in more than just a managerial sense) is a necessity. Further, some portions of the production of statistics are routine and non-specialized while other portions are non-routine and must be performed by specialists or experts. How well does each option recognize and integrate (bring together in the right way, at the right time and place) the specific constituent tasks of statistical work?

13. How well does each option strike a balance between the complexity, costs and demonstrated or expected effectiveness of the organizational structure it advocates?
14. There is an important trade-off between statistical quality and economy on the one hand and the credibility and impartiality of the statistics on the other hand. Statistics may be produced, under some conditions, more efficiently but less objectively by the directly accountable operating agencies; conversely, statistics may be produced less efficiently but more objectively by an independent organization. It is in terms of overall effectiveness that this trade-off between efficiency and impartial independence must be assessed, for every option.
15. Proposals for strengthening or restructuring the production of national justice statistics must consider the requirements of (i) the BNA Act with respect to the allocation of authority and responsibility for the administration of justice, and (ii) the Statistics Act with respect to the allocation of authority and responsibility for the production and provision of justice statistics. These two statutes should be considered separately as well as in relation to each other. These statutes should also be examined for their ramifications with respect to the division of responsibility and work in producing justice statistics and also with respect to the distribution of direct and indirect costs of producing those statistics.
16. The form in which data are acquired and held — micro-level, semi-aggregated, or fully aggregated — will be affected by how the data acquisition process is structured. And in which of these forms the data are acquired and held has a strategic, direct bearing on the general types of uses to which those data can be put — straightforward enumerations, distributive descriptions, multi-variate manipulation, longitudinal analysis, case/person linkage and tracking, etc. Since options propose how statistical production should be organized and therefore in some instances how data will be acquired and thus the form in which it will be held, those options must be evaluated for how they facilitate or constrain the general types of uses for which the data will be required. This means, of course, that options must be scrutinized closely against specified data uses and applications.

Once a fuller agenda of justice statistics becomes a reality, users will discover that justice data can and must be utilized in combination with other types of data (census, welfare, etc.) to properly serve certain strategic purposes. It is imperative that organizational designs for a justice statistics system have the capability of generating justice-related statistical data in a form which will permit the correlating and integrating of that data with other kinds.

17. Implicit in the production of micro-data is the issue of confidentiality. The problem of confidentiality must be addressed at the points where the data is generated, where it is stored, and when and where it is transferred between agencies. Options should be examined in terms of their organizational implications on this issue.
18. There may be a critical mass of human resources and technical skills necessary to the production of good statistics. The extent to which each option would best provide for this condition ought to be appraised.



## SYSTEMS DEVELOPMENT

### Preface

If one were to read and believe all of the papers and brochures distributed by software and hardware suppliers, the only conclusion to reach would be that anything is possible in system development, and nothing is even difficult if done properly. However, the success rate of systems other than for direct operations (accounts receivable or payable, payroll, inventory) has not been impressive. Systems developed specifically for Management Control Information have marginal success records while policy planning systems efforts have met with abysmal results in the past.

Nevertheless, recent developments in systems technology have caused many computer users to become much more enthusiastic about the possibilities of success, and with good reason. The options available to a potential developer seem endless; in fact, they probably number even higher than the odds that a Las Vegas book-maker would give on a bet that 10 provinces and two territories with three levels of government plus related agencies could agree unanimously on national statistical requirements.

This paper will attempt to give the reader a perspective of where system development strategy is at this point in time, what is available in hardware to mold this strategy and what are the prospects of imminent future development which could impact the design of a system. The latter portion of the paper will deal more specifically with options which could be investigated for the production of national justice statistics.

### System Development Strategy

Attempts to introduce new technology have resulted in many unforeseen failures, which in turn have caused changes in the thinking of system developers. Nonetheless, the general goals in system design have remained the same:

- availability of information;
- flexibility of design;
- consistency of data presentation;
- responsiveness to demands.

What has changed is the ways of achieving these goals. For example, management, policy planners and researchers can now receive their information

from systems tied directly into the operation of the enterprise. While this has been the trend, (and undoubtedly a good one), for quite some time, the hardware(1)/firmware(2) to support the widespread application of this idea is quite recent, and the software(3) to support it is just beginning to catch up.

### Data Assessment

A full assessment of the data necessary for an enterprise's information needs is the first step in any systems analysis. Many manual techniques and methodologies have been formulated to tabulate and help analyze existing data. Most of these work from the concept of capturing all raw data or, conversely, from capturing only the data necessary to fulfill reporting functions already defined.

Popularity is increasing for a more formal upper management approach to system development. Products such as IBM's "Business System Planning" (BSP) attempt to capture and prioritize the entire information needs of an enterprise with top level participation. With this accomplished, analysis and development of systems in manageable portions is done according to a prioritized work plan.

Within these defined information units, data dictionary technology has proven to be an invaluable tool for data assessment. Automated data dictionary/data directory systems (DD/DS) have been taking over from manual forms as they eliminate the possibility of human error in data analysis after the initial data definitions have been completed.

DD/DS software packages are available in varying degrees of sophistication. Basically, they accept data definitions collected from all areas involved in using the system, in a complete and unedited form. The software will then:

- identify potential data redundancy;
- identify potential data sharing;
- identify initial sources of data;
- identify potential keys and sub-key fields;
- identify potential data splits for distributed processing;
- supply data definitions and maintain iterations for data base design.

When used as a development tool, the DD/DS will supply a main form of communication and documentation for managers, system developers, end users, system administrators and maintenance people.

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- (1) Hardware - the basic electronic and mechanical components of a computer.
  - (2) Firmware - customized (programmed) circuit boards which can be placed in a computer to perform specific tasks for an application.
  - (3) Software - programmes written to direct the use of the hardware in performing specific tasks for an operation; the flexible interface between the data and the machinery.

## Data Storage and Access

Data storage media are numerous and include disk, floppy disk, cartridges and tape. In the past, data which had to be amenable to random access was put on disk while sequential data was put on tape. Currently several computer facilities have mass storage system (MSS); cartridge type devices containing data which can be automatically staged to disk at approximately 1/10 of the cost of on-line disk space. Responsiveness is the key to choosing a data storage medium on large systems, and availability is also a key to smaller systems. Floppy disk is very popular in mini and micro computer applications and word processors. Tape and floppy disk have the advantage of being suitable for mailing if telecommunicating is not required.

Many systems use a variety of storage devices: disk for on-line access; MSS for current statistical files; and tape or COM (computer output on microfilm) for historic data. A choice can only be made when the system is in the design phase and after the requirements have been defined.

More important than a storage medium is the method in which the data are physically organized for storage and retrieval. "Data base" has been a buzz word for some time now and is connotatively used to refer to various software packages on the market which are used as file handlers for different data structures. These packages remove the actual file manipulations from application programmes, and by doing so tend to make systems more modular. More importantly, the philosophy of data base technology is the relating of elements into a logical data structure for an entire entity, eliminating redundancy and increasing integrity by collecting data elements only at their source. The data inside the structure are keyed in the manner most logical for the functions being performed and only secondarily keyed (if at all) for the existing organization structure. These "data dependent" logical structures are then fitted to the physical design which most closely fits the logical structure and the result is an efficient data access mechanism.

The various data base packages have been used extensively in many areas and quite successfully on large computers. Recently, several of the mini-computer manufacturers have also made data base packages available with their machines. Whether a data base package is used or not, the basic data base philosophy of design is difficult to fault, especially for larger systems.

Whatever storage medium or data structure is selected in designing a computer system, partitioning of data is a question which must be answered for responsiveness, security and operations considerations. A large data base can have security controls such as passwords, sign-on ID's and terminal security associated with it to limit access. It is also possible to use multiple data base descriptions which would virtually take the file security out of application program control and place it within system control. Distributed data bases take the principle a step further and have data physically stored in different locations, with access to a central facility for common processing and shared data. Within each distributed data base there could again be multiple descriptors, limiting what a central system could access.

Another possibility for a related, yet distributed, data base is found in distributed data entry. Using the same data base design, several separate systems could be set up with a one way communication of all or selected data to a central location, or communication of data to a central location with reports being returned to the source. The communicator referred to could be daily electronic routing over telephone lines or even mail.

The options available in storing and accessing data are many, and of course must be determined by the overall system philosophy within the constraints of the CPU and communication facility selected.

### Central Processing Unit (CPU) Choices

The common menu used in the past for selecting a CPU was limited to choosing a size for a large central unit (main-frame). In the near past, chip technology expanded this choice to a main-frame, mini. or micro-processor. Currently, the advent of multi-microprocessors and multi-miniprocessors with operating systems which are beginning to really work, has caused the distinction among the three groups to become pointless. The real question becomes an assessment of total capacity required and of whether this capacity should be in one or more locations.

The question of whether the available processing power should be in more than one location has only recently become an option. Some of the factors involved include the following:

1. remote locations can function independently if the main processor is down;
2. remote processors can be used for unrelated functions without impacting the main processor;
3. data security among locations is more easily controlled;
4. processors can act as back-up to each other, reducing down-time;
5. restart/recovery procedures become much more difficult if synchronization is necessary;
6. computer operators must be located in several areas;
7. back-up equipment/procedures must be done in several locations.

If a decision is made to go with distributed processors, the selection from a growing and rapidly changing family of processors will become necessary. Advances in the capacity and flexibility of smaller processors has been so rapid that any comparative studies are almost obsolete when completed. Changes in hardware, firmware or software can alter judgements almost overnight. Some obvious differences in small processors are that:

1. some microprocessors will work within a multi-processor environment, thus allowing for increased capacity;



2. among multi-processors, some use an operating system to split functions such as processing, terminal I/O etc., giving much more efficient and faster operation than those which treat each subsequent processor as a terminal;
3. some processors use a 16 or 32 bit word, allowing use of more sophisticated file access methods;
4. some processors support a small number of CRT's or other peripherals;
5. some processors support limited communications protocols and transmission types;
6. some processors support only interpretive languages, while others support common compilers or downline loading of compiled programs;
7. some processors have extensive customization possibilities, through hardware or firmware, which may cut down software development;
8. some processors support common data base handlers;
9. some processors are marketed by companies with extensive software packages which are either free or relatively inexpensive;
10. some companies have service problems in remote areas;
11. some processors have unexpandable processing power, memory, etc;
12. some processors are limited as to data storage capacity and type;
13. processing speed, main storage medium and capacity, cycle time, access times, number of accumulators, number of index registers, addressable words and prices vary considerably.

This list is far from exhaustive but it gives some indication of the wide variance in products and, with the field changing so rapidly, it is always necessary for a current detailed evaluation.

### **Data Communication**

Choice of data communication, to many people in the computer industry, has come to mean selection of a line speed somewhere between 2,400 and 56,000 baud or microwave communication. This type of data transmission has improved greatly and there are high quality lines from Eastern to Western Canada. Unfortunately prices are high and line problems are not uncommon, especially outside the main traffic areas. Fibre optics will end the problems of line noise and signal crossing. Satellite transmission of data is also increasing as more communication satellites are available. In the interim, there are many options.

Word processing users have entered into the field of data communications by mailing of diskettes or transmitting data over telephone lines upon demand. Magnetic tapes full of data have been mailed or sent by special courier across Canada for years, which results in a tremendous amount of data transmission for very little money.

The question of which communication medium to use can only be answered by determining the timeliness needed and the amount of money available. Localization of on-line systems certainly cuts down on line problems, and periodic electronic communication is much less expensive and troublesome than extended networks using the current technology.

### **Software Possibilities**

Software development has been lagging behind hardware technology and is becoming much more expensive, while the cost of hardware is decreasing. The extreme difficulty in finding and keeping good system software people, plus their cost, has contributed largely to the development and marketing of general software packages.

Data base packages look after the functions of file maintenance, space utilization and input/output. Such packages have been developed for a variety of systems around the world. Responsiveness to information requests has been addressed by extraction packages, some which will accept oral language type requests and respond with a report from an existing data file. Some of these packages are general enough that organizations have been able to have managers, secretaries and operations people submit their own requests for customized reports.

Specific application packages, such as general ledger systems, payroll systems, etc., have been around for quite some time but have established transfer records which are somewhat less successful than their general data handling counterparts.

Of necessity, a generalized package must have additional features (overheads) built into the software in order to make it flexible enough to service several applications. Potential users of such packages have always been concerned that these extra features will introduce significant additional costs. However, the current cost of development work coupled with the difficulty and expense of keeping qualified systems people is causing computer users to take another look at the packages. In the process, users are generally disappointed in not being able to find a system that does exactly what they want while running on the hardware they have or would like to obtain. With this comes the realization that customizing an existing package could cost more than developing their own.

