



Ipsos MORI

# Witness and Victim Experience Survey (WAVES)

Technical Report of a research study conducted for the  
Ministry of Justice

Cases closed Quarter 1-4 2009/10 (Sweeps 19-22)

November 2010



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# 1. Background

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## 1.1 Introduction to the Witness and Victim Experience Survey

The Witness and Victim Experience Survey (WAVES) is a large-scale national survey which captures information about the experiences of victims and witnesses in cases which result in a criminal charge. As such, it complements data collected by other major crime surveys such as the Police User-Satisfaction Survey and the British Crime Survey.

The survey was commissioned by the Ministry of Justice and contracted to Ipsos MORI.

WAVES was designed to focus exclusively on victims and witnesses involved in cases which resulted in a criminal charge and which have been closed (i.e. an outcome or verdict has been reached, either at court or because the case was dropped by the prosecution)<sup>1</sup>. It aims to evaluate victims' and witnesses' contact with the Criminal Justice System and seeks to gauge their satisfaction with all elements of their experience. Beyond this, it captures specific information about their case and circumstances that might affect their level of satisfaction. Such information can help to identify the key factors associated with satisfaction with the criminal justice process.

Victims' and witnesses' contact details were supplied by the 42 Local Criminal Justice Board (LCJB) areas which covered England and Wales. A sample of these victims and witnesses was then contacted by Ipsos MORI for interview by telephone.

All types of post-charge case are covered by WAVES, from those which were dropped and where no trial was held, to those which proceeded to a full criminal trial. The specific offence types covered are: violence against the person, robbery, burglary, theft and handling stolen goods, and criminal damage. Victims and witnesses involved in cases of a very sensitive or serious nature, such as offences that involved a fatality, sexual offences, domestic violence and cases where the defendant was a member of the respondent's household, were excluded from the survey, largely because a telephone methodology was not deemed to be an appropriate way to approach or interview them.

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<sup>1</sup> Local Criminal Justice Boards responsible for collecting samples were advised to consider anyone as a victim if they were the injured party in a case, regardless of whether they gave evidence in court. All others who were not the injured party were to be considered witnesses. Anyone who gave a witness statement and was listed as a witness was eligible for inclusion, regardless of whether they gave evidence in court.

## 1.2 Survey timetable

Fieldwork for WAVES is conducted in quarterly ‘sweeps’. This report relates to WAVES 2009/10 data. The timetable below shows the sampling and interviewing period for each quarter.

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**Table 1.1 Sampling and interviewing periods for Sweeps S19-22**

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	<i>Period when respondents' cases closed</i>	<i>Interviewing period</i>
Quarter 1 2009/2010 (Sweep 19)	1 April – 30 June 2009	14 September - 24 October 2009
Quarter 2 2009/2010 (Sweep 20)	1 July – 30 September 2009	15 December 2009 -30 January 2010
Quarter 3 2009/2010 (Sweep 21)	1 October – 31 December 2009	15 March - 27 April 2010
Quarter 4 2009/2010 (Sweep 22)	1 January – 31 March 2010	14 June - 25 July 2010

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## 1.3 Structure of the technical report

This report describes the methodology and processes employed for WAVES 2009-10. This report does not contain survey results.

Data Protection measures enacted to ensure that WAVES complies fully with data protection legislation are described in Chapter 2. Chapter 3 discusses the sampling methodology, including the challenges faced and how details were collected by LCJB areas for the survey sample, while Chapter 4 reviews the content and coverage of the questionnaire.

Chapter 5 describes the preparation for fieldwork, including CATI script programming and checking, interviewer briefings, and the quality processes employed by Ipsos MORI, while Chapter 6 describes the procedures followed during fieldwork, and includes an analysis of response rates.

Chapter 7 explains data checking and processing quality procedures, and outlines the data outputs of the survey. Chapter 8 explains the weighting strategies which were explored, and their potential value in WAVES.

A Glossary of Terms explaining the research terminology used throughout the report is included in the Appendices.

# 2. Data Protection

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## 2.1 Background

WAVES necessarily involved the handling and transfer of sensitive data between the various agencies involved in the survey (e.g. LCJB areas, Ipsos MORI, and suppliers). This chapter outlines the processes followed to ensure strict adherence to data protection guidelines. These guidelines, laid out in the Data Protection Act (DPA) of 1998, govern how personal data are used, and ensure that any agencies handling personal data maintain the confidentiality of those whose details they use. Procedures and systems were put in place to meet data protection requirements at all stages of the project life-cycle.

## 2.2 Procedures to comply with data protection requirements

Data protection procedures were set up after discussions with Ipsos MORI's internal data protection officers, researchers, data protection officers at the Home Office (HO), and representatives from the Association of Chief Police Officers (ACPO), Crown Prosecution Service (CPS) and the Office of the Information Commissioner (OIC).

In addition, independent audits were carried out in Sweep 13 by the CPS on Ipsos MORI's office and the WAVES research team, the printing facility used to print letters to respondents, and the telephone centre used to conduct the survey fieldwork. These audits checked that correct procedures were being followed with regards to the safe storage, transfer, and destruction of victim and witness details during the life of the survey.

## 2.3 Opting-out provision

The OCJR/HO steering group responsible for designing the survey discussed at length the different methods of gaining respondents' consent to participate in the survey. Securing this consent was necessary under the DPA since respondents did not originally agree for their personal details to be passed to a survey company when giving their details to the Criminal Justice System (CJS) agencies. Two options were initially discussed prior to Sweep 1 of the survey:

- An 'opt in' approach: this would require the survey company to gain the explicit consent of all those taking part in the survey by sending a letter to victims and witnesses asking them to respond if they would like to be interviewed. Only those responding would subsequently be contacted for interview.
- An 'opt out' approach: this would require the survey company (acting on behalf of the LCJB agencies) to alert potential participants that a research project was being undertaken and

allow them the opportunity to opt-out of taking part. Respondents would only reply if they did not wish to be interviewed. Those who opted out would be removed from the sample, while those who didn't opt out would be kept in.

While Ipsos MORI and the OCJR appreciated the need for great sensitivity towards victims and witnesses of any crime, victims and witnesses of the most sensitive offences<sup>2</sup> were excluded from the survey and it was agreed that it was acceptable to use an 'opt out' method of obtaining consent.

There are both practical and methodological reasons why an opt-out approach was favoured. Typically, as few as 10 per cent of those asked to opt into a survey will do so, and so the number of victims and witnesses that must be contacted to achieve a given sample size is much greater when using an opt-in than an opt-out approach. In some smaller LCJB areas, the number of victim and witness details available in any one quarter can be fairly small: using an opt-in approach in these areas would not generate a sufficiently large sample of respondents to give meaningful results at a local level. More importantly, those who opt into a survey are unlikely to be representative of the population, and this method therefore leads to a coverage bias which is far less pronounced with an opt-out methodology. While those who opt out of a survey may also be unrepresentative of the population (for example, those who are most dissatisfied with the system, or who only had a minimal involvement in their case may be more likely to opt out<sup>3</sup>) the number of opt outs tends to be fairly small<sup>4</sup>, and hence there is a much lower risk of coverage bias than with an opt-in approach<sup>5</sup>.

Advice from HO lawyers and the OIC confirmed that it is acceptable within the Data Protection Act for a survey company to send such 'opt-out' letters to respondents so long as the survey company is contracted as a 'data processor', and has signed a security contract with the data controller, in this case the relevant CJS agency. This contract binds the survey company to using only the information they have received for the purpose stated in that contract and ensures that the data cannot be used for any other purpose.

## 2.4 Ipsos MORI as 'Data Processor'

In the case of details about victims and witnesses, there are often several data controllers - individual police forces and CPS offices in different LCJB areas. Ipsos MORI put in place data protection agreements to cover the individual data controllers involved. A national agreement was put in place with the CPS which covered any local CPS agency involved in submitting sample data to Ipsos MORI (36 out of 42 LCJB areas at the beginning of the year, rising to 39 by the end of the year). In the remaining LCJB areas where samples were collected by police

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<sup>2</sup> This includes: sexual offences, crimes involving a fatality, crimes in which the offender was a family member or member of the same household, domestic violence offences and victims/witnesses under 18 years old.

<sup>3</sup> See Chapter 4, and Table 4.1 for reasons why respondents refused to take part in the survey.

<sup>4</sup> In Sweeps 19-22 of WAVES, for example, the proportion of victims and witnesses who are sent a letter who opt out is around 7%.

<sup>5</sup> An opt-in approach was used for a minority of respondents for whom no telephone number was available in the sample files. The letter asked them to return a reply slip with their telephone number to Ipsos MORI if they wanted to take part in the survey.

forces rather than the CPS, Ipsos MORI set up individual data protection agreements with LCJB areas. Both national and local agreements designated Ipsos MORI as a ‘data processor’, allowing Ipsos MORI to use the information to send opt-out letters to respondents.

