



# GUIDELINES FOR THE PRODUCTION OF STATISTICAL DATA BY THE PRISON SYSTEM



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## Introduction

In 2015, the United Nations Statistical Commission (UNSC) and the United Nations Commission on Crime Prevention and Criminal Justice (UN-CCPCJ) endorsed the International Classification of Crime for Statistical Purposes (ICCS). ICCS is the international standard for defining and classifying criminal offences to produce and disseminate statistical data on crime and criminal justice. When statistics are compiled and distributed according to the comprehensive and standardized framework of ICCS, it is possible to produce higher quality statistics as well as more articulated analyses of crime trends and patterns, harmonized across the different steps of the criminal justice system and jurisdictions.

Building on the process to implement ICCS at a country level and the report on crime and criminal justice statistics authored by the United Nations Office on Drugs and Crime and the National Institute of Statistics and Geography of Mexico,<sup>1</sup> these guidelines aim to provide advice to the prison system on the collection, production and dissemination of high-quality statistical data that can assist in performing and continuously monitoring core functions, improve the measurement of access to justice and promote the implementation of ICCS.

This document is part of a series of guidelines on the production of statistical data by criminal justice institutions.<sup>2</sup> The series comprises specific guidance for the police, the prosecution service and the courts, and the prison system. In addition, guidance on how to develop an interoperable system of crime and criminal justice data more broadly is forthcoming.

<sup>1</sup> [E/CN.3/2022/14](#).

<sup>2</sup> Available at <https://www.unodc.org/unodc/en/data-and-analysis/statistical-activities.html>.

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## Abbreviations and acronyms

ICCS	International Classification of Crime for Statistical Purposes
ID	Identifier
INEGI	National Institute of Statistics and Geography of Mexico
IT	information technology
OECD	Organisation for Economic Co-operation and Development
UN-CTS	United Nations Surveys on Crime Trends and the Operations of Criminal Justice Systems
UNODC	United Nations Office on Drugs and Crime

# Contents

Introduction .....	iii
Acknowledgements.....	iv
Abbreviations and acronyms .....	v
Overview .....	1
PART I: BACKGROUND.....	5
1 Making the case for harmonized prison data.....	6
1.1 Why the prison system needs to collect, produce and disseminate statistical data.....	6
1.2 Why existing data collection, production and dissemination practices on crime and criminal justice need to be strengthened .....	7
1.3 The international need for comprehensive prison data.....	9
1.4 International minimum standards for prisons.....	10
1.5 Scope of the guidelines.....	12
2 Building on the International Classification of Crime for Statistical Purposes .....	15
2.1 How the International Classification of Crime for Statistical Purposes approaches the different national definitions of crime .....	15
2.2 Benefits of the International Classification of Crime for Statistical Purposes .....	16
2.3 How the prison system can use the International Classification of Crime for Statistical Purposes ..	17
PART II: GUIDELINES FOR THE PRODUCTION OF STATISTICAL DATA BY THE PRISON SYSTEM .....	20
3 Statistical framework for the production of data.....	21
3.1 Key dimensions of the framework.....	21
3.2 Data on prison resources.....	27
3.2.1 <i>Human resources</i> .....	27
3.2.2 <i>Financial resources</i> .....	30
3.2.3 <i>Physical resources</i> .....	32
3.2.4 <i>Staff safety and well-being</i> .....	35
3.3 Data on prisoner profile .....	39
3.3.1 <i>Population registration</i> .....	39
3.4 Data on prisoner reintegration.....	43
3.4.1 <i>Visits</i> .....	43
3.4.2 <i>Health care</i> .....	45
3.4.3 <i>Programmes</i> .....	47
3.5 Data on prisoner safety and security.....	51
3.5.1 <i>Sanctions</i> .....	51
3.5.2 <i>Searches</i> .....	54
3.5.3 <i>Prisoner incidents</i> .....	57
3.6 Data on staff conduct .....	61
3.6.1 <i>Complaints</i> .....	61
3.6.2 <i>Use of force</i> .....	63
PART III: IMPLEMENTATION.....	67
4 How to use the data .....	70
4.1 Conducting basic (descriptive) analyses.....	70
4.2 Conducting advanced (inferential) analysis.....	73
4.3 Finding complementary data.....	74
4.4 Building data partnerships.....	76

5	How to manage the data generated with the statistical framework .....	78
5.1	The central role of data governance .....	79
5.2	Basic considerations for data collection .....	83
5.3	How to ensure data quality .....	84
5.4	Finding the audience through good data dissemination practices .....	86
Annex	.....	88
A.1.	Prison resources.....	88
A.2.	Prisoner profile .....	98
A.3.	Prisoner reintegration.....	101
A.4.	Prisoner safety and security.....	107
A.5.	Staff conduct.....	115

## Figures

Figure 3.1	Serious assaults on prison staff in public and private prisons in England and Wales, 2003–2021.....	38
Figure 3.2	Number of incidents where illicit items were found in prisons in England and Wales....	57

## Tables

Table 2.1	Level 1 ICCS categories .....	16
Table 2.2	Number of persons admitted to prison by most serious offense, 2020 and 2021 .....	18
Table 3.1	Key dimensions of the statistical framework .....	21
Table 3.2	Five core dimensions of the framework with highest implementation priority .....	24
Table 3.3	Proposed variables for the human resources dimension .....	28
Table 3.4	Staff of the Uganda Prison Service by category and gender, June 2022.....	30
Table 3.5	Proposed variables for the financial resources dimension .....	31
Table 3.6	Partial statement of appropriations reporting 21 December 2020 .....	31
Table 3.7	Proposed variables for the physical resources dimension .....	32
Table 3.8	Overview of cell occupancy and in-cell sanitation, October 2022 .....	35
Table 3.9	Proposed variables for the staff safety and well-being dimension.....	36
Table 3.10	Proposed variables for the population registration dimension .....	39
Table 3.11	Total jail population data (detainees and sentenced) in the Philippines, as of 30 September 2022 .....	41
Table 3.12	Proposed variables for the visits dimension .....	43
Table 3.13	Association between visits and reconviction, individuals housed in selected prisons between January and April 2017.....	44
Table 3.14	Proposed variables for the health care dimension .....	45
Table 3.15	Medical report, Guyana Prison Service .....	46
Table 3.16	Proposed variables for the programmes dimension.....	48
Table 3.17	Confinement facilities and prisoners by education programmes available, mid-2019 ...	49
Table 3.18	Proposed variables for sanctions dimension.....	52
Table 3.19	Federal prisoners cited for prohibited acts that resulted in reduction in rewards, incentives or time credits, 2019 and 2020 .....	53
Table 3.20	Proposed variables for the searches dimension .....	55
Table 3.21	Proposed variables for prisoner incidents dimension.....	58
Table 3.22	Incidents in prisons per 1,000 prisoners by state and type, 2022 .....	59
Table 3.23	Proposed variables for complaints dimension .....	61

Table 3.24	Number of complaints by category and year.....	62
Table 3.25	Proposed variables for use of force dimension.....	64
Table 3.26	Frequency of most applied use of force measures at women’s institutions, 2021–2022	66
Table 4.1	Example of a frequency table: Average quarterly number of persons in custody, Australia.....	70
Table 4.2	Example of cross tabulation: Number of prisoners by legal condition and sex, Costa Rica .....	71
Table 4.3	Example of summary statistics: Number of deaths in federal custody by cause of death, Canada .....	71

## Boxes

Box 1.1	Distinction between administrative records and statistical sources .....	8
Box 1.2	Basic principles of the Nelson Mandela Rules.....	11
Box 1.3	Prisoner file management in line with the Nelson Mandela Rules.....	13
Box 2.1	Using ICCS in prison statistics, Mauritius .....	17
Box 3.1	Benefits of event-based data .....	22
Box 3.2	Producing gender-sensitive prison data through the framework.....	25
Box 3.3	Gender-responsive prison management.....	27
Box 3.4	Human resources data, Uganda .....	29
Box 3.5	Financial resources data, Norway .....	31
Box 3.6	Physical resources data, Ireland .....	34
Box 3.7	Staff safety and well-being data, United Kingdom.....	38
Box 3.8	Population registration data, the Philippines.....	41
Box 3.9	Long-term study on prison visits, the Netherlands .....	44
Box 3.10	Health care data, Guyana .....	46
Box 3.11	Education programmes data, United States .....	49
Box 3.12	Sanctions data, United States Bureau of Justice Statistics.....	53
Box 3.13	Data on searches, United Kingdom .....	56
Box 3.14	Incidents data, Mexico .....	59
Box 3.15	Complaints data, New Zealand.....	62
Box 3.16	Use of force data, Canada .....	65
Box 4.1	Application of geospatial data, Italy.....	72
Box 4.2	Research into the causes of prison violence .....	73
Box 4.3	Complementary data, Mexico .....	75
Box 4.4	Data partnership, Council of Europe.....	77
Box 5.1	The essential role of metadata.....	78
Box 5.2	United Nations Fundamental Principles of Official Statistics.....	81
Box 5.3	Data quality assessment, United Kingdom.....	85

## Maps

Map 4.1	Prison population per 100,000 residents by region in Italy, 2021 .....	72
Map 4.2	Percentage of prisoners who experience corruption inside prisons by state in Mexico, 2021.....	76

# Overview

## **Aim of the present guidelines for the production of statistical data by the prison system**

The aim of the present guidelines is to support prison administrations<sup>3</sup> in the collection, production and dissemination of high-quality statistics based on administrative data relating to crime and criminal justice. Capturing such data has four key objectives:

- Provision of detailed aggregated information on prison populations and operations, improving monitoring and reporting capacities as well as transparency.
- Production of in-depth data that facilitate deeper insights and more effective and evidence-based planning and decision-making that can help further improve both the rehabilitation and confinement functions of prisons.
- Enhancement of accountability and public trust in the criminal justice system, enabling prison administrations to showcase to both policymakers and the general public what is happening in prisons and how prison administrations are operating.
- Creation of a coherent framework that ensures criminal justice system data become more consistent, more comparable and more transparent, both at national and international level.

The present guidelines do not include qualitative data collection and, as such, are not meant to be a tool for the comprehensive assessment of prison administration compliance with international minimum standards for prisons. Readers who are interested in prison compliance assessments may refer to UNODC publications such as *Assessing compliance with the Nelson Mandela Rules: A checklist for internal inspection mechanisms*; and *Incorporating the Nelson Mandela Rules into national prison legislation: A model prison act and related commentary*.<sup>4</sup>

## **Basis of the present guidelines for the production of statistical data by the prison system**

According to the United Nations Standard Minimum Rules for the Treatment of Prisoners, the prison system has two core functions, namely ensuring the safe, secure and humane custody of prisoners, and fostering the rehabilitation and social reintegration prospects of prisoners, thereby reducing reoffending.

The United Nations standards and norms in crime prevention and criminal justice related to prisons and offender management outline how these functions should ideally be carried out. The *United Nations Standard Minimum Rules for the Treatment of Prisoners* (the Nelson Mandela Rules) and the *United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders* (the Bangkok Rules), in particular, constitute the universally recognized benchmark for prison management in the twenty-first century.<sup>5</sup> Together with the *International Classification of Crime for Statistical Purposes*, these standards form the basis of the statistical framework proposed in the present guidelines for the production of statistical data.<sup>6</sup>

The United Nations Standard Minimum Rules for Non-custodial Measures (The Tokyo Rules) provide a basic set of principles to promote the use of non-custodial measures. Hence, these rules are not

<sup>3</sup> For the purpose of these guidelines, the prison system includes all institutions under the authority of the prison administration where persons are deprived of their liberty. The institutions may include penal, correctional and psychiatric facilities and may be either publicly or privately financed. This does not include community-based correctional facilities that are not detention facilities and centres for the detention of foreign citizens held pending investigation into their immigration status, or for the detention of foreign citizens without a legal right to stay.

<sup>4</sup> United Nations publication, 2018; and United Nations publication, 2022.

<sup>5</sup> See [A/RES/70/175](#) (Nelson Mandela Rules) and [A/RES/65/229](#) (Bangkok Rules).

<sup>6</sup> United Nations publication, 2015.

applicable to prisoners serving a custodial sentence in the prison system and are not considered in this publication.

### Statistical framework of the present guidelines

The present guidelines propose a statistical framework that brings together a variety of administrative information under a harmonized framework. The framework consists of 13 dimensions that are derived from the two core functions as described in the Nelson Mandela Rules and the international minimum standards for prisons mentioned above, and they are supported by practical examples from prison systems around the world. The framework is meant to be aspirational as many countries will not have comprehensive data for all the dimensions at the outset. Prison administrations and criminal justice leaders are invited to progressively increase the amount of data collected, managed and disseminated on prisons and prisoners and to apply the framework to maximize the value and use of the data.

### Thirteen dimensions of the statistical framework

Prison resources	Human resources	Financial resources	Physical resources	Staff safety and well-being
Prisoner profile	Population registration			
Prisoner reintegration	Visits	Health care	Programmes	
Prisoner safety and security	Sanctions	Searches	Prisoner incidents	
Staff conduct	Complaints	Use of force		

### Use of data generated with the statistical framework

Using the statistical framework to collect administrative data is only the first step. If useful insights are to be extracted, the data need to be processed, analyzed and disseminated in order to be translated into practical knowledge. Only then can the data be used to make decisions on the allocation of resources and the deployment of specific prison initiatives and interventions or to inform reform initiatives. Without going into statistical terminology, the data can be used as follows:

- To better understand the criminal justice sector response to crime and the basic functioning of prisons. Even this relatively simple method of analysis offers the potential for powerful new insights and previously undetected patterns and trends to be discovered. Examples include the number of prisoners aged 18–24 from a specific region incarcerated during the past year, the number of violent incidents between prisoners that occurred over the past year disaggregated by type and facility, or the number of prison officers in a particular prison facility by sex and rank.
- To evaluate hypotheses and test relationships between multiple factors related to prison. This allows for more complex questions, such as whether specific groups of prisoners are more likely than others to use the complaints system or whether more experienced staff members are less likely to use force than less experienced colleagues. This can provide invaluable

insights that further improve efficiency and effectiveness, which increases the safety of prison staff, prisoners, visitors and society at large.

Collecting and analysing large amounts of data is a challenging endeavour that requires resources. This is where data partnerships can play an important role. By partnering with other institutions – such as the national statistical office, criminological research institutes or international organizations like UNODC – internal knowledge and resource constraints can be overcome, which can improve statistical processes for the collection of data and enable more value to be extracted from the data.

### **Use of complementary data**

Although the present guidelines for the production of statistical data rely on administrative data collected in prisons and focuses on their management for statistical purposes, a wide variety of complementary data are available that touch upon topics that could be of interest to the prison system. They include data collected by external prison oversight bodies, data on health and social care histories of prisoners, general population survey data on social attitudes towards prisoners, perceptions of corruption, data on the main drivers of recidivism and more. Such complementary data can offer additional insights that could prove vital for improving the operational performance of the prison system. Where possible and relevant, the use of such complementary data is therefore recommended.

### **Managing data generated with the statistical framework**

The key to managing data well and ensuring interoperability across institutions is the development of a system – supported by an enabling regulatory framework for statistical purposes – with clearly defined roles and transparent procedures for data collection, production and dissemination. Without this, the process is likely to be disorganized and inefficient given its inherent complexity. For example, how data are supposed to be collected, which definitions to use, how to format data or when to submit data to specific agencies may be unclear.

When designing a public sector data governance framework, the consideration of four basic elements is recommended:<sup>7,8</sup>

- **Vision and leadership.** Includes the formulation of a (national) data strategy and the assignment of leadership roles. Data strategies enable accountability and allow for the definition of leadership roles, expectations and goals.
- **Regulation.** Emphasizes the role of data-related legislation and regulation in helping countries define and ensure compliance with data security, privacy and management policies.
- **Coordination and cooperation.** Focuses on aligning and harmonizing efforts to enhance the value of data for society across the different stakeholders of the crime and criminal justice sector.
- **Data architecture.** Composed of models, policies, rules and standards that govern which data are collected, how they are stored, processed, integrated and (re)used in data systems.

In addition, the role of institutions is key to ensuring the successful implementation of any data governance framework. Institutions are responsible for strategic planning, rulemaking and implementation. To fulfill their data related mandates, institutions should dedicate sufficient

<sup>7</sup> OECD, *The Path to Becoming a Data-Driven Public Sector* (Paris, 2019).

<sup>8</sup> World Bank, *World Development Report 2021: Data for Better Lives* (Washington D.C., 2021).

resources to data governance, increase the data literacy of staff and incentivize a culture of data use, dissemination and transparency.

## PART I: BACKGROUND

In the first chapter of part I, the case is made for setting up a basic, internationally harmonized statistical system for prisons based on administrative data. The purpose of collecting data is discussed, the main functions of the prison system are identified and guiding principles on the functioning of prisons are highlighted.

The second chapter of part I contains an explanation of the foundation of criminal justice data, the International Classification of Crime for Statistical Purposes (ICCS)<sup>9</sup>. Developed by the United Nations Office on Drugs and Crime (UNODC), ICCS is a comprehensive framework of internationally agreed crime concepts and definitions aimed at enhancing the collection of statistical data on the characteristics of criminal acts, victims, offenders, motives and other essential data, and strengthening research and targeted crime prevention policies.

<sup>9</sup> United Nations publication, 2015.

# 1 Making the case for harmonized prison data

## 1.1 Why the prison system needs to collect, produce and disseminate statistical data

Measuring the performance and operations of prisons is crucial to continually monitor, assess and improve the efficiency and effectiveness of the prison system. This includes observing key human rights safeguards, maintaining decent, safe and healthy prison conditions, and offering suitable working conditions for prison staff. All the while ensuring proper staff conduct and performance, fostering the delivery of programmes and activities in support of the social reintegration of prisoners and ensuring the safety and security of prisoners, staff, service providers and visitors at all times. This goes beyond reporting basic statistics on the prison population and its profile, encompassing the continuous collection of data on daily operations and all core activities of prison management.

This is further underlined in the Fundamental Principles of Official Statistics, with the first principle stating that “official statistics provide an indispensable element in the information system of a democratic society, serving the government, the economy and the public (...). Official statistics that meet the test of practical utility are to be compiled and made available on an impartial basis by official statistical agencies to honour citizens' entitlement to public information.”<sup>10</sup>

The production of official criminal justice statistics is thus a vital undertaking in the context of a national statistical system. While each component of the criminal justice system creates large quantities of data, this raw information needs to be transformed into usable statistical data if it is to be valuable in decision-making. Once the statistics have been generated, their use can be broadly divided into four different areas:

- **Management** – For any organization to be managed effectively, it must be able to monitor its current resources and activities. In general terms, management can be characterized as a process of organizing a set of resources to accomplish established goals and objectives. Effective management requires information to determine whether organizational priorities are being achieved effectively and efficiently. The appropriate statistics can measure whether and how well these priorities are being accomplished. This also facilitates the allocation of resources to the correct locations and programmes to maximize public value.
- **Planning** – Planning involves identifying ways to accomplish a given future goal. Problems can be identified, their consequences mapped, and possible courses of action compared (including their respective advantages and disadvantages). For example, a prison administration may wish to identify ways of improving work programmes. Statistical data enable a more complete understanding of the current situation by providing facts on resource availability and outputs delivered. This enables differentiating between different policy options, can support setting objective selection criteria and allows the monitoring of implementation. Hence, each step of the planning process requires statistical data.
- **Research and analysis** – Research and analysis translate statistics into knowledge that can monitor objectives, analyse trends, determine the effects of changes in policy, law or procedures in the criminal justice system and help understand whether justice is being delivered in a timely, fair, impartial and equal manner. Criminal justice analysts can identify trends and patterns and provide recommendations to optimize the criminal justice response.

<sup>10</sup> [A/RES/68/261](#).

Prison personnel also benefit from this information in the course of their work and interaction with prisoners by having access to relevant information, such as the demand for medical services, population statistics and detailed records on individual incidents. The same limitation applies for any research endeavour when attempting to formulate actionable recommendations: without high-quality statistics formulating evidence-based policy is challenging.

- **Accountability** – The use of reliable criminal justice statistics is not limited to the prison system and other government agencies involved in the response to crime, as they also inform the general public and civil society on the performance of the criminal justice system and help foster trust in government and transparency. Making data publicly accessible increases accountability of the criminal justice system and allows for a public dialogue. Detailed information on the operations of the criminal justice system can, for example, be used for evaluation purposes, help ensure equity, encourage gender responsiveness and drive the fulfilment of the pledge to leave no one behind in implementing the 2030 Agenda for Sustainable Development.

For data to be comparable across different units, agencies and jurisdictions, it is essential that there is agreement on and adherence to standardized concepts and definitions. If consistently applied by all relevant data providers, this also enables the measurement of flows and links between the different stages of the criminal justice system. This would enable, for example, the comparison of statistics between the police, the courts and the prison system – or among the different states within a federal system – providing a holistic picture of the operations of the criminal justice system in a given country. The adoption of the framework presented in these guidelines thus allows for the comparison of criminal justice data over time, between different criminal justice institutions and, when statistical standards and concepts are harmonized internationally, even across countries.

## 1.2 Why existing data collection, production and dissemination practices on crime and criminal justice need to be strengthened

In recent years, in the context of rapid social, institutional and technological change, there has been an increased worldwide demand for detailed and timely criminal justice data. Together with the so called “data revolution”,<sup>11</sup> the 2030 Agenda has driven a renewed interest in promoting peaceful and inclusive societies for sustainable development, providing access to justice for all and building effective, accountable and inclusive institutions at all levels.

Many prison systems around the world already collect large volumes of data. Subject to the national context, this typically includes, among others, information on the prison population and figures on human and material resources. Given this plethora of data, why should the prison system strengthen its data collection practices in line with the framework contained in the present guidelines for the production of statistical data? There are four key reasons:

- Expanding current systems to cover all 13 areas included in the framework allows prisons to make more informed decisions on the impact and effectiveness of their operations across a larger set of domains.

<sup>11</sup> Independent Expert Advisory Group on a Data Revolution for Sustainable Development (IEAG), *A World that Counts: Mobilising the Data Revolution for Sustainable Development* (2014).

- Creation of a coherent framework can ensure data in the criminal justice system becomes more consistent, more comparable and more transparent, both at national and international level.
- Provision of more granular statistical information on prison operations that offer prison management an important basis for more effective, evidence-based decision-making and reform efforts.
- Fostering open data and a culture of data-based facts within the prison system can enhance accountability and public trust among policymakers and the general public by focusing on what is actually happening and how the prison system is responding.

The implementation of the statistical framework is a long-term objective that can start, for example, by implementing of a subset of the framework that is most relevant to a particular national context can offer valuable insights. This would enable experimentation with the coordination of data collection and the use of data – without immediately needing to collect numerous variables across many different agencies. This first step can pave the way for more and better data in line with the proposed statistical framework.

### Box 1.1

#### Distinction between administrative records and statistical sources

The distinction between administrative records and statistical data sources may not be immediately obvious. Especially since data based on administrative records can also be used for the production and dissemination of statistics, as promoted in the current guidelines. A technical distinction is made here between the intended purpose of the two different sources.

Administrative records are primarily collected and maintained by government agencies or other entities working on behalf of the Government in their day-to-day business. Administrative records include a variety of systems from administrative registers of persons and customs data to social service records. Administrative records are also generated by the criminal justice process. Unlike statistical data sources, administrative data sources are generated as part of a government function and not primarily in response to a need for statistical data.

Administrative records can be used for statistical purposes if anonymity and confidentiality are properly protected and data quality is ensured, while statistical data sources should not be used for administrative purposes.

Statistical data sources, on the other hand, are primarily created for statistical purposes by government agencies or other entities working on behalf of the Government. Statistical data sources are typically obtained according to specified needs and predefined statistical needs and concepts. Sources generally include statistical sample surveys, censuses and statistical registers (which can themselves be based on administrative records). Some of the challenges associated with the production of statistical data sources are the high cost of production, the need for complex sampling designs and high respondent burden.

The use of administrative records for the production of statistics offers several advantages over the use of surveys, censuses and statistical registers. They include cost-effectiveness, reduction of respondent burden and improved timeliness and accuracy. Common challenges to the use of administrative records for statistical purposes, however, include a lack of cooperation between data providers, the use of statistical concepts and definitions that are not comparable, and difficulties in managing access. All of which demand a high level of statistical capacity from the institutions that manage administrative records, including criminal justice institutions. Furthermore, statistics

derived from administrative records may not be of sufficient quality to meet the quality standards for official national statistics.

In short, data generated from administrative records collected by governments and service providers in the course of their day-to-day business is an increasingly important data source for the production of statistics. The current guidelines aim to contribute to strengthening the capacity of the criminal justice system to leverage the use of administrative data for statistical purposes, in order to fill gaps in the data available to policymakers, monitor progress and address emerging challenges. When managed well, the use of administrative records for the production of statistics on crime and criminal justice offers the potential for new insights through the use of highly disaggregated data that are generated close to real time.\*

\* For more information on leveraging administrative data for statistical purposes, please refer to the collaborative on the use of administrative data for statistics, convened by the United Nations Statistics Division and the Global Partnership for Sustainable Development Data. See <https://unstats.un.org/capacity-development/admin-data/>.

*Note:* This box is based on chapter 7 of the *United Nations National Quality Assurance Frameworks Manual for Official Statistics* (United Nations publication, 2019).

### 1.3 The international need for comprehensive prison data

The United Nations Economic and Social Council noted the importance of data for effective crime prevention crime effectively, to promote community safety and to contribute to the sustainable development of countries.<sup>12</sup> It stressed identifying and addressing gaps in the knowledge base and establishing data systems to help manage crime prevention more cost-effectively. Furthermore, it recommended promoting the application of these data to reduce repeat victimization and persistent offending.

More recently, in the 2021 Kyoto Declaration,<sup>13</sup> Member States reaffirmed their commitment to evidence-based crime prevention through collecting and analysing data using systematic and coherent criteria, keeping in mind the ICCS. Through the Declaration, Member States highlighted the need to ensure the integrity and impartiality of all institutions comprising the criminal justice system and the fair, effective, accountable, transparent and appropriate administration and delivery of justice. Lastly, the declaration called for the improvement of detention conditions for both pretrial and post-trial detainees and the implementation of measures to address overcrowding – including the use of alternatives to pretrial detention and custodial sentences.

The *United Nations System Common Position on Incarceration* includes a commitment to strengthen the research capacity of the United Nations and that of Member States to continuously assess the effectiveness, including the cost-effectiveness, efficiency and human rights compliance of criminal justice responses to crime.<sup>14</sup> The document also stresses the need to generate a solid evidence-base in this regard, including explicit reference to the United Nations Survey of Crime Trends and

<sup>12</sup> United Nations Economic and Social Council Resolution [2002/13](#).

<sup>13</sup> *Kyoto Declaration on Advancing Crime Prevention, Criminal Justice and the Rule of Law: Towards the Achievement of the 2030 Agenda for Sustainable Development* (United Nations publication, 2021).

<sup>14</sup> *United Nations System Common Position on Incarceration* (United Nations publication, 2021).

Operations of Criminal Justice Systems as a priority source for relevant prison statistics and data analysis.<sup>15</sup>

The UNODC and the National Institute of Statistics and Geography of Mexico (INEGI) have jointly developed a road map to improve the quality and availability of crime statistics at the national and international levels.<sup>16</sup> The road map underscores the need to produce, disseminate and analyse statistical data on crime in a way that is accurate, transparent and independent. Data should be relevant and timely in order to provide the basis for solid research, they should inform the public and they should be an operative tool for targeting policies and programmes in the areas of crime prevention, the rule of law and criminal justice reforms. The comparability of data across countries is also a particularly important element of crime statistics, given the increasingly transnational nature of crime.

Data are also required for monitoring progress on Sustainable Development Goal 16.<sup>17</sup> Targets of Goal 16 include reducing violent crime (16.1), corruption and bribery (16.5), and stress the importance of promoting the rule of law and ensuring access to justice for all (16.3), which includes indicator 16.3.2 on unsentenced detainees as a proportion of overall prison population. Furthermore, two targets focus on the development of effective, accountable and transparent institutions (16.6), and ensuring public access to information (16.10).