The advent of inexpensive, portable, distributed computer hardware and the abundance of OEM<sup>4</sup> agreements which have surfaced recently should help bring an end to non-transferable systems. If a hardware/firmware/software system is developed for a specific purpose with general application, the decreased cost of hardware and shared development costs should allow many buyers to obtain the system as a total package. User groups formed from these

system buyers will share in maintenance and enhancements costs, as well as giving new subscribers installation advice. This trend can already be seen very strongly in hobbyist groups with their Radio Shack or other hobby computer, and will be seen more strongly over the next few years.

### Recent Technological Advances

Cyberoptics is probably the single most exciting development in computer technology in a long period of time. Cyberoptics entails the use of light for transmission, storage and processing cycles. The increased speed and capabilities in storage/communication together with size reductions promise a revolution in system development. The best known and most advanced subset of cyberoptics currently is in the area of data communications. Using this technology, fibre optics, data is transmitted through glass or plastic "hairs" in the form of a laser or light-emitting diode. Fibre optics are already in production use to a limited extent, with a large number of test applications underway in laboratories. Full use of fibre optics in communication networks will make many geographically-extended systems economically feasible and much more dependable.

"Chip" technology is another hardware area making gigantic strides over the past few years. Silicon-on-sapphire chips of just 20 square millimetre area can contain up to 15,000 transistors, a fact which has helped revolutionize the size and speed of electronic equipment. With expected further advances in this technology and in related software/firmware, the so-called micro-processors of today could become plug-in components to any size of computer in the future.

### Some Options

At present in Canada, there are many different manual and computerized information systems contained within the ministries responsible for criminal justice. These systems are in varying stages of development and differ greatly in scope. The differences stem largely from the various jurisdictional splits in the country and from the specific problems being addressed by their development. The only national computer system currently in widespread use is the CPIC system, used mostly by the law enforcement community. An inventory of correctional systems in Canada has been completed under the auspices of the NWG and an inventory of court systems is underway.

The United States had followed a pattern of development similar to that seen in Canada until federal funding became available through LEAA (Law Enforcement Administration Agency). Systems developed under LEAA grants must conform to a standard data dictionary, and this has helped considerably in solving their problem of comparable national statistics - especially within

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4. OEM Agreements - arrangements between hardware vendors and software companies to develop marketable turn-key packages (OEM - original equipment manufacturers).

the OBSCIS<sup>5</sup> community. The trend in development in the United States seems definitely to involve localized small computers and transferable logic. The mini-computer idea seems to be working very well and transfers are becoming more successful.

The experience of existing justice systems indicates quite definitely that the roots of success are to be found in operations information systems. After successful implementation, organizational management, policy makers, researchers and outside entities can reap the benefits of good raw data captured at or near the source. Direct operating benefits from daily use of a system will build a dependence upon it, which helps assure proper editing and auditing of data at the stage which is most practical.

Another factor which should be considered specifically within the context of justice statistics is that an overwhelming majority of data which would be contained in an operations-type system would be of use in its natural form only within that jurisdiction. This would strongly favour a distributed type of development.

Keeping in mind the state of existing systems and the developing trends in systems technology, there appear to be several options which could be investigated further in relation to the production of national justice statistics. The following examples may provide some food for thought as approaches to the problem from a systems stand-point. The assumption will be made that there is consensus regarding a certain level of regularly-reported justice statistics and detailed samples for special studies.

1. Leave system development as is: disjointed system development will continue, probably with more stress on operations systems. Regional disparities will prevent a national standard for systems to be reached and the total cost will be very high since most systems will be developed independently and with different methodologies. Restraints on spending and mini-computer technology may force a closer look at system transfers. This approach would not cause concerns about impingement on individual jurisdictions' rights or plans.
2. Develop a centralized, national, offender-based system for all criminal justice entities: technically questionable with current communication networks, operationally difficult to positively identify people for tracking, questionable utility since the police community already have the CPIC system, extremely expensive for the purpose of national statistics, and probably impossible to achieve agreement on a system for all jurisdictions.
3. Develop a distributed, national, offender-based system for all criminal justice entities: suffers from the same difficulties listed for point 2.

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(5) OBSCIS - Offender Based State Correctional Information System (currently used in whole or part by 38 States).

4. Develop standard data dictionaries for each process within the criminal justice area and supply federal funding only for operations systems following the dictionary: processes are under different organizational structures in different provinces, so it would be politically difficult to implement. Funding would be difficult to monitor and relatively independent development would be very expensive.
5. Develop standard data dictionaries for each general area surveyed within criminal justice, develop or adapt an existing table-driven model operations system based on mini-multiprocessors for each area, offer federal funding to implement the model in whatever size is necessary in each requesting jurisdiction or alternately upgrade existing systems to that standard: politically acceptable, would establish a national standard, would be of no benefit to jurisdictions with acceptable systems in place.
6. Develop central batch statistical systems, send forms to jurisdictions for sample data: subject to sampling errors, subject to errors common in data supplied to outside agencies with limited return benefits, operationally unacceptable to jurisdictions with computer systems, expense would be minimal.
7. Develop central batch statistics systems, send people to collect sample data: subject to errors stated in above situation plus have the problem of acceptance of samplers.
8. Develop central batch statistics systems and have micro-data regularly sent in: subject to lack of commitment from data senders, very difficult to monitor data integrity, would create a tremendous work-load for one location, relatively inexpensive but has proven unsuccessful in many instances in the past.

Cost comparisons between different systems approaches are difficult to make accurately without a definition of the national statistics involved. One known fact is that the same processing capacity now costs 1/10 or less of what it did just a few years ago. Another fact is that mini and micro processors and peripherals have made developments possible that never were before, because the processing can be distributed and the networks partitioned. The distribution of resources lends itself to development of operations - type systems, hence the technology and data capture strategy complement each other for better performing systems.

It would appear that, if a systems development strategy regarding computerized national justice statistics were to be considered, the following suggestions might be most acceptable:

- development of standard data dictionaries and their adoption for each area of police, courts, legal aid, crown counsel and corrections;
- acceptance of the dictionary by all ministries;
- development of a model based on stand-alone mini-computers for each area. These should be operational-type models with a national statistical component producing mailed-in reports or transmitted aggregated data;

- acceptance of the models by all ministries;
- development, implementation and utilization of these models in one location on the selected mini-computer. The computer used should be a proven multi-processing model to allow for size differentials;
- completion of a successful trial, after which the systems should be made available to all jurisdictions. Jurisdictions having an acceptable system should be helped to upgrade the facility to match the model, if necessary.

From a systems perspective, this last type of approach could work. Establishing a model would be difficult and require agreement from all ministries, and agreement on funding would also be very difficult to obtain. A logical cost-sharing arrangement could consist of federal funding for the model development, original implementation costs from one or more of the larger provinces and aid to the smaller provinces in transfers. The question which needs answering is how much national statistics are worth. If the political problems are solvable, the technical ones certainly are.

## THE IMPACT OF PRIVACY

### 1 INTRODUCTORY PERSPECTIVE

The phrase "**Privacy and Security**" receives much comment in many different contexts. For purposes of this discussion, however, the term is applied to the area of criminal justice. The questions posed and options suggested relate to the issue of personal privacy as it affects the collection of information, its subsequent use and storage, and the manner of its dissemination.

Any discussion of this topic invariably stems from a perspective. The particular perspective taken in this report is one that respects four predominant values and the relationship of these to information handling practices.

1. **Fairness**: This value implies that persons affected by decisions based on information are dealt with, not only in a consistent manner, but in an environment where the rules governing information handling practices are known.

2. **Accuracy**: This value implies that decisions should be based on complete and accurate information. Decisions based on incomplete and inaccurate information are not adequate or fair to the decision-making body or to the individual concerned. Accuracy of information is considered a cornerstone of sound decision-making. The best method of ensuring accuracy is to encourage a feedback process which allows for input from individuals on whom the data are collected.

3. **Accountability**: This value assumes that agencies are accountable to the individual client, other central agencies, the legislature and the electorate. Therefore, the necessity of collecting data is assumed. Accountability, as defined here, presupposes that the resulting information is divulged either to individuals about whom data are collected or to third parties during the accounting process, and that this accounting process will be open to inspection.

4. **Efficiency**: This value implies that automation can contribute to efficiency and, further that operational efficiency can be increased by reducing the organizational burden of data collection. Agencies and individual service delivery units do not have to collect similar kinds of data over and over again. Instead they can share and profit from data collected by other units earlier on in the justice process.

The concept of privacy, as dealt with here, is defined in terms of information handling practices. Privacy of information exists in a measurable quantity when:

- the intrusiveness of data collection is minimized;
- fairness of data users is maximized;
- there exist legitimate and enforceable expectations of confidentiality.

This concept of privacy of information is related to freedom of information and is treated as a complementary concept; one concept cannot be adequately treated in isolation of the other.

The four values acknowledge that the justice system collects a range of data elements and produces a range of information which may need to be disseminated and used by other system components.

Information should not, however, be indiscriminately released. It should be disclosed to third parties only when the content of the information, the nature of the proposed use and the identity of the proposed recipient have been weighed against the potential harm to the individual concerned. Implicit here is an understanding that specific decisions to disclose information should always be made in accordance with established standards and policy and not on an ad hoc/special case basis.

The term "fairness", as used in a record-keeping context, refers to the responsibility of the record-keeper to use consistent, regularized procedures that permit the individual to review, participate in, or at least be aware of, the record-keeping processes.

While automated technology can be of great benefit to the efficient and effective workings of an organization, it can be subject to serious intrusions and, where privacy is involved, could allow physical and social damage to occur. Therefore, automated technology should only be used in those situations where special efforts are made both to safeguard the integrity of the data and to ensure the existence of fair record-keeping practices.

Individual access to records has appeared as the cornerstone in most modern record-keeping legislation and indeed is a pre-requisite to the achievement of personal privacy; it allows the data subject to have some control over the content and use of information about him or her. However, fairness can be problematic for justice, because some segments of the databanks will inevitably concern individuals who may not be co-operative, who may not want the truth known, and who may hope to profit by engaging in illegal activity.



## 2 FREEDOM OF INFORMATION: A DEMAND FOR PRIVACY

Given the assumptions of a fair information handling practices perspective, and recognizing that limitations will exist in the future in the form of both Privacy and Freedom of Information (FOI) Acts at the federal and provincial levels, the following issues appear as common elements for legislation:

- agency procedures to collect data, and responsibilities for control of the data;
- review and appeal mechanisms for grievances regarding the collection and subsequent use of data;
- the extent of agency liability and enforcement of stated policy;
- indexing and publishing of data types;
- a requirement to maintain access logs (records about records);
- extent and substance of computerization;
- the claim of "Privilege" concerning exempted records;

Ideally, Privacy and FOI issues are best dealt with under a single legislative scheme; however, for various pragmatic reasons, they are often dealt with separately. Privacy enactments are concerned exclusively with personal data and are aimed at control of that data. FOI enactments are (usually) concerned with government-held information. It is on the issue of third-party access to personal information that Privacy and FOI have their greatest commonality.

### 3 A SUMMARY OF CANADIAN INITIATIVES

#### A. Federal Action

The British North America Act makes no reference to freedom of information. One may therefore conclude that it falls within both federal and provincial jurisdictions, provincial information being subject to a provincial statute and federal information being subject to federal legislation. Efforts are currently under way at both the federal and provincial levels to enact legislation that will provide the public with a right of access to government documents. This will produce considerable controversy if separate federal and provincial statutes contain differing prescriptions.

Attempts to protect the privacy of individuals are in the form of the Canadian Human Rights Act which came into effect on March 1, 1978. The Act covers two main areas: the first concerns discrimination and the second (Part IV) concerns the individual's privacy and the right of access to records stored in federal government information banks which contain personal information.

Several definitions are necessary if one is to understand the purpose of this act:

**"information bank"** means a collection or grouping of personal information recorded in any form that is within the control of a government institution and has been collected from an individual, corporation or institution;

**"federal information bank"** means a store of records within the control of a government institution where any data comprised therein are used for administrative purposes;

**"derivative use"** means use of a record for a purpose that, in the opinion of the appropriate Minister, is consistent with the use for which it was compiled; any other use of a record is a non-derivative use;

**"individual"** means a Canadian citizen or an individual lawfully admitted to Canada for permanent residence;

**"personal information"** means information with respect to an individual containing the individual's name or other information that readily reveals the identity of the individual;

**"record"** means an item, collection or grouping of personal information recorded in any form.

All federal information banks must be identified and described in an index published and made accessible to the public. This index is open for inspection at all main post offices.

Every individual must be consulted and give their consent to information being used for a "non-derivative use." One Section (50) denies access in cases where federal-provincial agreements provide for confidentiality; it can be viewed as a recognition of federal-provincial differences.

The Protection of Privacy Act came into force on June 30, 1974, and encompassed amendments to the Criminal Code. The Crown Liability Act and the Official Secrets Act focused on the control of electronic intrusion into a Canadian citizen's privacy. A degree of privacy protection now exists at the federal level in Canada. The safeguards which do exist, however, fall short of those which exist in the United States.