## 2.5 Opt-out and opt-in letters

Opt-out letters carried the Ipsos MORI and OCJR logos. The letter explained the nature and purpose of the survey, gave contact details for the project team should the respondent have any questions (including contact details for both Ipsos MORI and the OCJR), and - most importantly - offered respondents the opportunity to opt-out of the survey (see Appendix 1 for an example of an opt-out letter used). Victims and witnesses who opted out were removed from the sample used for fieldwork.

Where telephone numbers were missing, opt-in letters were sent to victims and witnesses asking them to provide their telephone number if they were willing to take part (see Appendix 2 for an example of the opt-in letter). Those who provided their telephone number were kept in the sample used for fieldwork, while those who did not were removed.

## 2.6 Handling victim and witness details

### 2.6.1 Ipsos MORI staff

Access to victim and witness details for the survey was limited to a small number of Ipsos MORI staff working on the survey. A list of names of those authorised to access the data (and with permissions to access the relevant areas of the Ipsos MORI network and virtual PC system) was approved by the OCJR and CPS. Furthermore, all Ipsos MORI staff adhere to the Market Research Society Code of Conduct which requires compliance with the Data Protection Act (DPA). All Ipsos MORI staff, and therefore all staff working on the WAVES survey, are fully trained in the DPA and the practical implications of the DPA on conducting surveys. All Ipsos MORI interviewers sign an MRS Code of Conduct Statement.

### 2.6.2 WAVES databases

Each of the 42 LCJB areas in England and Wales provided their samples of victims and witnesses in a standard format. Usually, the sample spreadsheet was derived automatically from the Witness Management System (WMS); where LCJB areas did not use WMS, they populated a standard spreadsheet template developed by Ipsos MORI. At the end of the sampling period, the spreadsheets were sent to Ipsos MORI.

A number of guidelines governed how data saved in the spreadsheets were protected and transferred. At the start of each sampling period, LCJB areas were supplied with passwords by Ipsos MORI and were asked that all spreadsheets containing sample information were password protected and encrypted. Passwords were changed each sweep. LCJB areas sent data to Ipsos MORI via the CJS Secure Email Network. An automated email response confirmed the receipt of the sample at Ipsos MORI’s secure email account. In addition,

researchers also confirmed the safe receipt of the sample in writing when they logged into the CJS Secure Email Network.

### 2.6.3 Offence type

One piece of information collected in the sample spreadsheet was offence type. This information was necessary in order to confirm that victims and witnesses of the most sensitive offences had not been included in the sample spreadsheets, as well as for statistical analysis of the anonymised results. As this information is classified as 'sensitive personal information', a strictly limited number of people were able to access it. When sample spreadsheets were received at Ipsos MORI, this information was converted into a numeric code (offence information was not linked to this code anywhere on the spreadsheet). This meant that personal information and offence type information were not held in the same file.

### 2.6.4 Transferring victim and witness information

In compliance with the DPA (and with the contracts agreed by individual agencies (Data Controllers) and Ipsos MORI), suppliers contracted to work on the survey were sent only the information they required from the sample files.

As such, Ipsos MORI created separate versions of the sample spreadsheets for individual suppliers: each of these spreadsheets contained only the information which that particular supplier needed, with non-essential fields deleted. For example, suppliers responsible for printing and mailing opt-out and opt-in letters received a spreadsheet containing names and addresses with all information relating to the offence deleted. In addition to sending only those fields which were necessary, all sample files were sent in password protected files.

Files were transferred using a Secure File Transfer Protocol (SFTP) facility. This provides a secure, fully encrypted method of securely transferring prepared files in which all data (including user authentication data) is encrypted. In addition, all files were password protected and encrypted before transfer.

Whenever files containing sample information were transferred to other agencies or suppliers, an Ipsos MORI executive telephoned the agency to confirm that files had been received, the password needed to access the file, and to confirm the number of leads within each file. Ipsos MORI also asked that only those individuals who needed to access the files within supplier agencies would be able to do so.

### 2.6.5 Data file storage

All sample information relating to WAVES was saved on a secure virtual environment consisting of a secure storage location and virtual PC environment accessed by remote desktop. The secure virtual environment was logically segregated from the main Ipsos MORI network. Only named research team members and essential, named IT senior staff had access rights to this secure, logically separated PC. Accessing this environment required an additional, and different, login and password to that required by researchers to access their own PCs.

No other websites or applications were available via the virtual PC. The virtual PC environment also prevented authorised users from using USB memory sticks, CD writing facilities and all other removable media. This virtual environment was used for the storage of all sample data, and this was where sample files were prepared and manipulated in advance of fieldwork.

Hard copies of the data processing contracts (signed by Ipsos MORI and LCJB areas) and the CDs containing sample data were stored in locked cabinets. Sample data were destroyed after fieldwork, in line with Data Protection guidelines. The sample data were used to de-duplicate samples in subsequent sweeps to ensure that victims and witnesses were not interviewed twice within a twelve month period.

## 2.7 Destroying data

Approximately six weeks after the end of each sweep, all personal data relating to the survey was destroyed. The paper 'reply slips' sent by those respondents wishing to opt out of the survey were shredded using a cross-cutting shredding facility (most of these slips were anonymous and contained only respondent ID numbers; however, in some cases, respondents had added their name and other details). The sample files containing personal data were all destroyed using the Blancco shredding system. A sub-set of the sample file was retained which contained no personal data (i.e. all names, telephone numbers, address details, dates of birth etc. were removed, leaving only a unique ID number and case details such as case outcome, crime type etc.).

For those individuals who indicated during the interview that they would be happy for the Ministry of Justice to re-contact them to take part in further research, their personal data was destroyed after six months.

## 2.8 Data ownership

The contract specified that MoJ/OCJR owns the data at the end of the study. LCJB areas were not therefore able to obtain data directly from Ipsos MORI. Where LCJB areas did make requests for data to Ipsos MORI, these requests were passed on to MoJ/OCJR.

# 3. Sample Design

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## 3.1 Introduction

The survey population can be defined as victims and witnesses of certain crime types in England and Wales involved in cases which resulted in a criminal charge during the period 1<sup>st</sup> April 2009 – 31<sup>st</sup> March 2010 (there are some exclusions: see below for a list of case types covered by the survey and those which are ineligible).

Since no national database of victim and witness details exists, the survey sampling frame was constructed by aggregating local data held by each LCJB area. The process of constructing a sampling frame was made easier by the fact that use of the ‘Witness Management System’ (WMS) was widespread, with 39 of the 42 LCJB areas using it in Sweep 22: this system allows LCJB areas to generate samples for the WAVES survey from their existing case records at the touch of a button.

LCJB areas were provided with guidelines describing those cases that were and were not eligible for inclusion in the survey samples and were asked to provide details for **all** eligible cases during each sampling period. Ipsos MORI then cleaned and checked samples to ensure they contained details only for those eligible to participate. These processes were refined over the course of the survey to ensure that the most complete and accurate sampling frame was constructed. Details about each stage of the sampling process are described in the rest of this chapter.

## 3.2 Survey coverage

WAVES covers victims and witnesses involved in cases where an offender was charged, irrespective of the final outcome of the case. Therefore, the sample included victims and witnesses involved in:

- Dropped/written off cases;
- Guilty plea cases; and
- Contested trials from Magistrates and Crown Courts, including both those who did and did not give evidence in court.

The survey covers victims and witnesses of the following crimes, with some groups within these categories excluded (please see Appendix 3 for definitions and examples of these crime types):

- Violence against the person (excluding crimes that resulted in a fatality and domestic violence);
- Robbery;

- Burglary;
- Theft and handling stolen goods;
- Criminal damage; and
- Public Order/Harassment.

There are a number of case types which are not covered by the survey, as listed in Table 3.1 below. These exclusions were made for a variety of reasons: for example, the great majority of motoring offences are fairly minor and victims and witnesses involved in these cases will not typically have a large degree of involvement in the Criminal Justice System; as such, they would not be able to provide much detailed feedback about their experiences of the system in an interview.

Victims and witnesses involved in cases of a very sensitive or serious nature were excluded from the survey, largely due to the fact that a telephone methodology was not deemed to be an appropriate way to approach or interview these individuals.

In addition, there were a number of other groups not covered by the survey, either due to considerations for sensitivity (e.g. due to age), to exclude police officers and professional witnesses from taking part, and to exclude those who did not want to take part in the survey.

LCJB areas were given guidelines explaining the types of case, and victim and witness, covered by the survey and which groups should be excluded. LCJB areas were given guidelines on ‘cleaning’ their samples before submitting them to Ipsos MORI, to remove those victims and witnesses not eligible for the survey<sup>6</sup>.