## 1.4 International minimum standards for prisons

The organization and regulation of the prison system is a national prerogative. Given the variety of legal, social, economic and geographical conditions in the world, the way prisons are managed and operated varies greatly across places. This heterogeneity in form and function underlines the difficulty of identifying an exhaustive set of functions that are applicable across all prison systems. However, despite the vast diversity of prison systems worldwide, the overall purpose of prisons as set out in the United Nations Standard Minimum Rules for the Treatment of Prisoners is twofold:<sup>18</sup>

- **Safe, secure and humane custody** – Prisons protect society from crime by ensuring the safe and secure custody of prisoners while respecting and upholding their human dignity and fundamental human rights.
- **Rehabilitation and social reintegration** – Prisons contribute to the prevention of recidivism and enhance the social reintegration prospects of prisoners by creating rehabilitative prison environments.

In terms of international conventions, article 10 of the International Covenant on Civil and Political Rights proclaims that all persons deprived of their liberty shall be treated with humanity and with respect for the inherent dignity of the human person.<sup>19</sup> In addition, article 10 notes that the penitentiary system shall ensure treatment of prisoners aimed at fostering their reformation and social rehabilitation. Over the years, the United Nations General Assembly has developed and adopted a considerable body of standards and norms related to prison and offender management.

<sup>15</sup> See <https://www.unodc.org/unodc/en/data-and-analysis/United-Nations-Surveys-on-Crime-Trends-and-the-Operations-of-Criminal-Justice-Systems.html>.

<sup>16</sup> [E/CN.3/2013/11](#).

<sup>17</sup> Sustainable Development Goal 16 aims to promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.

<sup>18</sup> See Rule 4 of United Nations Standard Minimum Rules for the Treatment of Prisoners ([A/RES/70/175](#)).

<sup>19</sup> [A/RES/2200\(XXI\)](#), annex.

In 2015, the General Assembly adopted the revised *United Nations Standard Minimum Rules for the Treatment of Prisoners* (the Nelson Mandela Rules) which provide comprehensive and detailed provisions for prison management in the twenty-first century.<sup>20</sup> The Nelson Mandela Rules serve as a universally acknowledged blueprint and guide for the prison system because they represent, as a whole, the minimum conditions which are accepted as suitable by the United Nations. Box 1.2 highlights the basic principles of the Nelson Mandela Rules.

## Box 1.2

### Basic principles of the Nelson Mandela Rules<sup>21</sup>

#### **Rule 1**

All prisoners shall be treated with the respect due to their inherent dignity and value as human beings. No prisoner shall be subjected to, and all prisoners shall be protected from, torture and other cruel, inhuman or degrading treatment or punishment, for which no circumstances whatsoever may be invoked as a justification. The safety and security of prisoners, staff, service providers and visitors shall be ensured at all times.

#### **Rule 2**

1. The present rules shall be applied impartially. There shall be no discrimination on the grounds of race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or any other status. The religious beliefs and moral precepts of prisoners shall be respected.

2. In order for the principle of non-discrimination to be put into practice, prison administrations shall take account of the individual needs of prisoners, in particular the most vulnerable categories in prison settings. Measures to protect and promote the rights of prisoners with special needs are required and shall not be regarded as discriminatory.

#### **Rule 3**

Imprisonment and other measures that result in cutting off persons from the outside world are afflictive by the very fact of taking from these persons the right of self-determination by depriving them of their liberty. Therefore the prison system shall not, except as incidental to justifiable separation or the maintenance of discipline, aggravate the suffering inherent in such a situation.

#### **Rule 4**

1. The purposes of a sentence of imprisonment or similar measures deprivative of a person's liberty are primarily to protect society against crime and to reduce recidivism. Those purposes can be achieved only if the period of imprisonment is used to ensure, so far as possible, the reintegration of such persons into society upon release so that they can lead a law-abiding and self-supporting life.

2. To this end, prison administrations and other competent authorities should offer education, vocational training and work, as well as other forms of assistance that are appropriate and available, including those of a remedial, moral, spiritual, social and health- and sports-based nature. All such programmes, activities and services should be delivered in line with the individual treatment needs of prisoners.

#### **Rule 5**

<sup>20</sup> [A/RES/70/175](#).

<sup>21</sup> Ibid.

1. The prison regime should seek to minimize any differences between prison life and life at liberty that tend to lessen the responsibility of the prisoners or the respect due to their dignity as human beings.
2. Prison administrations shall make all reasonable accommodation and adjustments to ensure that prisoners with physical, mental or other disabilities have full and effective access to prison life on an equitable basis.

The Nelson Mandela Rules are complemented by the *United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders* (the Bangkok Rules),<sup>22</sup> adopted by the United Nations General Assembly in 2010, which were developed to highlight the need for gender-responsive prison and offender management as well as to take account of and respond to the gender-specific needs of women prisoners and offenders. The Bangkok Rules call attention to, inter alia, women with caretaking responsibilities, women's specific hygiene and health care needs, other gender-responsive prison management practices and capacity-building for female prison staff.

The United Nation Standard Minimum Rules for Non-custodial Measures (The Tokyo Rules) are not considered here.<sup>23</sup> They provide a basic set of principles to promote the use of non-custodial measures. Hence, these rules are not applicable to prisoners serving a custodial sentence in the prison system. That being said, the Tokyo Rules are vital in that they stress the importance of reducing reliance on incarceration and emphasize individualized approaches to address criminal behaviour.

In addition to these key minimum standards, there are numerous other United Nations instruments relevant for the prison system. For a complete overview of all relevant United Nations standards and norms in crime prevention and criminal justice, please refer to the *Compendium of United Nations standards and norms in crime prevention and criminal justice*.<sup>24</sup>

## 1.5 Scope of the guidelines

The collection, production and dissemination of standardized statistical data by the prison system and the criminal justice sector more generally is highly challenging, even more so at the international level, given that methods, standards and concepts can vary significantly between institutions, jurisdictions and countries. Factors such as the level of digitalization, national standards, data governance arrangements, data quality frameworks and data dissemination practices vary widely. Ideally, statistical data should make it possible to improve the delivery of prison services and equitable outcomes, as well as assess flows across the different stages of the criminal justice system. Given the aforementioned constraints, in practice this is highly challenging without internationally standardized guidance and suitable regulatory frameworks that establish roles and responsibilities as well as obligations for the collection, production and dissemination of data.

The present guidelines provide a basic international framework that can serve as the foundation for identifying and addressing statistical needs for the prison system based on administrative data. The level of detail required can be determined in line with the capacity of the national prison system and the country's national statistical system, the ease of data collection and national priorities. As the present guidelines are only aimed at offering a basic framework with key dimensions for improving standardized data collection, they are not exhaustive. The key dimensions identified in these guidelines offer solid ground for the analysis of prisons but cannot hope to cover every area of interest

<sup>22</sup> [A/RES/65/229](#).

<sup>23</sup> [A/RES/45/110](#).

<sup>24</sup> United Nations publication, 2006.

and activity. Member States are encouraged to implement the framework and adapt it to their local needs in line with the specific characteristics of their criminal justice system and the level of available resources. The UNODC is committed to supporting the implementation of the framework should Member States require support.

The United Nations standards on prisons and the treatment of prisoners mentioned above already highlight some dimensions for data collection, including, among others, by outlining the data requirements for prisoner files. In fact, the Nelson Mandela Rules explicitly highlight the importance of a sound prisoner file management system to generate reliable data about trends relating to characteristics of the prison population (Box 1.3).

There are complimentary sources of information that can assist in creating a better understanding of prisons, such as population censuses and surveys. Although prison authorities might not resort to these sources as often as other criminal justice authorities, victimization surveys and prison population surveys can shine a light on issues that might not be covered by administrative records.

It is important to note that these guidelines refer solely to statistics as opposed to qualitative information. UNODC has developed other instruments that can assist governments and other entities in generating qualitative information on prison systems. Readers who are interested in prison compliance assessments may refer to UNODC publications such as *Assessing compliance with the Nelson Mandela Rules: A checklist for internal inspection mechanisms*; and *Incorporating the Nelson Mandela Rules into national prison legislation: A model prison act and related commentary*.<sup>25</sup>

### Box 1.3

#### Prisoner file management in line with the Nelson Mandela Rules<sup>26</sup>

##### **Rule 6**

There shall be a standardized prisoner file management system in every place where persons are imprisoned. Such a system may be an electronic database of records or a registration book with numbered and signed pages. Procedures shall be in place to ensure a secure audit trail and to prevent unauthorized access to or modification of any information contained in the system.

##### **Rule 7**

No person shall be received in a prison without a valid commitment order. The following information shall be entered in the prisoner file management system upon admission of every prisoner:

- (a) Precise information enabling determination of his or her unique identity, respecting his or her self-perceived gender.
- (b) The reasons for his or her commitment and the responsible authority, in addition to the date, time and place of arrest.
- (c) The day and hour of his or her admission and release as well as of any transfer.
- (d) Any visible injuries and complaints about prior ill-treatment.
- (e) An inventory of his or her personal property.
- (f) The names of his or her family members, including, where applicable, his or her children, the children's ages, location and custody or guardianship status.
- (g) Emergency contact details and information on the prisoner's next of kin.

##### **Rule 8**

<sup>25</sup> United Nations publication, 2018; and United Nations publication, 2022.

<sup>26</sup> [A/RES/70/175](#).

The following information shall be entered in the prisoner file management system in the course of imprisonment, where applicable:

- (a) Information related to the judicial process, including dates of court hearings and legal representation.
- (b) Initial assessment and classification reports.
- (c) Information related to behaviour and discipline.
- (d) Requests and complaints, including allegations of torture or other cruel, inhuman or degrading treatment or punishment, unless they are of a confidential nature.
- (e) Information on the imposition of disciplinary sanctions.
- (f) Information on the circumstances and causes of any injuries or death and, in the case of the latter, the destination of the remains.

**Rule 9**

All records referred to in rules 7 and 8 shall be kept confidential and made available only to those whose professional responsibilities require access to such records. Every prisoner shall be granted access to the records pertaining to him or her, subject to redactions authorized under domestic legislation, and shall be entitled to receive an official copy of such records upon his or her release.

**Rule 10**

Prisoner file management systems shall also be used to generate reliable data about trends relating to and characteristics of the prison population, including occupancy rates, in order to create a basis for evidence-based decision-making.

## 2 Building on the International Classification of Crime for Statistical Purposes

In many countries around the world, there is no uniform catalogue of criminal offences that can be used for statistical purposes or there isn't a specifically developed crime classification. National classifications that do exist often have selective coverage and other methodological limitations. There is thus a lack of complete and internationally comparable information on crime victims, offenders and additional information for understanding the context, drivers and consequences of crime.

ICCS was developed by UNODC in 2015 in order to provide an internationally comparable tool to compile and systematize national and international crime and criminal justice statistics with a view of improving the utility and relevance of these statistics. The implementation of ICCS is part of the UNODC-INEGI road map to improve the quality and availability of crime statistics at the national and international levels, discussed in section 1.3, that comprises three pillars: i) the development of new methodological tools; ii) capacity-building activities; and iii) strengthening of international data collection and analysis.<sup>27</sup>

ICCS is a comprehensive framework of internationally agreed behavioral concepts and definitions aimed at enhancing the collection of statistical data on the characteristics of criminal acts, victims, offenders, motives and other essential data, and strengthening research and targeted policies to prevent crime. It contains an exhaustive list of acts in a mutually exclusive, hierarchical structure and plays a fundamental role in improving the data quality of crime and criminal justice statistics systems within national criminal justice systems. ICCS is also the underlying frame used in the annual United Nations Surveys on Crime Trends and the Operations of Criminal Justice Systems (UN-CTS) – which provides an overview of trends and interrelationships between various parts of the criminal justice system both nationally and internationally.

Since the adoption of ICCS by the United Nations Statistical Commission in 2015, the interest in aligning national crime statistics with ICCS has grown worldwide. Several countries have already made substantial progress in setting up ICCS implementation structures and mapping their national crime categories or criminal codes to ICCS. These efforts to align national crime statistics with ICCS are reflected in more comparable data at the national, regional and global levels. Hence, ICCS provides the foundation for the production of harmonized and interoperable statistics on the prison system.

### 2.1 How the International Classification of Crime for Statistical Purposes approaches the different national definitions of crime

Every legal framework includes definitions of crime from the perspective of activities that are both unlawful and punishable. But legal definitions are not always suitable for organizing comparable crime statistics because they are not comparable across jurisdictions. Given that there is a great degree of legal heterogeneity across jurisdictions,<sup>28</sup> both within and between countries, definitions that are based on behavioural descriptions of acts rather than on legal premises are more suitable for classifying data on crime and criminal justice in a way that is comparable across jurisdictions.

ICCS utilizes a behavioural approach to define the elements that constitute crime statistics rather than strict legal specifications derived from criminal law. Crimes as defined in criminal law are typically

<sup>27</sup> [E/CN.3/2013/11](#).

<sup>28</sup> For example, one country may require physical contact for an offence to be considered assault, while another may not.

associated with actions or behavioural and contextual attributes that are universally considered to be an offence (for example, wounding or injuring, or taking property without consent). This event-based approach avoids issues created by legal complexities, resulting in a simplified and globally applicable classification with fewer ambiguities. Put simply, it is easier to bring together offences that are defined by behaviour and actions rather than by legal definitions and intent. In this way, ICCS is aimed to place all criminal acts in a single, specific category, which improves the accuracy and the comparability of data, both within and between countries.

Practically speaking, offences are grouped into mutually exclusive categories at up to four different hierarchical levels. There are 11 level 1 categories designed to cover all offences within ICCS (see Table 2.1). Criminal offences at levels 2, 3 and 4 can be summed to provide observations at more aggregated levels.

Table 2.1 Level 1 ICCS categories

01	Acts leading to death or intending to cause death
02	Acts leading to harm or intending to cause harm
03	Injurious acts of a sexual nature
04	Acts against property involving violence or threat against a person
05	Acts against property only
06	Acts involving controlled psychoactive substances or other drugs
07	Acts involving fraud, deception or corruption
08	Acts against public order, authority and provisions of the State
09	Acts against public safety and state security
10	Acts against the natural environment
11	Other criminal acts not elsewhere classified

## 2.2 Benefits of the International Classification of Crime for Statistical Purposes

### ***Creation of a common terminology***

ICCS was created to organize and harmonize statistical data including all main types of criminal offences, and it constitutes a solid framework of definitions for producing national and international crime statistics. Centred on statistical concepts and definitions, ICCS enables policymakers to take a comprehensive long-term perspective when building or reviewing a national statistical system on crime as ICCS is not subject to changes in national legislation and regulatory frameworks. This standardization fosters data integration across criminal justice institutions (the police, the prosecution service, the courts and the prison system) and across different data sources, encompassing administrative records and statistical surveys. Using the common terminology of ICCS can unify institutional practices and facilitate the communication and exchange of information that effectively enables the understanding of the national crime situation.

### ***Provision of greater granularity and the potential for deeper insights***

ICCS allows for the collection of detailed data on victims and offenders as well as data on other event characteristics. Moreover, ICCS allows for data related to the criminal justice process – such as arrests, prosecutions, convictions and prison sentences – to be disaggregated by the different criminal offence categories. Furthermore, through the collection of disaggregating variables, ICCS highlights many facets of crime and thus responds to specific needs for crime information. The disaggregating variables and the variables that characterize the criminal event provide contextual information about criminal offences that supports more sophisticated, in-depth analysis of those offences, and the data are often critical to the understanding of crime trends that are relevant for policymakers. They can relate to the characteristics of an individual crime event or the characteristics of the victim or offender. For example, statistical data on intentional homicide are more valuable if they are disaggregated by the sex of the victim and offender, the use of a firearm, the motive for the killing and whether they happened in the context of organized crime or other contexts.

### ***Standardization of international comparisons and understanding transnational crime***

At the international level, ICCS improves the comparability of crime data across countries by standardizing concepts and definitions, allowing for the systematic collection, analysis and dissemination of data. It also responds to the increasing demand for in-depth research and analysis on transnational crime.

## **2.3 How the prison system can use the International Classification of Crime for Statistical Purposes**

### ***Harmonizing terminology across institutions***

Most prison systems already produce statistical reports on the prisoners in their custody, which are used to inform policymakers and the general public about the system and its operations. However, as noted above, legal definitions of crime can differ even within a single country, and statistical outputs might be produced according to different categories or frameworks. These differences make it difficult to compare the operation of prison systems within the broader local, national or international context.

Moreover, it can be challenging to monitor the flow and attrition of cases from crime detection and recording to arrest, prosecution and sentencing without a unifying data framework across all stages of the criminal justice sector. As noted, ICCS offers a behaviour-based harmonized categorization of crimes that is easier to use than systems that classify crimes by legal definitions. Adopting ICCS can result in the production of more accurate and more consistent crime statistics that are comparable across jurisdictions and throughout the criminal justice sector – from the police to the prosecution service and the courts, and all the way to the prison system (see Box 2.1).

#### **Box 2.1**

#### **Using ICCS in prison statistics, Mauritius**

In Mauritius, ICCS is used to categorize crimes, which harmonizes criminal justice statistics and facilitates monitoring of flows from arrest up to incarceration. In addition, national statistics can more easily be compared with other countries that have adopted ICCS. The fifteenth issue of the Crime, Justice and Security Statistics (2021) includes figures based on administrative data from the Mauritius Prison Service. Table 2.2 highlights the admission of convicts to prisons by offence.

While ICCS implementation facilitates harmonization across different institutions, this does not always mean numbers are directly comparable. In the publication it is noted that police and judiciary data are on offences while prison and probation data are on offenders (who can be sentenced for more than one offence). Moreover, offences may be reclassified as they proceed from police investigation through prosecution to final court sentence. Evidence can be less robust than originally thought or new evidence can surface during the proceedings.

**Table 2.2 Number of persons admitted to prison by most serious offense, 2020 and 2021**

<i>ICCS category</i>	<i>2020</i>	<i>2021</i>
Acts leading to death or intending to cause death	15	26
Acts causing harm or intending to cause harm to the person	162	138
Injurious acts of a sexual nature	31	30
Acts against property involving violence or threat against a person	704	677
Acts against property only	1 376	1 472
Acts involving controlled psychoactive substances or other drugs	249	312
Acts involving fraud, deception or corruption	119	111
Acts against public order, authority and provisions of the State	547	466
Acts against public safety and state security	98	73
Acts against the natural environment	-	-
Other criminal acts not elsewhere classified	44	14
<b>Total</b>	<b>3 345</b>	<b>3 319</b>

Source: [https://statsmauritius.govmu.org/Pages/Statistics/ESI/CJS/CJS\\_Yr21.aspx](https://statsmauritius.govmu.org/Pages/Statistics/ESI/CJS/CJS_Yr21.aspx).

### ***Strengthening organizational management and performance monitoring***

The harmonization of data facilitates its use for strategic decision-making and operational purposes. Such data can be used to discuss the nature of emerging and ongoing problems in different jurisdictions and criminal justice sector agencies. The crimes for which prisoners have been sentenced can be tracked more accurately and consistently and – when combined with the additional data suggested in these guidelines – can serve to further build the evidence base for different prison regimes for different categories of prisoners.

For example, in the case of serious assaults (ICCS Level-4 code 020111), it becomes possible to have a precise measurement of case attrition by tracing how many of those arrested for serious assault are prosecuted, convicted and imprisoned. During the rehabilitation and social reintegration process, authorities could further monitor the challenges facing those who were incarcerated for serious assault and design specific programmes to address these challenges. Overall, the harmonization of data provides additional information on the profile of the prison population and how the system operates, and this information can facilitate better and more strategic decision-making to address prison management challenges and prevent recidivism.

### ***Codifying greater detail on crimes***

The disaggregating variables recommended in ICCS provide valuable information on both victims and offenders as well as additional details on the circumstances of criminal offences. These data are key to understanding crime, ensuring prison safety and security, and promoting the social reintegration prospects of prisoners. Among other things, the variables provide insight into the basic demographic characteristics of victims and offenders (such as age, sex and citizenship), record information on the victim-offender relationship (for example, intimate partner, blood relative, friend, colleague) and capture data on the circumstances of a criminal offence, such as the location, date and time, motive and the type of weapon used. These data can be used to produce statistics on specific trends and patterns in crime and criminal justice overall.

## PART II: GUIDELINES FOR THE PRODUCTION OF STATISTICAL DATA BY THE PRISON SYSTEM

Part I identified the core functions of the prison system and how it is expected to carry these out in line with international minimum prison standards. To enable the collection of statistical data, the core functions have to be translated into separate dimensions that are linked to measurable variables. That is the focus of part II, which presents the statistical framework at the core of the current guidelines. The rationale is presented for each of the identified dimensions and a list of variables is proposed. The full framework with all proposed variables and their suggested (minimum) categories can be found in the annex to the present document.

### 3 Statistical framework for the production of data

#### 3.1 Key dimensions of the framework

Considering the role and responsibilities of prison administrations, as stated in international standards and norms, such as the Nelson Mandela Rules and the Bangkok Rules, 13 key dimensions have been identified for the collection, production and dissemination of relevant statistical data across five thematic areas. The five thematic areas proposed in the statistical framework build upon the main themes used by UNODC in the field of prison and penal reform, including in its publications that provide technical guidance on the assessment of compliance with the Nelson Mandela Rules. The intent behind this is to create a comprehensive system for the collection, production and dissemination of prison data in line with existing tools and that can further guide and complement concurrent reform efforts. Across the five thematic areas, reporting agencies can provide information on a wide range of topics, including admission and release, recidivism, rehabilitation, programming, living conditions, staffing levels, and order and discipline.

The 13 key dimensions are listed in Table 3.1 and are detailed in the annex to the present document. The thematic area safety and security primarily relates to the first core function of prisons, namely to ensure safe, secure and humane custody. The thematic area of reintegration primarily relates to the second core function of prisons, namely to ensure the rehabilitation and social reintegration prospects of prisoners. The cross-cutting thematic areas of resources, prisoner profile and conduct reflect both core functions of prisons. The framework relies on the collection of event-based data rather than aggregate statistics to deliver the greatest added value for stakeholder in the criminal justice sector (see Box 3.1)

Table 3.1 Key dimensions of the statistical framework

Prison Resources	<b>Human resources</b> Covers data on the workforce in prisons, its diversity and the key features of its organizational structure
	<b>Financial resources</b> Covers data on the available financial funds and their use by the prison administration
	<b>Physical resources</b> Covers data on the tangible objects and infrastructure that are necessary for the operation of prisons
	<b>Staff safety and well-being</b> Covers data on the safety and well-being of prison staff
Prisoner Profile	<b>Population registration</b> Covers data on the registration of information about each prisoner upon admission as well as in the course of their detention or imprisonment

Prisoner Reintegration	<b>Visits</b> Covers data on visits received by prisoners
	<b>Health care</b> Covers data on activities related to maintaining the health of prisoners and all behavioural, mental health, and other related treatment services
	<b>Programmes</b> Covers data on programmes offered by prisons aimed at supporting the rehabilitation and social reintegration process of prisoners
Prisoner Safety and Security	<b>Sanctions</b> Covers data on disciplinary action taken against prisoners
	<b>Searches</b> Covers data on searches of individuals, cells or other prison buildings
	<b>Prisoner incidents</b> Covers data on the registration and management of prisoner incidents such as riots, escape attempts, self-harm or protests
Staff Conduct	<b>Complaints</b> Covers data on complaints submitted by prisoners on any topic related to their detention or imprisonment, such as prison conditions, treatment by staff and access to the outside world
	<b>Use of force</b> Covers data on the use of force by prison staff

### Box 3.1

#### Benefits of event-based data

Collecting and utilizing event-based data as proposed in the current guidelines, rather than relying on predetermined summary statistics, offers numerous advantages for stakeholders in the criminal justice sector. Such data stand to improve the overall quality and detail of crime and criminal justice data. For example, rather than tallying the total number of events in a given period of time (e.g., new prison admissions during the past administrative year), event-based data enables the capture of details on individual events, such as the characteristics of individual offenders being admitted. Such data can then be aggregated on any desired timescale (day, week, month, year, etc.) in combination with a variety of additional information (such as the sex, age or level of education of the admitted offender). Events-based data thus allows for more flexible data analysis and the production of statistics that are deemed most relevant given a particular context. Additional details that are highlighted in these guidelines include contextual information such as the admission date, prison gang membership or information on visitation.

Such event-based data provide a more granular view of the activities of the prison system and allow for more detailed analysis. Instead of relying on predetermined aggregated figures, it becomes possible to review detailed information on each of the 13 dimensions proposed in the framework. Aggregated data may mask important nuances that can only be revealed in event-based data. This level of detail enables a more holistic understanding of the operations of the prison system, how justice is being delivered and can help improve fairness and equity in the criminal justice system.

To illustrate, event-based data can allow the prison system to enhance safety and security in prisons by providing detailed information on altercations between prisoners or between prisoners and prisoner staff. Such data is crucial for assessing security risks and implementing measures to improve safety for prisoners and staff. For example, it may be the case that the number of violent incidents between members of two prison gangs is escalating rapidly. Event-based data could provide close to real time information on the type of incidents, the location of the incidents and the characteristics of the involved prisoners. Such information can alert and inform the prison staff and subsequent measures could be taken de-escalate the situation.

The collection and use of event-based data further stands to enhance accountability of the prison system. It allows supervisors and oversight bodies to monitor and review the handling of prisoners, ensuring that ethical and legal standards are met. For example, are specific groups of prisoners provided with appropriate health-related services, were complaints by all prisoners adequately dealt with or were sanctions against prisoners appropriately documented by the responsible staff members?

Furthermore, researchers in the criminal justice field can utilize detailed event-based data to conduct more in-depth studies and evaluations. Such research can identify broad trends, which can then be broken down into their constituent parts for further analysis and inform evidence-based decision making. The dimensions suggested in the current guidelines could also contribute to improved risk analyses and the prevention of recidivism.

In sum, when compared to summary statistics, event-based data provide more detailed information, important contextual insights and greater analytical flexibility. These benefits imply event-based data can significantly contribute to the improved supervision and rehabilitation of prisoners.

As noted, the annex to the present document contains an overview of which variables could be collected for each dimension. This framework should be interpreted as a “wish list” since many countries will not have comprehensive data for all dimensions at the outset. The list is meant to be aspirational and institutional leaders should aim to collect as many of these variables as possible to better track and understand the functioning of the prison system in the broadest possible sense.

It is important to emphasize that many of the dimensions feature proposed variables that identify individual records (e.g., prisoner ID). These variables are meant to link separate record systems together for the purpose of creating more detailed statistics by combining different sets of data. They are not meant for publication during the generation of statistics. Individual data records should be carefully protected in order to respect relevant privacy and confidentiality laws. For more on this, please refer to chapter 5.

Given that prisons often operate with limited resources and opportunities to expand data systems, Table 3.2 highlights five core dimensions that should receive the highest implementation priority. Prison administrations should focus on data collection for these core dimensions before moving on to other dimensions. This doesn’t mean that the other dimensions of the framework are not relevant or important. It is merely meant to acknowledge that gradual implementation is often more realistic than an all-or-nothing effort as noted in chapter 1.

Table 3.2 Five core dimensions of the framework with highest implementation priority

Dimension	Motivation for inclusion as core dimension
Prison resources/Human resources	Attracting, retaining and training a skilled and diverse workforce is essential for the efficient operation and management of the prison system. These data are requested in the United Nations Survey on Crime Trends and Operations of Criminal Justice Systems every other year.
Prisoner profile/ Population registration	The Nelson Mandela Rules explicitly call for detailed prisoner file management and recordkeeping as it is essential for the prison system to have full information regarding the population it supervises to guarantee their safety and rights (Rules 6–10).
Prisoner reintegration/ Programmes	As noted in Rule 4 of the Nelson Mandela Rules, prison administrations should offer education, vocational training and work, as well as other forms of assistance that are appropriate and available, including those of a remedial, moral, spiritual, social and health- and sports-based nature in order to support the rehabilitation and social reintegration process of prisoners.
Prisoner safety and security/ Sanctions	To ensure safe custody, the secure operation of the prison and a well-ordered community life, prisoner officers may impose sanctions in accordance with the terms of the law and the principles of fairness and due process. In line with the Nelson Mandela Rules, a proper record of all disciplinary sanctions imposed should be kept (Rules 36–40).
Staff Conduct/Use of force	As noted in Rule 82 of the Nelson Mandela Rules, the use of force against prisoners should be limited to very specific circumstances, limited to the strictly necessary and must immediately be reported to the prison director.