Bill C-15, the Freedom of Information Act for the federal level, was introduced in the House of Commons and received first reading on October 21, 1979. It would have had considerable impact on federally-held information. This bill had received second reading and was at the committee stage when the House was dissolved and the election called.

Those working on the Bill suggest that it was well received by all parties; they are optimistic that the Bill will be revived by whatever party is elected in the future. The original work plan, because of time constraints, was to submit Bill C-15 in the fall and follow it up quickly with a Privacy Bill in the spring session of the House. Although most of the research and preparation has been completed for the Privacy Bill, it is not yet available for distribution. The contents of both of these Bills will undoubtedly influence the current Statistics Act, and may also determine to what level and degree information is shared and disseminated among the provinces. Subsequent legislation will certainly influence recommendations of the current NPRC Work Group.

## **B. Provincial Action**

Freedom of information issues have not been approached consistently by all Canadian provinces although several initiatives do exist in most jurisdictions. These are outlined below.

### **New Brunswick**

The province of New Brunswick's Right to Information Act was assented to on June 28, 1978. Although New Brunswick's Act is supported and praised by lobby groups pressing for more open government, it has yet to be proclaimed. It is therefore too early to gauge its impact in that province. Of particular interest is that the New Brunswick Act allows for a full judicial review of a ministry's decision and under the Act, the Minister has thirty days to produce any information requested.

### **Nova Scotia**

Nova Scotia is the only Canadian province which has a freedom of information act in operation. Assented to on May 19, 1977, it provides that every person shall be permitted access to information respecting the:

- (a) organization of a department;
- (b) administrative staff manuals and instructions that affect members of the public;
- (c) rules of procedure;

- (d) descriptions of forms available or places at which forms may be obtained;
- (e) statement of general policy or interpretations of general applicability that are formulated and adopted by departments;
- (f) final decisions of administrative tribunals;
- (g) personal information contained in files pertaining to the person making the request;
- (h) the annual report and regulations of a department;
- (i) programmes and policies of a department;
- (j) each amendment, revision or repeal of the foregoing.

### Québec

The province of Québec has considered the Privacy/Freedom Of Information issues informally and in the justice area has policy regulating the sharing of confidential information among the various components contributing to its integrated justice system. It does not allow indiscriminate sharing or linkages. As far as public areas are concerned, a 1977 report proposed by the Ministry of Communications recommended the release of government documents, except under certain well-defined circumstances. (Comité de travail sur la concentration de la presse écrite, Rapport de la précarité de la presse ou le citoyen menacé.)

### Manitoba

The subject of freedom of information has, on several occasions, been introduced in the Manitoba provincial legislature. Three separate bills have been introduced by Mr. Lloyd Axworthy, the M.L.A. for Fort Rouge, but they have never gone beyond the debate stages. The first, Bill 41, was introduced in the Third Session of the 30th Legislature, 1976. The second draft, Bill 17 in the Fourth Session, 30th Legislature, 1977, and then finally, Bill 6, in the Second Session of the 31st Legislature, 1978. Bill 17 has some substantial changes from Bill 41. Bill 6 is the same as Bill 17, the only major change being a broadening of the powers of the County Court Judge with regard to attaching conditions to an Order for Disclosure. Although none of these proposed bills was ever enacted, extensive consideration was given to them by the province of Manitoba.

### Ontario

The foreword to the second publication of the Ontario Commission on Freedom of Information and Individual Privacy declares:

The Commission on Freedom of Information and Individual Privacy was established by the Government of Ontario in March, 1977, to "study and report to the Attorney-General of Ontario on ways and means to improve the public information policies and relevant legislation and procedures of the Government of Ontario, and to examine:

1. public information practices of other jurisdictions in order to consider possible changes which are compatible with parliament and complementary to the mechanisms that presently exist for the protection of the rights of individuals;
2. the individual's right of access and appeal in relation to the use of government information;
3. the categories of government information which should be treated as confidential in order to protect the public interests;
4. the effectiveness of present procedures for the dissemination of government information to the public;
5. the protection of individual privacy and the right of recourse in regard to the use of government records."

To the best of our knowledge, it is the only Commission of its kind whose mandate embraces both freedom of information and individual privacy. The views of the public were embodied in briefs submitted and in a series of hearings held in ten communities covering both Northern and Southern Ontario. In response to public demand, three sets of hearings, widely separated in time, were held in Toronto. This initiative by Ontario represents the largest commitment, in terms of resources, by any province addressing these issues.

### Saskatchewan

Information received from the Deputy Attorney-General's office indicates that Saskatchewan does not have freedom of information legislation and is not at the present time considering introducing it.

However, the Saskatchewan Social Services Management Committee established a departmental committee in February of 1979 to deal with the "Issues of Personal Access to Personal Information". A report was prepared consisting of 28 recommendations which have been reproduced as an appendix in the larger Correction's Report. An interesting element in the Saskatchewan study is that both staff and clients were surveyed for their opinions and attitudes to the issues. This comprehensive feed-back approach lends credibility to their recommendations.

### Alberta

The province of Alberta is not actively pursuing the Privacy/Freedom of Information issue, although substantial work has been done in its Health Care information system, and personal file linkage with other government data files is expressly prohibited.

### British Columbia

No freedom of information act or its equivalent exists in British Columbia. Several provincial acts nevertheless do have direct effects on the relationship between government information and the people of the province. Information which is in the public interest, such as the registration of

companies, is disclosed. The Consumer Protection Act provides for greater disclosure of information in the market place. Section 15 of the Human Rights Code of British Columbia, and subsequent amendments, give the director wide powers to obtain information for the purposes of investigations made pursuant to the Act.

#### 4 AMERICAN LAW ENFORCEMENT EXPERIENCE

##### A. General Effects

The 1974 amendments to the FIOA and the passage of the federal Privacy Act in the same year have had a profound effect on law-enforcement operations in the United States. Within the past two years, three studies have demonstrated the adverse consequences of these acts on law enforcement agencies at both federal and state levels. A report of the Sub-Committee on Criminal Laws and Procedures to the Committee on the Judiciary of the United States Senate entitled "The Erosion of Law Enforcement Intelligence and its Impact on the Public Security" provides an interesting summary of the impact of these statutes.

Witnesses before this Sub-Committee testified that the FOI had brought some genuine benefits as well as complications. Mr. Quinlan Shea of the Justice Department, for example, listed the following benefits which he believed had accrued from the Privacy Act to the advantage of law-enforcement agencies. He said that:

"releases under the Act have definitely tended to assist in the restoration of public confidence in government in general and criminal justice law enforcement in particular."

Next, he said, instead of acquiring and keeping data simply for the purpose of acquiring and keeping it, the component agencies of the Justice Department:

"have begun the desirable process of studying just what data they really need to acquire, how it should be used, and how long it should be retained."

He also said that the Justice Department felt that:

"access by inmates to most of the records in their prison files had operated to reduce tension in our confinement facilities."

Mr. Shea also argued that the statutes represented another "plus" for law enforcement in the sense that:

"they constitute specific, if imprecise, recognition by Congress that criminal justice records can be properly withheld under certain circumstances."

All witnesses from the law enforcement community agreed that the FOI Act and the Privacy Act had, to a certain extent, improved the relations between the public and these organizations. They all agreed that there was a general need for such legislation. Witness after witness, however, testified that FOIA and the Privacy Act, in their current form and as they are currently administered, have hampered law enforcement intelligence and complicated law enforcement in general. Their attitude was perhaps best summed up in the words of Professor Charles Rice of Notre Dame:

"It should not be supposed ... that the FOIA and PA (Privacy Act) have not achieved good ends. They were enacted to meet a genuine need for more openness in government, on the one hand, and, on the other, more protection for the right to be left alone. What is necessary now is not a dismantling of those statutes but rather corrective surgery to bring them more into line with their original and laudable purpose."

The report of the Comptroller-General of the United States on the "Impact of the Freedom of Information and Privacy Acts on Law Enforcement Agencies" stated the problem in the following terms:

"Law enforcement agencies depend on recorded information about the activities of individuals and desire full and complete access to such information while performing their legitimate law enforcement activities. Additionally, these agencies have traditionally been very protective of the information they collect and use and have worked under systems that promise total confidentiality. Therefore, such legislation as the FOIA and the PA (Privacy Act), which opens records to public inspection and restricts the collection and flow of information, has a definite impact on how law enforcement agencies operate to fulfill their responsibilities.

"Law enforcement officials at all levels of government have stated in congressional testimony that the proliferation of access and privacy laws has been instrumental in creating a restrictive climate which affects their ability to obtain information from the public and institutions, to recruit and maintain informants, and to exchange information with other law enforcement agencies."

The testimony of the representatives of the International Association of Chiefs of Police (IACP) before the United States Senate Committee Subcommittee on Criminal Laws and Procedures acknowledged that abuses had taken place in the past. The Association believed, however, that:

"The solution to these problems is not to pass legislation that limits law enforcement intelligence-gathering capabilities. Rather, the solution is to set forth a workable set of guidelines that will enable law enforcement agencies to protect the citizens from the inherent dangers resulting from subversive activities as well as preserve an individual's right to privacy. The dangers to a local community and the fundamental freedoms of our society come not from criminal intelligence activities, but from poorly regulated and unsupervised intelligence activities. Voluntary self-regulation of police criminal intelligence operations can restore public confidence in the ability of a law enforcement agency to maintain order while observing the values of free dissent and personal privacy."

A possible impact of the Privacy Act itself was described this way in 1976:

"The policy change for federal agencies will be an accommodation to the idea that anything placed in a file can be seen there by the subject, and even documents which were exempt at the time they were included in a file may be disclosed later. Denial of access to a file will bring the agency



into a court fight. As a result, federal officials have predicted a short-term drop in the amount of information collected about individuals, and a decrease in interagency sharing of data. One General Services Administration official told an interviewer that federal officials may destroy millions of individual files rather than bring the data into compliance with new standards. The Privacy Act sets standards for agency retention of file data where any determination could be made affecting the file subject from that data; such accuracy, relevance, timeliness and completeness as is reasonably necessary to assure fairness to the individual in the determination is required."

Few, if any, of the congressmen who passed the FOIA amendments foresaw that within five years critics would have valid reasons to talk in terms of "openness excesses". Today, over two thirds of FOIA requests in the USA are filed not by scholars, Congressmen and journalists -- for whom the act was intended -- but rather by the business community and their law firms. Requests from those imprisoned, or people under current criminal investigation, comprise 40 per cent of DEA's caseload and over 15 per cent of that of the FBI. Since the FOIA allows anyone in the world to request government files, the FBI and the CIA regularly process and occasionally ship documents to requesters from Communist and third-world countries. The DEA and the FBI have also documented cases of sources of information "drying up" owing, in part, to the implications of the FOIA and Privacy Act.

Treasury officials have discovered that confidential informants are particularly concerned that their identity might be released either directly or indirectly (i.e., based on other information which has been released). Customs officials have had, for example, considerable difficulty in enforcing fraud, anti-dumping, countervailing duties and classification of import merchandising laws for which information is no longer voluntarily provided to the extent that it was prior to 1974. Enforcement of these statutes, without the use of subpoenas, has been difficult.

The brief examples listed above show that the disclosure requirements of the FOIA tend to inhibit the development of confidential sources and the candor of broad segments of the public to provide information to the FBI. Prior to the 1974 FOIA Amendments, greater assurances of confidentiality could be given to these persons. This erosion was precipitated by the "maximum disclosure" and "reasonably segregable" aspects of the FOIA. The problem was probably best summarized in a letter received from the FOIA Division in Washington, D.C. The Chief of the FOIPA Branch Records Management Division in Washington D.C. indicated that:

"The FBI does not have numerous specific cases to which it can refer wherein adverse consequences resulted from a release of documents. I am hopeful that careful review and application of the exemptions have precluded this occurrence. We have received input from the field offices which indicates a loss of potential confidential sources, citizen co-operation and the complete co-operation of certain state and local law enforcement agencies. Our efforts to counter fears raised by the possibility of unintended disclosures have been hampered by our inability to make absolute assurances of confidentiality to domestic agencies and citizens of the United States."

Some critics of the FBI, however, are quick to contest many of its allegations. They point to the fact that it is hard to quantify the actual drying up of information which is alleged to have taken place. At a 1978 Federal Bar Association Conference on "Openness in Government", Senate Judiciary Committee Staff member Irene Emsellem reminded the audience that the so-called "investigative" exemption in the act allows the bureau and similar agencies considerable scope in protecting vital law-enforcement records from disclosure. If citizens were refusing to volunteer information to the FBI, she suggested, the fault might not be with the FOIA but with, among other things, the degree to which the bureau "has been so badly discredited by past revelations of impropriety that no one wants to be associated with them." According to Miss Emsellem, "The FBI and CIA have fallen victim to a self-fulfilling prophecy, although improving. Yet the FBI has planted the seed of fear on the informant issue and is nurturing it."