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<sup>6</sup> Due to the way information is recorded by criminal agencies it was not always possible for LCJB areas to identify (and exclude) victims and witnesses of offences not covered by the survey. A set of screening questions at the beginning of the survey checked whether victims and witnesses had been involved in excluded offences. In cases where these victims and witnesses were approached for interview, we explained that the survey did not cover their type of case.

**Table 3.1 Summary of cases covered and excluded by WAVES**

Eligible	Excluded from WAVES
Violence against the person Robbery Burglary Theft and handling stolen goods Criminal Damage	Victims/witnesses of crimes involving a fatality Victims/witnesses of sexual offences Victims/witnesses of domestic violence Victims/witnesses of fraud/ forgery Victims/witnesses of motoring offences Victims/witnesses of drug offences
Dropped/written off cases Guilty pleas Contested trials (both Magistrates and Crown Courts, those who do and do not give evidence)	Victims/witnesses aged 17 years or younger Police officers or other CJS officials assaulted in the course of duty All police or expert witnesses Victims/witnesses where the offender is another family member or a member of the same household Victims/witnesses who have been surveyed for WAVES within the past 12 months or who indicate they do not want to take part

*Source: Ipsos MORI*

### 3.3 Instructions to LCJB areas

The MOJ and Ipsos MORI communicated with LCJB areas frequently throughout the life of the survey. In particular, guidelines stipulating the types of case that were and were not eligible for inclusion in the survey were circulated regularly; instructions on how to ‘clean’ samples before submitting them to Ipsos MORI were also provided.

These cleaning guidelines focussed on asking LCJB areas to remove the most sensitive and serious types of case from their samples (i.e. domestic violence, and cases where the offender lived in the same household, or was a member of the same family, as the victim or witness). As domestic violence is not a separate offence category, it would not usually be possible for Ipsos MORI researchers to identify and remove these cases and LCJB areas were asked to be particularly careful in extracting these cases.

The guidelines also focussed on the importance of submitting as much complete information as possible. LCJB areas were asked, where possible, to cross-reference WMS (or their preferred database) with other local sources of data to fill in any ‘gaps’ in information, particularly telephone numbers and addresses. The guidelines also covered various data protection measures, such as how to password protect sample files and how to submit them to Ipsos MORI securely.

Alongside these guidelines, the MOJ continued to produce its quarterly WAVES update newsletter for LCJB areas. The newsletter outlined submission dates for

future sweeps, a reminder of the information that samples should contain, and instructions on how to obtain samples from the WMS.

### 3.4 Sample submissions from LCJB areas

LCJB areas were asked to submit sample files to Ipsos MORI each quarter containing information relating to all eligible cases within the sampling period, i.e. to provide information about the total population of eligible victims and witnesses.

In total, 435,762 cases were provided in Sweeps 19-22. The average size of the samples submitted by LCJB areas remained comparatively consistent over time, from 2,600 in Sweep 19 to 2,591 in Sweep 22. However, the number of cases that were submitted varied enormously between LCJB areas: sample sizes ranged from 560 cases (Cambridgeshire) to 13,987 cases (London) in Sweep 22, for example. Table 3.2 shows the number of cases provided per LCJB area across Sweeps 19-22. The shaded cells denote samples that were NOT downloaded, either fully or in part, from the Witness Management System (WMS).

**Table 3.2 Number of cases submitted by LCJB areas, Sweeps 19-22**

	<b>Sweep 19</b>	<b>Sweep 20</b>	<b>Sweep 21</b>	<b>Sweep 22</b>	<b>Total</b>
Avon & Somerset	4,029	4,005	3,843	3,622	15,499
Bedfordshire	1,203	1,162	1,241	1,118	4,724
Cambridgeshire	668	726	480	560	2,434
Cheshire	2,438	2,602	2,339	2,248	9,627
Cleveland	2,587	2,522	2,018	1,859	8,986
Cumbria	1,411	1,505	1,240	1,251	5,407
Derbyshire	2,851	2,846	2,478	2,269	10,444
Devon & Cornwall	2,645	2,815	2,526	2,406	10,392
Dorset	984	825	796	711	3,316
Durham	1,780	1,508	1,423	1,526	6,237
Dyfed Powys	849	950	910	956	3,665
Essex	3,966	3,501	3,596	3,278	14,341
Gloucestershire	1,388	389	859	574	3,210
Greater Manchester	5,619	6,161	5,451	5,769	23,000
Gwent	1,162	1,221	1,189	1,343	4,915
Hampshire	4,631	5,140	5,083	5,414	20,268
Hertfordshire	1,066	965	1,282	1,289	4,602
Humberside	2,289	2,621	2,278	2,325	9,513
Kent	1,268	1,192	1,270	1,267	4,997
Lancashire	4,892	4,972	4,970	7,840	22,674
Leicestershire	2,261	2,263	2,140	1,700	8,364
Lincolnshire	1,197	1,034	1,149	1,260	4,640
London	13,503	12,937	12,831	13,987	53,258
Merseyside	3,564	3,590	3,162	3,753	14,069
Norfolk	1,300	1,554	1,656	1,592	6,102
Northamptonshire	1,254	1,139	673	732	3,798
Nottingham	2,385	2,291	2,777	2,195	9,648
Northumbria	1,338	2,745	3,828	2,454	10,365
North Wales	1,498	1,626	1,507	1,471	6,102
North Yorkshire	1,285	1,963	1,674	1,727	6,649
South Wales	2,539	3,422	2,091	3,043	11,095

*Source: Ipsos MORI*

**Table 3.2 Continued. Number of cases submitted by LCJB areas, Sweeps 19-22**

	Sweep 19	Sweep 20	Sweep 21	Sweep 22	Total
South Yorkshire	1,961	2,266	2,288	2,018	8,533
Staffordshire	2,933	2,244	2,369	2,966	10,512
Suffolk	1,407	1,533	1,468	1,469	5,877
Surrey	1,481	1,325	1,109	1,204	5,119
Sussex	903	938	1,073	1,986	4,900
Thames Valley	4,157	4,304	3,810	3,582	15,853
Warwickshire	722	901	872	673	3,168
West Midlands	7,012	6,390	6,107	5,413	24,922
West Mercia	1,164	1,019	1,266	1,022	4,471
West Yorkshire	6,543	6,643	6,421	5,885	25,492
Wiltshire	1,048	1,266	1,216	1,045	4,575
<b>TOTAL</b>	109,181	111,021	106,759	108,802	435,497

*Source: Ipsos MORI*

### 3.5 Procedures for drawing the sample

As noted above, the survey depends on the co-operation of LCJB areas in providing samples of victims and witnesses to Ipsos MORI every three months. Across Sweeps 19-22 most LCJB areas were using the CPS Witness Management System in their local Witness Care Units for the day-to-day management of cases. In Sweep 19, 36 LCJB areas used WMS, and this increased to 39 LCJB areas by Sweep 22. This system has an inbuilt functionality which allows the user to download a 'WAVES Report'. This report automatically generates a sample from the local WMS database which includes all of the information which LCJB areas need to submit to Ipsos MORI. If WMS has been completed accurately by LCJB areas, the WAVES sample will include details for **all** victims and witnesses eligible for the survey during the appropriate sampling period and will automatically exclude those who are ineligible.

Some LCJB areas (for instance Norfolk and Thames Valley) used WMS in conjunction with another local database, and a minority of LCJB areas that did not use WMS at all drew samples entirely from their own local systems (for instance Kent). In these cases, LCJB areas completed a sample spreadsheet template provided by Ipsos MORI.

Although different methods were used to extract and collect the sample information, these methods were very similar. They extracted sample information at the same point in the life of the case (i.e. after the point of case finalisation), and captured the same information about victims and witnesses. Furthermore, the information contained on these electronic databases (whether WMS or another system) is generated from a set of standard forms used by the police and CPS to collect information and statements from witnesses and victims.