In addition to a set of variables to be measured, a suggested list of categories for most variables is provided in the annex to the present document. These categories represent the values that a given variable can take. Using a standardized list of categories will ensure that the data collected for specific variables are comparable across different prisons. However, the suggested (minimum) categories may contain options that are not relevant to the national context or crucial categories may have been missed altogether given the context. It is therefore important to adjust the list of categories to the national or sub-national context, while taking care to ensure consistent use within the prison system. Moreover, when variables are to be used by other institutions in the criminal justice system, such as the police, the prosecution service or the courts, alignment with those institutions should also be ensured.

Note that for some variables the national context may differ to such a degree that no categories have been suggested in these guidelines. The categories for such variables should be determined nationally in their entirety. The focus here is on improving national comparability rather than attempting to fit all countries into a single international categorization that risks irrelevance at national level.

The importance of collecting disaggregated information as suggested in these guidelines is stressed in the 2030 Agenda for Sustainable Development in its call for sufficiently detailed data across multiple dimensions, including age, sex, disability, ethnicity, origin, religion, economic or other status (see also

Box 3.2 on gender statistics in the criminal justice system). Such variables enable the coding of additional data, such as a detailed national profile of the prison population. The variables also permit an assessment of the workforce composition within the prison system. Hence, the systematic collection of the disaggregating variables provides additional contextual information to support more sophisticated, in-depth analysis and more focused institutional responses.

### Box 3.2

#### Producing gender-sensitive prison data through the framework

The UNODC notes that a fair, effective and representative criminal justice system is one that respects the fundamental rights of all women and men.<sup>29</sup> Such a system should also be gender responsive and aim to identify and address gender biases affecting the criminal justice system, to prevent gender-based crimes, to protect and assist victims/survivors and to encourage the active participation of women at all levels of the criminal justice system. At a minimum this requires data to be sex disaggregated to allow for the measurement of differences between women and men.

The framework outlined in this chapter includes a variable dedicated to recording sex data whenever applicable. Such data can reveal, for example, the ratio of women to men working in the prison system or the number of female and male prisoners by offence category. However, disaggregating data by sex is only a first step. As noted in the United Nations manual on *Integrating a Gender Perspective into Statistics*,<sup>30</sup> data should also reflect gender issues and be based on concepts and definitions that adequately reflect the diversity of women and men, and collection methods should consider stereotypes and social and cultural factors that may introduce gender bias in the data. In this way, sex-disaggregated data, when analysed, have the capacity to reveal differences in women's and men's lives that are the result of gender roles and expectations.

As noted in the Bangkok Rules, the treatment of women prisoners requires specific attention.<sup>31</sup> Since the share of women in prison worldwide is generally quite small, the special needs of women are often not taken into account, resulting in discrimination toward women prisoners.<sup>32</sup> The framework outlined in this chapter includes a range of variables that could be used to collect relevant information on this topic.

For example, adequate attention should be paid to women during the admission process including whether women have childcaring responsibility (Rule 2(2) – captured by the “caregiver status” variable under the prisoner profile dimension of the framework). Special care should also be paid to gender-specific health care needs, with women being examined or treated by a women physician or nurse upon request (Rule 10(2) – captured by the “healthcare professional sex” variable under the health care dimension of the framework). Efforts should also be made to provide appropriate programmes for women with children in prison (Rule 42 – captured by the “children in prison” variable of the prisoner profile dimension and the variables under the programmes dimension).

All of this is to ensure that the distinctive needs of women prisoners are taken into account in order to accomplish substantial gender equality. Note that while some of the variables in the current framework are intended to provide relevant insights into the gender dimension, they do not offer sufficient information to comprehensively assess compliance with the Bangkok Rules and additional quantitative and qualitative information would be required for such a purpose.

<sup>29</sup> *Gender in the criminal justice system assessment tool* (United Nations publication, 2010).

<sup>30</sup> United Nations publication, 2016.

<sup>31</sup> [A/RES/65/229](#).

<sup>32</sup> *Gender in the criminal justice system assessment tool* (United Nations publication, 2010).

By recording such details for each individual prisoner, aggregate statistics can be produced that provide policymaker with a more comprehensive understanding of the different experiences of women and men in the prison system. Such data would also reveal whether women or men are experiencing specific challenges or inequalities in the prison system that should be addressed taking into account their gender specific needs. In short, an assessment of the criminal justice system or any of its components cannot be complete without a careful examination of how the system and the various sectors treat gender and the framework introduced in the current guidelines aims to positively contribute to this.

Please further note that these guidelines are general in nature. The variables and their categories suggested here are not exhaustive but are meant to enable the collection, production and dissemination of a basic set of statistics. Regardless of their inclusion in this framework, countries are encouraged to ensure that the international minimum standards for prisons are upheld and the fundamental rights of all individuals are protected in accordance with national law and international instruments. Moreover, when collecting data on vulnerable groups, existing (international) standards, norms and laws regarding data collection should be taken into account.

The remainder of this chapter discusses the details of each dimension, provides an overview of the proposed variables to be collected and highlights current data collection efforts related to the above key dimensions from different countries around the world. As these examples illustrate data collection efforts that are already underway, they do not always fully align with the proposed framework of the current guidelines.

## 3.2 Data on prison resources

The first thematic area focuses on the resources that the prison system has access to for accomplishing its mission, including personnel, physical infrastructure and financial resources. Without sufficient resources, prisons face critical operational challenges that can undermine conditions in the prison and the human dignity of prisoners, which can threaten the safety and security of the system. Additionally, a breeding ground for corruption is created when resources are insufficient and the families or acquaintances of prisoners are called on to provide goods and services that should be provided by the State. Hence, good and accountable resource management is an important backbone of good prison operation.

### 3.2.1 Human resources

Attracting, retaining and training a skilled and diverse workforce is essential for the efficient operation and management of any organization. This is particularly true for the prison system, as the proper administration of prisons depends upon the integrity, humanity and professional capacity of its personnel. This key dimension refers to all individuals that work within the prison system, including management, treatment, custodial and other (e.g., maintenance or food service) personnel. Some of the information that needs to be systematized includes not only the number of personnel disaggregated by facility and type, the years of service or rank, but also their sex, age and education level. Box 3.3 highlights the need for gender-responsive prison management.

#### Box 3.3

#### Gender-responsive prison management

The Bangkok Rules, in addition to drawing attention to the specific needs of women prisoners, encourage the prison system to ensure the recruitment and promotion of women staff, and their presence at all levels of authority. This is especially relevant in women prisons, where certain procedures should only be carried out by women staff, including searches or medical examinations.

The Bangkok Rules also specifically mention capacity-building measures for women staff that include access to senior positions with key responsibilities for the development of policies and strategies relating to the treatment and care of women prisoners. Moreover, there should be a clear and sustained commitment at the managerial level in the prison system to prevent and address gender-based discrimination against women staff. Women prison staff should receive equal access to training, and all staff involved in the management of women's prisons should receive training on gender sensitivity and the prohibition of gender-based discrimination and sexual harassment.

Source: [A/RES/65/229](#).

Data on training and staff performance are also included in the human resources dimension. By collecting the proposed data, the prison system can assess alignment with identified needs and the effects on improving staff competencies and behaviours in line with the guiding principles described in part I of the present document.

As noted in the *Gender in the criminal justice system assessment tool*,<sup>33</sup> issues of gender permeate the entire criminal justice system. It is important to have an understanding of the attitudes, perceptions and biases related to gender that can and do affect decision making at every level of the justice sector. The tool suggests collecting several statistics on gender related to human resources, such as the ratio of men and women at different seniority levels for prison personnel. The variables proposed in the current guidelines can be used to calculate such indicators.

Overall, human resources data can deliver critical insights into the prison workforce and associated conditions of imprisonment and level of respect for international standards and norms. Table 3.3 highlights the proposed variables for the dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

**Table 3.3 Proposed variables for the human resources dimension**  
(Core dimension)

PERSONNEL DETAILS	
Unit of analysis	Description
Personnel	Individual staff member employed in the prison system, including management, treatment, custodial and other (e.g., maintenance or food service) personnel
Variable	Description
Staff ID	Unique identifier of staff member
Sex	Sex of staff member
Age	Age of staff member
Ethnicity	Ethnicity of staff member
Disability	(Self-reported) disability status of staff member
Languages	Languages spoken by staff member
Education	Highest level of completed education of staff member
Hiring date	Date when the staff member first joined the prison system
Employment status	Indicator of full-time or part-time employment
Employment type	Indicator of prison employee or third-party service provider employee
Rank	Hierarchical rank or grade of staff member within the prison system
Prison ID	Identifier of prison facility the staff member is currently assigned to
Functional area	Function the staff member is currently assigned (e.g., surveillance, education/training, health care, administration or management)
Staff type	Identifier of whether staff member is a civilian or officer
Admin area	Administrative area of the country (level 1, 2, etc.) where the staff member is stationed
TRAINING DETAILS	

<sup>33</sup> United Nations publication, 2010.

Unit of analysis	Description
Trainings	Training records of each staff member
Variable	Description
Staff ID	Unique identifier of staff member
Sex	Sex of staff member
Age	Age of staff member
Ethnicity	Ethnicity of staff member
Experience	Years of experience of staff member
Rank	Rank of staff member
Training type	Training successfully completed by the prison officer
Training date	Date of completion of training
Certificate	Identifier of whether the staff member obtained a certificate
Expiry date	Expiry date of certificate
PERFORMANCE DETAILS	
Unit of analysis	Description
Performance	Performance records of each staff member
Variable	Description
Staff ID	Unique identifier of staff member
Sex	Sex of staff member
Age	Age of staff member
Ethnicity	Ethnicity of staff member
Experience	Years of experience of staff member
Rank	Rank of staff member
Rating	Performance rating given to staff member
Period	Period when staff member was evaluated
Discipline	Number of disciplinary actions taken against the prison officer during reporting period

An example of the collection of human resources data in Uganda is presented in Box 3.4.

### Box 3.4

#### Human resources data, Uganda

The Uganda Prison Services publishes a monthly statistical report, including information on the prison population and staffing, broken down by category, rank and gender.

Registering and publishing information on staffing informs authorities and the public on a variety of issues that can affect the efficacy and quality of prison operations, such as gender parity, the turnover rate, the prison staff to prisoner rate, the distribution of staff by function within the prison system and individual prison facilities.

Table 3.4 shows that in Uganda, women are better represented among non-uniformed staff than among uniformed staff (47.0 per cent vs 28.4 per cent). The data also show that while 28.4 per cent of uniformed staff are female, only 18.3 per cent of senior officers are female. An interesting aspect of this example is that it includes the number of trainees at the Prisons Academy and Training School (PATS) that were admitted as Cadet Assistant Superintendent of Prison (CASP).

**Table 3.4 Staff of the Uganda Prison Service by category and gender, June 2022**

<i>Staff category</i>	<i>Sex</i>	
	<i>Males</i>	<i>Females</i>
Uniformed	8 657	3 442
Senior officers	367	82
Principal officers	420	110
Non-commissioned officers	7 870	3 250
Non-uniformed	263	233
Senior officers	98	85
Junior officers	165	148
Total	8 920	3 675
Trainees at PATS (as CASPs)	166	36
<b>Grand Total</b>	<b>9 086</b>	<b>3 711</b>

*Source:* Uganda Prison Service, *Monthly Statistics Summary, June 2022*. Available at [www.prisons.go.ug/publication/uganda-prisons-statistical-reports](http://www.prisons.go.ug/publication/uganda-prisons-statistical-reports).

### 3.2.2 Financial resources

To understand some of the challenges the prison system faces, it is vital to understand the financial resources at its disposal; not only regarding the overall budget, but also how it is distributed. Contrasting the allocated budget with the system's actual expenditures can help decision-makers to prioritize projects or services, carry out more accurate planning and build a culture of transparency and accountability towards prison staff, prisoners and the general public.

A financial analysis can have the additional benefit of showing the cost of incarceration vis-à-vis other options to help decision makers and the public gauge the benefits and consequences of policy choices when it comes to different responses to crime, including custodial and non-custodial measures. The budget and expenditures also reflect the priorities of the prison system and a budget review can reveal, for example, whether a prison facility is fully committed to fulfilling the full spectrum of its core functions.

It should be noted that the prison system is subject to national accounting rules and, as such, the structure of financial data is often predetermined and may differ from the structure proposed in Table 3.5. The table highlights the proposed variables for the dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

Table 3.5 **Proposed variables for the financial resources dimension**

BUDGET ALLOCATION DETAILS	
Unit of analysis	Description
Allocation	Allocated funds per financial year
Variable	Description
Type	Allocation details by budget line (e.g. staffing, training, programme implementation)
Facility	Allocation to different prison facilities
Service	Allocation dedicated to different prison services (programming and rehabilitation services)
Source	Allocation by the different funding sources
BUDGET EXPENDITURE DETAILS	
Unit of analysis	Description
Expenditure	Expenditure per financial year
Variable	Description
Type	Expenditure details by budget line (e.g. staffing, training, programme implementation)
Facility	Expenditure by different prison facilities
Service	Expenditure by different prison services (programming and rehabilitation services)
Source	Expenditure by different funding sources

An example of the collection of financial resources data in Norway is presented in Box 3.5.

### Box 3.5

#### Financial resources data, Norway

In its Annual Report, the Norwegian Correctional Service devotes a chapter to reviewing its finances. This chapter includes information on staffing costs and a variety of financial statements related to their operation and oversight.

Table 3.6 contains a section of the statement of appropriations for 2020, which includes the different sources of income received by the prison service. The most noteworthy of these sources is the income received from work programmes. This information guarantees full transparency regarding the funds that are generated by prisoners through work programmes to ensure full transparency and accountability, prevent mismanagement and corruption and protect prisoners from any kind of exploitative or afflictive work schemes.

Table 3.6 **Partial statement of appropriations reporting 21 December 2020**  
(Norwegian krone)

<i>Chapter name</i>	<i>Total allocation</i>	<i>2020 accounts</i>	<i>Additional income and reduced income (-)</i>
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Income from work programmes	92 653 000	92 136 611	-516 389
Other income – KDI	25 665 000	24 417 417	-1 247 583
Grants	15 754 000	15 207 249	-546 751
Other income – KRUS	1 087 000	427 306	-659 694
Group life insurance	0	6 967 973	Left blank
Employer’s contribution (contra entry)	0	405 520 961	Left blank
<b>Total</b>	<b>135 159 000</b>	<b>544 677 517</b>	<b>Left blank</b>

*Note:* KDI, Directorate of Norwegian Correctional Service; KRUS, University College of Norwegian Correctional Service.

*Source:* Norwegian Correctional Service, 2020 Annual Report. Available at [www.kriminalomsorgen.no/informasjon-paa-engelsk.536003.no.html](http://www.kriminalomsorgen.no/informasjon-paa-engelsk.536003.no.html).

### 3.2.3 Physical resources

The physical environment of prisons is a key determinant of minimum conditions and can help or hinder the well-being, health and safety of prisoners and prison security, as well as rehabilitation and social reintegration prospects. The Nelson Mandela Rules include a series of rules on overall minimum living conditions for prisoners and related infrastructure.

Registering information on physical infrastructure and keeping it up to date is essential. Some of the data to include in a data system include the number of available beds per facility to determine prison occupancy and overcrowding; the number of beds per cell, and classrooms or work areas in each facility to assess infrastructure capacity for carrying out reintegration programmes; the existence of visiting areas, medical facilities and canteens; as well as the presence of other resources needed by staff to fulfil their responsibilities, such as personal equipment and vehicles.

Table 3.7 highlights the proposed variables for the physical resources dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

**Table 3.7 Proposed variables for the physical resources dimension**

FACILITY DETAILS <sup>34</sup>	
Unit of analysis	Description
Facility	Prison facility details
Variable	Description
Prison ID	Unique identifier of the prison facility
Admin area	Administrative area of the country (level 1, 2, etc.) in which prison facility is located

<sup>34</sup> A prison facility denotes a building, or a group of buildings under common administration or sharing common services, used for the detention of prisoners.

Security level	Security level assigned to the prison facility (e.g., minimum, medium, high security)
Management type	Identify whether prison facility is public or privately managed.
Population type	Type of population housed in the prison facility (pre-trial or sentenced)
Population sex	Indicator of whether prison facility population consists of men, women or is mixed
Population age	Indicator of whether prison facility population consists of adults, juveniles or both <sup>35</sup>
Cellblocks	Number of cellblocks in the prison facility
Cells	Number of cells for prisoners in the prison facility
Official capacity	The intended number of prisoners for which the prison facility was designed either at the time of its construction or following structural renovations
Showers	Number of functional shower and bathing installations available for prisoners in the prison facility
Medical facilities	Type of medical facilities available in the prison facility
Menstrual hygiene	Type of menstrual hygiene materials available to prisoners
Visitor capacity	Number of visitors for prisoners the facility can host at any given time
Solitary confinement	Number of cells for prisoners subject to solitary confinement, as applicable
Childcare	Indicator of whether internal or external childcare facilities are available at the prison facility
Library	Indicator of whether the prison facility has a library for the use of all prisoners
Library books	Number of recreational and instructional books available in prison library
Outdoor space	Total outdoor space accessible to prison population in square meters
Sports facilities	Indicator of whether sports facilities are available in the prison facility
Classroom capacity	Total prisoner capacity of all classrooms available for education and vocational training in the prison facility

#### VEHICLE DETAILS

Unit of analysis	Description
Vehicles	Vehicles in use by prison facility
Variable	Description
Prison ID	Prison facility to which vehicle is assigned
Admin area	Administrative area of the country (level 1, 2, etc.) in which vehicle is assigned

<sup>35</sup> For statistical purposes, it is recommended to define adult as a person age 18 years and older and juvenile as a person under 18 years of age in line with article 1 of the Convention on the Rights of the Child.

Vehicle ID	Unique identifier of vehicle
Vehicle type	Vehicle specified by type
Vehicle condition	Condition of vehicle in terms of mechanical functioning and cosmetic appearance
Date of operation	Date vehicle came into operation
Replacement date	Expected replacement date of vehicle

**STAFF EQUIPMENT DETAILS  
(Aggregate data)**

Unit of analysis	Description
Staff equipment	Aggregated equipment in use by prison staff per facility
Variable	Description
Prison ID	Prison facility reporting the equipment details
Admin area	Administrative area of the country (level 1, 2, etc.) in which the prison facility reporting the equipment is located
Prison officer equipment type	Prison officer equipment specified by type

**INFORMATION TECHNOLOGY DETAILS  
(Aggregate data)**

Unit of analysis	Description
IT	Aggregated IT resources in use by prison staff per facility
Variable	Description
Prison ID	Prison facility to which the information technology (IT) equipment is assigned
Admin area	Administrative area of the country (level 1, 2, etc.) to which the IT equipment is assigned
IT equipment type	IT equipment specified by type

An example of the collection of physical resources data in Ireland is presented in Box 3.6.

**Box 3.6  
Physical resources data, Ireland**

The Irish Prison Service produces the Census of Prison Population, which includes information on the number of cells, beds and in-cell sanitation available in the different facilities. This information gives a glimpse into the quality of life of prisoners given the available infrastructure.

The official and actual occupancy in the cells can provide information on the quality of life of prisoners and their interactions with staff. Registering this information can assist the prison system in identifying and interpreting patterns in incidents and in the well-being of staff members and prisoners. For example, a potential correlation between the number of occupants in a cell and the number of incidents could motivate a prison facility to consider changing its policy regarding cell

occupancy. Selected data are contained in table 3.8. Additional research could explore the myriad other factors involved and provide further (more conclusive) guidance.

**Table 3.8 Overview of cell occupancy and in-cell sanitation, October 2022**

Prison	Number in custody	Usable cells	Numbers of prisoners in cells accommodating				Access to toilets		
			One prisoner	Two prisoners	Three prisoners	Four+ prisoners	In-cell slopping out	Presence of others	Private
Arbour Hill	134	117	98	36	0	0	0	36	98
Castlerea	340	244	138	172	30	0	0	202	138
Cloverhill	441	205	67	46	192	136	0	374	67
Cork	283	170	41	242	0	0	0	242	41
Limerick Female	37	24	14	14	9	0	0	23	14
Limerick Male	207	149	80	118	9	0	19	127	61
Loughan	112	111	86	26	0	0	0	0	112
Midlands	849	585	300	508	9	32	0	549	300
Mountjoy Female	152	96	29	120	3	0	0	123	29
Mountjoy Male	749	755	732	14	3	0	0	17	732
Portlaoise	220	252	115	102	3	0	10	105	105
Shelton Abbey	102	58	35	10	6	51	0	0	102
Training unit	56	96	56	0	0	0	0	0	56
Wheatfield	572	465	232	340	0	0	0	340	232
<b>Total</b>	<b>4 254</b>	<b>3 327</b>	<b>2 023</b>	<b>1 748</b>	<b>264</b>	<b>219</b>	<b>29</b>	<b>2 138</b>	<b>2 087</b>

Source: Ireland, Irish Prison Service, *Census of Cell Occupancy and In-cell Sanitation October 2022 – Report*. Available at [www.irishprisons.ie/information-centre/statistics-information/census-reports/](http://www.irishprisons.ie/information-centre/statistics-information/census-reports/).

### 3.2.4 Staff safety and well-being

Prison officers have a physically and mentally demanding profession. On the job safety and decent working conditions are important. It is recommended to record any incidents that inflict (serious) bodily harm to prison staff. These offences can be classified under ICCS (0201 Assault and threats) and can potentially lead to minor or serious bodily injury. The data should include the location, situational context and outcome of the incident. Such information can help better understand the driving factors of such incidents and contribute to the prevention of future incidents.

Additionally, data on leave taken by staff help to monitor the well-being of staff as a high rate of absenteeism can, for example, be an indication of excessively high workloads and stress. An adequate level of remuneration for prison staff corresponding to their responsibilities contributes to ensuring

professionalism in the execution of their duties. Data on staff remuneration can further increase transparency.

Table 3.9 highlights the proposed variables for the safety and well-being dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

**Table 3.9 Proposed variables for the staff safety and well-being dimension**

SAFETY INCIDENT DETAILS	
Unit of analysis	Description
Safety incident	Individual safety incidents that inflict (serious) bodily harm upon staff member(s)
Variable	Description
Incident ID	Unique identifier of incident
Prison ID	Unique identifier of prison facility
Staff ID	Unique identifier of staff member(s)
Staff sex	Sex of staff member(s)
Prisoner ID	Unique identifier of prisoner(s) committing assault on staff
Prisoner sex	Sex of prisoner(s) committing assault on staff
Date and time	Date and time of incident
Location	Location of incident (e.g., housing unit/cellblock number)
Context	Description of situational context
Injury	Severity of bodily injury sustained by staff member during the incident (if applicable)
Lethal	Identifier of whether the inflicted bodily harm was lethal or non-lethal
STAFF REMUNERATION DETAILS	
Unit of analysis	Description
Remuneration	Remuneration details of staff member
Variable	Description
Staff ID	Unique identifier of staff member
Sex	Sex of staff member
Age	Age of staff member
Ethnicity	Ethnicity of staff member
Experience	Years of experience of staff member
Rank	Rank of staff member
Remuneration	Annual gross remuneration of staff member in local currency
LEAVE DETAILS	
Unit of analysis	Description
Leave	Leave records of staff member

Variable	Description
Staff ID	Unique identifier of staff member
Sex	Sex of staff member
Age	Age of staff member
Ethnicity	Ethnicity of staff member
Experience	Years of experience of staff member
Rank	Rank of staff member
Leave type	Type of leave taken by staff member
Start date	Start date of leave
End date	End date of leave
Amount	Number of working days in leave period

An example on the collection of data on the safety of prison staff in the United Kingdom is presented in Box 3.7.

### Box 3.7

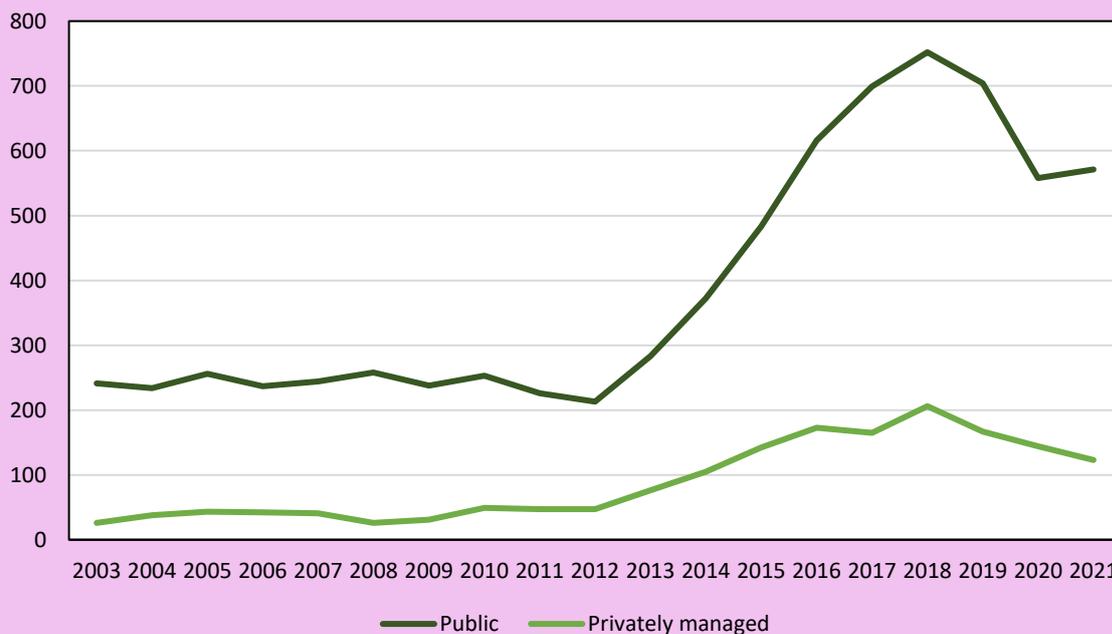
## Staff safety and well-being data, United Kingdom

Official statistics on safety in custody that cover deaths, self-harm and assaults in prison custody in England and Wales are released regularly by the Ministry of Justice. These data provide insight into violence in prisons and allow the prison system to monitor trends and take appropriate remedial action when necessary.

Figure 3.1 highlights the number of serious assaults on staff. While care must be taken when interpreting these numbers, the significant rise in the number of serious assaults on staff members since approximately 2013 is notable and could be a subject of further study.

For these data, serious assaults are defined as those which fall into one or more of the following categories: a sexual assault; requires detention in outside hospital as an in-patient; requires medical treatment for concussion or internal injuries; or incurs any of the following injuries: a fracture, scald or burn, stabbing, crushing, extensive or multiple bruising, black eye, broken nose, lost or broken tooth, cuts requiring suturing, bites, temporary or permanent blindness.

**Figure 3.1 Serious assaults on prison staff in public and private prisons in England and Wales, 2003–2021**



Source: Ministry of Justice and His Majesty's Prison and Probation Service (HMPPS), "Safety in Custody summary tables to September 2022". Available at [www.gov.uk/government/statistics/safety-in-custody-quarterly-update-to-september-2022](https://www.gov.uk/government/statistics/safety-in-custody-quarterly-update-to-september-2022).