It would appear that both sides have exaggerated their respective complaints. Of particular difficulty to the FBI is that it must now be very careful about what type of information is collected. Another consequence of the FOIA, says an FBI report, is that Special Agents have recently observed a general reluctance by local law-enforcement offices to furnish derogatory hearsay information in investigations. This may well be an example of what police critics cite as being a beneficial consequence of the FOIA.

The protection of informants is probably the greatest concern of the police since these persons are one of their most important intelligence - gathering sources. The Comptroller-General's Report recognized that there have been difficulties in recruiting and maintaining informants, especially in the areas of foreign counterintelligence and organized crime.

The FBI is quick to admit that it is impossible to gauge precisely all the adverse consequences which the 1974 FOIA Amendments and Privacy Act have had on its operation. The FBI has been forced to comply with these acts, and its attitude has certainly changed in the preceding five years. In 1978, for example, it made final responses to 20,000 FOIA and Privacy Act requests and placed over 600,000 pages of materials in its reading room. The Bureau has not been able to meet many of the administrative requirements, but proposals in this regard have been made by Bureau Director Webster.

Of particular concern to the FBI is the fact that criminals and citizens of foreign countries can examine their files. It would like this to be changed in order to permit not require them to disclose materials to these persons. The Director of the FBI has suggested that all of their records be divided into two categories. The first would consist of the most sensitive information the FBI possesses: records pertaining to foreign intelligence, foreign counterintelligence, organized crime, and terrorism. The proposals would exempt them from the mandatory disclosure provisions of the Act. All other records would be in the second category and subject to the present mandatory disclosure requirements.

## **B. IACP and Intelligence Gathering**

There was unanimous agreement on the part of witnesses before the U.S. Senate Subcommittee on Criminal Laws and Procedures that freedom of information legislation at both the federal and state level have had a

disastrous impact on intelligence-gathering generally, and that the sharing of intelligence data between local, state and federal law-enforcement agents has been virtually frozen.

To prevent the continued erosion of the gathering and exchange of intelligence information, the IACP proposed the establishment of an intelligence clearing house which would store this type of data and permit its dissemination to law enforcement bodies. The IACP is particularly concerned with the exchange of information pertaining to terrorist activities; it recognizes that a general clearing house would contribute to uniform response methods by all law-enforcement agencies "resulting in more expeditious crisis response and related decisions."

Privacy and freedom of information legislation, according to the IACP, do not strike an adequate balance between the gathering of intelligence materials and the protection of personal privacy. Law enforcement officials are afraid of stepping on personal rights to privacy. Many officials do not understand the privacy laws; rather than risk intimidating lawsuits, media scrutiny, and legislative regulation, law enforcement officials are limiting the scope of intelligence operations to the point where they have become less than adequate to protect the citizens of our country.

A particular problem with the evaluation of state freedom of information and privacy laws is determining precisely what type of information is at stake. Each state has jurisdiction over its own criminal laws, and thus information gathered from law-enforcement bodies may vary from arrest records, to investigatory records, to intelligence data.

There have been few attempts to coordinate the dissemination of law-enforcement records. Records which may be accessible in one state will not be in others. Police departments in some states may have little hesitation in sharing information with police in another state, but refuse to cooperate with police somewhere else. The federal Department of Justice has issued rules and regulations to its agencies, but these are not to take precedence over state laws governing matters coming within the state legislative sphere.

Given the participation of a federal police force in law-enforcement in several provinces, it can be expected that a Canadian Freedom of Information Act will have considerable effect on the management of information within the provinces.

This raises the issue of whether intelligence and other information held by the RCMP on provincial or municipal contract falls within the orbit of the proposed federal Freedom of Information Act.

## 5 CONCLUDING REMARKS

One of the greatest difficulties involved in the implementation of freedom of information legislation is in ensuring an adequate degree of personal privacy. The most common approach has been through separate statutes, one providing access to government documents, and the other limiting what a government or regulatory agency may do with information under its control.

The American experience has demonstrated that the interrelationship between freedom of information statutes and privacy statutes is a difficult one to correlate properly.

Two principal reasons exist for urging the passage of one unifying legislative enactment: (1) the avoidance of confusion and (2) a streamlining of government-agency compliance. With personal privacy protected in a public records statute, the courts -- should such a review process be chosen -- would not be obliged to decide which of two separate acts was to take precedence. Government officials could also adopt one method of analyzing requests, and thus ultimately save both time and expense.

Specific interests of the criminal justice system which need protection are:

- Investigative files that could disclose current investigations or investigational techniques. It should not be necessary for an agency to reveal to a requester that he is under current investigation. This would avoid many problems which have been encountered by law-enforcement agencies in the United States. Similarly, information should not be publicly released that would reveal investigational techniques.
- Adequate protection for informants and co-operative citizens must be provided. Since informants and citizens provide much information used by law-enforcement agencies, their identity must be afforded maximum protection. Materials which "could be used to identify informants" should be specifically excluded from a freedom of information act.
- An exemption for intelligence information. It is recommended that a great deal of care be taken to protect intelligence data. A general exclusion clause could be contained in the legislation as much intelligence information is innocuous at first and it is only when many pieces are placed together that a pattern of behaviour can be inferred.

The preceding discussion points out that it is the personal information components of data maintained by the criminal justice system that gives rise to most of the problems around data gathering and data sharing among agencies. These difficulties are increased when different acts apply, when different jurisdictions are involved and when federal/state or federal/provincial sharing is desired.

The two polar extremes regarding privacy and confidentiality occur where:

1. No personally identifiable information is shared. In this situation only aggregated data is shared;
2. Individual cases with attached identifiers are routinely collected for tracking through the system.

It is this second extreme that raises all of the concerns around accuracy, access, dissemination, purging, sealing and storage.

The potential for privacy invasion increases as one moves from aggregate data to personal data, from public record data to behavioural progress data, from verified data to subjective/evaluative data. Cutting across this continuum is another set of considerations: persons guilty or convicted, as opposed to persons found legally not guilty; criminal oriented data as opposed to social behaviour oriented data.

There are two major risks to the ability to keep data confidential:

1. that someone will get hold of the records containing identified individual information and use the information to injure the person who gave it or for the private benefit of someone else;
2. that even after a person's name and address have been removed from the record, someone will be able to identify that person from the pieces of information given and use the information to that person's detriment.

The first danger -- that identified records will be stolen or misused -- clearly increases with the number of people who have access to these records and with the extent to which there is a lack of continuing commitment to confidentiality. But modern evaluation often involves a large quantity of data and a large number of people processing that data -- interviewers, coders, key punch operators, computer programmers, and computer operators -- in addition to statisticians.

Clear guidelines designed to minimize the risk of mishandling sensitive personal information need to be developed. These guidelines should be strictly followed and governed by the following rules:

1. Sensitive information should not be collected unless it is clearly necessary to the evaluation and has a specific use. Data collectors have a tendency to load additional fields onto collection instruments simply because "it would be interesting to know." Such loading should be discouraged, especially if the information is sensitive and might damage the respondent if revealed.
2. Where it is feasible and does not undermine the validity of the analysis, the anonymity of the respondent should be preserved from the beginning by not collecting identifying information at all.
3. Identifying information, such as name and address or social insurance number, should be removed from the individual records at the earliest possible stage of analysis and replaced by a code number. The key

linking this code number to the identifying information should be stored in a safe place and access to it limited. This key should be destroyed as soon as it is no longer needed.

Unfortunately, the collection of anonymous information can limit the usefulness and validity of analyses. If identifying information is not collected, the data provided by the respondent cannot be checked. In particular, it is difficult to follow individuals through the system to give audit trails. When the analysis requires information from the same people at successive times (longitudinal data), identifiers must be collected so that the researchers can return for the later information. In many analyses, the real interest centres on change brought about by a government programme, and it is necessary to interview individuals more than once in order to estimate this change. Nevertheless, where highly sensitive information is needed — for example, when the behavioural interest is clearly criminal — the only way to collect such information without risk to the respondent may be to preserve absolute anonymity from the beginning.

The objectives of these procedures should be to reduce to an absolute minimum the number of people having access to identified records and to ensure that these people are fully committed to honouring a pledge of confidentiality and are subject to penalties if this pledge is not honoured.

Given the legitimacy and need for system and longitudinal data, as well as the need for justice system components to share certain data elements, a fair information practices perspective coupled with an individual's right to know the purposes of data use and the individual's right to challenge the accuracy of the data content, together provide a reasonable approach to balancing competing claims. However, these competing claims cannot be adequately balanced until one knows:

- the content of the data requirements;
- the structure under which the data is to be collected;
- the responsibility of the data repository;
- the various rules and statutes governing the operation of the data repository.

Once these issues have been clarified or at least the desired options delineated, one can begin to address the desired level of privacy constraints which are required. Up to that point the best one can do is to be informed regarding the current environment and existing experience with privacy regulations.

The preceding discussion should not be interpreted as rejecting totally the need for legitimate case-tracking, but as a call for limiting general tracking and proceeding only:

- under clearly defined guidelines;
- for specific identified purposes;

- and when purging mechanisms are provided for data on those who "fall out" of the system before the process of surveillance, arrest and conviction is completed.

These practices will go a long way towards encouraging a fair information practices perspective.





### SATELLITE PHILOSOPHY

#### SATELLITES AS PART OF STATISTICS CANADA'S SERVICE FUNCTION: A STATISTICS CANADA VIEWPOINT

##### Introduction

The 1915 report of the Commission on the Official Statistics of Canada, which resulted in the establishment of the Dominion Bureau of Statistics, contained a key recommendation: "the object of this organization should be to coordinate the statistics of Canada under a single comprehensive scheme and to so extend them that they meet the present needs of the country and follow the probable course of its development ....."

The original legislation of 1918, which first brought into being a centralized statistical agency in Canada, has changed very little through the years. The legislation is broad and not suitable as a basis for prescribing specifically what should be done at any one time. Through the years this has been regarded as an advantage rather than as a drawback. Those who first drafted the mandate recognized that a generalized statement of the responsibilities assigned to Statistics Canada would give it the flexibility to change, in accordance with the needs of the times, its conception of what those responsibilities mean, the relative importance to be attached to each one of them and the means for carrying them out.

Through the years, specific statistical needs have surfaced to which the agency has responded with varying degrees of success. These responses have been in terms of new techniques, new concepts, new approaches, new funding arrangements and, in some cases, radically changing the organizational norm – such as decentralizing the statistical responsibility centre to another location as is now being proposed for justice statistics.

##### Lessons from the Past

Lessons have been learned through these attempts to respond more effectively to users' needs and changing times, and the successes and problems encountered in the establishment of satellite operations should be carefully weighed if we are going to achieve through the satellite mode the overall objective of an improved statistical product and service for the area of Justice.

Satellites established as part of the statistical framework of Statistics Canada have been organized to respond to changing need, but have not been undertaken lightly. For example, three major studies preceded the formation of the Aviation Statistics Centre – a satellite unit within the Transportation and Communications Division of Statistics Canada. The results were:

- 1) the Glassco Commission recommended that a central agency be set up to control the collection and distribution of aviation statistics;
- 2) a consultant from the federal Bureau of Management Consulting Services performed an in-depth review of this recommendation and, as a result, an Inter-departmental Committee consisting of members from Statistics Canada, Transport Canada and the Canadian Transportation Commission was formed;
- 3) the Inter-departmental Committee had the mandate to outline the manner in which the satellite unit was to be formed and how it was to function.

A joint memorandum was signed in 1965 by officials of Statistics Canada, Transport Canada and the Canadian Transport Commission. The objective of the satellite as set down in the original memorandum of understanding was: "to provide regular and ad hoc statistical services required by the Canadian Transport Commission, Transport Canada, and Statistics Canada." The benefits to each agency are described below:

- 1) the service to the Air Transport Committee of the Canadian Transportation Commission is in support of its regulatory function vis-a-vis Canadian commercial air carriers, related research, the negotiation of International bilateral air agreements, etc.;
- 2) the service to Transport Canada is mainly in relation to its planning and operation functions vis-a-vis airports and air routes;
- 3) the services to Statistics Canada are in support of several key national series as well as in the provision of data to the public-at-large.

The Treasury Board seal of approval was given and the Satellite centre began operations on April 1, 1966. It has operated under the terms of the original memorandum since that time.

The Aviation Statistics Centre, as an organization, is part of the Transportation and Communications Division of Statistics Canada. It consists of approximately 35 people and had a budget of \$400,000 in 1979/80 with almost all of that figure being assigned to salaries. In addition, the satellite is provided with free access to Transport Canada computers and systems personnel. These costs are funded by Transport Canada and the Canadian Transport Commission on a 50/50 basis. The estimated data processing budget for 1979/80 was \$450,000.

The Satellite Centre is located in CTC accommodations in Hull. All rental fees for the satellite and, when necessary, moving expenses, are paid for by the CTC. Its objectives, major projects and programme development are discussed on a continuing basis among the three departments. All major programme initiatives are provided by Transport Canada and the CTC other than those which contribute to the system of national accounts. The work of the Satellite is planned and coordinated by the Chief of the Aviation Statistics Centre.