## 3.6 Transferring samples to Ipsos MORI

WMS allows the user to download a WAVES sample two weeks after the close of any given sampling period. LCJB areas were asked to submit samples to Ipsos MORI around three weeks after the close of the sampling period: this gave those using WMS around a week to clean and check their samples before submission. For instance, in Sweep 22, which interviewed victims and witnesses whose cases closed between January and March 2010, LCJB areas were required to provide Ipsos MORI with their sample by 22 April 2010. Ipsos MORI researchers liaised with LCJB areas before and, if necessary, after this date. The following points outline the procedures Ipsos MORI researchers followed to ensure the safe and timely receipt of the samples:

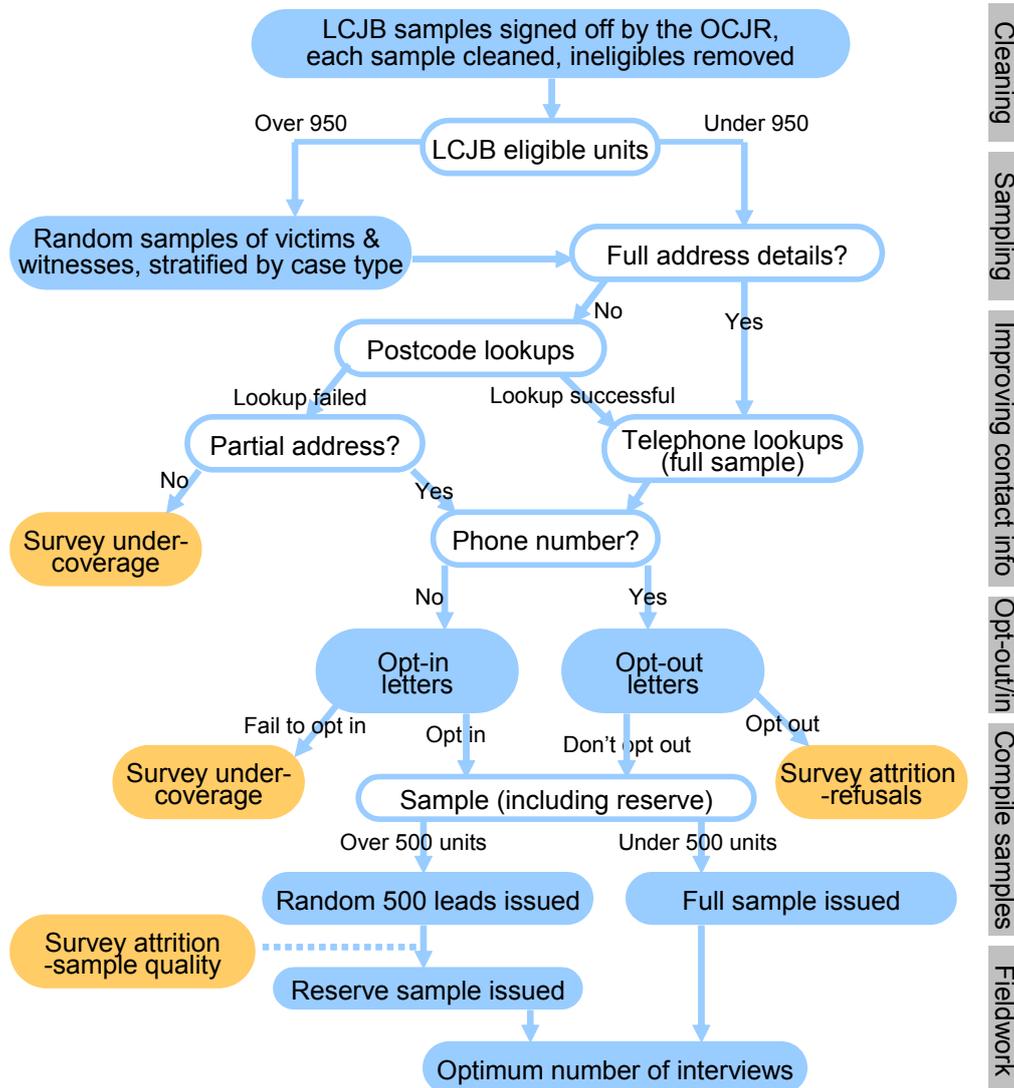
- Two weeks before the deadline for sample provision, LCJB areas were contacted by email and reminded of the impending deadline<sup>7</sup>. This email reminded LCJB areas of the sampling period, as well as outlining how the sample could be delivered (See Chapter 2 for a discussion of the measures taken to ensure the samples were sent and received securely and in accordance with the Data Protection Act). LCJB areas were also asked to contact a member of the Ipsos MORI WAVES team to discuss any problems or difficulties they were having and to pass on any contact details that need to be altered and for anyone who is new to working on WAVES.
- If LCJB areas contacted Ipsos MORI with a problem, Ipsos MORI researchers worked with the LCJB areas to resolve the issue. Typical problems included being under resourced and/or asking for an extension to the deadline.
- One week before the deadline a second email reminder was sent to LCJB areas to remind them of the approaching deadline. Any further issues arising were discussed and resolved with LCJB areas.
- If Ipsos MORI was not in receipt of an LCJB area's sample one week after the deadline, and an extension had not previously been agreed, Ipsos MORI researchers contacted the LCJB area to discuss the delay and resolve any outstanding problems.
- On receipt of a sample, Ipsos MORI researchers asked the LCJB area to confirm that the sample contained all eligible leads within the specified dates by completing a proforma. This proforma asked the submitting officer to state which period the sample covered, how it had been collected, to confirm that it contained all eligible leads, and outline any problems that were encountered.

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<sup>7</sup> Note that the majority of areas were using WMS exclusively and were therefore unable to access the sample until 15<sup>th</sup> of the month preceding the relevant sweep quarter. Therefore, reminders were intended to ensure that LCJB areas had allocated sufficient resources for the upcoming deadline.

- LCJB areas were asked to submit the original WMS sample report as well as their cleaned sample. This allowed researchers to check the sample against the original in case the cleansing process had produced any errors.
- For each sample received, Ipsos MORI researchers produced an initial summary of the quality of each LCJB sample. Researchers would then contact the LCJB area and discuss any potential problems or omissions in the sample (e.g. if the sample appeared to contain a small number of cases, did not appear to contain leads from across regions of the LCJB area, or had a large proportion of missing addresses or telephone numbers). If necessary, the LCJB area would then resubmit their sample with additional information included to address issues highlighted. MOJ then reviewed the sample summaries and any reported progress prior to approving its use.
- The sample was then subjected to a thorough process of cleaning and checking, as outlined later in this chapter.

**Figure 2: Sampling Process Stages**



The survey aimed to interview 100 victims and 100 witnesses in 38 LCJB areas each quarter. The target number of interviews was higher in the remaining four LCJB areas, reflecting the larger size and volume of cases in these areas: 300 per quarter in West Yorkshire, 400 in Greater Manchester, 400 in the West Midlands and 1,000 in London. WAVES aims to be both a local and national survey: these target sample sizes not only provide a robust national sample each quarter (target of 9,700 interviews) but, even at individual LCJB level, will generate sufficiently large samples over the course of a year to make meaningful conclusions and compare sub-groups of interest.

Due to the increasing use of WMS over time, the size and quality of samples submitted by LCJB areas increased compared with earlier years of the survey. Many LCJB areas now submit samples in excess of 1,000 leads. Given the

interview targets outlined above, and the expected response rates for the survey, a sub-set of victims and witnesses were selected from any sample that contained more than 950 cases. In these instances, a random selection of 475 victims and 475 witnesses was made using a ‘1 in n’ selection method. This total of 950 cases was chosen because it had typically generated c.200 interviews in earlier sweeps of WAVES.

There were some exceptions to this general rule, as detailed in Table 3.3. In LCJB areas which historically produced lower response rates, slightly larger samples were selected in order to maximise the chances of achieving the 200 interview target. The sample size was calculated using the response rate achieved in the immediately preceding sweeps of the survey. In those LCJB areas which had higher interview targets, larger numbers were selected.

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**Table 3.3 Selected sample sizes by LCJB area**

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<b>Bedfordshire</b>	If sample was larger than 1,400, a random selection was made of <b>700 victims</b> and <b>700 witnesses</b> .
<b>Cleveland</b>	If sample was larger than 1,050, a random selection was made of <b>525 victims</b> and <b>525 witnesses</b> .
<b>Merseyside</b>	If sample was larger than 1,400, a random selection was made of <b>700 victims</b> and <b>700 witnesses</b> .
<b>South Yorkshire</b>	If sample was larger than 1,050, a random selection was made of <b>525 victims</b> and <b>525 witnesses</b> .
<b>South Wales</b>	If sample was larger than 1,100, a random selection was made of <b>550 victims</b> and <b>550 witnesses</b> .
<b>London</b>	If sample was larger than 4,750, a random selection was made of <b>2,375 victims</b> and <b>2,375 witnesses</b> .
<b>Greater Manchester</b>	If sample was larger than 2,200, a random selection was made of <b>1,100 victims</b> and <b>1,100 witnesses</b> .
<b>West Midlands</b>	If sample was larger than 1,900, a random selection was made of <b>950 victims</b> and <b>950 witnesses</b> .
<b>West Yorkshire</b>	If sample was larger than 1,430, a random selection was made of <b>715 victims</b> and <b>715 witnesses</b> .

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All victims and witnesses in the selected samples were then sent either an opt-in or opt-out letter. In LCJB areas providing samples with fewer than 950 victims and witnesses, no selections were made, and all victims and witnesses were sent an opt-out or opt-in letter. Following the opt-out period, the victim and witness samples were randomly ordered, and then stratified by case outcome. Victim and witness samples were then combined to create one sample file per LCJB area, such that the victim/witness status alternated down the sample list (i.e. order of victim, witness, victim, witness etc.).

Samples were then transferred to the telephone centre for interviewing to begin.