### 3.3 Data on prisoner profile

This thematic area focuses on generating comprehensive information on the pre-trial detainees and sentenced prisoners in the custody of the prison system. These data aid the design of tailored prison regimes that effectively respond to risk, needs and changing patterns within the prison population, to ensure their safety and rights as well as to create a basis for evidence-based decision-making more broadly. To this end, the Nelson Mandela Rules and the Bangkok Rules provide extensive detail on what type of information should be recorded as part of prisoner file management systems.<sup>36</sup>

#### 3.3.1 Population registration

A proper system of prisoner files not only ensures sound day-to-day prison operations, but also ensures accountability, transparency and human rights compliance in the prison facility by recording detailed information and documents pertaining to the treatment of prisoners during all stages of their detention or imprisonment. In addition, a properly managed prisoner file management system generates a wealth of valuable information about the composition of the prison population and related trends over time.

Far from being limited to basic counts of pre-trial detainees and sentenced prisoners as well as their distribution throughout the prison system, population registration may encompass more detailed information on the prison population disaggregated by sex, age, type of (alleged) crimes, length of sentences, socioeconomic backgrounds, the prevalence of certain categories of prisoners that may be overrepresented in the prison system and information on recidivism rates.

To ensure that the principle of non-discrimination is being upheld, these guidelines recommend the registration and generation of data on prisoners with special needs, including women prisoners, children deprived of liberty, prisoners with disabilities, prisoners with drug use disorders, ethnic minorities and foreign national prisoners. In order to ensure safety and security, information on prisoners that may pose particular risks, such as members of organized crime groups, prison gangs or violent extremist groups, should be equally recorded.

Table 3.10 highlights the proposed variables for the population registration dimension. Further details, suggested (minimum) categories and notes, are contained in the annex.

**Table 3.10 Proposed variables for the population registration dimension**  
(Core dimension)

PRISONER DETAILS	
Unit of analysis	Description
Prisoner	Unique characteristics of individual prisoners
Variable	Description
Prisoner ID	Unique identifier of prisoner
Prison ID	Identifier of prison facility the prisoner is currently assigned to
Sex	Sex of prisoner
Age	Age of prisoner

<sup>36</sup> Rules 6–10 of the Nelson Mandela Rules, Rule 3 of the Bangkok Rules.

Marital status	Identifier of marital status of prisoner
Education	Highest level of completed education of prisoner
Caregiver status	Determines whether the prisoner has any dependent children or other caretaking responsibilities
Pregnancy status	Pregnancy status of prisoner
Children in prison	Number of children living with prisoner in prison
Ethnicity	Ethnicity of prisoner
Citizenship	Citizenship of prisoner
Disability	(Self-reported) disability status of prisoner
Health status	Any health condition(s) documented according to International Classification of Diseases (ICD) <sup>37</sup> or national classification (including mental health and substance dependence)
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group
Economic status	Economic activity status of the offender at the time of arrest
Recidivism	Identifier of whether prisoner returned within one year of prior release
Offence	Type of criminal offence the prisoner is accused/sentenced for by ICCS category (or National crime classification)
Admission date	Date when the prisoner was admitted to prison facility
Sentence	Length of sentence in days (only sentenced population)
Transfer date	Date when the prisoner was transferred to another prison facility (if applicable)
Release date	Date when the prisoner was released from prison facility
Release type	Type of release (supervised or unsupervised)
Legal status	Indicator of pre-trial or sentenced prisoner
Prison regime	Type of supervision/regime the prisoner is under (e.g., closed, semi-open, open)
Assessment	Identifier of whether the prisoner underwent an individual assessment of needs, capacities and dispositions
Assessment date	Date of most recent assessment
Assessment review	Envisaged date to review current assessment
Security classification	Security classification of the prisoner

An example on the collection of population registration data in the Philippines is presented in Box 3.8.

<sup>37</sup> World Health Organization, "International Statistical Classification of Diseases and Related Health Problems (ICD)". Available at [www.who.int/standards/classifications/classification-of-diseases](http://www.who.int/standards/classifications/classification-of-diseases).

## Box 3.8

### Population registration data, the Philippines

The Bureau of Jail Management and Penology of the Philippines produces a variety of statistics based on its prisoner file management system. This information is broken down by region, length of sentence, legal status and sex, among other factors. This is the basic information that prison authorities should strive to collect on the prison population in a periodic and consistent manner to guarantee safe operations and anticipate needs and resources. Selected data are provided in Table 3.11.

Other information that can be registered includes age, education level, nationality, ethnicity, type of crime, prior incarceration, gang membership, special needs and security risk. This information enables authorities to understand the population they supervise and verify that they have the required resources to adequately address their safety, security, rehabilitation and social reintegration needs.

**Table 3.11 Total jail population data (detainees and sentenced) in the Philippines, as of 30 September 2022**

Region	Number of jails	Detainees awaiting trial, undergoing trial or awaiting final judgement		Sentenced for less than three years		Sentenced for more than three years	
		Men	Women	Men	Women	Men	Women
NCR	41	23 609	4 114	3 604	423	10	2
I	20	2 270	193	23	0	15	1
II	20	2 003	93	68	18	102	4
III	40	7 579	933	666	140	153	12
CALABARZON	65	21 126	2 695	1 796	453	51	5
MIMAROPA	19	1 671	107	5	2	46	0
V	35	2 834	198	76	3	195	15
VI	39	6 918	622	169	13	567	58
VII	41	16 285	1 613	938	179	735	123
VIII	38	1 537	97	33	6	104	4
IX	20	3 551	299	200	2	518	71
X	28	4 334	341	313	67	567	19
XI	13	5 717	615	211	28	60	6
XII	15	2 792	194	21	7	239	6
CARAGA	12	1 784	99	17	8	25	10
CAR	20	1 015	111	46	16	13	4
BARMM	11	564	41	60	3	3	0
<b>Total</b>	<b>477</b>	<b>105 589</b>	<b>12 365</b>	<b>8 246</b>	<b>1 368</b>	<b>3 403</b>	<b>340</b>

Source: Philippines, Bureau of Jail Management and Penology, "Actual Jail Population Data". Available at [www.bjmp.gov.ph/index.php/data-and-statistics](http://www.bjmp.gov.ph/index.php/data-and-statistics) (accessed 8 March 2023).

## 3.4 Data on prisoner reintegration

As noted in chapter 1, the Nelson Mandela Rules highlight that the prison system has two main functions.<sup>38</sup> The prison system confines, in a safe and humane manner, persons who are deemed a risk to their communities, but also creates a regime that provides prisoners with the tools to work towards their rehabilitation and social reintegration. The prison system should guarantee that prisoners receive a series of services that will aid them in their reintegration process, including staying in touch with their families and support network. The key dimensions for this thematic area are those services that prisoners require for their reintegration: visits, health care and programmes.

### 3.4.1 Visits

Prisoners should be encouraged to stay in touch with their family, which can be achieved through supervised communications or visits with their support network. Moreover, prisoners should have adequate opportunity, time and facilities to consult with a legal adviser in full confidentiality. This serves both to assist in the prisoners' social reintegration prospects by maintaining family ties and to allow them to consult with a legal adviser of their own choice on any legal matter.<sup>39</sup> Registering basic, non-invasive information about visits can generate data on access to legal services or visits per facility and population type, which can be used to improve reintegration prospects and optimize visitation rules.

Table 3.12 highlights the proposed variables for the visits dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

Table 3.12 **Proposed variables for the visits dimension**

VISIT DETAILS	
Unit of analysis	Description
Visits	Details on visits to individual prisoners
Variable	Description
Prison ID	Identifier of facility the visitor is authorized to visit
Visit date	Date of the visit
Visit modality	Modality of visit (virtual or in person)
Visit type	Identifier of type of visit (e.g., legal, medical, social)
Relationship	Relationship between visitor and prisoner
Visitor sex	Sex of visitor
Visitor age	Age of visitor
Prisoner ID	Identifier of prisoner the visitor is authorized to visit
Prisoner sex	Sex of prisoner
Prisoner age	Age of prisoner
Prisoner ethnicity	Ethnicity of prisoner

<sup>38</sup> See basic principles of the Nelson Mandela Rules.

<sup>39</sup> Rules 58–62 of the Nelson Mandela Rules.

Citizenship	Citizenship of prisoner involved
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group

An example of the collection of data on prison visits in the Netherlands is presented in Box 3.9.

### Box 3.9

#### Long-term study on prison visits, the Netherlands

The University of Leiden has been carrying out the long-term Life in Custody Project, with information provided, in part, by the Ministry of Security and Justice. One of the components of this study is the Dutch Prison Visitation Study (DPVS), which uses information on visits gathered by prison authorities, prisoner surveys and a few other sources. By comparing the information received, the study has produced information on how visits affect the quality of life and reintegration prospects of prisoners.

One of the main results of the study is that consistent, frequent visitation and visits near release are associated with reductions in reconvictions, especially in the first six months after release (Table 3.13). Although further study is required to reach more rigorous conclusions, the findings indicate potential benefits to incentivizing periodic and frequent visits before a prisoner is released. This finding may have an impact on the design of pre-release programmes.

**Table 3.13 Association between visits and reconviction, individuals housed in selected prisons between January and April 2017**

(Percentage)

<i>Frequency</i>	<i>Reconviction within six months</i>	<i>Reconviction within two years</i>
Never visited	39	55
Sporadically visited	37	57
Decreasingly visited	22	50
Increasingly visited	20	53
Often visited	10	29

*Source:* Maria Berghuis and others, "Visitation patterns and post-release offending: Exploring variations in the timing, rate and consistency of prison visits", *Journal of Criminal Justice*, vol. 81 (2022).

### 3.4.2 Health care

The Nelson Mandela Rules affirm that it is the State’s responsibility to provide health services to the prisoner population at the same standard to that available in the community with the purpose to improve their quality of life, to strengthen their reintegration process, to protect their physical and mental well-being and to identify any signs of abuse or torture.<sup>40</sup> The prison system is also required to have dedicated health services for women and children, to accommodate their specific health care needs.<sup>41</sup> Examples of information that can be beneficial to collect for planning, operational and oversight purposes include the number of prisoners who report health issues at time of admission, medical services available for population with special needs, main health issues by population and facility, number of medical appointments requested per facility, number of prisoners reporting mental health issues or number of prisoners with substance abuse issues.

The prison system also needs to provide services that address some of the underlying (mental) health issues that the prisoners are facing, such as substance abuse or behavioural issues. It is essential that, through the assessment process, these issues are identified and prisoner needs are fully considered when assigning them to a facility. For these operational purposes, as well as for oversight and accountability, data should be collected that reflects the kind of health issues facing prisoners, the methods of treatment and the format of care.

Table 3.14 highlights the proposed variables for the health care dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

Table 3.14 **Proposed variables for the health care dimension**

HEALTH CARE DETAILS	
Unit of analysis	Description
Treatment	Treatment of individual prisoners
Variable	Description
Prison ID	Unique identifier of prison facility
Treatment ID	Unique identifier for treatment of prisoner
Health concern	Health concern according to International Classification of Diseases (ICD) <sup>42</sup> or national classification (including mental health and addiction)
Type of treatment	Type of treatment (e.g., preventive, curative, palliative, rehabilitation, mental counselling)
Format of care	Format of care received (on premises, external, telemedicine)
Treatment start	Date of start of treatment received by patient
Treatment completion	Date of completion of treatment (if applicable)
Healthcare professional sex	Sex of healthcare professional treating prisoner

<sup>40</sup> Rules 24–35 of the Nelson Mandela Rules.

<sup>41</sup> Rules 10–11 of the Bangkok Rules.

<sup>42</sup> World Health Organization, “International Statistical Classification of Diseases and Related Health Problems (ICD)”. Available at [www.who.int/standards/classifications/classification-of-diseases](http://www.who.int/standards/classifications/classification-of-diseases).

Prisoner ID	Unique identifier of prisoner
Prisoner sex	Sex of prisoner
Prisoner age	Age of prisoner
Prisoner ethnicity	Ethnicity of prisoner
Citizenship	Citizenship of prisoner involved
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group

An example of the collection of health care data in Guyana is presented in Box 3.10.

### Box 3.10

#### Health care data, Guyana

The Guyana Prison Service generates an annual report that includes aggregated information on admissions and use of medical infrastructure. It reports the number of prisoners in public hospitals and prison infirmaries, prisoners who were reported ill and prisoner deaths. The report has disaggregating data on the type of illnesses suffered by prisoners.

Table 3.15 highlights data from 2020 — an outlier year for health services due to the coronavirus disease (COVID-19) pandemic. Comparing the 2020 data with that from 2019, 2021 and 2022 will provide prison authorities with information on how the pandemic affected the health needs of the prison population in order to better plan for future contingencies.

Table 3.15 **Medical report, Guyana Prison Service**

<i>Indicator</i>	<i>2019</i>	<i>2020</i>
Number in public hospital on 1 January	5	
Number in prison infirmaries on 1 January	6	10
Number of times prisoners reported ill	1 726	20 061
Number admitted to prison infirmaries	5	
Number admitted to public hospital	96	21
Number of times prisoners were treated at outpatient department clinic, public hospital	795	460
Number of prisoners who received spectacles	69	14
Daily average number in hospital	8	
Number of deaths	16	
Number in public hospital on 31 December	3	
Number in prison infirmaries on 31 December		10

Source: Guyana, Guyana Prison Service, *Annual Report 2020* (Guyana, 2021). Available at <https://gps.moha.gov.gy/reports/>.

### 3.4.3 Programmes

The prison system should have in place a comprehensive series of programmes to foster and support the prisoner's rehabilitation and social reintegration process.<sup>43</sup> Such programmes, wherever the length of the sentence permits, are meant to enable prisoners to lead a self-supporting and law-abiding life after their release.

Rule 92 of the Nelson Mandela Rules highlights that "to these ends, all appropriate means shall be used, including religious care in the countries where this is possible, education, vocational guidance and training, social casework, employment counselling, physical development and strengthening of moral character, in accordance with the individual needs of each prisoner, taking account of his or her social and criminal history, physical and mental capacities and aptitudes, personal temperament, the length of his or her sentence and prospects after release".

Taking this into consideration, these guidelines consider all educational, work, religious and recreational programmes and activities or programmes targeting offending behaviour and aiming to reduce recidivism offered by the prison system both on site and at third party facilities. Prison facilities are encouraged keep statistics on the type of programmes offered, the prisoners who participate in them and the outcome of participation to name a few of the suggested variables.

According to Nelson Mandela Rule 104, educational services should be provided to further the education of all prisoners. Some of the proposed variables include types of educational programmes available by facility, number of prisoners that participate in educational programmes disaggregated by facility and population type, and number of participants that complete the programmes, among others.

Education could include vocational training for those prisoners who are not involved in active work programmes. Some of the information gathered can include the number of participants and population type that participate in vocational training programmes, facilities that offer vocational training and types of training offered in each facility.

Nelson Mandela Rules 96 to 104 note that employment during imprisonment should be available and prepare prisoners for their eventual release. This work should be regulated to ensure that prisoners are not exploited in any way that violates international standards and norms (e.g., work for the personal or private benefit of prison staff). Some of the information that can be gathered for this dimension includes the number of prisoners who participate in work programmes, types of industries involved in work programmes per facility and the income generated by prisoners through these programmes.

Nelson Mandela Rule 105 specifies that the prison system should offer recreational activities (e.g., sports or physical education) and cultural activities to assist prisoners in their rehabilitation and social reintegration process and for the benefit of their mental and physical health. Any other programmes designed to support the rehabilitation and social reintegration of prisoners can also be included here.

To generate relevant statistics at the level of the programme and individual prisoners, it is important to be able to link data between these two levels. The role of the unique identifier variables included in the programme and the prisoner details is to be able to create links and enable the prison system to generate statistics using different units of analysis. For example, a prison officer may be interested in learning more about the characteristics of prisoners that participated in a literacy programme that

<sup>43</sup> Rules 86-90 and Rules 91-92 of the Nelson Mandela Rules.

ran during a specific period of time in order to better understand some of the factors involved in successful programme completion. By filtering on the programme ID, details on all prisoners who were participating would be available. In short, data should be recorded separately for the programme and the participating prisoners – with the unique identifiers providing the means to link the relevant data and generate valuable aggregate statistics.

Table 3.16 highlights the proposed variables for the programmes dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

**Table 3.16 Proposed variables for the programmes dimension**  
(Core dimension)

PROGRAMME DETAILS	
Unit of analysis	Description
Programme	Details on the programme
Variable	Description
Prison ID	Name of prison facility
Programme ID	Unique identifier of programme
Programme type	Identifier of programme type (education, work, recreation, religious, other)
Programme subtype	Identifier of subtype (e.g., basic literacy, vocational training, sports)
Organization	Programme organization (i.e., prison run, private)
Modality	Programme modality (i.e., in person, virtual)
Remuneration	Net hourly wage paid to prisoner in local currency (if applicable)
Start date	Start date of programme (if applicable)
End date	End date of programme (if applicable)
PRISONER DETAILS	
Unit of analysis	Description
Prisoner	Details of individual prisoners participating in each programme
Variable	Description
Prison ID	Name of prison facility
Programme ID	Unique identifier of programme
Prisoner ID	Unique identifier of prisoner
Prisoner sex	Sex of prisoner
Prisoner age	Age of prisoner
Prisoner ethnicity	Ethnicity of prisoner
Citizenship	Citizenship of prisoner involved
Security classification	Security classification of the prisoner involved

Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group
Start date	Start date of participation (if applicable)
End date	End date of participation (if applicable)
Completion	Identifier of whether prisoner completed the programme (with or without certificate)
Certificate	Identifier of whether prisoner obtained certificate

An example of the collection of programmes data in the United States of America is presented in Box 3.11.

### Box 3.11

#### Education programmes data, United States

Censuses are a common source of additional information for governments and are periodically conducted in the criminal justice sector among specific populations (e.g., the prison population). One example is the Census of State and Federal Adult Correctional Facilities (CCF), which is used to collect facility-level data on the operations of facilities and the conditions of confinement, every five to seven years in the United States.

Through the CCG, the Bureau of Justice Statistics of the United States Department of Justice collects information on the characteristics of state and federal institutions by type, operator, size, physical security level, capacity, court orders and programmes. The CCF census includes information on the type and number of education programmes available to prisoners, the type of facility and the number of prisoners that participate in these programmes (table 3.17).

**Table 3.17 Confinement facilities and prisoners by education programmes available, mid-2019**

<i>Education program</i>	<i>Facilities</i>		<i>Prisoners</i>	
	<i>Number</i>	<i>Percentage</i>	<i>Number</i>	<i>Percentage</i>
Any	1 073	94.9	1 244 434	98.1
Literacy training/other lower adult basic education (ABE)—first to fourth grade level	950	84.0	1 197 197	94.4
Upper ABE—fifth to eighth grade level	915	80.9	1 156 715	91.2
Secondary education/high school equivalency (GED)	986	87.2	1 202 307	94.8
Vocational training	813	71.9	1 062 451	83.8
Special education	611	54.0	794 228	62.6
College courses	557	49.2	739 971	58.4
English as a second language (ESL)	434	38.4	575 611	45.4
Study release programmes	108	9.5	162 883	12.8

*Source:* United States Department of Justice, Bureau of Justice Statistics, *Census of State and Federal Adult Correctional Facilities, 2019 – Statistical Tables* (2021). Available at:

<https://bjs.ojp.gov/library/publications/census-state-and-federal-adult-correctional-facilities-2019-statistical-tables>.

## 3.5 Data on prisoner safety and security

Once a person is admitted into a prison facility, the system assumes a series of responsibilities over them. As noted in the core functions identified in part I of the present guidelines, one of these responsibilities is related to the security and safety of prisoners. Most systems choose a variety of strategies to maintain security within their facilities, generally based on some form of order and discipline. For this thematic area, three key dimensions have been identified that reflect the main strategies used to maintain safety, security and order in prisons.

The first dimension covers sanctions, which can be applied to ensure safe custody, the secure operation of the prison and a well-ordered community life. The second dimension covers searches, which must always be proportional, legal, necessary and conducted in a manner that is respectful of the inherent human dignity and privacy of the individual being searched. The third dimension focuses on prisoner incidents which, if carefully recorded, could aid investigations and help to guarantee a safe environment for prisoners, staff and visitors.

### 3.5.1 Sanctions

The Nelson Mandela Rules highlight that when disciplinary sanctions are applied to maintain order within prisons, they must be strictly regulated to avoid abuse.<sup>44</sup> As noted in Rule 39(2), sanctions should always be proportional and proper records of all disciplinary sanctions imposed should be maintained. Documenting and registering disciplinary sanctions is vital for accountability purposes. Moreover, prisoners need to be made aware of the rules governing sanctions, in a language they understand, and have paths to challenge any disciplinary sanctions levied on them. Recording these data can generate insights on different aspects, such as the number of sanctions per facility or which staff members are more likely to issue sanctions. It can also aid the prison system in identifying and defining which behaviours are likely to result in disciplinary action as well as register the number of sanctions that are reversed. Such data can aid in the formulation of improved strategies that lead to safer and more orderly prisons.

To generate relevant statistics at the level of the sanction and individual prisoners, it is important to be able to link data between these two levels. Since multiple prisoners may be affected by a single sanction, the role of the unique identifier variables included in the sanction and the prisoner details is to be able to create links and enable the prison system to generate statistics using different units of analysis. For example, a prison officer may be interested in learning more about the characteristics of prisoners that were subject to a specific sanction. By filtering on the sanction ID, details on all prisoners who were affected would be available. In short, data should be recorded separately for the sanction and the affected prisoners – with the unique identifiers providing the means to link the relevant data and generate valuable aggregate statistics.

Table 3.18 highlights the proposed variables for the sanctions dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

<sup>44</sup> Rules 36–46 of the Nelson Mandela Rules.

**Table 3.18 Proposed variables for sanctions dimension**  
(Core dimension)

SANCTION DETAILS	
Unit of analysis	Description
Sanction	Disciplinary action taken against prisoner(s)
Variable	Description
Prison ID	Unique identifier of prison facility
Sanction ID	Unique identifier of disciplinary sanction
Start date	Date disciplinary sanction is applied
End date	Date disciplinary sanction is reversed
Type	Type of disciplinary sanctions (e.g., forfeiture of privileges, segregation or transfer)
Reason	Main reason for disciplinary sanctions
Review	Identifier of whether disciplinary sanction was reviewed by a superior officer or review board/judge
Warning	Identifier of whether a warning was given to the prisoner prior to application of disciplinary sanction
Violation	Identifier of whether disciplinary sanctions, as applied in the incident, violates national policy and/or law
Appeal	Identifier for whether prisoner appealed the disciplinary sanction
Appeal outcome	Outcome of prisoner appeal, if applicable
Staff ID	Unique identifier of main staff member recommending sanction
Sex	Sex of main staff member recommending sanction
Age	Age of main staff member recommending sanction
Ethnicity	Ethnicity of main staff member recommending sanction
Experience	Years of experience of main staff member recommending sanction
Rank	Rank of main staff member recommending sanction
PRISONER DETAILS	
Unit of analysis	Description
Prisoner	Individual prisoner(s) affected by disciplinary sanction
Variable	Description
Prison ID	Unique identifier of prison facility
Sanction ID	Unique identifier of disciplinary sanction
Prisoner ID	Unique identifier of prisoner
Sex	Sex of prisoner involved
Age	Age of prisoner involved
Ethnicity	Ethnicity of prisoner involved

Citizenship	Citizenship of prisoner involved
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group

An example of the collection of sanctions data in the United States is presented in Box 3.12.

### Box 3.12 Sanctions data, United States Bureau of Justice Statistics

The Bureau of Justice Statistics (BJS) of the United States Department of Justice is required by the First Step Act of 2018 to gather and produce information — through the National Prisoner Statistics programme — on a variety of topics, including the demographic characteristics of federal prisoners who have received disciplinary sanctions. The information is registered by the Federal Bureau of Prisons and shared with the BJS. The information is disaggregated by sex, race, ethnicity and age. The data are also available disaggregated by institution and severity of the prohibited act by the federal prisoner. Selected data are provided in Table 3.19.

**Table 3.19 Federal prisoners cited for prohibited acts that resulted in reduction in rewards, incentives or time credits, 2019 and 2020**

<i>Characteristic</i>	<i>2019</i>		<i>2020</i>	
	<i>Number</i>	<i>Percentage</i>	<i>Number</i>	<i>Percentage</i>
Total federal prisoners cited for prohibited acts	54 848	100.0	45 838	100.0
Sex				
Male	51 668	94.2	42 826	93.4
Female	3 180	5.8	3 012	6.6
Race				
White	29 809	54.4	24 408	53.2
Black	22 572	41.1	19 517	42.6
Asian/Native Hawaiian/other Pacific Islander	648	1.2	450	1.0
American Indian/Alaska Native	1 819	3.3	1 463	3.2
Ethnicity				
Hispanic	17 330	31.6	14 006	30.6
Non-Hispanic	37 518	68.4	31 832	69.4
Age				
19 or younger	211	0.4	139	0.3
20–24	4 314	7.9	3 319	7.2
25–29	9 905	18.1	7 905	17.2

30–34	11 243	20.5	9 651	21.1
35–39	10 752	19.6	8 952	19.5
40–44	7 842	14.3	6 731	14.7
45–49	4 834	8.8	4 184	9.1
50–54	2 740	5.0	2 354	5.1
55–59	1 651	3.0	1 462	3.2
60–64	815	1.5	686	1.5
65 or older	541	1.0	455	1.0

Source: United States Department of Justice, Bureau of Justice Statistics, *Federal Prisoner Statistics Collected under the First Step Act 2021* (2021). Available at <https://bjs.ojp.gov/library/publications/federal-prisoner-statistics-collected-under-first-step-act-2021>.

### 3.5.2 Searches

Searches should be carried out in accordance with obligations under international law and consider international standards and norms.<sup>45</sup> When not carried out properly, searches can harm the dignity and the right to privacy of the prisoner, which is why searches need to be carefully documented. Moreover, searches should be conducted in a manner respectful of the principles of proportionality, legality and necessity. Documenting searches can generate information on potential issues, such as the main reasons for the searches, the number of searches per facility and security level, the types of searches carried out (individual or cell), the types of personnel involved in searches and more. As noted in the Nelson Mandela Rules, the prison system should keep appropriate records of searches that also include the identity of those who conducted them. The data produced can help authorities identify opportunities to improve their operations while ensuring the rights of prisoners are respected.

To generate relevant statistics at the level of the search, staff member and individual prisoners, it is important to be able to link data between these levels. Since multiple prisoners may be affected by a single search that can involve multiple staff members, the role of the unique identifier variables is to be able to create links and enable the prison system to generate statistics using different units of analysis. For example, a prison officer may be interested in learning more about the characteristics of prison staff that were involved in a specific search. By filtering on the search ID, details on all prison staff who were involved would be available. In short, data should be recorded separately for the sanction and the affected prisoners – with the unique identifiers providing the means to link the relevant data and generate valuable aggregate statistics.

Table 3.20 highlights the proposed variables for the searches dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

<sup>45</sup> Rules 50–53 of the Nelson Mandela Rules.

Table 3.20 Proposed variables for the searches dimension

SEARCH DETAILS	
Unit of analysis	Description
Search	Search carried out by staff in prison facility
Variable	Description
Prison ID	Unique identifier of prison facility
Search ID	Unique identifier of search event
Date and time	Date and time of search event
Warning	Identifier of whether a warning was given to the prisoner(s) prior to the search
Type	Type of search (i.e., personal search, cell search, area search)
Reason	Main reason for search
Outcome	Identifier of whether illicit items were found during search
Item type	Illicit item type found during search
Item amount	Number of items found of a specific type
Item unit	Unit of count (e.g., kilograms or pills)
Review	Identifier of whether search was reviewed by a superior officer or review board/judge (if applicable)
Violation	Identifier of whether search, as applied in the incident, violates national policy and/or law
STAFF DETAILS	
Unit of analysis	Description
Staff	Individual staff member(s) involved in carrying out the search
Variable	Description
Prison ID	Unique identifier of prison facility
Search ID	Unique identifier of search event
Staff ID	Unique identifier of staff member conducting the search
Sex	Sex of staff member conducting the search
Age	Age of staff member conducting the search
Ethnicity	Ethnicity of staff member conducting the search
Experience	Years of experience of staff member conducting the search
Rank	Rank of staff member conducting the search
PRISONER DETAILS	
Unit of analysis	Description
Prisoner	Individual prisoner(s) subject to the search
Variable	Description

Prison ID	Unique identifier of prison facility
Search ID	Unique identifier of search event
Prisoner ID	Unique identifier of prisoner
Sex	Sex of prisoner involved
Age	Age of prisoner involved
Ethnicity	Ethnicity of prisoner involved
Citizenship	Citizenship of prisoner involved
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group
Sanction	Identifier of whether the prisoner was sanctioned as a result of the search
Sanction ID	Unique Identifier of sanction (if applicable)

An example of the collection of searches data in the United Kingdom is presented in Box 3.13.