Another example of organizational and support flexibility applied to a specific statistical need is that of Cultural Statistics. The Cultural Statistics programme was developed in response to a need expressed by Cabinet in 1972 for valid statistical series. Information on present and future cultural activities would assist the decision-making process regarding the orderly development of cultural policies. The Cabinet document stated that a basic statistical programme was particularly needed by the Department of the Secretary of State.

In response to this need, a decision was taken by Cabinet in June 1972 to support a programme of cultural statistics to be carried out by Statistics Canada on behalf of the Secretary of State.

The history of the programme can be divided into two phases, each characterized by a particular funding arrangement. The initial arrangement was a revolving fund. In the present funding arrangement, the Secretary of State's money for the programme has been transferred to the main estimates of Statistics Canada.

The Cultural Statistics programme is physically located in Statistics Canada but, with most of the funding supplied by the Secretary of State, the programme is a joint one in every sense of the word.

Eight years after its conception and three years after the decision to transfer funds, a comprehensive evaluation is taking place to reassess objectives, programme, product, users' needs and operational functions and locations. Change will certainly result from this study, including the possibility of physically locating the responsibility centre elsewhere. If the evidence supports the present location, it will remain where it is and continue to be what amounts to a satellite within Statistics Canada.

The Science Statistics Centre is another satellite of Statistics Canada attached to the Ministry of State for Science and Technology (MOSST). Science Statistics have been collected since 1956 and, until 1964, the primary client was the National Research Council. However, this changed with the creation of the Science Secretariat of the PCO and its subsequent metamorphosis into the Ministry of State for Science and Technology. In August of 1976, letters were exchanged between the Secretary of MOSST and the Chief Statistician and an agreement was approved to cover the establishment of the Science Statistics Centre at MOSST. The physical relocation of staff to MOSST accommodation took place in January 1977 and was paid for by MOSST.

The Science Statistics Centre has two primary objectives. First, it carries out a comprehensive programme of statistical data collection concerning the resources devoted to science and technology in Canada. Second,

it provides statistical support to departments in general, and to MOSST in particular, for studies relating to the resources utilized on science and technology.

The Science Statistics Centre, as an organization, is part of the Education, Science and Culture Division of Statistics Canada. It consists of 12 people from Statistics Canada and had a budget allotment of \$189,000 in 1979/80 with approximately 80% of that figure being assigned to salaries. As part of the agreement, MOSST provides the Centre with free access to MOSST computers as well as MOSST analysts and programmers. The satellite maintains a small budget allowing for the use of both Statistics Canada systems resources and data processing facilities.

The staff of the Science Statistics Centre is housed in MOSST accommodation. Statistics Canada pays a rental fee for the bulk of the accommodations, but an extra office is provided free of charge by MOSST.

The satellite's objectives, major projects and programme developments were originally decided in discussions held between the Chief of the science Statistics Centre and MOSST officials. All work is planned and coordinated by the Chief, who is in continuing close contact with MOSST officials. This satellite also undertakes projects of interest to other users of science statistics and, where appropriate, accepts revolving fund contracts to carry out such work.

The Science Statistics Centre has operated successfully, but it is now four years since it was established. A new agreement needs to be considered, objectives and provisions need to be updated and, most importantly, the two departments concerned need to review their commitments to a successful satellite.

This is one of the many lessons to be learned from operating in a satellite mode. Reassessment must be regular, vigorous, and result from joint commitment to common objectives.

Another example of a unit working successfully in an independent mode but still closely affiliated with Statistics Canada is the Justice Statistics National Work Group. This Work Group is supported by funds from Statistics Canada, the Department of Justice and the Ministry of the Solicitor General. It reports to an independent review committee and yet operates effectively under the administration of Statistics Canada and in its buildings.

The proposed Statistics Canada Satellite Centre for Justice is but one component of a structure which would incorporate both federal and provincial responsibilities for national justice statistics. The proposed Justice Satellite would have objectives unique to its programme requirements. It would have reporting arrangements designed to serve its many partners. Its physical location is still undecided. Nevertheless, because it would be a Statistics Canada satellite, it would have elements which were common to the satellites which are now operating successfully as part of the statistical system. An assessment of the critical issues, policies and practices which have evolved from the existing satellite experience can serve as a framework within which the Justice satellite could be debated and planned. Wheels are continually being reinvented. In this instance, successful satellite centres are alive and well and intelligent planning can be built on their experiences.

The senior management of satellite operations are in fundamental agreement on some key issues.<sup>(1)</sup> Their views are pertinent to their own operations and experiences, but they are remarkably consistent. These views are summarized under the following headings:

Policy	Product
Organization	Procedures
Statistical Issues	Administration
Environment	People
Supervision	Management
Controls and Support	

### **Policy**

The executives of both Statistics Canada and the client organization(s) should make a visible commitment to the satellite. That is, the policies of the participating departments must be perceived to support the satellite. Especially in its early stages, a satellite is very vulnerable.

The satellite should be established as a result of a formal agreement between the departments. This agreement should be comprehensive, using annexes if necessary. It should cover locations, facilities, resources, funding, objectives, organization of the satellite and include a review and evaluation mechanism.

Departments should agree on the statistical role of the satellite. Points to be considered include: are the staff of the client(s) to be sworn in under the Statistics Act to permit access to confidential data? If so, which data? Is there an existing statistical unit in the client's department? If so, what will be its relation to the satellite? Is there an actual or potential conflict between the needs of the client and those of other users?

There are specific policy issues which must be resolved at the planning stage and these should include:

- 1) the nature of the contributions to be made in terms of money, personnel, computer systems, other resources and services by Statistics Canada, the clients and other government agencies;
- 2) the process of review and decision-making concerning future funding necessary to respond to changing needs and priorities;
- 3) the degree of control desired by the client and by Statistics Canada in such areas as finance, quality, priorities and efficiency;
- 4) the career patterns possible to ensure the availability of statistical skills and subject matter expertise.

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(1) The sharing of views of: G.E. Clarey, Director, Transportation and Communications Division and Humphrey Stead, Chief, Science Statistics Centre, is gratefully acknowledged.

## Organization

The following are some organizational decisions and directions fundamental to the establishment of a successful satellite:

- 1) depending upon the size of the satellite, the complexity and sensitivity of the subject matter and the nature of the agencies involved, it is preferable that the line of reporting be at least at the Director level. This would provide, to the client and to Statistics Canada's management, knowledge of how the resources have been allocated and are to be controlled;
- 2) the official point of contact in the client organization should be such that decisions to resolve priority and other conflicts are made by the client and not left to the satellite. It should also be sufficiently senior that the satellite is assured of necessary priority in the allocation of funds and services;
- 3) the statutory source of the satellite's mandate must be clarified. Does the client's enabling legislation cover collection of data? If so, the satellite could act as the client's official agent. If not, the collection activities of the satellite would fall exclusively under the Statistics Act;
- 4) the type of agreement, or contract, under which the satellite is to be set up and operated must be resolved. The decision here is conditioned by the conclusions reached in (3), above. If the satellite is to be operated solely under the Statistics Act, an agreement under Section II of the Statistics Act might be suitable. If the client has regulatory and administrative power to require statistics, then a Section II agreement, which gives the respondent the right to deny the client access to data, is unsuitable and another type of agreement, as provided for in paragraph 16, (3a) of the Statistics Act, might be considered;
- 5) in establishing the sources of initial resources, the areas of responsibility of Statistics Canada, the client department and other government agencies in setting up the satellite should be agreed upon in advance;
- 6) with regard to the sources of additional resources, the responsibilities of Statistics Canada, the client and other agencies in ensuring continued funding for the satellite, and to permit its development to meet new needs and priorities of the client, must be agreed upon before the creation of the satellite;
- 7) access to services must be resolved. The responsibilities of Statistics Canada, the client and other agencies in providing essential services to the satellite, in the light of the flexibility it requires to adapt effectively to client needs, should be outlined in advance. The satellite should be free to choose the most suitable facility available, especially when it must respond quickly to urgent client demands;

- 8) channels of communication must receive attention. Effective communications are central to satellite efficiency, and thought should be given to channels of communication for any satellite located outside Statistics Canada. Worthy of consideration are such seemingly mundane topics as an efficient postal address and mail room, regular and emergency messenger services, telecommunications links and transportation;
- 9) public relations must be considered. Included under the general topic of public relations should be discussions on interface with respondents, client personnel, other divisions in Statistics Canada and other agencies of government, (for example, what logo(s) should its questionnaires have?);
- 10) problems of staffing should receive special attention and the right mix of backgrounds and skills needed to staff an effective satellite initially and in the future should be carefully appraised.

### **Statistical Issues**

The statistical services expected of the satellite should be outlined in terms of:

- 1) ongoing programmes to be continued or acquired;
- 2) new programmes to be developed immediately;
- 3) extra services to be provided on request, with or without payment;
- 4) the statistical priorities of the client in terms of, for example, timeliness, quality, trade-offs;
- 5) the acceptable degree of adherence to, and deviation from, Statistics Canada's standards;
- 6) the nature of priority changes to be envisioned and the implementation time-frame desired by the clients.

### **Environment**

A satellite provides a statistical service to a user department(s) or agencies on a continuing basis. Ideally, it should be located within the client agency to permit day-to-day contact with key users, but this is not essential to its success. There should be a willingness on the part of administration in the host department, in Statistics Canada and in such agencies as Treasury Board and the Public Service Commission, to enable it to operate effectively. It should have a clear mandate and a clear perception of the needs and priorities of its client(s). It should be able to respond effectively to changes in those needs and priorities in both the short term and the long term.

A general atmosphere of goodwill and cooperation is essential. At the departmental level, this implies a willingness to abide by the agreement whenever possible and to be flexible when necessary. For example, some of the

requirements of a satellite lodged with the host department cannot be met by normal Statistics Canada procedures. Accommodation and furniture, computer access and inter-office communications can be problems. At the same time the host department must remember the satellite and consider its needs when planning changes. One aid to establishing or maintaining a good environment would be the joint departmental agreement on objectives and budget every year as well as a joint programme review.

At the working level, the staff of the satellite and the clients must place a priority on communication. Problems can arise if members of the host department believe that the satellite is not responsive to their need, or if members of the satellite believe that the department is making excessive or improper demands. These problems can be solved, lessened or avoided through cooperation between supervisors and mutual understanding by the staff. In the case of larger satellites, such understanding could be formally encouraged during the orientation of new employees and through transfers.

### Supervision

The key to an effective satellite is strong management. The manager (Director) would occasionally have to operate in an atmosphere where two or more of the clients, Statistics Canada and/or the Satellite are likely to be in disagreement. In such an atmosphere it is important that Statistics Canada provide strong, consistent and understanding support.

### Controls and Support

Because the satellite would be organizationally part of Statistics Canada, it would exercise administrative control. Statistics Canada would also expect to specify professional standards of quality. Methodological and other professional support would be essential to enable the satellite to provide high quality statistical services. Cooperation would stem from a desire to understand the problems and needs of the satellite and to provide the expertise of professional and technical experience. Monitoring would be in terms of regular assessment of output, the requirement for progress reports and the usual control exercised by Statistics Canada management in divisions, suitably modified in view of the special status of the satellite.

Since the manager of the satellite and his/her supervisors would not see each other as often as "normal", it may be necessary to establish a somewhat formal contact procedure. This would be to ensure - not unnecessary supervision of the satellite - but rather that the manager and supervisors do not lose touch and that all are aware of current situations and potential problems and opportunities.

The satellite may require an unusual degree of support from Statistics Canada. One existing satellite still has serious accommodation problems, and has had difficulties with furniture and computer installations. These "housekeeping" arrangements may be taken for granted in centrally-located Statistics Canada divisions, but they can be life or death items for separated units.



## **Product**

The product of the satellite would be designed to meet the information needs of the client agency. These needs may sometimes differ markedly from Statistics Canada's priorities. The satellite can provide a department with a means of obtaining statistical information different in kind from that generated in support of other systems. From Statistics Canada's point of view, a fact that needs to be taken into account is that some deviation from its standards may be necessary to meet the criteria required by the clients in such areas as timeliness, level of aggregation and accuracy. It is essential that the product meets the priorities and needs of the client within quality standards acceptable to Statistics Canada.

The product of a satellite should be better suited to the needs of the major clients, but it may be better also for all the partners in the system if the satellite arrangement results in access to new data, better access or processing of the former data, or better dissemination of data.

It must be remembered, however, that Statistics Canada has a mandate to meet national informational needs. There is a danger that the product of a satellite may become too restricted. Also the willingness of data suppliers to provide data could be adversely affected if the satellite is perceived to be too closely identified with a client whose mandate affects the data suppliers.