### 3.8 Sample cleaning and checking procedures

Before interviewing began, the samples provided by LCJB areas were thoroughly 'cleaned' to ensure that (i) all sampled cases were eligible for inclusion in the survey, and (ii) sampled cases had sufficient address details and telephone numbers, and could therefore be approached and invited to participate in the survey. The following categories of leads were removed from the sample:

- leads where the case outcome did not fall into one of the following categories: Guilty plea, Contested – convicted, Contested – acquittal, Case dropped/written off;
- leads whose cases closed outside the specified dates for a sweep;
- leads of offences which were excluded from the survey;
- leads who would be younger than 18 years of age at the time of interviewing;
- leads who were professional or police witnesses;
- leads who were present in the sample more than once;
- leads who had been approached to take part in a sweep of WAVES within the past year; and,
- leads for whom there were incomplete or no address details.

After the samples had been cleaned, they were checked by a second Ipsos MORI researcher before being signed off. Specifically, it was checked that:

- Names, addresses and telephone numbers from the original file matched those in the clean sample. Several records from different parts of the original file were checked in this way;
- The unique identifier for each lead in the first 'Moriid' column had been correctly calculated;
- The 'case outcome' column did not contain any offences excluded from the survey;
- The 'date of outcome' column only included dates which fell within the sweep quarter;
- The 'title' column contained no titles such as 'PC', and that no title cells were blank;
- Respondents' gender and name corresponded;
- The 'date of birth' column did not include anyone who would be 17 or under at the time of interview;
- The first address column contained no police/security addresses, and that no address columns contained text such as 'unknown' or

‘N/K’ (which would be printed onto the opt-out letter if not removed);

### 3.9 Improving contact information

Efforts were made to fill in missing contact details in the samples by using telephone and postcode matching services. In the case of telephone numbers, addresses were matched against publicly listed databases (ex-directory numbers could not be matched). Sample selections were made irrespective of whether cases in the sample files had a telephone number or not: where a victim or witness was selected and the telephone number was missing (i.e. was missing in the original sample and the telephone matching had been unsuccessful) an opt-in letter was sent requesting that they provide a telephone number so that they could be contacted.

In the case of address, where two or more lines of address details were provided but postcodes were missing, we attempted to match postcodes. This step increased the likelihood of respondents receiving the opt-out/opt-in letters, and also improved the success rate for telephone matching.

### 3.10 Summary of sample cleaning outcomes

Table 3.4 provides details of how many cases were lost at each of the stages of the sample cleaning process across Sweeps 19 to 22 of the survey.

**Table 3.4 Sample cleaning: leads lost (numbers, and as a percentage of total leads provided)**

	Sweep 19	Sweep 20	Sweep 21	Sweep 22
Total leads provided	109,181	111,021	106,759	108,802
<b>Cleaning stage</b>				
Case outcome ineligible	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Date of outcome ineligible	13,172 (12%)	13,910 (13%)	11,223 (10%)	11,219 (10%)
Non-WAVES Offence	23 (0%)	233 (0%)	21 (0%)	49 (0%)
Age ineligible	139 (0%)	99 (0%)	61 (0%)	18 (0%)
Address missing	4,786 (4%)	4,917 (4%)	4,517 (4%)	5,346 (5%)
Professional Witnesses	3,701 (3%)	2,472 (2%)	2,170 (2%)	1,997 (2%)
Invalid Duplicates	2,882 (3%)	2,688 (2%)	3,026 (3%)	1,865 (2%)
Valid Duplicates	4,424 (4%)	4,151 (4%)	4,453 (4%)	4,724 (4%)
Previous Sweep	2,372 (2%)	2,383 (2%)	2,306 (2%)	2,345 (2%)
Telephone missing	7,968 (10%)	7,907 (10%)	7,373 (9%)	6,591 (8%)
<b>Total leads lost (including missing telephone numbers)</b>	<b>39,467</b>	<b>38,760</b>	<b>35,150</b>	<b>34,154</b>
<b>Usable leads as % of leads provided</b>	<b>64%</b>	<b>65%</b>	<b>67%</b>	<b>69%</b>

Source: Ipsos MORI

The main reasons leads were lost in Sweeps 19-22 were due to the date of the case outcome falling outside the specified case outcome dates<sup>8</sup>, missing contact details (addresses and telephone numbers) and duplications within the sample. For the purpose of measuring sample quality, leads with missing telephone numbers have been included in the usability calculations in Table 3.4; however, cases with missing telephone numbers were not removed from the sample.

<sup>8</sup> It should be noted however that the WMS system downloaded samples which included cases falling after the specified case closing dates for a specific sweep, but which could nevertheless be carried over and used in the subsequent sweep. LCJB areas were asked not to remove these leads from the sample.

Instead, Ipsos MORI attempted to find the missing telephone numbers by screening leads' names and address details against the BT subscriber database.

### 3.11 Feedback to LCJB areas

For each sweep, detailed feedback was sent to each LCJB area, highlighting why and where leads had been lost, and giving tips on how to improve sample quality and size in future sweeps.

This enabled LCJB areas to see where there were problems in the quality of their samples. A written summary of the sample quality was also provided by Ipsos MORI researchers to highlight the main issues identified with the sample and to suggest how sample quality might be improved.

### 3.12 Opt-out and opt-in processes

As part of the survey process, all leads were sent an opt-out letter before being called by Ipsos MORI interviewers (see section 2.3 for a discussion of the data protection issues regarding opt-out letters). This letter explained the aims of the survey and what the interview involved, and also gave respondents the opportunity to refuse any further participation in the study.

The opt-out letter informed potential respondents that an interviewer might call them in the following month to arrange a convenient time to conduct the interview. For those who did not wish to take part, an opt-out slip was included with the letter, which people could return in a pre-paid envelope in order to be removed from the sample. The reply slip included with the letter also gave respondents the chance to provide their telephone details if they wanted to take part but thought their details may have changed since providing them to the police. A telephone number at Ipsos MORI was also provided in case respondents had any queries. This telephone line was staffed by a member of the Ipsos MORI WAVES team.

Potential respondents for whom no contact phone number was supplied were sent an opt-in letter. This explained that Ipsos MORI did not have respondents' contact details and that if they wished to take part they should respond to the letter to provide their telephone number, or they could respond electronically using the email provided on the letter. If no reply was received these victims and witnesses were removed from the samples before fieldwork began.

### 3.13 Sample attrition

A number of factors contributed to sample attrition in Sweeps 19-22. The sample cleaning process described above involved the removal of ineligible and non-contactable leads. The proportion removed from the sample during the cleaning stage remained fairly consistent, ranging from 29% in Sweep 19 to a quarter (25%) in Sweep 22.

The proportion of leads with missing telephone numbers has remained consistent during the fifth year of WAVES at just three per cent, as has the

proportion in the sample that have opted out (except in Sweep 21 when this rose slightly to four per cent). Meanwhile, the proportion of leads in the sample with 'bad numbers' (i.e. incomplete or missing telephone numbers), has decreased, from 11% in Sweep 19 to eight per cent in Sweep 22.

In Sweep 19, less than one in ten leads (eight per cent) were classed as ineligible. These are leads that would have been screened out due to being an expert witness or having been involved in an offence excluded from the study. This proportion has remained fairly consistent across Sweeps 19-22, with nine per cent in Sweep 22 being classed as ineligible.

Of those leads who were contacted by interviewers, just under a quarter (23%) refused to go ahead with the interview in Sweep 19. This fell to one in five (21%) in Sweeps 20 and 21, then rose again slightly to 22% in Sweep 22.

**Table 3.5 Sample attrition across Sweeps 19-22**

	<b>S19</b>	<b>S20</b>	<b>S21</b>	<b>S22</b>
Leads provided	109,181	111,021	106,759	108,802
Lost in sample cleaning (% of leads provided)	31,499 (29%)	30,853 (28%)	28,488 (26%)	28,842 (26%)
Missing telephone numbers (% missing after look-ups and opt-in period)	3,754 (3%)	3,654 (3%)	3,558 (3%)	3,332 (3%)
Opted-out (% of usable leads)	2,894 (3%)	2,774 (3%)	2,818 (4%)	2,694 (3%)
Bad numbers (% of leads called)	3,235 (11%)	2,463 (9%)	2,754 (9%)	2,356 (8%)
Refused (% of leads called)	6,662 (23%)	5,761 (21%)	6,126 (21%)	6,159 (22%)
Ineligible leads (% of leads called)	2,461 (8%)	2,383 (9%)	3,055 (10%)	2,557 (9%)
Completed interviews (% of leads called)	9,420 (32%)	9,547 (35%)	9,438 (32%)	9,374 (33%)

*Source: Ipsos MORI*

### 3.14 Pre-notification letters

Since Sweep 12, pre-notification letters have been sent out in areas that had previously failed to reach the target number of interviews. The LCJB areas selected to receive pre-notification letters were those which missed their target by 5 per cent or more by providing too few leads, and of these, those areas with the highest refusal rates. This selection strategy was employed to maximise the number of LCJB areas getting close to, or attaining their targets (selecting only those LCJB areas with the poorest response rates would have meant sending pre-notification letters in some areas which would have reached their target anyway).