### Box 3.13

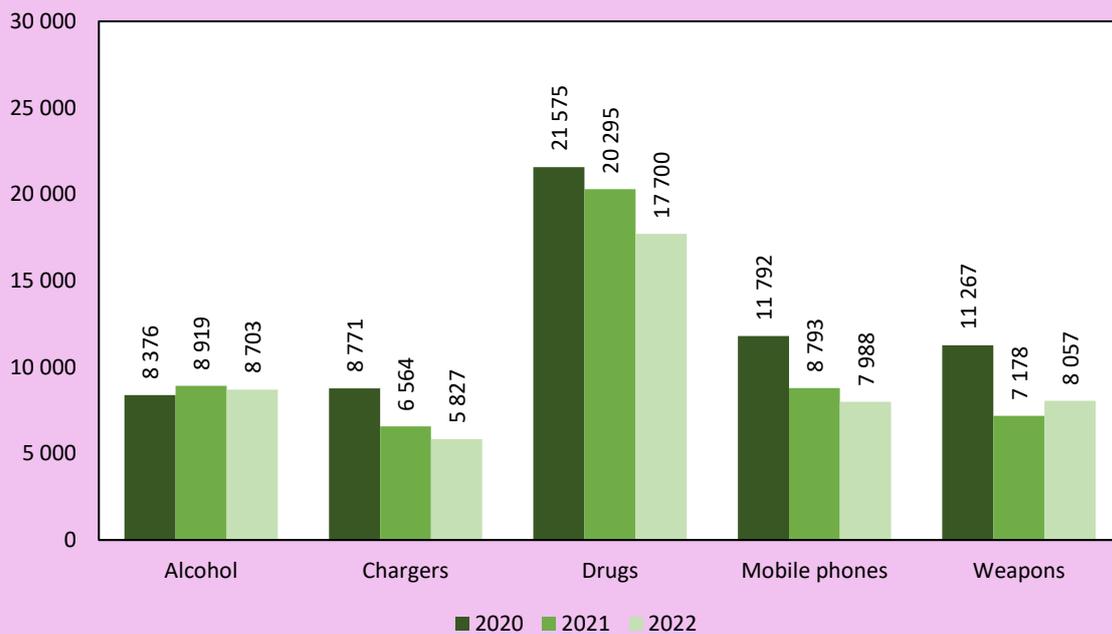
#### Data on searches, United Kingdom

In the United Kingdom, His Majesty’s Prison and Probation Service (HMPPS) is an executive agency of the Ministry of Justice. Its goal is to help prison and probation services work together to manage offenders throughout their sentences. HMPPS releases the Annual Digest, which includes data on illicit items found in prisons (distilling equipment, drug equipment, memory cards, SIM cards, tobacco and others). Such data can assist the prison system in keeping track of the types and number of illicit items uncovered in prison facilities, and trends over time can be monitored to assess whether security countermeasures are bringing the expected results.

Figure 3.2 highlights the number of incidents where alcohol, chargers, drugs, mobile phones and weapons were found in prisons in England and Wales. Note that a change in the number of finds may not be related to a change in the number of items present in prisons but could simply be a result of a change in the number of searches being conducted. Care should be taken to interpret these numbers correctly and it may be more meaningful to report how many finds were made compared to the total number of searches conducted.

The Annual Digest provides information on additional illicit items — distilling equipment, drug equipment, memory cards, SIM cards, tobacco and others — and a detailed breakdown on the type of drug found. For example, out of all incidents in which drugs were found in the year ending March 2022, cannabis was found in 18.8 per cent of incidents and cocaine was found in 10.6 per cent of incidents.

Figure 3.2 Number of incidents where illicit items were found in prisons in England and Wales



Source: United Kingdom, Ministry of Justice, *HMPPS Annual Digest 2021/22* (United Kingdom, 2022). Available at [www.gov.uk/government/statistics/hmpps-annual-digest-april-2021-to-march-2022](http://www.gov.uk/government/statistics/hmpps-annual-digest-april-2021-to-march-2022).

### 3.5.3 Prisoner incidents

Rule 1 of the Nelson Mandela Rules notes that the prison system has an obligation to guarantee the safety and security of all individuals that coexist within its facilities. Therefore, it is imperative that any incidents or events that may imperil the mental and physical integrity of individuals within the prison environment are registered. Systems should register information on a variety of incidents such as riots, fights, self-harm, protests, escapes attempts, infrastructure damage and hostage situations. This information should be disaggregated by facility and population type, including vulnerable populations. Collecting such information can inform prison policy on how to prevent future incidents and better manage risk.

To generate relevant statistics at the level of the incident, individual prisoner and staff member, it is important to be able to link data between these levels. Since multiple prisoners and staff members may be involved in a single incident, the role of the unique identifier variables is to be able to create links and enable the prison system to generate statistics using different units of analysis. For example, a prison officer may be interested in learning more about the characteristics of prisoners that were involved in a specific incident (e.g., a hunger strike). By filtering on the incident ID, details on all prisoners who were involved would be available. In short, data should be recorded separately for the incident, the affected prisoners and the involved staff members – with the unique identifiers providing the means to link the relevant data and generate valuable aggregate statistics.

Table 3.21 highlights the proposed variables for the prisoner incidents dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

Table 3.21 **Proposed variables for prisoner incidents dimension**

INCIDENT DETAILS	
Unit of analysis	Description
Incident	Individual incidents occurring within the premises of a prison
Variable	Description
Prison ID	Unique identifier of prison facility
Incident ID	Unique identifier of incident
Incident type	Type of incident (e.g., riot, escape attempt, self-harm, protest, hunger strike)
Incident details	Description of specific incident
Location	Location of incident (e.g., cell, cafeteria, classroom, visitor space)
Date and time	Date and time of incident
Outcome	Outcome of incident
Participants	Number of prisoners involved in the incident
STAFF DETAILS	
Unit of analysis	Description
Staff	Individual staff member(s) involved in the incident
Variable	Description
Prison ID	Unique identifier of prison facility
Incident ID	Unique identifier of incident
Staff ID	Unique identifier of staff member involved in incident
Sex	Sex of staff member involved in incident
Age	Age of staff member involved in incident
Ethnicity	Ethnicity of staff member involved in incident
Experience	Years of experience of staff member involved in incident
Rank	Rank of staff member involved in incident
Injury	Severity of bodily injury sustained by staff member during the incident (if applicable)
PRISONER DETAILS	
Unit of analysis	Description
Prisoner	Individual prisoner(s) involved in a single incident
Variable	Description
Prison ID	Unique identifier of prison facility
Incident ID	Unique identifier of incident
Prisoner ID	Unique identifier of prisoner
Sex	Sex of prisoner involved
Age	Age of prisoner involved

Ethnicity	Ethnicity of prisoner involved
Citizenship	Citizenship of prisoner involved
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group
Injury	Severity of bodily injury sustained by prisoner during the incident (if applicable)

An example of the collection of incidents data in Mexico is presented in Box 3.14.

### Box 3.14 Incidents data, Mexico

In Mexico, national information on incidents is registered monthly by the Federal Penitentiary System. The National Institute of Statistics and Geography (INEGI) generates an annual national prison census that uses this federal and local information disaggregated by number of incidents, state and type of incidents. Registering this information can be very challenging, especially in countries with more than one prison system, such as Mexico. Yet the effort is well worth it, as it allows the different authorities to have a better picture of the safety and stability of the different prison systems operating in one country.

The information presented in Table 3.22 highlights the type of incidents that are occurring and their frequency per 1,000 prisoners by state. Information available at the facility level would provide further detail and allow the prison system to pinpoint the types of incidents occurring at each individual facility and design facility specific policy to prevent future incidents. Combined with more detailed information on the incidents and the characteristics of the involved prisoners, this would allow for more tailored policy that can be adjusted to the specific reality of each facility.

**Table 3.22 Incidents in prisons per 1,000 prisoners by state and type, 2022**

<i>State</i>	<i>Total</i>	<i>Escape</i>	<i>Attempted escape</i>	<i>Riot</i>	<i>Brawl/fight</i>	<i>Damage to prison infrastructure</i>	<i>Demonstrations (e.g., hunger strike)</i>	<i>Other</i>
<b>Mexico</b>	10.9	0.0	0.0	0.0	4.5	0.2	0.1	5.9
Federal	44.9	0.0	0.0	0.0	22.9	0.0	0.1	21.9
Aguascalientes	0.0	0.0	0.0	0.0	0.0	0.0	0.0	NA
Baja California	6.9	0.0	0.1	0.0	6.6	0.0	0.2	NA
Baja California Sur	11.0	0.0	0.0	0.0	10.1	0.0	0.8	NA
Campeche	22.8	0.0	0.8	2.5	17.7	1.7	0.0	NA
Coahuila de Zaragoza	0.0	0.0	0.0	0.0	0.0	0.0	0.0	NA
Colima	33.0	0.0	0.0	0.0	12.6	7.1	0.0	13.4
Chiapas	13.9	0.0	0.6	0.6	3.8	0.0	4.5	4.3
Chihuahua	28.6	0.0	0.1	0.0	1.1	0.9	0.0	26.5

Ciudad de México	0.2	0.0	0.0	0.0	0.2	0.0	0.0	NA
Durango	7.6	0.0	0.0	0.0	1.8	0.5	0.0	5.3
Guanajuato	1.8	0.0	0.0	0.0	0.1	0.0	0.0	1.7
Guerrero	0.7	0.0	0.0	0.0	0.2	0.2	0.2	NA
Hidalgo	3.4	0.4	0.0	0.0	1.5	0.0	0.2	1.3
Jalisco	3.8	0.0	0.0	0.0	2.3	0.0	0.0	1.5
México	9.6	0.0	0.0	0.0	3.0	0.0	0.0	6.6
Michoacán de Ocampo	23.7	0.0	0.0	0.2	2.2	0.2	0.0	21.2
Morelos	2.4	0.0	0.0	0.0	2.4	0.0	0.0	NA
Nayarit	12.7	0.0	0.5	0.0	12.2	0.0	0.0	NA
Nuevo León	36.8	0.0	0.0	0.0	16.3	0.0	0.0	20.5
Oaxaca	14.6	0.0	0.0	0.0	9.7	4.6	0.2	NA
Puebla	0.3	0.2	0.0	0.0	0.2	0.0	0.0	NA
Querétaro	0.0	0.0	0.0	0.0	0.0	0.0	0.0	NA
Quintana Roo	1.4	0.0	1.0	0.0	0.3	0.0	0.0	NA
San Luis Potosí	2.8	0.0	0.0	0.4	1.2	0.0	0.0	1.2
Sinaloa	0.7	0.2	0.0	0.0	0.5	0.0	0.0	NA
Sonora	0.0	0.0	0.0	0.0	0.0	0.0	0.0	NA
Tabasco	2.0	0.7	0.0	0.0	1.4	0.0	0.0	NA
Tamaulipas	0.0	0.0	0.0	0.0	0.0	0.0	0.0	NA
Tlaxcala	0.0	0.0	0.0	0.0	0.0	0.0	0.0	NA
Veracruz de Ignacio de la Llave	12.3	0.0	0.0	0.0	3.9	0.0	0.0	8.4
Yucatán	3.6	0.0	0.0	0.0	3.6	0.0	0.0	NA
Zacatecas	15.4	0.0	0.0	0.4	13.3	0.4	0.0	1.3

Source: Mexico, National institute of Statistics and Geography (INEGI), *National Census of State Penitentiary Systems 2022* (Mexico, 2022). Available at [www.inegi.org.mx/programas/cnsipee/2022/](http://www.inegi.org.mx/programas/cnsipee/2022/).

### 3.6 Data on staff conduct

Rule 3 of the Nelson Mandela Rules states that imprisonment is afflictive through the deprivation of freedom and self-determination and, as such, the prison system should not aggravate the suffering already inherent in imprisonment. In other words, people are sent to prison as punishment, not for (additional) punishment. Prison facilities, when not well run or supervised, can become environments where the violation of human rights and the poor treatment of prisoners might occur with impunity.

To safeguard the basic rights of prisoners from poor management and potential abuse, a professional staff is a basic requirement. In addition, a working system should be in place that allows prisoners to express their requests and complaints regarding their treatment or conditions of imprisonment.

This thematic area also covers the use of force by prison staff. As noted in Rule 82 of the Nelson Mandela Rules, force should not be applied by staff in their relations with prisoners, except in strictly limited and specific circumstances.

#### 3.6.1 Complaints

A prison is only as good as the staff that run it, which is why professionalism and proper oversight are vital. Prison staff wield a great deal of control over the lives of prisoners, making it necessary to ensure that their behaviour is bound by local legislation and international treaties, standards and norms. Prisoners should be informed about prison regulations, their rights during imprisonment and their right to file complaints upon admission.<sup>46</sup> Such complaints need to be registered and systematized so they can be addressed. These data allow for management to review, among others, the number of complaints received, the types of complaints received and the percentage of complaints that are successfully addressed.

The review of complaints data should contribute to transparency and accountability and ensure professionalism from staff and the humane treatment of prisoners. This process starts with the consistent registration of complaints, disaggregated by type – such as complaints about staff, searches, sanctions, legal access or food services – investigation status and characteristics of the complainant. It should be noted that this dimension focuses on complaints made directly by prisoners but could also include complaints made on behalf of the prisoner by their legal adviser, a member of the prisoner’s family or any other person who has knowledge of their case.

It is noted that the Nelson Mandela Rules specify that it should be possible to make complaints in a confidential manner upon request and, as such, prisoner details may not always be available for statistical purposes.

Table 3.23 highlights the proposed variables for the complaints dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

Table 3.23 Proposed variables for complaints dimension

COMPLAINT DETAILS	
Unit of analysis	Description
Complaint	Individual complaints submitted to the prison administration
Variable	Description

<sup>46</sup> Rules 54–57 of the Nelson Mandela Rules.

Prison ID	Unique identifier of prison facility
Complaint ID	Unique identifier of complaint
Type	Type of complaint (e.g., staff conduct, legal access, prison conditions)
Registration date	Date of complaint registration
Resolution date	Date of complaint resolution
Status	Investigation status
Outcome	Outcome of investigation
Response	Indicator of whether the prison administration has addressed the substantiated complaint
Prisoner ID	Unique identifier of prisoner
Sex	Sex of prisoner
Age	Age of prisoner
Ethnicity	Ethnicity of prisoner
Citizenship	Citizenship of prisoner
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group
Reported	Identifier of who submitted the complaint (e.g., prisoner, relative, legal representation)

An example of the collection of complaints data in New Zealand is presented in Box 3.15.

### Box 3.15

#### Complaints data, New Zealand

The New Zealand Department of Corrections produces complaints data that are disaggregated by institution, type of complaint, response time and period. It also shares information on complaints on escort and court custodial services, the Victim Notification Register and unwanted prison mail. Selected complaints data are shown in Table 3.24.

Registering information on the type and location of complaints can provide the prison system with a wealth of feedback on its operations, challenges and needed improvements. When viewed through this prism, registering complaints data in a reliable and consistent manner can be an asset to the prison system to enable improvements in the conditions of custody.

**Table 3.24 Number of complaints by category and year**

<i>Category</i>	<i>2019–2020</i>	<i>2020–2021</i>	<i>2021–2022</i>
Communications	977	1 005	896
Food services	430	451	546
Health services	1 636	1 516	1 166

Misconduct	146	118	115
Other	1 682	1 810	1 548
Personal and official visitors	260	196	217
Prison conditions	511	614	631
Prison work and pay	236	247	254
Prisoner management	466	535	620
Prisoner property	2 351	2 270	1 979
Prisoner requests	760	914	766
Prisoner welfare	649	777	592
Recreation, exercise and sport	100	142	126
Security classification	410	495	419
Sentence management	299	295	269
Staff conduct and attitude	1 248	1 381	1 260
Temporary release and removal	29	19	22
Transfers and movements	377	504	474
<b>Total</b>	<b>12 567</b>	<b>13 289</b>	<b>11 900</b>

Source: New Zealand, Department of Corrections, “Complaints Statistics”. Available at [www.corrections.govt.nz/resources/statistics/complaints\\_statistics](http://www.corrections.govt.nz/resources/statistics/complaints_statistics).

### 3.6.2 Use of force

Prison personnel require clear rules regarding use of force to avoid creating abusive environments or causing physical or mental harm to the prisoners when resorting to force. The Nelson Mandela Rules state that force shall not be used against prisoners except in a limited number of circumstances. Moreover, prison staff who do apply force must use no more than strictly necessary and report such incidents immediately.<sup>47</sup> Careful registration of use of force incidents needs to be maintained to learn from these incidents and seek strategies to anticipate risks and reduce the number of situations that require the use of force. Information that can be generated on this key dimension includes the type of force applied, details on the staff member applying force and details on the prisoner subject to force.

To generate relevant statistics at the level of the incident, staff member and individual prisoners, it is important to be able to link data between these levels. Since multiple prisoners may be involved in a single incident that might involve multiple staff members, the role of the unique identifier variables is to be able to create links and enable the prison system to generate statistics using different units of analysis. For example, a prison officer may be interested in learning more about the characteristics of prison staff that were involved in a specific incident. By filtering on the incident ID, details on all prison staff who were involved would be available. In short, data should be recorded separately for the

<sup>47</sup> Rule 82 of the Nelson Mandela Rules.

sanction and the affected prisoners – with the unique identifiers providing the means to link the relevant data and generate valuable aggregate statistics.

Table 3.25 highlights the proposed variables for the dimension. Further details, suggested (minimum) categories and notes are contained in the annex.

**Table 3.25 Proposed variables for use of force dimension**  
(Core dimension)

<b>INCIDENT DETAILS</b>	
<b>Unit of analysis</b>	<b>Description</b>
Incident	Incident in which use of force was applied against prisoner(s)
<b>Variable</b>	<b>Description</b>
Prison ID	Unique identifier of prison facility
Incident ID	Unique identifier of use of force incident
Type	Type of use of force deployed
Date and time	Date and time of use of force incident
Reason	Main reason for using force
Nature of use of force	Planned use of force or responsive use of force
Order	Identifier of whether staff member was ordered to use force by a superior officer
Violation	Identifier of whether use of force, as applied in the incident, violates national policy and/or law
<b>STAFF DETAILS</b>	
<b>Unit of analysis</b>	<b>Description</b>
Staff	Individual staff member(s) involved in a single incident
<b>Variable</b>	<b>Description</b>
Prison ID	Unique identifier of prison facility
Incident ID	Unique identifier of use of force incident
Staff ID	Unique identifier of staff member
Sex	Sex of prison officer involved in use of force incident
Age	Age of prison officer involved in use of force incident
Ethnicity	Ethnicity of prison officer involved in use of force incident
Experience	Years of experience of prison officer involved in use of force incident
Rank	Rank of prison officer involved in use of force incident
Injury	Severity of bodily injury sustained by staff member during the incident (if applicable)
<b>PRISONER DETAILS</b>	
<b>Unit of analysis</b>	<b>Description</b>

Prisoner	Individual prisoner(s) involved in a single incident
Variable	Description
Prison ID	Unique identifier of prison facility
Incident ID	Unique identifier of use of force incident
Prisoner ID	Unique identifier of prisoner (e.g., prisoner number)
Sex	Sex of prisoner involved
Age	Age of prisoner involved
Ethnicity	Ethnicity of prisoner involved
Citizenship	Nationality of prisoner involved
Security classification	Security classification of the prisoner involved
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group
First aid	Identifier of whether prisoner received first aid after (and as a result of) use of force
Medical treatment	Identifier of whether prisoner received medical treatment after (because of) use of force
Physical outcome	Physical outcome of use of force incident
Sanction	Identifier of whether the prisoner was sanctioned as a result of the incident
Sanction ID	Unique identifier of sanction (if applicable)
Warning	Identifier of whether a warning was given to the subject prior to the use of force

An example of the collection of use of force data in Canada is presented in Box 3.16.

### Box 3.16

#### Use of force data, Canada

Not all prison statistics need to be produced by the prison system. External supervisory entities are ideally placed to collate data on sensitive and confidential issues such as complaints or inspections. By assigning these tasks to third parties, the prison system can avoid situations of conflict of interests and receive feedback that is less impacted by bias and that can be essential for proper operations.

The mission of the Office of the Correctional Investigator in Canada is to ensure the fair and humane treatment of persons serving federal sentences. This is done by drawing attention to human rights obligations and holding the system accountable for administering federal corrections in a way that is compliant to law, policy and fair decision-making. The office is mandated by Part III of the Corrections and Conditional Release Act as an independent Ombudsman for individuals under the custody or supervision of the Correctional Service of Canada. The primary function of the Office is to investigate and bring resolution to individual complaints under its jurisdiction.

The Office of the Correctional Investigator generates an annual report that covers statistics on complaints, use of force, and reviewed incidents. For use of force, the information is disaggregated

by region, type of facility (men/women) and type of measure. Selected data are provided in table 3.26.

**Table 3.26 Frequency of most applied use of force measures at women’s institutions, 2021–2022**

<i>Measure</i>	<i>Frequency</i>
Physical handling	76
Verbal intervention	76
Restraint equipment	47
Inflammatory spray (IS) or chemical agent (CA)	24
Pointing IS or CA with verbal orders	16
Soft restraints	5
Emergency response team	4
Baton	1
<b>Total</b>	<b>249</b>

Source: Canada, Office of the Correctional Investigator, *Annual Report 2021–2022* (Canada, 2022). Available at <https://oci-bec.gc.ca/en/reports/annual>.

## PART III: IMPLEMENTATION

Collecting the data suggested in the framework presented in part II is only the first step in the process of producing high-quality statistical data. To make the data practically useful they have to be transformed into useable information for decision makers through rigorous analysis. Chapter 4 gives a brief overview of both kinds (descriptive and inferential) for the consideration of decision makers. Since not all prison systems may have the in-house capabilities to conduct sophisticated statistical analyses, the chapter ends with a discussion on the potential of data partnerships.

Chapter 5 provides basic information on data governance and briefly discusses data collection, quality and dissemination. All are essential for ensuring the successful collection, production and dissemination of data that provide added public value.

This overview discusses some of the basic considerations that could be taken into account during the implementation process for the framework presented in the current guidelines. The following will be briefly discussed: interagency collaboration, standardized data formats, unique identifiers, data privacy and security, and data dissemination. For a more comprehensive discussion on developing a system of criminal justice statistics more broadly, please refer to the forthcoming UNODC publication dedicated to this topic.<sup>48</sup>

### **Facilitate interagency collaboration**

Interagency collaboration is important to align and harmonize efforts to implement the proposed framework and enhance the value of data. A basic step to harmonizing crime statistics in any country is to develop a national crime classification that is aligned with ICCS and adhered to by all relevant institutions. Implementing the international classification can offer a starting point that brings together different institutions and spurs a broader discussion on data availability, data quality and standardization of data within the criminal justice sector.

Effective collaboration is also vital in prioritizing (parts of) the current framework, ensuring comparability between the outputs of different agencies and avoiding duplication of efforts. Coordinating across the different institutions of the criminal justice system can also prove to be vital, as the output of one institution can serve as the input to another. For example, convicted offenders directed to the prison system by the courts represent output statistics for the courts and input statistics for the prison system.

Interagency collaboration further supports the completion of an assessment of the current system of criminal justice statistics. This will allow the different stakeholders to identify where data is currently being held, whether these data are compatible with the proposed framework and which data gaps exist.

It is recommended to facilitate interagency collaboration by setting up a formal or informal coordination mechanism that brings together the different agencies working on implementation of the framework at regular intervals. One way to formalize this collaboration is by drafting a Memorandum of Understanding that clarifies roles and responsibilities, spells out objectives and sets concrete timeframes.

<sup>48</sup> *Guidelines for the Governance of Administrative Data in the Criminal Justice System* (United Nations publication, forthcoming).

## **Standardize data formats and data transfer protocols**

Standard data formats and data transfer protocols are crucial to ensure interoperability of the data across institutions. The framework presented in the current guidelines provides guidance on the kinds of data to collect using standardized variables and response categories. However, in which format the data are stored and how they are exchanged are just as essential.

Any data collection produces a data set, which is a collection of data or information that generally has a predetermined structure (with a standardized format normally tabulated with rows and columns – much like a standard Excel spreadsheet). In the case of tabular microdata, each column of a table represents a particular variable (e.g., the age of a victim) and each row corresponds to a particular record in the data set (e.g., a specific court case). Administrative data collections are generally stored in structured data sets that can have different formats (e.g., XML, CSV, SQL, XLSX or JSON) depending on the system in place in the relevant institution. There would preferably be agreement between the involved agencies on which data format to use before implementation of the framework is undertaken.

In addition, the protocols by which administrative data and metadata (see Box 5.1) are to be transferred should be clearly specified. These protocols will differ between countries and may even differ between different administrative authorities of the same country. This is largely a product of the level of maturity of the IT-system of the different data providers and the institution responsible for collating the data. Assuming incident-based data is collected in an electronic format, the data providers may send data files to the responsible institution or this institution may extract the data directly from the administrative data source.

## **Assign unique identifiers**

The use of unique identifiers plays a pivotal role in data management as it allows individual records to be accurately linked. Unique identifiers are alphanumeric codes or numbers assigned to individuals or entities within a system. As implied by the term “unique”, no two records should have the same identifier. This facilitates the linking of data between different data sets. For the prison system this property is especially important for connecting information related to prisoners, reintegration, safety and security, and conduct. For example, as proposed in the current framework, a unique identifier can be used to link all records associated with a particular prisoner, including data on their profile, their participation in programmes and their possible involvement in security incidents.

When considering the broader criminal justice system, unique identifiers can also be used to exchange data between the police, the prosecution service, the courts and the prison system. Such an interoperable system of administrative data would enable the tracking of cases across the system and can provide deeper insights into the workings of the criminal justice system. For example, it becomes possible to track a specific offender in a case recorded by the police, better understand the decision to prosecute, document information on sentencing outcomes and evaluate the effects of rehabilitative treatment (which could be particularly relevant for research into recidivism).

When implementing unique identifiers, it is crucial to develop a standardized format with fixed naming conventions and implement robust validation checks to prevent the creation of invalid or duplicate identifiers. In addition, clear guidance should be in place regarding the management and retirement of unique identifiers.

## **Ensure data privacy and security**

Data privacy and security are a pillar of statistical production with privacy, security and confidentiality being important elements of the Fundamental principles for Official Statistics.<sup>49</sup> National statistics are aggregated from individual records and often contain personal information – thus mechanisms must be implemented to preserve data confidentiality and ensure data is accessible only to authorized personnel and only on an as needed basis. The increasing use of, availability and access to data raise a number of questions not only about their ethical use, collection, treatment and storage, but also about responsibility, accountability, fairness and the respect of human rights in relation to the data. Since trust is difficult to earn and maintain, and even more challenging to restore, preserving public trust has been and will continue to be crucial for Governments. This requires data to be handled with ethics-, privacy- and security-related concerns in mind.<sup>50</sup>

*Ethics* refer to ways data are handled without causing direct or indirect harm to anyone. Legislation is one route to ensuring the ethical management and use of personal information in the criminal justice sector. Countries may have formal requirements articulating the principles for gathering, processing, sharing, accessing and reusing data in order to prevent, and sanction, any behaviour outside of the public interest.