## **Procedures**

It is possible for procedures to improve if the satellite has access to host department facilities which are not available to it at Statistics Canada. However, a penalty is also likely to be paid, at least in terms of time, if the satellite is separated from the main Statistics Canada buildings. Staff of a satellite often learn of changes later than others with more intimate access to the different areas of Statistics Canada.

## **Administration**

It would be well to remember that everyone in the satellite located away from Statistics Canada spends more time travelling (from the satellite to the main buildings); it is definitely more difficult to solve some administrative problems quickly or easily (for example, face to face). It is also possible for administrative demands to be lost or delayed beyond a useful date because of the longer line of communications.

The satellite approach does require extraordinary services from administrative units. It is essential that Administration be instructed to accommodate, to find procedures to meet the satellite's needs and to assume that anything is feasible. (This was the dictum of the federal Treasury Board to those setting up the Aviation Statistics Centre satellite.)

## **People**

Without careful planning, the career development of satellite personnel is adversely affected. Being virtually unknown in Statistics Canada, these persons are passed over for promotion. Openings in the client department are

few. It is important, therefore, that there be continuing contact with Statistics Canada professionals, so that satellite people are conversant with the state of the art elsewhere in Statistics Canada. There are advantages because a closer link with the major client makes it easier for staff to see their statistics in use. Some members of staff become a little more self-sufficient and acquire a wider experience, i.e., they are involved in more functions and more activities. It is a fact, however, that people with problems are farther from Statistics Canada's facilities. Staff may be sometimes at a disadvantage in keeping up with opportunities or participating in activities.

### **Management**

There are important and unique advantages to operating in a successful satellite mode. Through the close association with the client, management can demonstrate that there is a use and a market for its statistical product. Through this reinforced demonstration of use, the programme may get support from both the Treasury Board and from the client department(s). Management may also be in a stronger position through this demonstration of value for money to influence the development of relevant statistical areas.

When a satellite works well, it has a tendency to "grow away from the mother". This is a mark of success since the clients regard the satellite as an integral and necessary part of their own organization.

### **Conclusion**

If the satellite is successful, it means that many of those things described in this chapter have been considered and are in place. It also means that the client is receiving the statistical support it needs through close working relationships with statistical professionals.

It should also mean that duplication of services is controlled, paperburden correspondingly reduced, and the reputation of Statistics Canada and of the statistical process is enhanced both within and outside government.

### EXPERIENCE OUTSIDE CANADA

#### Introduction

As originally conceived, this chapter was to systematically present experience outside Canada that would assist the NPRC Work Group in identifying alternative organizational structures (or options) with potential for application to Canada. This was to be achieved through the development of a model for a national justice statistics capability, in which similar approaches would be merged while dissimilar approaches would be displayed as alternatives to the main model.

In reality, two factors prevented achievement of this objective:

- (1) while nine countries were approached for details on the organization, policies and financing of their national justice statistics, information was received from only three: Australia, South Africa and the United States;
- (2) structuring of the model based on information received from even these three countries was overtaken by the rapidity with which the NPRC Work Group moved towards completion of its final report.

Nonetheless, the information gathered from these countries was utilized in the following manner:

- (1) it served as input to construct the activity list that appears in Chapter 22;
- (2) it was discussed in the general deliberations of the NPRC Work Group, and some aspects were specifically featured in the Consortium option.

The remainder of this chapter summarizes the findings of this survey.

## **Accountability**

In Australia and South Africa, the national statistical agencies are responsible for national justice statistics, along with other national statistics; in the United States, the responsibility rests with the Bureau of Justice Statistics of the U.S. Department of Justice.

The Australian Bureau of Statistics (ABS) was established in 1975; the South African Department of Statistics (DOS) in 1969, and the U.S. Bureau of Justice Statistics (BJS) in 1979. There were previously existing statistical agencies in each of these countries, the present organizations being the latest in a gradual evolution of the statistical function.

## **Justice Policy and Statistics Policy**

In Australia and South Africa, where responsibility for justice statistics falls within the national statistical agency, there are committees to provide policy level consultation with the justice community.

In Australia, the Standing Committee of Attorneys General has recently been requesting that ABS give higher priority to justice statistics. Both the Standing Committee and the Federal Law Reform Commission see ABS as the appropriate body for the coordination of justice statistics.

In South Africa, policies on justice statistics are formulated by the Technical Advisory Committee for Justice Statistics. DOS is represented on this committee, as are the Department of Justice, the Department of Prisons, the South African Police, the Department of Social Welfare, professors at universities and other experts in the field.

In the United States, where responsibility for justice statistics falls within the justice community, the government wide role for federal statistical policy making is vested in the Office of Federal Statistical Policy and Standards, U.S. Department of Commerce. An Advisory Committee provides policy recommendations to BJS, with membership mandated by statute to include representatives from within and outside the BJS, including public and private consumers of justice statistics and state and local officials.

## **Political Independence**

The Australian Bureau of Statistics Act of 1975 provides for the establishment of an Australian Statistics Advisory Council to advise the Minister and Australian Statistician in relation to statistical services, priorities and programmes. The Act indicates that the Council shall submit to the Minister, for presentation to Parliament, an annual report relating to matters connected with the operation of the Act.

In South Africa, the composition of their Technical Advisory Committee was intended to ensure independence from political pressures.

In the United States, BJS autonomy – secured, among other things, through its Advisory Committee and organizational independence from other federal justice programme agencies – is likewise seen as essential for preserving statistical integrity. In another subject field, an interesting model is

provided by the Statutory Advisory Council on Education Statistics. Composed of public and federal representatives, the Council reviews National Centre for Education Statistics policy and "sets standards to ensure the high quality and non-political nature of NCES products and services, and makes an annual report to congress".

### Establishing Priorities

In Australia, ABS has developed a system for assessing priorities among justice statistics and within the total range of national statistics this enables a coordinated approach to the disposition and use of manpower and financial resources across all areas of the agency. Judgments are made following consultation with users. After passing several stages within the ABS, estimates incorporating resource usage for all projects approved by the Australian Statistician are then passed on to the Federal Treasurer for consideration in the normal governmental estimates process. The proposed work programme is also considered by the Australian Statistics Advisory Council.

In South Africa, the Central Coordinating Committee was instituted by cabinet resolution and consists of representatives of government departments and government institutions that have an interest in statistics. This Committee affords the various users of statistics the opportunity to state their statistical needs; the producers of statistics can then determine the best ways of fulfilling these needs. In essence, the Committee decides what statistics are required, how statistics should be collected and who will do the collection.

Similarly in the United States, the Advisory Committee to BJS includes the heads of agencies responsible for justice programmes and provides a forum for determining priorities. More broadly, the Justice System Improvement Act requires that the BJS give "primary emphasis to the problems of State and local justice systems". Within BJS, the Budget Staff coordinates funding and staffing resources and recommends to the Director priorities among programme budget allocations.

### Resources and Expenditures

In Australia, the ABS had 3,400 staff on June 30, 1979, of whom 1,600 were located in the Central Office in Canberra and the remainder in State Offices. Of these, a total of 30 staff were employed on crime and justice statistics.

The South African Department of Statistics reports that justice statistics form only a small sub-set in the organization, and that no records exist in which the costs of national justice statistics are indicated separately from the total cost of national statistics.

In the United States, the Statistical Reporter estimates a budget of \$16.4 million dollars for justice statistics within the U.S. Department of Justice for the 1980 fiscal year. This figure, however, represents only a fraction of the total U.S. expenditures on national justice statistics and information.

There is no methodologically acceptable manner to compare the expenditures on justice statistics and information given the very limited information available.

### ACTIVITY LIST

#### 1. Introduction

The model national justice statistics capability, which is this chapter's frame of reference, provides a detailed statement, without recourse to actual organizational form, about the objectives of a revitalized statistical capability and the activities that would necessarily be undertaken in achieving these objectives.

Accordingly, the model for a national justice statistics capability complements each of the organizational options presented in Chapter 7, Volume 1, by setting out the full range of activities likely to be performed in actualizing the various statistical and statistics related functions to which the options refer. In this way, the chapter highlights the relative dimensions of the functions, distinguishes between them, and identifies the intrinsic nature of each. Aside from being a vehicle to enhance understanding of the options themselves, the chapter offers a base for moving to such questions as resourcing, both in terms of funds and the range of expertise required.

#### 2. Outline of the PAS Approach

The Programme Activity Structure (PAS)<sup>(1)</sup> is a conceptual approach that identifies and sequentially links the overall objectives and sub-objectives and the activities undertaken to achieve them.

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(1) The Programme Activity Structure utilizes the same basic methodology as that developed by Harry G. Needham, Project Coordinator, Programme Activity Structure, federal Ministry of the Solicitor General Secretariat, to whom due acknowledgement is given.

The approach involves a series of successive roll-ups, at several levels of detail, with objectives and the activities to achieve them identified at each level.

The Programme Activity Structure is developed to the sub-sub-activity level, although the corresponding sub-sub-sub-objectives have not been constructed as, for practical purposes, they would not be particularly useful.

### **3. Benefits of the Program Activity Structure Approach**

The Program Activity Structure can assist the NPRC Work Group in the following ways:

- (a) it identifies an overall objective and, at the same time, assures that all activities required to achieve that objective are identified;
- (b) it identifies a full range of activities and, at the same time, assures that they are all addressed in the overall objective;
- (c) it identifies the kinds of activities that are subsumed under various functional labels (e.g., data collection);
- (d) it identifies a range of activities for which, where extant, the NPRC is mandated to establish costs;
- (e) it identifies a universe of "building blocks" for assembly into different organizational structures, enabling a range of options (relating to inclusions and exclusions as well as structures) to be formulated;
- (f) it provides for the systematic identification of the range of expertise required in staff to undertake the activities, as well as an initial indication for the respective orders of magnitude of those activities.

### **4. Program Activity Structure Content**

#### **(a) Overall Objective**

The overall objective for a national justice statistics capability is:

to systematically collect, analyze and present an integrated, comprehensive and flexible core of national justice statistics which delineate the nature and condition of Canadian justice as a background for users to monitor trends and determine policy; to provide the automatic data processing, publication production and information dissemination supports required; to plan a course of action and apply quality controls to assure relevance, timeliness and accuracy in the statistical product; to assist justice jurisdictions to develop information systems and statistical staffs which contribute to the national statistical effort.



## **(b) Activities to Achieve the Overall Objective**

Essentially six activities comprise the Program Activity Structure, the first four of which – undertaking statistical surveys, surveys support, planning and evaluation, and technical assistance – can usefully be divided into sub-activities. The other two activities – executive direction and management support – are, in some forms, common to all organizations and therefore require no specific development at this point in time.

## **(c) Relating Sub-objectives to the Program Activity Structure**

The sub-objectives that roll up to form the overall objective are each identified in the context of the six activities necessary to achieve them. These six activities are defined, as are the sub-activities that roll up to constitute them. Finally, at the greatest depth of detail, and where relevant, the sub-sub-activities that roll up to form the sub-activities are listed and detailed.

The level of greatest detail – the sub-sub-activities – is highly significant as it is at this level that the two phases of the NPRC Workplan interface:

Phase 1 – the identification of information needs, among other things, is structured to present the needs in a form consistent with the NPRC Working Definitions of National Justice Statistics;

Phase 2 – the identification of structures and operations to better meet the needs is, through the Program Activity Structure, developed to the point where the structures and options address the same Working Definitions content.

**PROGRAM ACTIVITY STRUCTURE**

**ACTIVITY 1: UNDERTAKING STATISTICAL SURVEYS**

- Sub-activities: 1.1 **Data Collection**
- 1.1.1 Conceptualizing the survey
  - 1.1.2 Preparing the survey design
  - 1.1.3 Conducting the survey
- 1.2 **Data Analysis**
- 1.2.1 Conducting methodological analysis
  - 1.2.2 Conducting subject-matter analysis
- 1.3 **Data Presentation**
- 1.3.1 Describing the survey design
  - 1.3.2 Presenting methodological analysis
  - 1.3.3 Presenting subject-matter analysis
  - 1.3.4 Reviewing before publication
  - 1.3.5 Explaining revisions to series

**ACTIVITY 2: SURVEYS SUPPORT**

- Sub-Activities: 2.1 **Data Processing**
- 2.1.1 Determining needs for automatic data processing
  - 2.1.2 Developing specifications
  - 2.1.3 Arranging production operations
  - 2.1.4 Maintaining documentation
- 2.2 **Publications Production**
- 2.2.1 Editing for technical content, style & syntax
  - 2.2.2 Arranging for translation and printing
  - 2.2.3 Obtaining approval for release
  - 2.2.4 Undertaking public relations activities
- 2.3 **Information Dissemination**
- 2.3.1 Maintaining a collection of materials
  - 2.3.2 Providing advisory services to clientele
  - 2.3.3 Using a variety of dissemination vehicles

**ACTIVITY 3: PLANNING AND EVALUATION**

- Sub-Activities: 3.1 **Planning a documented course of statistics and statistics-related action**
- 3.1.1 Preparing the programme forecast
  - 3.1.2 Preparing the workplan
- 3.2 **Applying quality controls to assure a relevant, timely and accurate statistical product**
- 3.2.1 Analyzing current policies, procedures, practices, etc.
  - 3.2.2 Developing performance standards
  - 3.2.3 Conducting methodological research

**ACTIVITY 4: TECHNICAL ASSISTANCE**

- Sub-Activities: 4.1 **Assisting justice jurisdictions in the development of information systems which, as a by-product, could uniformly generate justice statistics for use at the national level**
- 4.1.1 Promoting technical reporting standards
  - 4.1.2 Promoting the exchange of technology
- 4.2 **Assisting justice jurisdictions in the development of professional statistical staffs to contribute locally to the national statistical effort**
- 4.2.1 Funding a programme of grants
  - 4.2.2 Promoting the exchange of statistical knowledge

**ACTIVITY 5: EXECUTIVE DIRECTION**

Executive and policy direction  
Policy support and advice to Ministers

**ACTIVITY 6: MANAGEMENT SUPPORT**

"Common User" services  
e.g. personnel

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**ACTIVITY 1: UNDERTAKING STATISTICAL SURVEYS**

**SUB-OBJECTIVE**

To systematically collect, analyze and present an integrated, comprehensive and flexible core of national justice statistics, to delineate the nature and condition of Canadian justice as a background for users to monitor trends and determine policy.