In each of Sweeps 19 to 22, additional areas had to be selected to make up the six pre-notification areas as only a few areas failed to reach their target number of interviews. These were chosen to be those of the remaining areas who have historically had issues with response rates, as well as the quality or size of their samples.

Table 3.6 shows the pre-notification areas for Sweeps 19-22, and highlights those that were chosen for failing to reach target in the previous sweep.

<b>Table 3.6 Pre-notification areas Sweeps 19-22</b>			
<b>S19</b>	<b>S20</b>	<b>S21</b>	<b>S22</b>
Bedfordshire	Cambridgeshire	Cambridgeshire	Cambridgeshire*
Cambridgeshire*	Dorset*	Dorset*	Dorset*
Dorset*	Dyfed Powys*	Gloucestershire*	Gloucestershire*
Gloucestershire*	Gloucestershire	Lincolnshire	Northamptonshire*
Hertfordshire*	Northamptonshire*	Northamptonshire	Warwickshire
Merseyside	Warwickshire*	Warwickshire	Wiltshire*

\*Area not within 5% of target in previous Sweep

*Source: Ipsos MORI*

### 3.15 Final sample characteristics

Table 3.7 shows the characteristics of the leads sent by LCJB areas across Sweeps 19-22, after the samples had been cleaned by Ipsos MORI. Sample profiles were relatively consistent between LCJBs and the overall sample achieved a spread of case types and outcomes.

As illustrated in Table 3.7, the final sample profiles were similar across Sweeps 19-22. The proportion of leads with missing court type information decreased rapidly in Sweeps 19-22. This could be due to a greater amount of information recorded in the WMS system, from which areas are increasingly drawing their samples.

Originally, the MOJ requested that ethnicity information be collected by LCJB areas and included in samples, with a view to conducting Black and Minority Ethnic (BME) booster surveys in LCJB areas with large ethnic minority populations (i.e. to over-represent BME groups in the final sample, in order to achieve a robust sample of BME groups). However, discussions with LCJB areas revealed that many do not collect BME data consistently – or at all. In fact, ethnicity was recorded for half (50%) the leads provided for Sweeps 19-22.

Similarly, data on whether or not victims and witnesses gave evidence in court was not always readily accessible. Again, an original suggestion to stratify samples so that those who had given evidence in court could be over-sampled was not possible.

**Table 3.7 Final sample profiles Sweeps 19 – 22**

<b>Sweep</b>	<b>Sweep 19</b>	<b>Sweep 20</b>	<b>Sweep 21</b>	<b>Sweep 22</b>
<b>Total usable leads</b>	<b>77,682</b>	<b>80,168</b>	<b>78,982</b>	<b>80,973</b>
	%	%	%	%
<b>Victim/Witness status:</b>				
Victim leads	32	32	32	32
Witness leads	68	68	68	68
<b>Case Outcome:</b>				
Dropped case	8	10	9	9
Guilty plea	71	72	73	75
Contested – not guilty	6	6	6	6
Contested guilty	7	7	9	8
Other/missing	8	6	3	3
<b>Court Type:</b>				
Magistrates court	70	69	68	67
Crown court	29	30	31	32
Youth court	1	1	1	0
Other/missing	0	0	0	0
<b>Ethnicity:</b>				
Ethnicity recorded	56	53	53	54
<b>Offence Type:</b>				
Violence	38	39	40	41
Robbery	4	4	4	4
Burglary	12	12	13	12
Criminal damage	14	14	13	13
Theft and handling	32	30	30	31

*Source: Ipsos MORI*

Table 3.8 compares the characteristics of the leads sent by LCJB areas across Sweeps 19-22, after samples had been cleaned by Ipsos MORI, with the characteristics of leads with whom interviews were carried out<sup>9</sup>.

<sup>9</sup> The profile of those who took part in the survey is based on the unweighted data. This provides a more meaningful indication of who agreed to be interviewed.

The relative proportion of victims and witnesses in the final sample is purposefully more even than in LCJB areas' original samples (as the survey aims to interview equal numbers of victims and witnesses, rather than proportionately). However, although victims and witnesses are sampled in equal numbers, victims are generally more likely than witnesses to take part in the survey<sup>10</sup>.

Generally, the final profiles of those interviewed mirror the profiles of the samples provided by LCJB areas. In some cases, victims and witnesses involved in more serious cases, or who were more involved in their case, seem to be more likely to take part (e.g. those whose case heard at a Crown Court, or whose case was contested or ended in a guilty plea).

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<sup>10</sup> Please note that there is often a discrepancy between victim/witness status as recorded in the sample file and respondents' own classifications; Table 3.8 uses the sample definition of victim/witness status for those interviewed in Sweeps 19-22.

**Table 3.8 Comparison of final sample profiles and profile of interviewed leads Sweeps 19 – 22**

Sweep	Sweep 19		Sweep 20		Sweep 21		Sweep 22	
	Sample profile	Inter-viewed						
<b>Total usable leads</b>	<b>77,682</b>		<b>80,168</b>		<b>78,982</b>		<b>80,973</b>	
<b>Completed interviews</b>		<b>9,420</b>		<b>9,547</b>		<b>9,438</b>		<b>9,374</b>
	%	%	%	%	%	%	%	%
<b>Victim/Witness status:</b>								
Victim leads	32	51	32	52	32	50	32	48
Witness leads	68	49	68	48	68	50	68	52
<b>Case Outcome:</b>								
Dropped case	8	6	10	7	9	7	9	7
Guilty plea	71	74	71	74	72	75	72	77
Contested – not guilty	6	6	5	5	5	5	6	5
Contested – guilty	7	8	8	8	8	10	8	8
Other/missing	8	7	6	5	6	3	5	3
<b>Court Type:</b>								
Magistrates court	70	70	69	68	68	67	69	66
Crown court	29	30	30	31	29	33	30	33
Youth court	1	1	1	1	3	1	1	*
Other/missing	0	0	0	0	0	0	0	0
<b>Offence Type:</b>								
Violence (including Robbery)	42	41	43	42	44	42	45	42
Burglary	12	14	12	15	13	16	12	16
Criminal damage	14	15	14	14	13	13	13	13
Theft and handling	32	30	30	30	30	29	31	30

*Source: Ipsos MORI*

# 4. Questionnaire content and development

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## 4.1 Structure and coverage of the questionnaire

There have been few substantive changes made to the questionnaire since WAVES started in December 2004. This is mainly due to the fact that the survey aims and objectives have remained consistent: the survey results should enable LCJB areas to measure how effectively six of the eight priorities, as set out in the Victim and Witness Delivery Plan<sup>11</sup>, are being met. Questions cover each of the policy areas included in the delivery plan, aiming to give comprehensive information and satisfaction ratings for each. However, the WAVES questionnaire was reduced by approximately a third for Sweep 21, see below for further details.

The core WAVES questionnaire focused on the services and information respondents received before, during and after their case, and their experiences and satisfaction with their contact with the Criminal Justice System. The questionnaire took the respondent chronologically through their experiences, from the point the crime was reported to the police. Those asked to give evidence in court were taken through (where applicable) the preparation for the trial/hearing, the experience of giving evidence and their feelings about the outcome of the case. All respondents were also asked general questions about their experience of the Criminal Justice System as a whole, and about their suggestions for improvements to the services offered.

Specifically, the key themes covered were:

- Screeners and introduction
- Crime type; victim/witness status
- Reporting the crime; giving a witness statement/victim personal statement
- Information provision and updates on case progression; receipt of leaflets
- Whether case was dropped or went to trial/hearing; explanation for why charges dropped; altered charges

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<sup>11</sup> The eight priorities are (*those covered by WAVES shown in italics*): *Information about case progress, and about how the CJS process works; Referral to appropriate support organisations; Support to attend court; Support at court and beyond; Identification and support for children and other vulnerable or intimidated victims and witnesses; An improved experience for victims and witnesses from minority groups; High quality of service provided by CJS staff; Listening to the views of victims, witnesses and communities.*

- Whether asked to give evidence; whether attended court; date of court case
- Contact and satisfaction with Witness Care Unit/Officer
- Concerns about attending court/intimidation; help and support from CJS staff; receipt of information prior to attending court
- Contact and satisfaction with Youth Offending Team
- Experience at court; court facilities and staff
- Experience of giving evidence; consideration shown by court staff and CJS officials
- Claiming expenses; Criminal Injuries Compensation Scheme
- Special needs as a result of the crime; support provided by Witness service/Victim Support
- Satisfaction with case outcome/verdict and sentence; explanation of sentence
- Victim/Offender Scheme (removed in Sweep 21)
- Overall satisfaction with information provided/CJS staff/contact with CJS; future improvements
- Discrimination from CJS agencies; prejudices in motivation of crime

The main body of the questionnaire comprised several sections, although any one respondent did not answer them all. Respondents were routed to different sections of the questionnaire, such that they were only asked about things that they experienced as part of their case. If a respondent did not attend court, for example, they would not answer the sections of the questionnaire relating to experiences at court. Routing that was built into the survey script isolated eleven groups of victims and witnesses, each of which was asked a slightly different set of questions, depending on their experiences:

- 1 Respondents whose case was dropped and did not proceed to a trial or hearing

Respondents whose case did proceed to a trial or hearing...