*Privacy* is a concept that applies to data subjects. The individual whose data are being collected should be aware of the purpose of the data collection and their privacy should be protected. People may not be aware of the value of making data about them accessible and may fear that they are being “watched” by the state.

*Security* refers to the measures taken to prevent unauthorised access or use of data. People need to know that efforts are being made to ensure that their privacy is respected and that they can trust government to handle their personal information, and to protect them from potential risks associated with how governments handle those data.

## **Promote the dissemination and use of data**

Data and statistics are only valuable when they are used. In other words, the value of crime and criminal justice statistics should not only be measured by the quality of the data (as discussed in section 5.3) but also by their potential use for strategic decision making at different levels of government, their use by society at large and their practical contribution to achieving fair and equitable justice for all. To enable their use and reuse, the prosecution service and the courts should study the needs of both internal and external users, and consider developing a dedicated data dissemination strategy (see section 5.4).

<sup>49</sup> [A/RES/68/261](#).

<sup>50</sup> Organisation for Economic Co-operation and Development, *The Path to Becoming a Data-Driven Public Sector* (Paris, OECD Publishing, 2019)

## 4 How to use the data

Good criminal justice statistics are essential for understanding and trying to shape social development.<sup>51</sup> The annex to the present document specifies the suggested variables associated with the dimensions of the statistical framework described in part II. These variables provide the basic data points that the prison system should strive to collect if they are to produce and use relevant statistics that offer the basis for improved decision-making and greater transparency.

In general, two kinds of analyses can be carried out: descriptive and inferential. A brief overview of both kinds, underpinned with basic examples, is given below. The chapter underlines that individuals must have the appropriate educational background and experience to conduct proper data analysis. This kind of expertise can be developed internally or it can be supported by external partners.

### 4.1 Conducting basic (descriptive) analyses

***Descriptive statistics summarize data and provide insight into who, what, when and where questions***

Descriptive analysis is used to summarize the characteristics of a data set and reveals what happened, where, when, how and who was involved. Examples include the number of prison officers in a specific facility, the recidivism incidence in a specific region or the number of prisoners by crime category admitted in a facility during the past year. The information typically comes in the form of frequency tables of a single variable (e.g., number of staff by sex), cross tabulations that combine more than one variable (e.g., number of prisoners by ICCS crime category and sex of prisoners) or summary statistics (e.g., total amount of drugs seized in a prison in a given year). This kind of information supports decision makers and, although a relatively simple method of analysis, offers the potential for powerful new insights and previously undetected patterns to be discovered.

Tables 4.1, 4.2 and 4.3 illustrate examples of the three forms of descriptive analysis highlighted above using data from Australia, Costa Rica and Canada. Additionally, Box 4.1 contains an example of the geospatial application of descriptive statistics in Italy.

**Table 4.1 Example of a frequency table: Average quarterly number of persons in custody, Australia**

<i>Quarter</i>	<i>Prisoners</i>
2017 Q3	41 262
2017 Q4	41 270
2018 Q1	42 102
2018 Q2	42 855
2018 Q3	43 018
2018 Q4	42 779
2019 Q1	43 320
2019 Q2	43 306
2019 Q3	42 987
2019 Q4	43 069

<sup>51</sup> See *Manual for the Development of Criminal Justice Statistics* (United Nations publication, 2003); and [E/CN.3/2013/11](#).

2020 Q1	44 159
2020 Q2	41 784
2020 Q3	41 002
2020 Q4	41 668
2021 Q1	42 633
2021 Q2	43 073
2021 Q3	42 506
2021 Q4	40 862
2022 Q1	40 330
2022 Q2	40 627
2022 Q3	40 907

Source: Australian Bureau of Statistics, Corrective Services Key Statistics “September Quarter 2022”. Available at [www.abs.gov.au/statistics/people/crime-and-justice/corrective-services-australia/sep-quarter-2022](http://www.abs.gov.au/statistics/people/crime-and-justice/corrective-services-australia/sep-quarter-2022).

Note: Based on average daily number of persons in custody.

**Table 4.2 Example of cross tabulation: Number of prisoners by legal condition and sex, Costa Rica**

<i>Legal Situation</i>	<i>Total</i>	<i>Male</i>	<i>Female</i>
Sentenced	17 669	16 596	1 073
Remand	3 872	3 599	273
<b>Total</b>	<b>21 541</b>	<b>20 195</b>	<b>1 346</b>

Source: Costa Rica, Ministry for Justice and Peace, *Annual Statistics Report 2021* (Costa Rica, 2022). Available at [www.mjp.go.cr/Documento/Catalogo\\_DOCU/64](http://www.mjp.go.cr/Documento/Catalogo_DOCU/64).

**Table 4.3 Example of summary statistics: Number of deaths in federal custody by cause of death, Canada**

<i>Year</i>	<i>Homicide</i>	<i>Suicide</i>	<i>Other causes</i>
2009/2010	1	9	39
2010/2011	5	4	41
2011/2012	3	8	42
2012/2013	1	11	43
2013/2014	1	9	38
2014/2015	1	13	53
2015/2016	3	9	53
2016/2017	0	3	44
2017/2018	2	6	47
2018/2019	5	6	40

Source: Canada, Public Safety Canada, *Corrections and Conditional Release Statistical Overview 2020* (Canada, 2022). Available at [www.publicsafety.gc.ca/cnt/rsrscs/pblctns/ccrso-2020/index-en.aspx](http://www.publicsafety.gc.ca/cnt/rsrscs/pblctns/ccrso-2020/index-en.aspx).

## Box 4.1

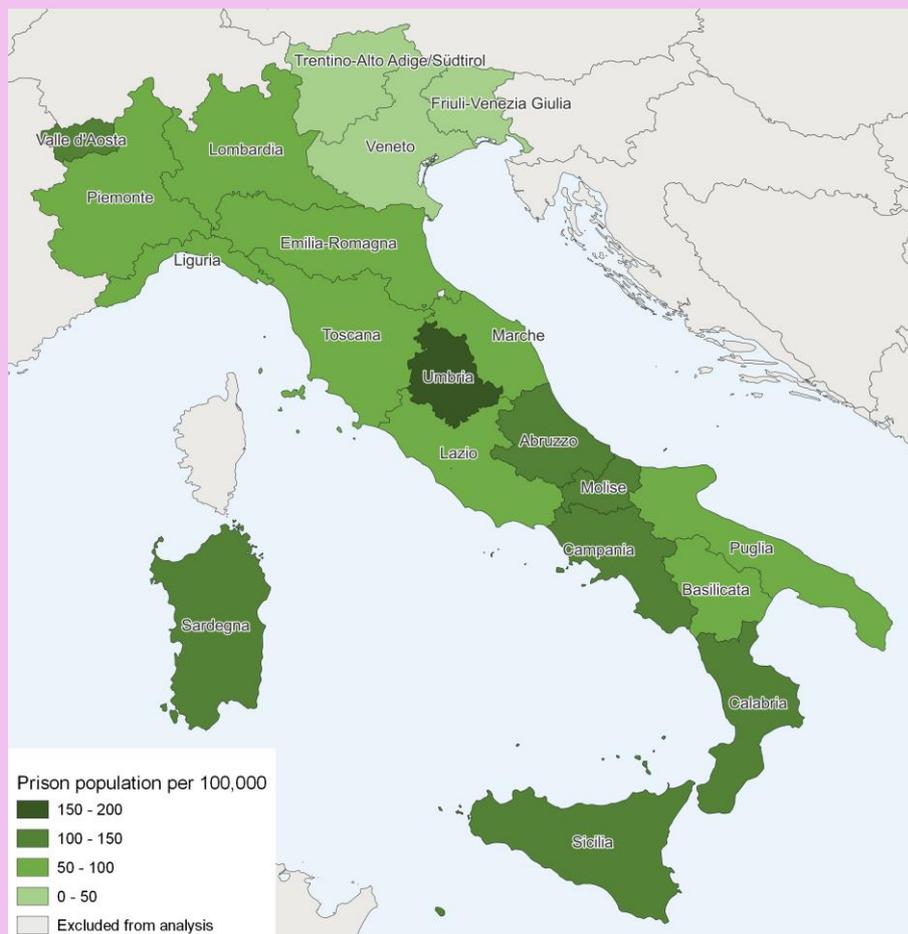
### Application of geospatial data, Italy

Basic descriptive statistics can be combined with geospatial analysis to create powerful visualizations of patterns on a map. For example, map 4.1 was created by using 2021 data on the total population and the prison population of each region in Italy to produce the incarceration rate per 100,000 residents. Darker shades on the map indicate a higher incarceration rate, while lighter shades represent a lower incarceration rate.

Three regions in the north-eastern part of Italy — Friuli-Venezia Giulia, Trentino-Alto Adige/Südtirol and Veneto — have rates of fewer than 50 prisoners per 100,000 residents. Some of the more southern regions — such as Calabria, Sardegna and Sicilia — have incarceration rates of more than 100.

Data visualizations like this can highlight potential challenges in specific regions, open new areas of inquiry and provide decision makers with detailed information that can assist them in policy design and resource allocation. Further study could be conducted to answer more specific questions.

Map 4.1 Prison population per 100,000 residents by region in Italy, 2021



*Note:* The boundaries and names shown and the designations used on this map do not imply official endorsement or acceptance by the United Nations.

*Source:* Calculations based on ISTAT data for the prison population held in institutions and resident population on 1 January 2021. Available at <http://dati.istat.it/Index.aspx>.

## 4.2 Conducting advanced (inferential) analysis

### *Inferential analysis is focused on extracting deeper insights and testing relationships*

Inferential analysis goes a step further than descriptive analysis and concerns the testing of hypotheses, a statistical method for testing whether a proposition is sufficiently supported by the data. This allows more complex questions to be answered, such as whether young men are more likely than older men to be subjected to sanctions, whether certain factors make a person more likely to have illicit items in their cell, or whether more experienced staff members are less likely to resort to force than less experienced staff members. In other words, the language switches from talking about numbers to talking about likelihoods. Box 4.2 contains an example of data analysis to reveal the likely causes of prison violence.

The most basic way to test a relationship is to look at two variables and investigate whether there is a correlation. This means that when the value of one variable increases or decreases, so does the value of the other variable (either in the same or opposite direction); however, when two variables are correlated it does not automatically mean that a change in one variable is the cause of a change in the other variable.

For example, suppose that the data show that both the number of prison officers and the number of reported incidents within a prison have increased over the past five years. It can be concluded that there is a positive correlation between the two variables, but this does not mean that the hiring of more officers has caused incidents to increase. Rather, it is likely that the presence of a larger number of officers makes it easier to detect incidents. Exactly why this is the case is a subject for further study and analysis.

Using data to conduct more sophisticated analyses can provide invaluable insights that can help to enhance the rehabilitative function of prisons and keep prisons safer for both prisoners and staff. This process can support evidence-based decision making in the prison system by generating some of the basic data required for conducting scientific research. As noted below, the prison system is likely to be limited in its research and evaluation capabilities and any form of in-depth analysis would likely require the prison system to work with the scientific community and share – within the boundaries of the law – the (anonymized) administrative data. The added value of data analysis and scientific research is that patterns can be identified and acted upon, and prisoners, the prison system and the public are ultimately better off when operational effectiveness is enhanced, safety is ensured and human rights are respected.

### Box 4.2

#### **Research into the causes of prison violence**

Physical violence – assaults on prisoners or staff, or fighting between prisoners – has long presented a worrying problem in prisons. For prisons to serve their purpose in society it is important that they remain as safe and orderly as possible. Violence between prisoners or against staff can cause considerable physical and psychological harm in itself and, furthermore, violent indiscipline has been associated with increases in re-offending after release. On behalf of His Majesty's Prison and Probation Service (HMPPS) in the United Kingdom, James McGuire investigated the occurrence of violent assaults by male prisoners and conducted a meta study of 97 research studies published since 1 January 2000 to review the drivers of prison violence.

In terms of prisoner profile, young men convicted of a violent offence and with a history of drug offences and gang involvement are associated with a higher likelihood of committing violence in prisons. Violence is more likely to occur in places with less staff oversight (such as washrooms) and less likely to occur in places where prisoners are engaged in organized activities (such as education classes or rehabilitation programmes).

Establishing and communicating a legitimate and justifiable system of rules that is upheld consistently and fairly by staff at all levels is associated with lower rates of violence. It is likely that a greater availability of meaningful activities within the prison would also be associated with lower levels of violence.

Creating safer environments in prisons requires a high level of staff skill. By building positive and collaborative relationships with prisoners and using styles and patterns of interaction that wield authority alongside respect, the risk of violence could be reduced or mitigated. Moreover, when incidents occur, they should be recorded and analysed to reveal alternative strategies and routines that could minimize the potential for conflict.

*Source:* James McGuire, “Understanding prison violence: a rapid evidence assessment” (HMPPS, 2018). Available at [www.gov.uk/government/publications/understanding-prison-violence-a-rapid-evidence-assessment](http://www.gov.uk/government/publications/understanding-prison-violence-a-rapid-evidence-assessment).

### ***Formulating relevant research questions and investing in dedicated staff are essential***

Since inferential analysis is most valuable when attempting to answer specific questions, open dialogue between decision makers and data analysts will accelerate the production of valuable results. The systematic collection of standardized data is a means to an end that enables propositions that go beyond intuition to be tested. When used well, inferential analysis is a powerful tool that lays the basis for evidence-based decision-making, and when initial intuition turns out to be incorrect, such analysis can suggest alternative explanations and clear up misconceptions.

Modern statistical software packages have made highly sophisticated techniques of analysis more accessible, but if there is no understanding of the underlying assumptions of those techniques and there is no guarantee that the design of the data series is consistent with the applied techniques, personnel untrained in statistics could draw incorrect or biased conclusions. Moreover, while these tools could support human workflows and tasks and enhance risk mitigation, the use of opaque predictive models driven mainly by data rather than theory could overemphasize correlations, be difficult to interpret practically and raise ethical questions.<sup>52</sup> To overcome such obstacles, it is recommended to contract dedicated staff capable of conducting such advanced types of analysis or, if the requisite resources are unavailable, to invest in data partnerships. Such partnerships are discussed in section 4.4.

## **4.3 Finding complementary data**

### ***Complementary data go beyond prison system administrative records and can provide additional insight into public perceptions and prison management***

The framework proposed in the present statistical guidelines is focused on data that can be produced by the prison system based on current procedures and records; in other words, data produced by

<sup>52</sup> Pia Puolakka and Steven van de Steene, “Artificial Intelligence in Prisons in 2030: An Exploration on the Future of AI in Prisons”, *Advancing Corrections Journal*, No. 11 (2021).

prison facilities themselves. Note that this will not always be the case for every dimension of the framework in every country as some of the data may be collected by other agencies. However, in addition to this, a wide variety of potential data that touch upon topics that could be of interest to the prison system are available, some of which are already being collected by third parties. They include data on recidivism, parolee behaviour, housing and health of ex-offenders, demand for new skills in the job market, hospital admissions and welfare requests, among others. This information can assist the prison system in reviewing the treatments and services provided in prison facilities to improve the likelihood of prisoners' successful rehabilitation and social reintegration into society. Analysing the factors that may have contributed to reoffending can guide the prison system to rethink how they prepare prisoners for release.

The Annual Probation and Annual Parole surveys in the United States, for example, are used by the Bureau of Justice Statistics to provide detailed information on adults on state and federal probation and parole.<sup>53</sup> Findings from the 2021 report detail how people move onto and off community supervision, such as completing their term of supervision, being incarcerated, absconding, or other unsatisfactory outcomes while in the community. All this information can assist prison administrations in identifying new strategies to improve the social reintegration prospects of prisoners.

***Relevant complementary data can be found not only outside prison systems but also within them***

While the framework suggested in the present statistical guidelines provides basic information on prison operations, it may not allow very specific questions to be answered; additional study and data collection would be required for that purpose. For example, the National Institute of Statistics and Geography (INEGI) of Mexico conducts a periodic survey of prisoners (see Box 4.3). Such complementary data allows for more detailed analysis and better understanding of prison operations.

**Box 4.3**

**Complementary data, Mexico**

INEGI carried out the National Survey of Imprisoned Population (ENPOL) in 2021 to collect relevant statistical information on the prosecution and detention conditions of the legally incarcerated population age 18 and over, their demographic and socioeconomic profile, the crimes for which they were prosecuted and sentenced and conditions of imprisonment among other characteristics. For the 2021 survey, a representative sample of 67,584 prisoners (55,535 men and 12,049 women) throughout the country were interviewed. While some of the qualitative findings align with official prison statistics, it is important to hear prisoners' voices and assess the results to identify possible divergences or underscore prison data that may otherwise be overlooked.

The interviews provided an opportunity to gather information on issues that affect prisoners' well-being and successful reintegration that might not be included in administrative records. For example, the survey collected information on corruption in penitentiary centres (map 4.2), the release expectations of prisoners and their criminal, legal and family records. Furthermore, the survey collected data on prisoners' experiences during detention and trial.

<sup>53</sup> United States Department of Justice, Bureau of Justice Statistics, *Probation and Parole in the United States 2020* (2021). Available at <https://bjs.ojp.gov/library/publications/probation-and-parole-united-states-2021>.

**Map 4.2 Percentage of prisoners who experience corruption inside prisons by state in Mexico, 2021**



*Note:* The boundaries and names shown and the designations used on this map do not imply official endorsement or acceptance by the United Nations.

*Source:* Calculations based on INEGI data from the *National Survey of Imprisoned Population (ENPOL) 2021*. Available at: [www.inegi.org.mx/programas/enpol/2021/](http://www.inegi.org.mx/programas/enpol/2021/).

## 4.4 Building data partnerships

***Data partnerships allow the prison system to overcome internal resource constraints, extract greater value from the data and increase staff capacities***

It is challenging to collect and analyse data, and it takes up significant resources, both human and financial, to conduct a rigorous and unbiased analysis. Data partnerships can play an important role in overcoming such resource constraints. Data partners are third parties that provide data-related services ranging from technical advice and capacity-building to comprehensive data analysis facilitated through data-sharing agreements (see Box 4.4 for an example). Choosing the right data partners makes benefitting from research and analysis possible even when internal resources are limited. Finding strategic data partners can help prison systems that already have dedicated research units extract the full value of their data. The following are three potential partnership areas:

- Universities, research institutes, national statistical offices and civil society organizations can be particularly useful for finding the right questions to ask, developing appropriate methodologies and collecting and analysing data. Ideally, partners should be technical experts with a substantial degree of research experience and substantive knowledge of the issues. Such partnerships could be formed with both national and international partners, are of a more technical nature and deal directly with the data. The national statistical office is also a crucial partner in the development of a system of criminal justice statistics.

- Government- and donor-sponsored data initiatives can offer valuable data partnerships. This could involve, for example, additional funding for data collection, technical advice on the production of statistics or the opportunity to join national research networks. Such networks can be particularly helpful for building the statistical capacity of staff members and providing access to the experience of a wide network of researchers in other (government) agencies.
- UNODC and other relevant international organizations can also serve as key partners. As custodian of numerous international standards and norms related to crime and criminal justice and ICCS, UNODC is particularly well placed to provide countries with technical expertise and capacity-building in this field. In addition, UNODC manages the primary international data collection on crime trends and the operations of criminal justice systems and, as such, can provide important data expertise.

When setting up a data partnership, it is vital to keep data governance in mind, as covered in the following chapter. In short, it is important to clarify needs, define which questions are to be answered by when, and provide clarity on data security, data ownership and the limits of data use. Data partnerships should only be formed with credible partners that have a good reputation and sufficient research experience, preferably in the field of corrections. Finding the right partner can prove to be a valuable step in making the most of data, using the insights they provide to serve the community better and to build or strengthen internal capacities.

#### Box 4.4

#### Data partnership, Council of Europe

The Council of Europe Annual Penal Statistics, better known as SPACE (Statistiques Pénales Annuelles du Conseil de l'Europe) Statistics, launched the SPACE project on the use of prison and probation in the 46 member States of the Council of Europe. It currently consists of two related projects. SPACE I provides data on imprisonment and penal institutions annually since 1983. SPACE II collects data on non-custodial sanctions and measures since 1992 (annually since 2009).

The annual reports of SPACE I and SPACE II include information from the Council's member States. The questionnaires that feed both reports are sent every year by a research team of the Criminology Research Unit at the School of Criminal Sciences (Ecole des Sciences Criminelles) of the University of Lausanne (UNIL).

National correspondents working at the prison and probation services of each member State respond to the survey, and the UNIL research team conducts data validation procedures that involve multilevel counterchecking of the information received.

The questionnaires require data as well as metadata. The latter refer to the rules applied in each country to collect and register data in the national statistics. The aim is to obtain data as comparable as possible across countries and to be able to account for differences across them using the metadata collected.

The SPACE project is an example of the type of data partnerships that can be built, not only with universities, but also at the multilateral level.

Source: Available at [www.coe.int/en/web/prison/space](http://www.coe.int/en/web/prison/space).

## 5 How to manage the data generated with the statistical framework

While collecting data can be a complex endeavour for an individual prison facility, coordinating a data collection, production and dissemination exercise across the entire prison system or across the full criminal justice sector is a vastly more complex activity. Without a clear distribution of roles and responsibilities across organizations, the process is likely to be disorganized. For example, it may be unclear how data are supposed to be collected, which definitions to use, how to format the data and when to submit the data to specific authorities. The key is to develop a functioning system for managing data with clear roles assigned to entities and transparent procedures for data production, protection and dissemination.

The *Manual for the Development of a System of Criminal Justice Statistics*<sup>54</sup> provides two basic requirements for building a statistics system for crime and criminal justice:

- **Credibility** – For the statistical system to be credible, it is essential to obtain the commitment of all stakeholders. Without this commitment, it will be difficult to implement national reporting standards and common data definitions. This includes a robust mechanism for receiving, recording and responding to possible concerns from data suppliers, especially those related to data confidentiality and privacy. Moreover, statistics produced by a criminal justice institution cannot be viewed as subscribing to any political ideology or subject to interference by the Government. The statistics must be impartial and objective to be credible.
- **Effectiveness** – As the production and dissemination of high-quality statistics is complex and costly, human and financial resources must be managed effectively.

Beyond these two requirements, this chapter provides basic information on metadata (see Box 5.1) and data governance, and it contains a brief discussion of data collection, quality and dissemination. All are essential for ensuring the successful collection, production, distribution, use and re-use of data that provide added public value and are discussed in this chapter, although not at great length. UNODC is developing additional guidance on this topic that will be released in a forthcoming publication focusing on the development of a system of criminal justice statistics more broadly.

### Box 5.1

#### The essential role of metadata

Metadata can be thought of as data that define and describe other data. This includes information on the concepts and definitions applied, the variables and classifications used, the methodology of data collection and processing, and indications of data quality. The use and management of metadata are essential to ensure data quality and promotes efficient data exchange, a shared understanding of the data and data comparability.

A distinction can be made between structural and reference metadata.\* Structural metadata consist of identifiers and descriptors essential for organizing and processing a statistical data set (such as titles, variable names, descriptions, and more). Reference metadata describe statistical concepts and methodologies used for the collection and production of data and provide information on data quality.

<sup>54</sup> United Nations publication, 2003.

The statistical framework included in these guidelines primarily focuses on providing structural metadata that allow for the organization and processing of statistical data sets. However, this does not imply that reference metadata are not important. On the contrary, reference metadata are vital in ensuring institutions are collecting data that are comparable.

To illustrate, an example of structural metadata is the collection of the variable “official capacity” within the “physical resources” dimension by the prison system. If all relevant data providers collect data for this variable, they will produce a data set labelled “physical resources” that contains a variable named “official capacity”. This enables straightforward integration of data sets from different data providers. This is the structural metadata mentioned above. However, if the individual data providers utilize different methodologies for data collection and data aggregation, the data will not be directly comparable despite utilizing the same data structure as the reference metadata differ. For example, a prison facility can opt to report the design capacity (i.e., the number of beds planners or architects intended for the facility) or the operational capacity. If there is no clear guidance on which of the two to report, the numbers will likely not be directly comparable between different prison facilities.

Therefore, it is essential to have national consensus on the statistical classifications, concepts and methodologies applied — in line with international definitions, standards and norms whenever possible — when collecting, producing and disseminating data. It is recommended to always document and publish this information as the official reference metadata. Only then can data comparability between different data providers and criminal justice institutions be guaranteed.

\* See *United Nations National Quality Assurance Framework Manual for Official Statistics* (United Nations Publication, 2019).

## 5.1 The central role of data governance

### ***Data governance requires a specification of roles, responsibilities and procedures regarding data collection, production and dissemination***

With data playing an increasingly important role in contemporary societies, data governance is becoming ever more essential. To illustrate, both the World Bank and the United Nations Conference on Trade and Development (UNCTAD) dedicated their 2021 flagship publications to data questions and the risks associated with the lack of robust national data governance mechanisms.<sup>55,56</sup> There is no agreed definition of data governance, but it differs from data management in that it refers to the decisions that must be made to ensure the effective management of data and who makes those decisions, while data management focuses on their implementation.<sup>57</sup> A well-designed data governance framework allows the full value of data to be realized, creates trust in the integrity of a data system and ensures that the benefits of the data are equitably shared.

A key aspect of data governance is the formal institutionalization of the necessary roles and procedures for the collection, production, storage, maintenance, access, dissemination and (re-)use of data. For the present guidelines, this implies mapping the relevant stakeholders and determining who will lead the process of both developing and implementing rules and procedures on data

<sup>55</sup> World Bank, *World Development Report 2021: Data for Better Lives* (Washington D.C., 2021).

<sup>56</sup> UNCTAD, *Digital Economy Report 2021* (United Nations publication, 2021).

<sup>57</sup> Ibrahim Alhassen, David Sammon and Mary Daly, “Data governance activities: an analysis of the literature”, *Journal of Decision Systems*, vol. 25 (2016), pp. 64–75.

management. In the broader criminal justice system, this leading role could be assigned, for example, to the national statistical office, the President's office or a national chief data officer. It could also be beneficial to assign a chief data officer in the prison system who would be responsible for data governance and interagency coordination.

The entity in the leading role at the national level should hold ample methodological expertise and be well placed to ensure the sustainability of data collection efforts. In addition, special attention should be paid to citizen's needs and concerns about data use – including by consulting broadly with civil society organizations and the national human rights institution to devise a robust data protection strategy that aligns with international, regional and national legal frameworks. The leading entity could also encourage other government agencies to review their data quality policies, to develop analytical capabilities and to participate in the elaboration of national data strategies.

Whichever entity has the leading role, it is essential that all stakeholders acknowledge the importance of their role and cooperate in the process. The exact rules and procedures that should be in place depend on the national context, the type of data used and which actors are involved, among others. In the case of crime and criminal justice data, this includes the prison system, the police, the prosecution service, the courts, the national statistical office, the ministry of justice and any other stakeholder involved in the collection, production and dissemination of statistical data on the criminal justice system.

The production and dissemination of statistics could call for the involvement of the national statistical system, which comprises the national statistical office and all other producers of official statistics in the country. In most countries, the national statistical office is the designated statistical agency of the Government, and it is recognized as the entity providing the professional leadership of the national statistical system. Any data governance framework for the criminal justice sector should take into account existing data governance arrangements in the national statistical system.

A further consideration concerns alignment with national and international legislation, including the right to privacy and confidentiality as captured in international and regional human rights instruments<sup>58</sup> and emphasized in the United Nations Fundamental Principles of Official Statistics, which are detailed in Box 5.2. The use of administrative data for the production of statistics, as suggested in the present statistical guidelines, should also meet the confidentiality and privacy requirements of the broader national statistical system. The focus of the national statistical system is generally on the publication of aggregate statistics and individual data are rarely disseminated and, if so, only after being anonymized. The data governance framework should reflect these national, regional and international requirements.

For example, data collected in the European Union must comply with the General Data Protection Regulation.<sup>59</sup> Chapter 3 of the regulation details the data privacy rights and principles that are guaranteed under European Union law, with article 21 of the chapter specifying, for example, the data subject's right to object to the processing of their personal data. The data collecting entity must demonstrate compelling legitimate grounds to limit this right. More specifically, Directive 2016/680 of the European Parliament and the Council of the European Union lays down the rules relating to the protection of natural persons with regard to the processing of personal data by competent authorities

<sup>58</sup> Such as article 12 of the Universal Declaration of Human Rights and article 17 of the International Covenant on Civil and Political Rights.