**ACTIVITY**

Systematically collecting national justice data through statistical surveys; conducting analyses on the data, and presenting the findings of the analyses.

**SUB-ACTIVITIES**

- 1.1 **Data Collection**
- 1.2 **Data Analysis**
- 1.3 **Data Presentation**

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**ACTIVITY 1: UNDERTAKING STATISTICAL SURVEYS**

**SUB-ACTIVITY: 1.1. DATA COLLECTION**

**SUB-SUB-OBJECTIVE**

To systematically collect an integrated, comprehensive and flexible core of national justice statistics, to delineate essential features of Canadian justice as a background for monitoring trends and determining policy.

**SUB-ACTIVITY**

Systematically collecting national justice data through the conceptualization, design and conduct of statistical surveys.

**SUB-SUB-ACTIVITIES**

**1.1.1 CONCEPTUALIZING THE SURVEY**

**Defining precise purposes of survey**

- Defining problems to be solved
- Consulting with users
- Preparing precise statement
- Defining hypotheses to be tested
- Defining information to be collected

**Reviewing relations to other surveys or programmes**

- Reviewing prior and current work to avoid repetition
- Establishing non-availability of data
- Establishing appropriate use of adding questions to existing surveys
- Identifying correctable deficiencies in earlier surveys

**Initiating respondent support through representative committees**

- Liaising fairly and honestly
- Stating clearly and persuasively the needs for the data
- Explaining purposes for which the data will be used
- Establishing the justification for sensitive survey questions
- Indicating whether survey response is voluntary or mandatory
- Identifying the users of data and extent of disclosure
- Assuring minimum respondent paper and reporting burden
- Assuring protection of respondent interests

### 1.1.1 CONCEPTUALIZING THE SURVEY (continued)

- Indicating any relevant cost-sharing arrangements
- Assuring confidentiality of individual returns
- Assuring continued consultation in development of survey plan
- Securing in-principle approval from respondents for survey
- Securing willing cooperation of respondents

### 1.1.2 PREPARING THE SURVEY DESIGN

#### Maintaining respondent and user support

- Consulting to ensure maximum usefulness of the survey
- Obtaining views on data to be collected, timing and frequency of surveys and degree of precision required
- Obtaining views on continued relevance of historical statistical series
- Establishing advisory committees to consult on needs and priorities

#### Establishing target population or universe

- Population at-large
- **Criminal justice sectors**
  - Law enforcement
  - Pre-trial services
  - Prosecution
  - Legal services
  - Adjudication
  - Adult corrections
    - Probation
    - Institutional
    - Parole
    - Mandatory supervision
  - Juvenile post-court services
  - Adult post-court services
  - Other administrative services
- **Civil justice sectors**
  - Counselling and conciliation
  - Legal services
  - Adjudication
  - Court services
  - Enforcement procedures
  - Post-court services
  - Other administrative services
  - Other support services

#### Establishing fields of observation

- **Criminal Law**
  - Incidence of Crime**
    - Offender
    - Victim
    - Circumstances
    - Legal definition of event
    - Social definition of event
  - Criminal Justice Administration**
    - Processing of offences and delinquencies
    - Processing of offenders and delinquents
    - Re-cycling of offenders and delinquents through the system
    - Characteristics of offenders and delinquents
    - Caseloads or workloads of justice services delivered
    - Qualitative descriptions of justice services and their programmes
    - Resources (people, money and materials) utilized in delivering criminal justice manpower services
- **Civil Law**
  - Non-criminal cases**
    - Parties
    - Social definition of the issue(s)
    - Legal definition of the issue(s)
  - **Civil Justice Administration**
    - Processing of cases
    - Consequences for parties
    - Characteristics of parties
    - Caseloads or workloads of justice services delivered

### 1.1.2 PREPARING THE SURVEY DESIGN (continued)

- Qualitative descriptions of justice services and their programmes
- Resources (manpower, money and materials) used in delivering civil justice services

#### Establishing extent of coverage

- Establishing whether complete census or sample survey
- Establishing cost and administrative feasibility
- Establishing methodological validity
- Determining sampling methodology, if relevant
- Developing and describing the sample frames
- Determining type of sample
  - Probability sample
    - Simple random sample
    - Stratified sample
      - Proportional stratified sample
      - Non-proportional stratified sample
  - Non-probability sample

#### Establishing time-frame

- Cross-sectional
  - Point-in-time
  - Period-of-time
- Longitudinal

#### Establishing frequency

- Single time
- Irregularly recurrent
- Periodic
  - Regular
  - Rotational
- Interval
  - Quarterly
  - Annual
  - Biennial
  - Other

#### Establishing timing

- Seasonal fluctuations
- Cyclical fluctuations

#### Establishing method of collection

- Distributive
  - Magnetic tape
  - Mailing of forms
  - Telephone
  - Telegraph
  - Other
  - Some combination
- Direct acquisition

#### Evaluating reliability & suitability of data sources

- Administrative records
- Personal interview
- Observation

#### Establishing degree of integration

- Macro-data (aggregated tabular data)
- Micro-data (aggregated unit-record data)
  - Identifiable individual records
  - Anonymous individual records

#### Establishing specificity of collection vehicle

- General-purpose survey
- Specific-purpose survey

#### Establishing location of distributive data collection

- At data source
- At regional collection points

### 1.1.2 PREPARING THE SURVEY DESIGN (continued)

#### Minimizing sampling and non-sampling errors

- Estimating sampling errors
- Controlling non-sampling errors
  - Reporting errors
  - Response variance
  - Interviewer and respondent bias
  - Non-response
  - Imputation error
  - Errors in data processing

#### Planning for evaluation of survey results

- Planning for resources
- Planning for respondent & user involvement

#### Planning for processing the data

- Consulting with data processing personnel
- Planning for:
  - Editing routines
  - Coding Systems
  - Tabulating
  - Quality control
  - Means of processing
    - Punchcards
    - Computer
    - Optical scanning
  - Tabulation formats
- Contracting for data processing

#### Allowing for pre-tests

- Scheduling time
- Allocating funds and human resources

#### Providing for non-response follow-up

- Scheduling time
- Allocating funds and human resources

#### Determining dates & man-hours for steps

- Beginning and completion of preliminary design
- Formal clearance of pre-test
- Beginning and completion of one or more pre-tests
- Analysis of pre-test results and modifications of survey design and questionnaire if indicated
- Formal clearance of survey
- Beginning of field work or due date of questionnaire
- Beginning and completion of follow-ups
- Completion of editing and coding
- Completion of the tabulations
- Completion of the preliminary report
- Completion of the final report

#### Estimating Costs

- Personnel
- Travel
- Equipment
- Supplies
- Pre-tests and follow-ups
- Preparation and printing of forms
- Compilation of list of respondents
- Mailing or enumeration
- Editing
- Coding
- Tabulating
- Analysis
- Publication
- Share of overhead costs

### 1.1.2 PREPARING THE SURVEY DESIGN (continued)

#### Designing the questionnaire and instructions

- Considering the type and characteristics of respondents
- Usually avoiding legal or technical terminology
- Designing clear, easy-to-read and easy-to-complete forms
- Making questions brief and self-evident
- Arranging questions in logical order
- Guiding thoughts from general to specific
- Formatting questionnaire for machine processing or transcribing
- Selecting carefully the questionnaire title
- Citing formal authorization and reference numbers
- Instructing for return of questionnaire in a mail survey
- Specifying a target date
- Emphasising importance of response
- Deciding on the mechanics of form design
  - Size
  - Margins
  - Spacing
  - Type faces
  - Type of paper, ink, perforations, etc.

#### Securing approval for the survey design

- From respondents
- From users
- From authorized central authorities

### 1.1.3 CONDUCTING THE SURVEY ACCORDING TO APPROVED DESIGN

- Limiting deviations
- Ensuring sample selection, data collection, tabulation and estimation are as specified
- Training enumerators if data collection by personal or telephone interview
- Preparing manuals for field workers, editors and coders
- Operating quality controls to ensure adherence to survey design
- Providing adequate supervision
- Establishing progress reporting procedures
- Keeping detailed records, especially for longitudinal surveys

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#### ACTIVITY 1: UNDERTAKING STATISTICAL SURVEYS

##### SUB-ACTIVITY: 1.2 DATA ANALYSIS

#### SUB-SUB-OBJECTIVE

To systematically analyze an integrated, comprehensive and flexible core of national justice statistics, to delineate essential features of Canadian justice as a background for users to monitor trends and determine policy.

#### SUB-ACTIVITY

Conducting analyses of the methodological accuracy of the data collected and of its subject-matter content.

#### SUB-SUB-ACTIVITIES

##### 1.2.1 CONDUCTING METHODOLOGICAL ANALYSIS

- Evaluating reliability of sources of data
- Adjusting and weighing raw data as necessary
- Identifying limitations on data reliability, validity and usability
- Identifying errors, inconsistencies and gaps in the data
- Recommending methodological changes to improve data quality, timeliness and use

##### 1.2.2 CONDUCTING SUBJECT-MATTER ANALYSIS

- Organizing and summarizing data into mathematical, tabular, chart or graphic forms amenable to analysis
- Clarifying the meaning and significance of data
- Computing statistical measures, such as averages, ratios, distributions, and correlation coefficients
- Analyzing and evaluating the data to point out significant trends, differences and relationships
- Computing statistical projections

## 1.2.2. CONDUCTING SUBJECT-MATTER ANALYSIS (continued)

- Developing procedures to link justice data with other social, economic and demographic data to enhance data utility
- Developing indicators to enhance data utility
- Preparing conclusions and forecasts based on data summaries
- Writing reports containing descriptive, analytical and evaluative content
- Compiling and presenting statistics objectively and with integrity

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### SUB-ACTIVITY: 1.3 DATA PRESENTATION

#### SUB-SUB-OBJECTIVE

To systematically present an integrated, comprehensive and flexible core of national justice statistics, to delineate essential features of Canadian justice as a background for users to monitor trends and determine policy.

#### SUB-ACTIVITY

Presenting the findings of methodological and subject-matter analysis, in the context of overall survey design and serial revisions.

#### SUB-SUB-ACTIVITIES

##### 1.3.1 DESCRIBING THE SURVEY DESIGN AND THE METHODS USED IN IMPLEMENTING THE DESIGN

- What is measured
- Sources of information
- Sampling plan if sampling is used
- Methods of collecting the data
- Extent of non-response and other sources of bias
- Methods used to deal with bias
- Copy of form and instructions used

##### 1.3.2 PRESENTING METHODOLOGICAL ANALYSES

- Specifying conceptual or other limitations
- Comparing with other statistics of similar title or scope
- Stating accuracy as far as possible
- Sampling error
- Nature and extent of non-sampling errors

##### 1.3.3 PRESENTING SUBJECT-MATTER ANALYSIS

- Informing users about sources, methods used in collecting and compiling statistics, and their limitations
- Indicating the nature of the data
- Referring to any technical description
- Clearly labelling forecasts and projections
- Noting preliminary figures
- Identifying data taken from other sources
- Showing date of publication and time period the data refers to
- Defining technical terms
- Noting use of standard classifications
- Clearly distinguishing between actual data and inferences or interpretations drawn from the data

##### 1.3.4 REVIEWING BEFORE PUBLICATION

- Reviewing by subject-matter personnel to detect inconsistencies or other errors as well as omissions
- Reviewing by statistical experts of validity and reliability of statistical statements and conclusions

##### 1.3.5 EXPLAINING REVISIONS TO ESTABLISHED STATISTICAL SERIES

- Explaining the character of the revision
- Clarifying effect of the revision upon the series

## ACTIVITY 2: SURVEYS SUPPORT

#### SUB-OBJECTIVE

To provide the automatic data processing, publication production and information dissemination supports required to systematically collect, analyze and present an integrated, comprehensive and flexible core of national justice statistics.