- 2 ...who were not asked to give evidence at the trial, but who observed the trial

- 3 ...who were not asked to give evidence at the trial, and who did not observe the trial
- 4 ...who attended court expecting to give evidence, and did give evidence
- 5 ...who attended court expecting to give evidence, were ultimately not required to give evidence, but who observed the trial
- 6 ...who attended court expecting to give evidence, were ultimately not required to give evidence, but who did not observe the trial
- 7 ...who were initially asked to give evidence, but did not attend court because were told in advance that their evidence would not be needed.
- 8 ...who were initially asked to give evidence, were then told in advance that their evidence would not be needed, but who attended court and observed the trial
- 9 ...who were initially asked to give evidence, who were then told in advance that their evidence would not be needed, who attended court but did not observe the trial
- 10 ...who were initially asked to give evidence, but did not attend court for reasons other than being told in advance their evidence wasn't needed
- 11 ...who were asked to give evidence, but did not attend court because they gave evidence via video-link

## 4.2 Question types

### 4.2.1 Screener questions

As in earlier sweeps, a series of screener questions preceded the main questionnaire to confirm that the respondent was eligible to take part. These clarified that the case had been closed, that the respondent was 18 or over, and was not a police/expert witness or a police officer or other CJS official assaulted in the course of duty. Respondents were excluded if they had been involved in any of the offences not covered by WAVES, such as sexual offences which are deemed too sensitive to be covered by a telephone survey. The screener questions also excluded those who had participated in the survey in the past 12 months.

Although every effort was made to exclude sensitive and very serious cases from the sample, both by LCJB areas and by Ipsos MORI, the way in which information is held in police/CPS records sometimes makes it impossible to identify these cases. Where victims and witnesses in cases not covered by the survey were approached, interviewers explained that the survey was not designed to cover particular types of offence and did not proceed with the interview.

To understand any possible non-response bias, a question (S2b) was asked of those refusing to participate to understand why they did not want to take part.

Table 4.1 shows the reasons given for non-participation in Sweeps 19-22. People were most likely to say that they were ‘not interested’ or ‘do not want to’ when asked why they were declining to take part (40-52% cited these reasons in Sweeps 19-22); not having sufficient time for the interview was also a common reason for refusal.

In general, the reasons given suggest that those who were involved in incidents they considered relatively trivial may be slightly under-represented in the results: around one in ten of those refusing to be interviewed said they did not recall being a victim or witness, while feeling incident or their involvement was minimal was another commonly cited reason for refusing. The reasons do not point towards any great bias against those who were particularly dissatisfied with their experience, however. Only four to five per cent of respondents refused on the grounds that they were unhappy with the CJS.

**Table 4.1. Reasons for not taking part across Sweeps 19-22**

<b>Q</b>	<b><i>Please don't feel you have to say, but would you be willing to tell me why you don't want to be interviewed, just to help us get a general idea of why people aren't taking part?</i></b>			
<i>Base: All who were unwilling to take part in Sweeps 19-22</i>	S19 (4,091) %	S20 (4,088) %	S21 (4,264) %	S22 (5,055) %
Not interested/Do not want to	40	42	46	52
No time	17	23	15	14
Do not recall being a victim/witness in a crime resulting in a charge/at all/recently	9	8	8	9
Experience/Involvement was minimal (e.g. only gave statement)	7	8	6	6
Want to move on and forget about it. Do not want to be reminded about it	6	3	4	5
Unhappy with the police/British Justice System	4	5	4	4
Do not like participating in surveys	3	3	3	3
Language difficulties	2	2	3	3
Job related (involved in CJS/Police/CCTV)	2	2	2	2
Incident too minor to be worth being interviewed over	1	1	1	1
Health problems/too old	1	1	1	1
Personal	1	1	1	1
Not available for interview (e.g. moving house)	1	1	1	1
Other	12	12	8	6
Don't know	1	1	*	1
Refused	1	2	1	*

*Source: Ipsos MORI*

## 4.2.2 Pre-coded and coded questions

The majority of questions in the WAVES questionnaire were pre-coded: a list of pre-defined responses to the question was displayed for interviewers to select from during the interview. Some pre-coded questions allowed only one response, where answer options were mutually exclusive, whereas others allowed multiple responses, where more than one answer could logically be provided to the question. Pre-coded questions sometimes included an 'other-specify' option; if a respondent gave an answer not included in the pre-coded list, the interviewer could select 'other' and type in the answer verbatim.

The questionnaire also included some open-ended questions whereby there was no pre-code list of codes for interviewers to select from, instead, interviewers typed in respondents' verbatim answers.

## 4.2.3 Coding of verbatim responses

The raw verbatim responses to open-ended and 'other-specify' questions were processed manually by Ipsos MORI's Coding department and, where possible, assigned to codes in the existing code-frame (the list of the most common responses to a question). The code-frames for both pre-coded and open-ended questions had been developed in previous sweeps of WAVES. It was also possible for new codes to be added to the code-frames each sweep, for example where there were a number of respondents giving similar answers not already covered by any of the codes in the existing code-frame. Essentially, this coding process involves all responses with the same meaning being grouped under the same category.

The accuracy of the coding was verified by a senior member of the Coding department and Ipsos MORI researchers checked and approved each new code proposed.

In line with Ipsos MORI's standard procedures, the coding verifier checked 5% or a minimum three responses at each question. The responses chosen for checking were selected at regular intervals throughout the listings. If errors were detected on any question they were flagged and corrected by the original coder. The question was then rechecked on the same basis. This checking and verification system was logged in standard 'Coding Verification Sheets' used on all projects. Once each question had been checked, and the verification logged, the code-frames were sent to Ipsos MORI's data processing department, where the coded responses and new codes were added into the data files.

## 4.2.4 Logic and consistency checks

Ipsos MORI Telephone Services (TS) uses Quancept, a CATI software package provided by SPSS MR Ltd to run the survey in a format suitable for telephone interviewing.

The CATI questionnaire script incorporated a number of 'logic checks' which tested the consistency of answers; where inconsistent answers had been given,

the script would not allow the interviewer to proceed. Respondents would instead need to change their answer at the current question to be consistent with a previously given answer or answers, or vice versa.

In addition, a series of background ‘soft’ checks ensured that respondents were routed through the correct questions on the questionnaire (depending on their answers at previous questions). Much of the questionnaire routing is based on answers at one or more previous questions: in these cases, the CATI system automatically checks these previous answers which trigger the correct routing.

## 4.3 Questionnaire development

### 4.3.1 Sweep 19 questionnaire review

During the life of the survey, annual reviews of the survey questionnaire were conducted. A questionnaire review was conducted before Sweep 19. As part of this review, some minor changes were made to the questionnaire, as summarised below.

Changes:

- Questions including descriptions of CJS leaflets updated to reflect new leaflet designs in place
- Questions about the updates provided to those involved in dropped cases were asked of victims only, rather than victims and witnesses, to reflect that the CJS only has a statutory duty to update victims.
- Minor wording changes throughout helped to ensure the questions did not carry misleading implications (e.g. ‘did a member of the CJS tell you about ...’ may imply a verbal explanation, when this could be written; in these cases wording was adapted)
- One section of questions (Q122-129) about information about attending court was cut for those who were not asked to give evidence but who observed the trial, due to the small number of cases routed to this section.

### 4.3.2 Sweep 21 questionnaire review

The questionnaire was reviewed during the survey year to reduce the questionnaire length. Questions were removed from sweep 21 onwards. A full list of questions removed from Sweep 21 is provided in Appendix 5.

In general the questions cut were those which asked follow-up open-ended questions about information or services provided, or where the numbers of respondents asked the question were small due to filtering.

# 5. Preparation for fieldwork

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## 5.1 CATI programming

Before commencement of fieldwork for any Sweep, the CATI (Computer Assisted Telephone Interviewing) script was first programmed to match the questionnaire exactly. To facilitate this process, a questionnaire clearly marking all changes from the previous sweep was created, and the CATI script updated accordingly. The CATI script was then checked thoroughly by researchers at Ipsos MORI to ensure it matched the questionnaire exactly. The changes involved in this checking process are outlined below.