<sup>59</sup> See <https://gdpr.eu/>.

for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties.<sup>60</sup>

It should also be noted that data collected on children are particularly sensitive and require procedural safeguards, special training for practitioners and dedicated data collection protocols. Children are less aware than adults of the long-term implications of consenting to their data being collected. Moreover, existing privacy and fairness concerns around the collection of data are even more important for children than for adults, given their greater cognitive, emotional and physical vulnerabilities.<sup>61</sup> That being said, the United Nations Committee on the Rights of the Child issued general comment No. 24 (2019) on children's rights in the child justice system, in which it urged States parties to systematically collect disaggregated data, including on the number of children deprived of their liberty.<sup>62</sup> Such data can be used to evaluate child justice systems in relation to matters such as discrimination, reintegration and patterns of offending, preferably carried out by independent academic institutions.

## Box 5.2

### United Nations Fundamental Principles of Official Statistics

**Principle 1. Relevance, impartiality and equal access** – Official statistics provide an indispensable element in the information system of a democratic society, serving the Government, the economy and the public with data about the economic, demographic, social and environmental situation. To this end, official statistics that meet the test of practical utility are to be compiled and made available on an impartial basis by official statistical agencies to honour citizens' entitlement to public information.

**Principle 2. Professional standards, scientific principles and professional ethics** – To retain trust in official statistics, the statistical agencies need to decide according to strictly professional considerations, including scientific principles and professional ethics, on the methods and procedures for the collection, processing, storage and presentation of statistical data.

**Principle 3. Accountability and transparency** – To facilitate a correct interpretation of the data, the statistical agencies are to present information according to scientific standards on the sources, methods and procedures of the statistics.

**Principle 4. Prevention of misuse** – The statistical agencies are entitled to comment on erroneous interpretation and misuse of statistics.

**Principle 5. Sources of official statistics** – Data for statistical purposes may be drawn from all types of sources, be they statistical surveys or administrative records. Statistical agencies are to choose the source with regard to quality, timeliness, costs and the burden on respondents.

**Principle 6. Confidentiality** – Individual data collected by statistical agencies for statistical compilation, whether they refer to natural or legal persons, are to be strictly confidential and used exclusively for statistical purposes.

**Principle 7. Legislation** – The laws, regulations and measures under which the statistical systems operate are to be made public.

**Principle 8. National coordination** – Coordination among statistical agencies within countries is essential to achieve consistency and efficiency in the statistical system.

<sup>60</sup> See <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02016L0680-20160504>.

<sup>61</sup> United Nations Children's Fund, *The Case for Better Governance of Children's Data: A Manifesto* (New York, 2021).

<sup>62</sup> [CRC/C/GC/24](#), para. 113.

**Principle 9. Use of international standards** – The use by statistical agencies in each country of international concepts, classifications and methods promotes the consistency and efficiency of statistical systems at all official levels.

**Principle 10. International cooperation** – Bilateral and multilateral cooperation in statistics contributes to the improvement of systems of official statistics in all countries.

Source: A/RES/68/261.

Despite the national idiosyncrasies mentioned above, based on OECD and World Bank recommendations, the consideration of four basic elements is recommended when designing a public sector data governance framework:<sup>63,64</sup>

- **Vision and leadership.** Includes the formulation of a (national) data strategy and the assignment of leadership roles (e.g., data officers). Data strategies enable accountability and allow for the definition of leadership roles, expectations and goals. This would allow the prison system to define a vision on the role of data in prison management along with a long-term road map on how to achieve this vision.
- **Regulation.** Emphasizes the role of data-related legislation and regulation in helping countries define and ensure compliance with data security, privacy and management policies. Data collected by the prison system contains highly sensitive and personally identifiable information that should be protected in line with relevant cybersecurity and privacy regulations.
- **Coordination and cooperation.** Focuses on aligning and harmonizing efforts to enhance the value of data for society across the different stakeholders of the crime and criminal justice sector. Prison staff responsible for the collection and management of data could meet, formally or informally, on a regular basis to discuss matters related to data governance and statistics.
- **Data architecture.** Composed of models, policies, rules and standards that govern which data are collected, how they are stored, processed, integrated and (re)used in data systems, also to ensure data interoperability. Examples include the creation of a data dictionary that specifies variables in detail and clear agreement on the data format (e.g., CSV, XLSX or JSON).

A detailed discussion of each of these four elements can be found in the upcoming UNODC publication *Guidelines for the Governance of Administrative Data in the Criminal Justice System*.

In addition, the role of institutions is key to ensuring the successful implementation of any data governance framework. Institutions are responsible for strategic planning, rulemaking and implementation. To fulfill their data related mandates, institutions should dedicate sufficient resources to data governance, increase the data literacy of staff and incentivize a culture of data use, dissemination and transparency.

One way of organizing the business processes needed to produce official statistics is described in the Generic Statistical Business Process Model.<sup>65</sup> Developed under the auspices of the United Nations Economic Commission for Europe, this model provides a standard framework and harmonized

<sup>63</sup> OECD, *The Path to Becoming a Data-Driven Public Sector* (Paris, 2019).

<sup>64</sup> World Bank, *World Development Report 2021: Data for Better Lives* (Washington D.C., 2021).

<sup>65</sup> Available at <https://statswiki.unece.org/display/GSBPM>.

terminology aimed at helping organizations modernize their statistical production processes. Its uses include:

- Providing a structure for documentation
- Providing a framework for process quality assessment and improvement
- Better integrating work on metadata and quality
- Measuring operational costs and system performance

## 5.2 Basic considerations for data collection

Prison systems tasked with collecting data for improving evidence-based decision-making and reporting to other agencies within the data governance framework face important choices regarding how the data are collected. To ensure that all involved agencies collect data in the same way, ideally how the data are to be collected would also be specified in the data governance framework. The following four general considerations should guide data collection efforts.

### ***Collecting aggregated data versus unit records***

The choice between collecting aggregate data or unit record data can have substantial consequences for the kinds of subsequent analyses possible. Aggregated data summarize similar events that took place within a certain time period, such as the total number of prison admissions each year collected from the reporting prison facilities. This provides a good overview of the situation but does not allow for more detailed analysis; for example, details from the prisoner file cannot be obtained to provide information on the prisoner, the reason for incarceration and the housing unit they are assigned to.

Aggregated data are acquired by combining unit records, which are data collected at the individual level (the lowest level of disaggregation). When collecting aggregated data as a starting point, it is no longer possible to look at data at the unit record level, as the individual records have been combined to generate the aggregated data point. Collecting and recording data at the unit record level thus provides a greater level of detail and enables more in-depth analysis. To obtain the greatest benefit from the subsequent analysis required to produce statistics, collecting unit record data is therefore recommended whenever feasible.

### ***Manual or electronic data collection***

For effective decisions to be made in a timely manner, it is essential for decision makers to have information at their fingertips. Digital technology makes data collection vastly more efficient, provides greater flexibility in analysis and allows for the advantages of automation. When trying to answer pressing questions regarding accountability, for example, the response cannot be to spend weeks compiling and analysing handwritten reports. As manual data collection is inefficient and greatly limits the kind of analyses available to decision makers, electronic data collection is recommended for enabling more responsive and more sophisticated data analysis.

However, it should be noted that electronic data collection can be vulnerable to human error and care must be given to ensuring staff members receive the appropriate training for handling such data. Standardized data processing protocols can reduce the possibility of human error and promote the collection of more accurate and more reliable data.

### ***Separate or integrated data sets***

The application of each of the 13 dimensions in the present statistical framework will result in the production of one or more separate data sets. Provided that data are collected consistently, some of

the different data sets can be linked together to allow for more in-depth analysis, which is accomplished through common fields that are available across different data sets. Information on human resources and disciplinary sanctions could be linked in this way, for example. If every prison officer has a unique identifier, officers imposing sanctions can be linked to their human resources data. Common fields can also assist data management across the different institutions of the criminal justice system. When every crime is assigned a unique case number, for example, it is theoretically possible to track a case from the police to the courts and, if a conviction is made, potentially to the prison system. This assumes that each institution is using a similar database system and structure to ensure the interoperability of the data. To enable integration and the linking of records, the adoption of common fields across data sets is recommended.

It is important to emphasize that many of the dimensions defined in chapter 3 feature proposed variables that are included to be able to identify individual records (e.g., prisoner ID). These variables are meant to link separate records together for the purpose of creating more detailed statistics by combining different sets of data. They are not meant for publication since they link to individual records. Individual data records should be carefully protected in order to respect relevant privacy and confidentiality laws during the generation of statistics, as noted in section 5.1.

### ***Counting unit***

Each component of the criminal justice system records information in a manner that is most suitable given its own activities. The police may use incidents, victims and suspects; the courts typically count cases, charges, convictions and sentences; while the prison system mainly counts offenders and inmates. Practically speaking, cases can include one or several charges with one or several crimes resulting in one or several convicted persons and sentences. Hence, using a common counting unit is a basic building block that permits the measurement of flows from one component of the criminal justice system to the next.

As noted in the *Manual for the Development of a System of Criminal Justice Statistics*, use of a person-based unit of count is recommended for each component of the criminal justice system.<sup>66</sup> Since the person is the only counting unit that has continuity throughout the criminal justice system, it allows for the measurement of flows. If the same unique person identifier is used across the different components of the criminal justice system within a single criminal case, it is possible to link records, which can greatly improve understanding of the dynamics of the criminal justice process. It is vital that these data are made available in aggregated and anonymized form only, to prevent incursions on privacy rights and to safeguard the human dignity of individuals in contact with the criminal justice system.

## **5.3 How to ensure data quality**

### ***Ensuring data quality is vital to the production of high-quality statistics that can inform decision-making***

There is no single measure of data quality as it is a multidimensional concept that is strongly related to the needs of users. That being said, access to high-quality data is a prerequisite for evidence-based decision-making. Collected and processed data also need to be consistent across the different prison facilities that are supplying the data. In short, collecting, producing and disseminating statistics can only offer added value if the underlying data quality is ensured.

<sup>66</sup> United Nations publication, 2003.

The best way to ensure data quality is to develop a quality assurance framework that fits national practice and circumstances. Multiple international organizations have developed generic frameworks for the assessment of data quality, which include the *United Nations National Quality Assurance Framework Manual for Official Statistics*,<sup>67</sup> the International Monetary Fund Data Quality Assessment Framework<sup>68</sup> and the European Statistics Code of Practice.<sup>69</sup>

The United Nations National Quality Assurance Framework has five core recommendations and nine additional recommendations that are aimed at implementing specific fundamental principles. The core recommendations are focused on establishing a basis for the quality assurance of official statistics in a country. They call for a guaranteed legal and institutional framework, its application throughout the entire national statistical system and a commitment to the continual assessment of, improvement of and reporting on the quality of official statistics.

Regarding data output quality, the National Quality Assurance Framework lays out six principles:

- **Relevance** – Statistics should meet the current and/or emerging needs or requirements of its users. The challenge is to balance the conflicting needs of different users and produce statistics that satisfy the most important needs within the given resource constraints.
- **Accuracy and reliability** – Statistics should accurately and reliably portray reality.
- **Timeliness and punctuality** – Statistics should be made available to users with the smallest delay possible and be delivered on the promised, advertised or announced dates.
- **Accessibility and clarity** – Statistics should be easy to find and obtain, presented clearly and in a way that can be understood, and available and accessible to all users in line with open data standards.
- **Coherence and comparability** – Statistics should be consistent to make it possible to combine and use related data, including data from different sources. Statistics should also be comparable over time and between areas.
- **Managing metadata** – Sufficient information should be made available to enable the user to understand all the attributes of the statistics, including their limitations. This includes information on the concepts and definitions applied, the variables and classifications used, the methodology of data collection and processing, and indications of data quality.

Administrative data on prisoners in the United Kingdom has been used to in the production of population statistics, and quality assurance of such use has been carried out (Box 5.3).

### Box 5.3

#### Data quality assessment, United Kingdom

In 2019, the Office for National Statistics in the United Kingdom released a quality assurance report on the use of administrative data on prisoners to produce population statistics. The Ministry of Justice provided the data to the Centre for Ageing and Demography for use in population statistics. The report covers the processes involved from data collection through to the production of population estimates and household projections. It identifies potential risks in data quality and accuracy as well as details of how those risks are mitigated.

Overall, the data source was judged to be of suitable and sufficient quality for the use to which it was put within the population estimates and household projections methodologies. Strengths of

<sup>67</sup> United Nations Publication, 2019.

<sup>68</sup> Available at <https://dsbb.imf.org/dqars/DQAF>.

<sup>69</sup> Available at <https://ec.europa.eu/eurostat/web/quality/european-quality-standards/europeanstatistics-code-of-practice>.

the data use included coverage, timeliness and accuracy. The report also acknowledged limitations in the data, including the need for data on prisoners leaving the system and differences in age group categories between institutions.

Such evaluations can improve data quality, identify weaknesses and ensure the data are suitable for public use. In this way, the involved institutions actively work to maximize the public value derived from the data.

*Source: United Kingdom, Office for National Statistics, Prisoners data, quality assurance of administrative data used in population statistics, May 2019 (2019). Available at [www.ons.gov.uk/peoplepopulationandcommunity/populationandmigration/populationestimates/methodologies/prisonersdataqualityassuranceofadministrativedatausedinpopulationstatisticsmay2019](http://www.ons.gov.uk/peoplepopulationandcommunity/populationandmigration/populationestimates/methodologies/prisonersdataqualityassuranceofadministrativedatausedinpopulationstatisticsmay2019).*

## 5.4 Finding the audience through good data dissemination practices

### ***Data dissemination should focus on bringing data to the intended audience in an open and accessible format***

Disseminating and utilizing data to analyse trends and answer pressing policy questions is a tangible benefit of the production of statistics by the prison system. In addition, it is beneficial to disseminate metadata to help users understand the context in which the data was collected and processed. This is useful for improving the usability of data and communicate data quality to users.

A data dissemination plan can ensure that statistics are used widely and generate the greatest value possible, without compromising the right to privacy or releasing data of a potentially sensitive nature. There are many methods for disseminating statistics and analytical findings, including informal information sharing, formal publications, responses to specific requests and the provision of raw data.

The method of dissemination and the form the resulting statistics take should address the needs of data users and be appropriate for the quality and nature of the data available. Some users prefer brief, nontechnical summary statements while others require charts, tables and in-depth analysis. The digital dissemination of data, such as through online data portals and dashboards, provides an opportunity to create an engaging data product and makes it easy for a range of people to use the statistics. Moreover, if the goal is to reach a broad audience, one should also account for levels of literacy and numeracy in the general population.

Further important aspects to consider are ensuring that statistical data releases are announced in advance of specific dates and providing equal and simultaneous access to all users, as suggested in principle 1 of the United Nations Fundamental Principles of Official Statistics. One way of operationalizing this is to create a publicly available and easily accessible release calendar that contains information on the releases planned in the upcoming 12 months. Any changes to this release calendar could then be announced in advance with a justification.

As mentioned above, the six principles laid out in the National Quality Assurance Framework recommend disseminating data in line with open data standards. While there is no agreed definition of open data, the International Open Data Charter<sup>70</sup> defines them as digital data that are made available with the technical and legal characteristics necessary for them to be freely used, reused and redistributed by anyone, anytime, anywhere. The International Open Data Charter further emphasizes

<sup>70</sup> International Open Data Charter, "Principles". Available at <https://opendatacharter.net/principles/>.

releasing data free of charge under an open and unrestrictive license, in open formats, without mandatory registration on a central portal.

Developing a data dissemination plan that identifies user profiles for the intended audience can offer further insights into how best to distribute the data. The data dissemination plan should consider the needs of a casual user who wants the answer to a specific question but may not have significant statistical or subject matter knowledge. It should also consider the needs of the information seeker with more extensive subject matter expertise who wishes to delve deeper into the data and can utilize the information for reporting and system review purposes. Lastly, the plan should consider technical experts who want to conduct their own analyses and often require large amounts of detailed microdata. Having said that, these three user profiles are meant to be illustrative and the development of user profiles specific to the national context is recommended. Considerations beyond the level of expertise of the user could include the size of the user group and their level of interest.

Developing engaging and user-friendly statistical data is a costly and time-consuming undertaking and without dedicated long-term funding the data can quickly become outdated or, in the worst case, irrelevant. For this reason, the resources available for producing and releasing statistics in line with the present guidelines are a further consideration when designing outputs that can be sustainably produced on an ongoing basis.

## Annex

### A.1. Prison resources

Human resources (Core dimension)		
PERSONNEL DETAILS		
Unit of analysis	Description	
Personnel	Individual staff member details employed by the prison system	
Variable	Description	Suggested (minimum) categories
Staff ID	Unique identifier for staff member	Determined nationally
Sex	Sex of staff member	1. Male 2. Female
Age	Age of staff member	
Ethnicity	Ethnicity of staff member	Determined nationally
Disability	(Self-reported) disability status of staff member <sup>71</sup>	Determined nationally
Languages	Languages spoken by staff member  <i>Note: It is highly recommended to (develop and) use a standardized list of language codes.</i>	Determined nationally
Education	Highest level of completed education of staff member	In line with the International Standard Classification of Education (ISCED)
Hiring date	The date when the staff member first joined the organization	Date format: YYYY-MM-DD
Employment status	Indicator for full-time or part-time employment	1. Full-time 2. Part-time
Employment type	Indicator of prison employee or third-party service provider employee	1. Prison staff 2. Third party employee 3. Other
Rank	Hierarchical rank or grade of staff member within the prison system	Determined nationally
Prison ID	Identifier of prison facility the staff member is currently assigned to	Determined nationally
Functional area	Function the staff member is currently assigned (e.g., surveillance, education, training, health care, administration or management)	1. Surveillance 2. Education/training 3. Health care 4. Administration

<sup>71</sup> This could be assessed by, for example, applying the Washington Group Short Set on Functioning (WG-SS), which uses a series of six questions to evaluate disability as at the interaction between a person's capabilities (limitation in functioning) and environmental barriers (physical, social, cultural or legislative) that may limit their participation in society. For more information, see Washington Group on Disability Statistics, "WG Short Set on Functioning (WG-SS)". Available at [www.washingtongroup-disability.com/question-sets/wg-short-set-on-functioning-wg-ss/](http://www.washingtongroup-disability.com/question-sets/wg-short-set-on-functioning-wg-ss/).

		5. Management 6. Other
Staff type	Identifier of whether staff member is a civilian or officer	1. Prison officer 2. Civilian 3. Other
Admin area	Administrative area of the country (level 1, 2, etc.) where the staff member is stationed  <i>Note:</i> When two or more levels of detail are available, each data point should be recorded separately.	Determined nationally

### TRAINING DETAILS

Unit of analysis	Description	
Trainings	Training records of each staff member	
Variable	Description	Suggested (minimum) categories
Staff ID	Unique identifier of staff member	Determined nationally
Sex	Sex of staff member	1. Male 2. Female
Age	Age of staff member	-
Ethnicity	Ethnicity of staff member	Determined nationally
Experience	Years of experience of staff member	-
Rank	Rank of staff member	Determined nationally
Training type	Training that the staff member successfully completed	Determined nationally
Training date	Date of completion of training	Date format: YYYY-MM-DD
Certificate	Identifier of whether the staff member obtained a certificate	1. No 2. Yes 98. Not applicable 99. Not known
Expiry date	Expiry date of certificate	Date format: YYYY-MM-DD

### PERFORMANCE DETAILS

Unit of analysis	Description	
Performance	Performance records of each staff member	
Variable	Description	Suggested (minimum) categories
Staff ID	Unique identifier of staff member	Determined nationally
Sex	Sex of staff member	1. Male 2. Female
Age	Age of staff member	-
Ethnicity	Ethnicity of staff member	Determined nationally
Experience	Years of experience of staff member	-

Rank	Hierarchical rank or grade of staff member within the prison system	Determined nationally
Rating	Performance rating given to staff member	Determined nationally
Period	Period over which staff member was evaluated	Date format: YYYY-MM-DD
Discipline	Number of disciplinary actions taken against the prison officer during reporting period	-

## Financial resources

*Note:* Given that prisons are subject to national accounting rules, the structure of this data is often predetermined and may not be amenable to the suggested structure below

### ALLOCATION DETAILS

Unit of analysis	Description	
Allocation	Allocated funds per financial year	
Variable	Description	Suggested categories (minimum)
Type	Allocation details by budget line (e.g., staffing, training, programme implementation)	Determined nationally
Facility	Allocation dedicated to the different prison facilities	Determined nationally
Service	Allocation dedicated to the different prison services (programming and rehabilitation services)	Determined nationally
Source	Allocation by the different funding sources	Determined nationally

### EXPENDITURE DETAILS

Unit of analysis	Description	
Expenditure	Expenditure per financial year	
Variable	Description	Suggested categories (minimum)
Type	Expenditure details by budget line (e.g., staffing, training, programme implementation)	Determined nationally
Facility	Expenditure by the different prison facilities	Determined nationally
Service	Expenditure by the different prison services (programming and rehabilitation services)	Determined nationally
Source	Expenditure by the different funding sources	Determined nationally

## Physical resources

*Note:* It is suggested to collect staff equipment and IT data at the aggregate level due to the limited statistical use for individual level data of this physical resource type.

### FACILITY DETAILS

Unit of analysis	Description	
Facility	Prison facility details	
Variable	Description	Suggested categories (minimum)
Prison ID	Unique identifier for prison facility	Determined nationally
Admin area	Administrative area of the country (level 1, 2, etc.) in which prison facility is located  <i>Note:</i> When two or more levels of detail are available, each data point should be recorded separately.	Determined nationally
Security level	Security level assigned to prison facility	Determined nationally
Management type	Indicator of whether prison facility is public or privately managed	1. Public 2. Private
Population type	Type of population housed in the prison facility (pre-trial or sentenced)	1. Pre-trial 2. Sentenced 3. Mixed
Population sex	Indicator of whether prison facility population consists of men, women or is mixed	1. Men 2. Women 3. Mixed
Population age <sup>72</sup>	Indicator of whether prison facility population consists of adults, juveniles or both	1. Adults 2. Juveniles 3. Mixed
Cellblocks	Number of cellblocks in the prison facility	-
Cells	Number of cells for prisoners in prison facility	-
Official capacity	The intended number of prisoners for which the prison facility was designed either at the time of its construction or following structural renovations  <i>Note:</i> It is noted that there are different ways to operationalize capacity, such as the design capacity set by the planner, operational capacity based on staffing and services, or rated capacity as set by a national rating official.	-

<sup>72</sup> For statistical purposes, it is recommended to define adult as a person age 18 years and older and juvenile as a person under 18 years of age.

Showers	Number of functional shower and bathing installations available for prisoners in the prison facility	-
Medical facilities	Type of medical facilities available in the prison  <i>Note: Each medical facility category should be recorded separately.</i>	1. Medical 2. Dental 3. Psychological 4. Pharmacy 5. Prenatal and postnatal 6. Addiction treatment 7. Other
Menstrual hygiene	Type of menstrual hygiene materials available to prisoners  <i>Note: If multiple options apply, each category should be recorded separately.</i>	1. Menstrual cloth 2. Reusable pad 3. Disposable pad 4. Menstrual cup 5. Tampon 6. Other 7. None 98. Not applicable 99. Not known
Visitor capacity	Number of visitors for prisoners a facility can host at any given time	-
Solitary confinement	Number of cells for prisoners subject to solitary confinement, as applicable	-
Childcare	Indicator of whether internal or external childcare facilities are available at the prison facility	1. No 2. Yes, internal 3. Yes, external 4. Yes, both 98. Not applicable 99. Not known
Library	Indicator of whether the prison facility has a library for the use of all prisoners	1. No 2. Yes 98. Not applicable 99. Not known
Library books	Number of recreational and instructional books available in prison library	-
Outdoor space	Total outdoor space accessible to prison population in square meters	-
Sports facilities	Indicator of whether sports facilities are available in the prison facility	1. No 2. Yes 98. Not applicable 99. Not known
Classroom capacity	Total prisoner capacity of all classrooms available for education and vocational training in the prison facility	-
<b>VEHICLE DETAILS</b>		
<b>Unit of analysis</b>	<b>Description</b>	
Vehicles	Vehicles in use by prison facility	

Variable	Description	Suggested categories (minimum)
Prison ID	Prison facility to which vehicle is assigned	Determined nationally
Admin area	Administrative area of the country (level 1, 2, etc.) in which vehicle is assigned	Determined nationally
Vehicle ID	Unique identifier of vehicle	Determined nationally
Vehicle type	Vehicle specified by type	Determined nationally
Vehicle condition	Condition of vehicle	1. Excellent condition 2. Minor wear and tear 3. Excessive wear and tear 4. Inoperative
Date of operation	Date vehicle came into operation	Date format: YYYY-MM-DD
Replacement date	Expected replacement date of vehicle	Date format: YYYY-MM-DD
STAFF EQUIPMENT DETAILS (Aggregate data)		
Unit of analysis	Description	
Staff equipment	Aggregated equipment in use by prison staff per facility	
Variable	Description	Suggested categories (minimum)
Prison ID	Prison facility reporting the equipment details	Determined nationally
Admin area	Administrative area of the country (level 1, 2, etc.) in which the prison service reporting the equipment is located  <i>Note:</i> When two or more levels of detail are available, each data point should be recorded separately.	Determined nationally
Prison officer equipment type	Prison officer equipment specified by type  <i>Note:</i> Each equipment category should be recorded separately.	Determined nationally
IT DETAILS (Aggregate data)		
Unit of analysis	Description	
IT	Aggregated IT resources in use by prison staff per facility	
Variable	Description	Suggested categories (minimum)
Prison ID	Prison facility to which the IT equipment is assigned	Determined nationally
Admin area	Administrative area of the country (level 1, 2, etc.) to which the IT equipment is assigned	Determined nationally

	<i>Note:</i> When two or more levels of detail are available, each data point should be recorded separately.	
IT equipment type	IT equipment specified by type  <i>Note:</i> Each equipment category should be recorded separately.	<ol style="list-style-type: none"> <li>1. Desktop</li> <li>2. Laptop</li> <li>3. Tablet</li> <li>4. Mobile phone</li> <li>5. Radio</li> <li>6. Other</li> </ol>

## Staff safety and well-being

**Notes:**

1. Given the sensitive nature of compensation data it is recommended to only publish aggregate level compensation data.
2. The staff ID variable links to human resources data and provides further staff member details.
3. If a safety incident involves multiple officers, it is recommended to record details for each of them under the same incident ID.
4. If a safety incident involves multiple prisoners, it is recommend to record details for each of them under the same incident ID.

### SAFETY INCIDENT DETAIL

Unit of analysis	Description	
Safety incident	Individual safety incidents that inflict (serious) bodily harm upon staff member(s)	
Variable	Description	Suggested (minimum) categories
Incident ID	Unique identifier of incident	Determined nationally
Prison ID	Unique identifier of prison facility	Determined nationally
Staff ID	Unique identifier of staff member	Determined nationally
Staff sex	Sex of staff member(s)	1. Male 2. Female
Prisoner ID	Unique identifier of prisoner(s) committing assault on staff	Determined nationally
Prisoner sex	Sex of prisoner(s) committing assault on staff	1. Male 2. Female
Date and time	Date and time of incident	Date formant YYYY-MM-DD
Location	Location of incident (e.g., housing unit/cellblock)	Determined nationally
Context	Description of situational context	Determined nationally
Injury	Severity of bodily injury sustained by staff member during the incident (if applicable)	1. None 2. Minor bodily injury <sup>73</sup> 3. Serious bodily injury <sup>74</sup> 4. Lethal 98. Not applicable 99. Not known
Lethal	Flag for whether the inflicted bodily harm was lethal or non-lethal.	1. Non-lethal 2. Lethal

### STAFF REMUNERATION DETAILS

Unit of analysis	Description
Remuneration	Remuneration details of staff member

<sup>73</sup> Minor bodily injury, as defined in the ICCS, at a minimum includes bruises, cuts, scratches, chipped teeth, swelling, black eye and other minor injuries.