#### ACTIVITY

Supporting statistical surveys through the meeting of needs to automatically process data and publish and disseminate the findings.

#### SUB-ACTIVITIES (Overleaf)

##### 2.1 Data Processing

##### 2.2 Publications Production

##### 2.3 Information Dissemination

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## ACTIVITY 2: SURVEYS SUPPORT

### SUB-ACTIVITY: 2.1 DATA PROCESSING

#### SUB-SUB-OBJECTIVE

To provide the automatic data processing support required to systematically collect, analyze and present an integrated, comprehensive and flexible core of national justice statistics.

#### SUB-ACTIVITY

Determining the needs of statistical surveys for automatic data processing, developing specifications, arranging production runs and maintaining documentation.

#### SUB-SUB-ACTIVITIES

##### 2.1.1 DETERMINING NEEDS FOR AUTOMATIC DATA PROCESSING

- Conferring with statistical survey staff to ascertain specific information requirements, such as nature and degree of summarization, identification of items and format for presentation of results
- Advising on means for recording input data to select a feasible and economic method

##### 2.1.2 DEVELOPING SPECIFICATIONS

- Analyzing systems, procedures and methods for data processing
- Contracting with service bureau if applicable
- Preparing process flow-charts and diagrams
- Preparing system specifications, designing forms and completing other documentation relating to computer operations
- Writing programmes in computer process language or modifying existing package programmes
- Preparing instruction manuals covering use, operation, routine maintenance and technical specifications for data entry and other EDP operations
- Testing and eliminating errors in computer programmes
- Preparing final systems for operations

##### 2.1.3 ARRANGING PRODUCTION OPERATIONS

- Contracting with service bureau, if applicable
- Scheduling and directing data entry and edit
- Operating production runs
- Checking resulting computer tabulations against original specifications

##### 2.1.4 MAINTAINING DOCUMENTATION

- Analyzing, reviewing and re-writing programmes to increase operating effectiveness and efficiency or to adapt to new requirements
  - Maintaining accurate records and documentation to facilitate follow-up action
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SUB-ACTIVITY: 2.2. PUBLICATIONS PRODUCTION

SUB-SUB-OBJECTIVE

To provide the publications production support required to systematically collect, analyze and present an integrated, comprehensive and flexible core of national justice statistics.

SUB-ACTIVITY

Editing publication proofs for technical content, style and syntax, arranging for translation and printing, obtaining approvals, undertaking public relation activities.

SUB-SUB-ACTIVITIES

**2.2.1 EDITING FOR TECHNICAL CONTENT, STYLE AND SYNTAX**

- Planning page layouts for:
  - News bulletins
  - Special brochures
  - Preliminary statistical bulletins
  - Serial statistical reports
  - Special statistical studies
  - Catalogues and indexes
  - Manuals and handbooks
- Preparing technical writing and illustrations
- Preparing graphics
- Specifying size, quality of paper, colours & quantity
- Examining proof copies for conformity with policy
- Preparing interim and final proofs
- Obtaining approval of final proofs

**2.2.2 ARRANGING FOR TRANSLATION AND PRINTING**

**2.2.3 OBTAINING APPROVAL FOR RELEASE**

**2.2.4 UNDERTAKING PUBLIC RELATIONS ACTIVITY**

SUB-ACTIVITY: 2.3 INFORMATION DISSEMINATION

SUB-SUB OBJECTIVE

To provide the information dissemination supports required to systematically collect, analyze and present an integrated, comprehensive and flexible core of national justice statistics.

SUB-ACTIVITY

Maintaining a collection of statistics and statistics-related materials, providing prompt and definitive advisory services to clientele, using a variety of dissemination vehicles.

SUB-SUB-ACTIVITIES

**2.3.1 MAINTAINING A COLLECTION OF STATISTICS & STATISTICS-RELATED MATERIALS**

- Indexing, cataloguing and storing materials for retrieval
- Assembling publication displays

**2.3.2 PROVIDING PROMPT AND DEFINITIVE ADVISORY SERVICES TO CLIENTELE**

- Referral to appropriate sources
- Searching information sources
- Compiling bibliographies
- Conducting literature searches
- Advising on research problems
- Advising on reference services available

**2.3.3 USING A VARIETY OF DISSEMINATION VEHICLES**

- Computer tapes
- Special tabulations
- Microfiche
- On-line computer capacity
- Published materials
  - News bulletins
  - Special brochures
  - Preliminary statistical bulletins
  - Serial statistical reports
  - Special statistical studies
  - Catalogues and indexes
  - Manuals and handbooks

ACTIVITY 3: PLANNING AND EVALUATION

SUB-OBJECTIVE

To plan a course of action and to apply quality controls to assure relevance, timeliness and accuracy in an integrated, comprehensive and flexible core of national justice statistics.

ACTIVITY

Planning a documented course for statistics and statistics-related action; Applying quality controls to assure a relevant, timely and accurate statistical product.

SUB-ACTIVITIES

**3.1 PLANNING A DOCUMENTED COURSE OF STATISTICS AND STATISTICS-RELATED ACTION**

**3.1.1 PREPARING THE PROGRAMME FORECAST ADMINISTRATIVE DOCUMENT, PROJECTING TWO FISCAL YEARS AHEAD, DETAILING**

- Forecasts of where the present course will lead
- Required changes in objectives
- Strategies to be developed
- Programme priorities to be established
- Work approaches to be adopted
- Resources (human and budgetary) required

**3.1.2 PREPARING THE WORKPLAN PUBLICATION SPECIFYING, FOR THE FOLLOWING FISCAL YEAR, DETAILS OF**

- Routine and special work to be undertaken
- Emerging priorities that impact upon the workplan
- Administrative changes that impact upon the workplan
- Schedules to be observed in undertaking the work
- Resources to be committed

**3.2 APPLYING QUALITY CONTROLS TO ASSURE A RELEVANT, TIMELY AND ACCURATE STATISTICAL PRODUCT**

**3.2.1 ANALYZING, AND REVISING AS NECESSARY, CURRENT POLICIES, PROCEDURES, PRACTICES, FORMS AND RECORDS**

- Ascertaining the essentiality of existing activities
- Recommending changes to simplify or reduce clerical or administrative work and processing time
- Modifying and developing new administrative procedures
- Analyzing capabilities and limitations of computers and peripheral equipment
- Developing new applications and long-range plans for utilization of EDP systems
- Directing studies to test makes and models of machinery and equipment, including computers
- Preparing recommendations for practical application, proper utilization, and economical operation of the equipment recommended
- Preparing cost estimates and summaries of savings resulting from proposed systems
- Planning and presenting proposals for EDP services, in non-technical language
- Assisting with the installation of new systems
- Arranging for training for employees in required techniques
- Reviewing on a comparative basis effectiveness of old and new systems
- Maintaining follow-up on new methods and installations
- Meeting with management to discuss the results of studies

**3.2.2 DEVELOPING PERFORMANCE STANDARDS FOR PROGRAMMES AND RESPONDENTS, MEASURING RESULTS AND TAKING CORRECTIVE ACTION**

- Reviewing existing laws, regulations and other prescripts determining minimum performance standards to be observed, on such matters as:
  - Statistical surveys
  - Contracting for services
  - Publication of statistics
  - Use of the official languages
  - Privacy of the individual

**3.2.2 DEVELOPING PERFORMANCE STANDARDS FOR PROGRAMMES AND RESPONDENTS, MEASURING RESULTS AND TAKING CORRECTIVE ACTION (continued)**

- Confidentiality of information
- Security of personnel & systems
- Systems development
- Reviewing the recommendations of the user and respondent communities made through their representatives in committee and considering them in the development of agreed-upon standards in such matters as:
  - Data element definitions
    - Units of count
    - Reporting time-frames
    - Index base periods
    - Timeliness of statistical compilation and release
  - Publication format and content
  - Cost-sharing formulae
  - Preparing performance standards for review by the Advisory Committee, and endorsement or approval by the Committee of Deputy Ministers
  - Directing the preparation of internally consistent, up-datable manuals providing for the comprehensive and systematic dissemination of performance standards in the form of mandatory directives and suggested guidelines
  - Measuring the results of performance standards
  - Conducting random field audits to determine the extent to which respondents are adhering to standards agreed upon by their representatives in committee
  - Monitoring centralized and decentralized statistical operations and their products
  - Establishing a time-reporting system to monitor resource commitment to programmes and projects
  - Taking corrective action
  - Seeking the cooperation of respondents through their representatives in committee
  - Adjusting programme priorities and schedules to changing circumstances
  - Rewarding with praise, remuneration and discipline

**3.2.3 CONDUCTING METHODOLOGICAL RESEARCH INTO THE MATHEMATICAL BASIS OF THE SCIENCE OF STATISTICS, DEVELOPING STATISTICAL METHODOLOGY AND ADVISING ON THE PRACTICAL APPLICATION OF STATISTICAL METHODS**

- Examining theories, such as those of probability, inference, and variance to discover mathematical bases for new and improved methods of obtaining and evaluating numerical data
- Developing and testing experimental designs, sampling techniques and analytical methods
- Making recommendations concerning the use of methodology in statistical surveys
- Investigating, evaluating and making recommendations concerning applicability, efficiency and accuracy of statistical methods used in obtaining and evaluating data

**ACTIVITY 4: TECHNICAL ASSISTANCE**

**SUB-OBJECTIVE**

To assist justice jurisdictions to develop information systems and statistical staffs capable of contributing to an integrated, comprehensive and flexible core of national justice statistics.

**ACTIVITY**

Assisting justice jurisdictions in the development of information systems capable of providing national statistics as a by-product, and of professional staffs to contribute locally to the national statistical effort.

**SUB-ACTIVITIES**

- 4.1 ASSISTING JUSTICE JURISDICTIONS, AT ALL LEVELS OF GOVERNMENT, TO DEVELOP OPERATIONAL AND OTHER INFORMATION SYSTEMS WHICH, AS A BY-PRODUCT, COULD UNIFORMLY GENERATE JUSTICE STATISTICS FOR USE AT THE NATIONAL LEVEL

4.1.1 PROMOTING THE DEVELOPMENT, AND INCORPORATION INTO SYSTEMS, OF TECHNICAL REPORTING STANDARDS FOR TERMINOLOGY, DATA DEFINITIONS AND PROCEDURES

- Utilizing the committee framework to consult and plan with operators of systems
- Organizing the creation of standardized dictionaries of reporting terminology, data definitions and procedures
- Liaising with planning and evaluation to ensure consistency with existing reporting and performance standards, for obtaining final approval and for dissemination

4.1.2 PROMOTING THE EXCHANGE OF TECHNOLOGY BOTH NATIONALLY AND INTERNATIONALLY

- Keeping abreast of technological innovation
- Utilizing the committee framework, workshops and other means to promote exchange of information and experience
- Assisting in the tailoring of general purpose models to meet the specific requirements of prototype installations
- Promoting programmes of personnel exchange
- Funding a programme of grants to support local capacity building

4.2 ASSISTING JUSTICE JURISDICTIONS AT ALL LEVELS OF GOVERNMENT TO DEVELOPMENT PROFESSIONAL STATISTICAL STAFFS TO CONTRIBUTE LOCALLY TO THE NATIONAL STATISTICAL EFFORT

- Utilize the committee framework to consult and plan relative to overall national statistical requirements
- Assume responsibility for the management of selected segments of the national statistical effort
- Conduct national statistical surveys in accordance with applicable performance and reporting standards, including the analysis of results
- Assist in ensuring the overall quality control of data collected and reported nationally

4.2.2 PROMOTING THE EXCHANGE OF KNOWLEDGE ON MANAGING NATIONAL STATISTICAL ACTIVITIES AND STATISTICAL METHODOLOGY

- Utilizing the committee framework and conducting workshops to share experience both nationally and internationally
- Conducting workshops to train respondents in supplying required data

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**ACTIVITY 5: EXECUTIVE DIRECTION**

**SUB-OBJECTIVE**

To provide central executive and policy direction, and to provide policy support and advice to the Justice Ministers.

**ACTIVITY**

Providing central executive and policy direction to the national justice statistics capability, and providing policy support and advice to the Justice Ministers.

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**ACTIVITY 6: MANAGEMENT SUPPORT**

**SUB-OBJECTIVE**

To provide "common user" services to the national justice statistics capability, managing these services.

**ACTIVITIES**

Providing such "common user" services as:

- Personnel operations
- Finance
- Administration
- Records management and mail
- Accommodation and materiel management
- Legal counsel
- Translation
- Committee and conference secretariat





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