<sup>74</sup> Serious bodily injury, as defined in the ICCS, at a minimum includes gunshot or bullet wounds; knife or stab wounds; severed limbs; broken bones or teeth knocked out; internal injuries; being knocked unconscious; and other severe or critical injuries.

<b>Variable</b>	<b>Description</b>	<b>Suggested categories (minimum)</b>
Staff ID	Unique identifier of staff member	Determined nationally
Sex	Sex of staff member	1. Male 2. Female
Age	Age of staff member	-
Ethnicity	Ethnicity of staff member	Determined nationally
Experience	Years of experience of staff member	-
Rank	Rank of staff member	Determined nationally
Remuneration	Annual gross remuneration of staff member in local currency	-

### LEAVE DETAILS

<b>Unit of analysis</b>	<b>Description</b>	
Leave	Leave records of staff member	
<b>Variable</b>	<b>Description</b>	<b>Suggested categories (minimum)</b>
Staff ID	Unique identifier of staff member	Determined nationally
Sex	Sex of staff member	1. Male 2. Female
Age	Age of staff member	-
Ethnicity	Ethnicity of staff member	Determined nationally
Experience	Years of experience of staff member	-
Rank	Rank of staff member	Determined nationally
Leave type	Type of leave taken by staff member	1. Annual leave 2. Family leave 3. Medical leave 4. Parental leave 5. Sick leave 6. Leave without pay 7. Other
Start date	Start date of leave	Date format: YYYY-MM-DD
End date	End date of leave	Date format: YYYY-MM-DD
Amount	Number of working days in leave period	-

## A.2. Prisoner profile

<b>Population registration</b> (Core dimension)		
<i>Note:</i> If a prisoner is detained/sentenced for multiple offences, consider applying a principal offence rule and only record the most serious offence. If the data system is capable of recording multiple offences, it is encouraged to record each individual offence.		
PRISONER DETAILS		
Unit of analysis	Description	
Prisoner	Unique characteristics of individual prisoners	
Variable	Description	Suggested categories (minimum)
Prisoner ID	Unique identifier for prisoner	Determined nationally
Prison ID	Identifier of prison facility the prisoner is currently assigned to	Determined nationally
Sex	Sex of prisoner	1. Male 2. Female
Age	Age of prisoner	-
Marital status	Marital status of prisoner	1. Single 2. Married 3. Separated 4. Divorced 5. Widowed 6. Other 99. Not known
Education	Highest level of completed education of prisoner	In line with the International Standard Classification of Education (ISCED) <sup>75</sup>
Caregiver status	Determines whether the offender has any dependent children or other caretaking responsibilities (e.g., older persons or persons with disability)	1. Yes, one or more dependent children under the age of 18 2. Yes, one or more dependent adults over the age of 18. 3. Yes, both dependent children and dependent adults. 4. No dependent children or other caretaking responsibilities. 98. Not applicable 99. Not known
Pregnancy status	Pregnancy status of prisoner	1. Pregnant 2. Not pregnant

<sup>75</sup> See <https://isced.uis.unesco.org/>

		98. Not applicable 99. Not known
Children in prison	Number of children living with prisoner in prison	-
Ethnicity	Ethnicity of prisoner	Determined nationally
Citizenship	Citizenship of prisoner	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Disability	(Self-reported) disability status of prisoner	Determined nationally
Health status	Any health condition(s) documented according to International Classification of Diseases (ICD) <sup>76</sup> or national classification (including mental health and substance dependence)	ICD categories (or national health classification)
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	1. Gang 2. Terrorist group 3. Organized crime group 4. Other 98. Not applicable 99. Not known
Economic status	Economic activity status of the offender at the time of arrest	1. Dependent employment 2. Self-employment (with no dependent employees) 3. Employer (with dependent employees) 4. Unemployed 5. Student/apprentice 6. Housekeeper 7. Retired/disabled 99. Not known
Recidivism	Identifier of whether prisoner returned within one year of prior release	1. No 2. Yes 98. Not applicable 99. Not known
Offence	Type of criminal offence the prisoner is accused/sentenced for by ICCS category (or National crime classification)	ICCS categories (or National crime classification)
Admission date	Date when the prisoner was admitted to prison facility	Date format: YYYY-MM-DD
Sentence	Length of sentence in days (only sentenced population)	-
Transfer date	Date when the prisoner was transferred to another prison facility (if applicable)	Date format: YYYY-MM-DD

<sup>76</sup> World Health Organization, "International Statistical Classification of Diseases and Related Health Problems (ICD)". Available at [www.who.int/standards/classifications/classification-of-diseases](http://www.who.int/standards/classifications/classification-of-diseases).

Release date	Date when the prisoner was released from prison facility	Date format: YYYY-MM-DD
Release type	Type of release	1. Supervised release 2. Unsupervised release 98. Not applicable 99. Not known
Legal status	Indicator of pre-trial or sentenced prisoner	1. Pre-trial 2. Sentenced
Prison regime	Type of supervision/regime the prisoner is under (e.g., closed, semi open, open)	Determined nationally
Assessment	Identifier of whether the prisoner underwent an individual assessment of needs, capacities and dispositions	1. No 2. Yes 98. Not applicable 99. Not known
Assessment date	Date of most recent assessment	Date format: YYYY-MM-DD
Assessment review	Envisaged date to review current assessment	Date format: YYYY-MM-DD
Security classification	Security classification of the prisoner	Determined nationally

### A.3. Prisoner reintegration

<b>Visits</b>		
<b>VISIT DETAILS</b>		
<b>Unit of analysis</b>	<b>Description</b>	
Visits	Details on visits to individual prisoners	
<b>Variable</b>	<b>Description</b>	<b>Suggested categories (minimum)</b>
Prison ID	Unique identifier for prison facility	Determined nationally
Visit date	Date of the visit	Date format: YYYY-MM-DD
Visit modality	Modality of the visit	1. In person 2. Virtual
Visit type	Identifier of type of visit	1. Legal 2. Medical 3. Religious 4. Official 5. Social 6. Other 99. Not known
Relationship	Relationship between visitor and prisoner	1. Current Intimate partner /spouse 2. Former intimate partner /spouse 3. Blood relative 4. Other household member 5. Friend 6. Acquaintance 7. Business/work relationship 8. Authority/care relationship 9. Other 99. Not known
Visitor sex	Sex of visitor	1. Male 2. Female
Visitor age	Age of visitor	-
Prisoner ID	Unique prisoner identifier	Determined nationally
Prisoner sex	Sex of prisoner	1. Male 2. Female
Prisoner age	Age of prisoner	-
Prisoner ethnicity	Ethnicity of prisoner	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen 2. Foreign citizen

		<ul style="list-style-type: none"> <li>3. Stateless</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>
Security classification	Security classification of the prisoner involved	Determined nationally
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	<ul style="list-style-type: none"> <li>1. Gang</li> <li>2. Terrorist group</li> <li>3. Organized crime group</li> <li>4. Other</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>

Health care		
HEALTH CARE DETAILS		
Unit of analysis	Description	
Treatment	Treatment of individual prisoners	
Variable	Description	Suggested (minimum) categories
Prison ID	Unique identifier for prison facility	Determined nationally
Treatment ID	Unique identifier for treatment of prisoner	Determined nationally
Health concern	Health concern according to International Classification of Diseases (ICD) <sup>77</sup> or national classification (including mental health and addiction)	ICD categories (or national health classification)
Type of treatment	Type of treatment (e.g., preventive, curative, palliative, rehabilitation, mental counselling)	Determined nationally
Format of care	Format of care received	1. On premises 2. External 3. Telemedicine 4. Other 99. Not known
Treatment start	Date of start of treatment received by patient	Date format: YYYY-MM-DD
Treatment completion	Date of completion of treatment (if applicable)	Date format: YYYY-MM-DD
Healthcare professional sex	Sex of healthcare professional treating prisoner	1. Male 2. Female
Prisoner ID	Unique identifier of prisoner	Determined nationally
Prisoner sex	Sex of prisoner	1. Male 2. Female
Prisoner age	Age of prisoner	-
Prisoner ethnicity	Ethnicity of prisoner	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Security classification	Security classification of the prisoner involved	Determined nationally
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	1. Gang 2. Terrorist group 3. Organized crime group 4. Other 98. Not applicable

<sup>77</sup> World Health Organization, "International Statistical Classification of Diseases and Related Health Problems (ICD)". Available at [www.who.int/standards/classifications/classification-of-diseases](http://www.who.int/standards/classifications/classification-of-diseases).

		99. Not known
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<b>Programmes</b> (Core dimension)		
<p><i>Note:</i> Programmes include education, work, recreational, religious and all other programme types aimed at facilitating the rehabilitation and social reintegration of prisoners. Medical treatment is covered under the health care dimension.</p>		
PROGRAMME DETAILS		
Unit of analysis	Description	
Programme	Details on the programme	
Variable	Description	Suggested (minimum) categories
Prison ID	Unique identifier of prison facility	Determined nationally
Programme ID	Unique identifier of programme	Determined nationally
Programme type	Identifier of programme type (education, work, recreation, religious, other)	1. Education 2. Work 3. Recreation 4. Religious 5. Other
Programme subtype	Identifier of subtype (e.g., basic literacy, vocational training, sports)	Determined nationally
Organization	Programme organization	1. Prison run, on premise 2. Prison run, external 3. Private, on premise 4. Private, external
Modality	Programme modality	1. In person 2. Virtual
Remuneration	Net hourly wage paid to prisoner in local currency (if applicable)	-
Start date	Start date of programme (if applicable)	Date format: YYYY-MM-DD
End date	End date of programme (if applicable)	Date format: YYYY-MM-DD
PRISONER DETAILS		
Unit of analysis	Description	
Prisoner	Details of individual prisoners participating in each programme	
Variable	Description	Suggested (minimum) categories
Prison ID	Name of prison facility	Determined nationally
Programme ID	Unique identifier of programme	Determined nationally
Prisoner ID	Unique identifier of prisoner	Determined nationally
Prisoner sex	Sex of prisoner	1. Male 2. Female
Prisoner age	Age of prisoner	-
Prisoner ethnicity	Ethnicity of prisoner	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen

		<ul style="list-style-type: none"> <li>2. Foreign citizen</li> <li>3. Stateless</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>
Security classification	Security classification of the prisoner involved	Determined nationally
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	<ul style="list-style-type: none"> <li>1. Gang</li> <li>2. Terrorist group</li> <li>3. Organized crime group</li> <li>4. Other</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>
Start date	Date when prisoner starts programme participation	Date format: YYYY-MM-DD
End date	Date when prisoner ends programme participation	Date format: YYYY-MM-DD
Completion	Identifier of whether prisoner completed the programme (with or without certificate)	<ul style="list-style-type: none"> <li>1. No</li> <li>2. Yes</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>
Certificate	Identifier of whether prisoner obtained certificate	<ul style="list-style-type: none"> <li>1. No</li> <li>2. Yes</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>

## A.4. Prisoner safety and security

<b>Sanctions</b> (Core dimension)		
<i>Notes:</i> <ol style="list-style-type: none"> <li>1. If sanctions are taken against multiple prisoners simultaneously, it is recommended to record details for each of them whenever possible.</li> <li>2. Under staff details, it is recommended to record details of the main staff member responsible for recommending disciplinary sanctions.</li> </ol>		
SANCTION DETAILS		
Unit of analysis	Description	
Sanction	Disciplinary action taken against prisoner(s)	
Variable	Description	Suggested categories (minimum)
Prison ID	Unique identifier of prison facility	Determined nationally
Sanction ID	Unique identifier of disciplinary sanction	Determined nationally
Start date	Date disciplinary sanction is applied	Date format: YYYY-MM-DD
End date	Date disciplinary sanction is reversed	Date format: YYYY-MM-DD
Type	Type of disciplinary sanctions deployed (e.g., forfeiture of privileges, segregation or transfer)	Determined nationally
Reason	Main reason for disciplinary sanction	Determined nationally
Review	Identifier of whether disciplinary sanction was reviewed by a superior officer or review board/judge	1. No 2. Yes 98. Not applicable 99. Not known
Warning	Identifier of whether a warning was given to the prisoner prior to application of disciplinary sanction	1. No 2. Yes 98. Not applicable 99. Not known
Violation	Flag for whether sanction, as applied in the incident, violates national policy and/or law	1. No 2. Yes
Appeal	Identifier for whether prisoner appealed the decision	1. No 2. Yes 98. Not applicable 99. Not known
Appeal outcome	Outcome of prisoner appeal, if applicable	1. Sanction sustained 2. Sanction reversed 3. Other
Staff ID	Unique identifier of main staff member recommending sanction	Determined nationally
Sex	Sex of main staff member recommending sanction	1. Male 2. Female

Age	Age of main staff member recommending sanction	-
Ethnicity	Ethnicity of main staff member recommending sanction	Determined nationally
Experience	Years of experience of main staff member recommending sanction	-
Rank	Rank of main staff member recommending sanction	Determined nationally
<b>PRISONER DETAILS</b>		
<b>Unit of analysis</b>	<b>Description</b>	
Prisoner	Individual prisoner(s) affected by disciplinary sanction	
<b>Variable</b>	<b>Description</b>	<b>Suggested (minimum) categories</b>
Prison ID	Unique identifier of prison facility	Determined nationally
Sanction ID	Unique identifier of disciplinary sanction	Determined nationally
Prisoner ID	Unique identifier of prisoner	Determined nationally
Sex	Sex of prisoner involved	1. Male 2. Female
Age	Age of prisoner involved	-
Ethnicity	Ethnicity of prisoner involved	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Security classification	Security classification of the prisoner involved	Determined nationally
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	1. Gang 2. Terrorist group 3. Organized crime group 4. Other 98. Not applicable 99. Not known

## Searches

**Notes:**

1. Multiple items can be found during a single search. It is recommended to record each item type separately. For example, if a mobile phone, weapon and cigarettes are found during a cell search, this could be registered as a search that that involved communication devices, weapons and tobacco.
2. If a search involves multiple prisoners, it is recommended to record details for each of them whenever possible.
3. If a search involves multiple staff members, it is recommended to record details for each of them whenever possible.

### SEARCH DETAILS

Unit of analysis	Description	
Search	Search carried out by staff in prison facility	
Variable	Description	Suggested categories (minimum)
Prison ID	Unique identifier of prison facility	Determined nationally
Search ID	Unique identifier of search event	Determined nationally
Date and time	Date and time of search event	Date format: YYYY-MM-DD Time format: hh:mm
Warning	Identifier of whether a warning was given to the subject prior to the search	1. No 2. Yes 98. Not applicable 99. Not known
Type	Type of search	1. Personal search 2. Cell search 3. Area search 4. Other
Reason	Main reason for search	Determined nationally
Outcome	Identifier of whether illicit items were found during search	1. No 2. Yes
Item type	Illicit item type found during search	1. Weapons 2. Alcohol 3. Tobacco 4. Drugs 5. Communication devices 6. Other 99. Not known
Item amount	Number of items found of a specific type	-
Item unit	Unit of count for item type (e.g., kilograms or pills)	Determined nationally
Review	Identifier of whether search was reviewed by a superior officer or review board/judge (if applicable)	1. No 2. Yes 98. Not applicable 99. Not known

Violation	Identifier of whether search, as applied in the incident, violates national policy and/or law	1. No 2. Yes
<b>STAFF DETAILS</b>		
<b>Unit of analysis</b>	<b>Description</b>	
Staff	Individual staff member(s) involved in carrying out the search	
<b>Variable</b>	<b>Description</b>	<b>Suggested (minimum) categories</b>
Prison ID	Unique identifier of prison facility	Determined nationally
Search ID	Unique identifier of search event	Determined nationally
Staff ID	Unique identifier of staff member conducting the search	Determined nationally
Sex	Sex of staff member conducting the search	1. Male 2. Female
Age	Age of staff member conducting the search	-
Ethnicity	Ethnicity of staff member conducting the search	Determined nationally
Experience	Years of experience of staff member conducting the search	-
Rank	Rank of staff member conducting the search	Determined nationally
<b>PRISONER DETAILS</b>		
<b>Unit of analysis</b>	<b>Description</b>	
Prisoner	Individual prisoner(s) subject to the search	
<b>Variable</b>	<b>Description</b>	<b>Suggested (minimum) categories</b>
Prison ID	Unique identifier of prison facility	Determined nationally
Search ID	Unique identifier of search event	Determined nationally
Prisoner ID	Unique identifier of prisoner	Determined nationally
Sex	Sex of prisoner involved	1. Male 2. Female
Age	Age of prisoner involved	-
Ethnicity	Ethnicity of prisoner involved	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Security classification	Security classification of the prisoner involved	Determined nationally
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	1. Gang 2. Terrorist group 3. Organized crime group 4. Other 98. Not applicable 99. Not known

Sanction	Identifier of whether the prisoner was sanctioned as a result of the search	1. No 2. Yes 98. Not applicable 99. Not known
Sanction ID	Unique Identifier of sanction (if applicable)	Determined nationally

## Prisoner incidents

**Notes:**

1. If an incident involves multiple prisoners, it is recommended to record details for each of them whenever possible.
2. If an incident involves multiple staff members, it is recommended to record details for each of them whenever possible.
3. Since multiple outcomes are possible in a single incident, it is recommended to record each outcome separately.

### INCIDENT DETAILS

Unit of analysis	Description	
Incident	Individual incidents occurring within the premises of a prison	
Variable	Description	Suggested categories (minimum)
Prison ID	Unique identifier for prison facility	Determined nationally
Incident ID	Unique identifier for the incident	Determined nationally
Incident type	Type of incident	<ol style="list-style-type: none"> <li>1. Fight</li> <li>2. Riot</li> <li>3. Self-harm</li> <li>4. Protest</li> <li>5. Security breach</li> <li>6. Escape attempt</li> <li>7. Hostage situation</li> <li>8. Infrastructure damage</li> <li>9. Other</li> <li>99. Not known</li> </ol>
Incident details	Description of specific incident	-
Location	Location of incident (e.g., cell, cafeteria, classroom, visitor space)	Determined nationally
Date and time	Date and time of incident	Date format: YYYY-MM-DD Time format: hh:mm
Outcome	Outcome of incident	<ol style="list-style-type: none"> <li>1. None</li> <li>2. Injured staff</li> <li>3. Injured prisoner</li> <li>4. Sanctions</li> <li>5. Lockdown</li> <li>6. Other</li> <li>98. Not applicable</li> <li>99. Not known</li> </ol>
Participants	Number of prisoners involved in the incident	-

### STAFF DETAILS

Unit of analysis	Description
Staff	Individual staff member(s) involved in the incident

Variable	Description	Suggested categories (minimum)
Prison ID	Unique identifier of prison facility	Determined nationally
Incident ID	Unique identifier of search event	Determined nationally
Staff ID	Unique identifier of staff member involved in the incident	Determined nationally
Sex	Sex of staff member involved in the incident	1. Male 2. Female
Age	Age of staff member involved in the incident	-
Ethnicity	Ethnicity of staff member involved in the incident	Determined nationally
Experience	Years of experience of staff member involved in the incident	-
Rank	Rank of staff member involved in the incident	Determined nationally
Injury	Severity of bodily injury sustained by staff member during the incident (if applicable)	1. None 2. Minor bodily injury <sup>78</sup> 3. Serious bodily injury <sup>79</sup> 4. Lethal 98. Not applicable 99. Not known

#### PRISONER DETAILS

Unit of analysis	Description	
Prisoner	Individual prisoner(s) involved in a single incident	
Variable	Description	Suggested categories (minimum)
Prison ID	Unique identifier for prison facility	Determined nationally
Incident ID	Unique identifier for the incident	Determined nationally
Prisoner ID	Unique identifier of prisoner	Determined nationally
Sex	Sex of prisoner involved	1. Male 2. Female
Age	Age of prisoner involved	-
Ethnicity	Ethnicity of prisoner involved	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Security classification	Security classification of the prisoner involved	Determined nationally

<sup>78</sup> Minor bodily injury, as defined in the ICCS, at a minimum includes bruises, cuts, scratches, chipped teeth, swelling, black eye and other minor injuries.

<sup>79</sup> Serious bodily injury, as defined in the ICCS, at a minimum includes gunshot or bullet wounds; knife or stab wounds; severed limbs; broken bones or teeth knocked out; internal injuries; being knocked unconscious; and other severe or critical injuries.

Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	<ul style="list-style-type: none"> <li>1. Gang</li> <li>2. Terrorist group</li> <li>3. Organized crime group</li> <li>4. Other</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>
Injury	Severity of bodily injury sustained by prisoner during the incident (if applicable)	<ul style="list-style-type: none"> <li>1. None</li> <li>2. Minor bodily injury<sup>80</sup></li> <li>3. Serious bodily injury<sup>81</sup></li> <li>4. Lethal</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>

<sup>80</sup> See footnote 78.

<sup>81</sup> See footnote 79.

## A.5. Staff conduct

<b>Complaints</b>		
<p><i>Note:</i> Given that Rule 57 of the Nelson Mandela Rules specifies that it should be possible to make complaints in a confidential manner upon request, this dimension does not capture the prisoner ID and, instead, only captures the basic characteristic of the complainant for statistical purposes.</p>		
<b>COMPLAINT DETAILS</b>		
Unit of analysis	Description	
Complaint	Individual complaints submitted to the prison administration	
Variable	Description	Suggested (minimum) categories
Prison ID	Unique identifier of prison facility	Determined nationally
Complaint ID	Unique identifier of misconduct event	Determined nationally
Type	Type of complaint (e.g., staff conduct, legal access, prison conditions)	Determined nationally
Registration date	Date of complaint registration	Date format: YYYY-MM-DD
Resolution date	Date of complaint resolution	Date format: YYYY-MM-DD
Status	Investigation status	1. Ongoing 2. Completed
Outcome	Outcome of investigation	1. Substantiated 2. Unsubstantiated 3. Withdrawn
Response	Indicator of whether the prison administration has addressed the substantiated complaint	1. No 2. Yes, partially 3. Yes, completely 98. Not applicable 99. Not known
Prisoner ID	Unique identifier of prisoner	Determined nationally
Sex	Sex of prisoner	1. Male 2. Female
Age	Age of prisoner	-
Ethnicity	Ethnicity of prisoner	Determined nationally
Citizenship	Citizenship of prisoner	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Security classification	Security classification of the prisoner involved	Determined nationally
Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	1. Gang 2. Terrorist group 3. Organized crime group

		<ul style="list-style-type: none"> <li>4. Other</li> <li>98. Not applicable</li> <li>99. Not known</li> </ul>
Reported	Identifier of who submitted the complaint (e.g., prisoner, relative, legal representation)	<ul style="list-style-type: none"> <li>1. Prisoner</li> <li>2. Legal representation</li> <li>3. Relative</li> <li>4. Other</li> </ul>

**Use of force**  
(Core dimension)

*Notes:*

1. Since a use of force incident can involve multiple staff members, it is recommended to collect details for each of them whenever possible.
2. Since a use of force incident can involve multiple prisoners, it is recommended to collect details for each of them whenever possible.

**INCIDENT DETAILS**

Unit of analysis	Description	
Incident	Incident in which use of force was applied against prisoner(s)	
Variable	Description	Suggested (minimum) categories
Prison ID	Unique identifier for prison facility	Determined nationally
Incident ID	Unique identifier for use of force incident	Determined nationally
Type	Force type deployed against prisoner  <i>Note:</i> Since multiple uses of force can be applied in a single incident, each category should be recorded separately	<ol style="list-style-type: none"> <li>1. Physical restraint</li> <li>2. Non-lethal weapon</li> <li>3. Other equipment (e.g., baton or shield)</li> <li>4. Canine or other animal</li> <li>5. Lethal force (e.g., firearm)</li> <li>6. Other</li> <li>99. Not known</li> </ol>
Date and time	Date and time of use of force incident	Date format: YYYY-MM-DD Time format: hh:mm
Reason	Main reason for using force	<ol style="list-style-type: none"> <li>1. Protect self</li> <li>2. Protect other staff member(s)</li> <li>3. Protect prisoner</li> <li>4. Protect other prisoner(s)</li> <li>5. Prevent escape</li> <li>6. Subdue riot</li> <li>7. Other</li> <li>99. Not known</li> </ol>
Nature of use of force	Planned use of force or responsive use of force	<ol style="list-style-type: none"> <li>1. Planned</li> <li>2. Responsive</li> </ol>
Order	Identifier of whether staff member was ordered to use force by a superior officer	<ol style="list-style-type: none"> <li>1. No</li> <li>2. Yes</li> </ol>
Violation	Flag for whether use of force, as applied in the incident, violates national policy and/or law	<ol style="list-style-type: none"> <li>1. No</li> <li>2. Yes</li> </ol>

**STAFF DETAILS**

Unit of analysis	Description
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Staff	Individual staff member(s) involved in a single incident	
Variable	Description	Suggested (minimum) categories
Prison ID	Unique identifier for prison facility	Determined nationally
Incident ID	Unique identifier for use of force incident	Determined nationally
Staff ID	Unique identifier of staff member	Determined nationally
Sex	Sex of staff member involved in use of force incident	1. Male 2. Female
Age	Age of staff member involved in use of force incident	-
Ethnicity	Ethnicity of staff member involved in use of force incident	Determined nationally
Experience	Years of experience of staff member involved in use of force incident	-
Rank	Rank of staff member involved in use of force incident	Determined nationally
Injury	Severity of bodily injury sustained by staff member during the incident (if applicable)	1. None 2. Minor bodily injury <sup>82</sup> 3. Serious bodily injury <sup>83</sup> 4. Lethal 98. Not applicable 99. Not known

#### PRISONER DETAILS

Unit of analysis	Description	
Prisoner	Individual prisoner(s) involved in a single incident	
Variable	Description	Suggested (minimum) categories
Prison ID	Unique identifier for prison facility	Determined nationally
Incident ID	Unique identifier for use of force incident	Determined nationally
Prisoner ID	Unique identifier of prisoner	Determined nationally
Sex	Sex of prisoner involved	1. Male 2. Female
Age	Age of prisoner involved	-
Ethnicity	Ethnicity of prisoner involved	Determined nationally
Citizenship	Citizenship of prisoner involved	1. National citizen 2. Foreign citizen 3. Stateless 98. Not applicable 99. Not known
Security classification	Security classification of the prisoner involved	Determined nationally

<sup>82</sup> Minor bodily injury, as defined in the ICCS, at a minimum includes bruises, cuts, scratches, chipped teeth, swelling, black eye and other minor injuries.

<sup>83</sup> Serious bodily injury, as defined in the ICCS, at a minimum includes gunshot or bullet wounds; knife or stab wounds; severed limbs; broken bones or teeth knocked out; internal injuries; being knocked unconscious; and other severe or critical injuries.

Gang membership	Identifier of whether the prisoner is affiliated with a gang/terrorist/organized crime group	1. Gang 2. Terrorist group 3. Organized crime group 4. Other 98. Not applicable 99. Not known
First aid	Identifier of whether prisoner received first aid after (and as a result of) use of force  <i>Note: First aid refers to one-time, short-term medical attention administered immediately after an injury occurs.</i>	1. No 2. Yes 98. Not applicable 99. Not known
Medical treatment	Identifier of whether prisoner received medical treatment after (because of) use of force  <i>Note: Medical treatment involves care beyond first aid and is administered by a health care professional.</i>	1. No 2. Yes 98. Not applicable 99. Not known
Physical outcome	Physical outcome of use of force incident for prisoner	1. None 2. Minor bodily injury 3. Serious bodily injury 4. Lethal 5. Other
Sanction	Identifier of whether the prisoner was sanctioned as a result of the incident	Determined nationally
Sanction ID	Unique identifier of sanction (if applicable)	Determined nationally
Warning	Identifier of whether a warning was given to the subject prior to the use of force	1. No 2. Yes 98. Not applicable 99. Not known



**UNODC**

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