The first stage involved a general sense check to make sure that the script followed a logical order, did not contain any internal inconsistencies, repeat itself, or contain any other sense-related errors. Each question in the CATI script was checked with the following considerations in mind:

- Does the question make sense and/or is it ambiguous?
- Do I feel that this question has already been asked?
- Does it make sense for me to be asked this question given my answers to previous questions?
- Does it make sense for me to answer a certain combination of codes at this question (at multi-code questions)?
- Does it make sense that I can only provide one response at this question (at single-code questions)?
- Do these questions follow a logical order?

The second stage of quality-checks involved checking that the wording between the questionnaire and the CATI script matched exactly. As such, the CATI script was checked against the questionnaire to ensure exact matches between:

- The question text, including the introductory text before questions;
- The response option text;
- The interviewer instruction text;
- The question numbers.

The third stage of checks involved checking that response options to each question were correctly set-up in the CATI script. Specifically, it was checked that:

- Single-code and multi-code questions had been correctly programmed such that only single responses could be given to single-code questions, whereas multi-code questions would accept multiple responses;
- ‘Refused’ and ‘don’t know’ answers could not be given where they were not permitted in the questionnaire;
- “Other (specify)” responses were correctly scripted such that they asked for a verbatim comment to be typed in;
- Logic checks were working. These logic checks included instances where various response options could not be entered together at multi-code questions (for instance because they were contradictory), and instances where contradictory answers were given to separate questions. In the latter instance, it was ensured that an error message appeared on the screen flagging up the contradictory answers, and instructing the interviewer to ask the respondent to clarify the correct answer.

The fourth stage of checks involved checking that the routing in the CATI script was working, and matched the routing instructions in the questionnaire exactly. These checks were carried out in the following order:

- The entire CATI script was run through sequentially: for each question, all response codes were answered in turn to ensure that each response option at each question routed to the correct subsequent question.
- The CATI script was then checked for correct routing by assuming a particular routing category (e.g., a witness whose case proceeded to a trial or hearing, who went to court expecting to give evidence, and ultimately did give evidence) and following the questionnaire through to ensure that the correct questions were asked. This process was repeated for the main categories of respondents (see section 4.1 for a full breakdown of routing categories).

For the fifth and final stage of CATI checking, a test CATI topline was produced. In order to produce a test CATI topline, a computer programme automatically runs 200 dummy interviews, selecting responses to each question at random, and following the routing at each question based on the responses generated. It is therefore possible to ensure the routing is functioning correctly by checking that the number of dummy respondents answering a given question matches the number that should answer the question, based on the routing instructions. For instance, if 85 respondents say “Yes” at Q5, and Q6 is based only on those who say “yes” at Q5, then the base for Q6 should be 85.

## 5.2 CATI in the field

After the five stages of CATI checks outlined in the previous section had been completed, interviewing began. While the quality-assurance procedures described

provide a high degree of confidence that the CATI script is a precise reflection of the questionnaire, once the interviewing starts close contact was maintained with the telephone interviewing team to monitor fieldwork. This procedure allowed for identification and correction of any problems at the earliest opportunity.

Furthermore, as a final check that the routing in the questionnaire had been faithfully translated into the CATI script in the field, a further CATI topline was produced for checking soon after fieldwork has begun. This allows for a check on *actual* rather than *dummy* responses.

### 5.3 Briefing of interviewers

All interviews were carried out by fully trained and supervised interviewers who had wide experience in conducting research on sensitive subjects, and among similar audiences (such as research among victims and witnesses on other projects). Each sweep, interviewers were given a comprehensive face-to-face briefing by senior researchers from the Ipsos MORI WAVES team before interviewing began. This briefing ensured that:

- interviewers had met with and discussed the project with researchers on the WAVES team, thereby creating a greater sense of involvement in the project;
- interviewers understood the background of the study, and the aims of the research;
- interviewers understood background information about the Criminal Justice System in England and Wales;
- interviewers were fully familiar with the questionnaire, in particular the format and structure it followed;
- interviewers were aware of the screening questions;
- interviewers were aware of potentially sensitive questions, understood data protection issues and could reassure respondents that all information gathered was confidential and would not be released to a third party;
- interviewers were able to minimise refusal rates by persuading respondents of the importance of the research, of the security of their personal data, and of the anonymity of their answers;
- interviewers understood that some respondents may become distressed during the interview – for instance, the interview may trigger painful memories related to the crime. Interviewers were instructed to provide reassurance, provide victim and witness support helplines if appropriate, and if necessary, not proceed with the interview further.

Given the length and complexity of the face-to-face briefing, interviewers were also given written instructions outlining important points covered in the briefing to serve as a reference.

Interviewers were also supplied with detailed instruction booklets, copies of the opt-out, opt-in and pre-notification letters sent to respondents, and copies of the information leaflets referred to in the questionnaire. All interviewers also received background information about the Criminal Justice System, including a detailed explanation of the progression of cases through the system to aid their understanding of questionnaire and subject matter.

## 5.4 Supervision and quality control

Ipsos MORI is a member of the Interviewer Quality Control scheme (IQCS). Members of this scheme are required to follow set procedures in respect of interviewer recruitment, training, supervision and respondent/data validation to ensure that all data are collected ethically and to a high standard. Each year Ipsos MORI is inspected to ensure these standards are being met. Comprehensive records are also kept on interviewers' ability, technique and work attitude.

During fieldwork, quality was assured through constant supervision and monitoring of interviewers. Monitoring involved listening in to the interview as well as following it on screen. This enabled project supervisors to assess interviewers' accuracy at recording information as well as hearing how well the interview was conducted. Interviewers were then shown the supervisor's comments and, if necessary, assistance was given where there was evidence of weakness. Overall a minimum of 10% of the interviews were monitored.

Individual interviewer productivity was monitored throughout fieldwork by means of their call ratio (number of calls to achieve one interview) and the percentage of time they spent on the telephone. If an interviewer had a poor call ratio they were re-briefed. This often involved the interviewer listening to a more successful interviewer's technique.

If an interviewer failed to respond to re-briefing they were moved off the survey. However, if refusals were deemed to be due to circumstances (for example, poor quality sample leads), interviewers continued to work on the survey. If particular sub-samples proved to be more difficult to recruit and/or interview than others, then the best interviewers were concentrated on these samples.

At the end of the interview, respondents were offered the name of the executive at Ipsos MORI Telephone Services and the appropriate telephone number (which could be called free of charge), plus the freephone number for the Market Research Society, who were able to verify that all of Ipsos MORI's work is confidential.

## 6. Fieldwork

### 6.1 Interview dates and interview management

WAVES is conducted in quarterly sweeps. Table 6.1 below illustrates the interviewing period for each sweep, as well as the time period over which cases closed for each sweep, and the number of interviews achieved.

**Table 6.1 Fieldwork overview, Sweeps 19 - 22**

	S19	S20	S21	S22
Cases closed	Apr - Jun 2009	Jul - Sep 2009	Oct - Dec 2009	Jan – Mar 2010
Interviewing period	14 Sep – 25 Oct 09	14 Dec 09 – 31 Jan 10	15 Mar – 27 Apr 10	14 Jun – 25 Jul 10
Total number of interviews achieved	9,420	9,547	9,438	9,374
Total number of victim interviews	4,837	4,930	4,719	4,546
Total number of witness interviews	4,583	4,617	4,719	4,828

*Source: Ipsos MORI*

For each sweep the survey aimed to interview 200 people per LCJB area: 100 interviews with victims, and 100 with witnesses. Targets in some LCJB areas were increased, to reflect the relative sizes of caseloads across LCJB areas. Specifically, targets were higher in London (target of 500 victim and 500 witness interviews per sweep), Greater Manchester (200 victims and 200 witnesses), West Midlands (200 victims and 200 witnesses) and West Yorkshire (150 victims and 150 witnesses).

Because some LCJB areas provided fewer than the required number of leads necessary to allow this figure to be reached,<sup>12</sup> this target was not reached in all areas. The figure below illustrates the total number of interviews achieved across Sweeps 1 – 22<sup>13</sup> broken down by victim/witness status.<sup>14</sup>

<sup>12</sup> The number of victim and witness cases required in the original samples in order to reach interview targets is approximately 900 for areas where the target is 200, 1,350 where the target is 300, 1,800 where the target is 400, and 4,500 where the target is 1,000.

<sup>13</sup> Sweep 6 ran as a pilot to test changes made to the WAVES questionnaire after Sweep 5, and is therefore not included in figure 6.1.

<sup>14</sup> In Sweep 8 a higher number of interviews were achieved relative to other sweeps due to a greater numbers of leads being provided by LCJB areas. A random sample of 950 leads was selected (as detailed in Chapter 3). However this figure resulted in more than the 200 target of interviews being achieved for 28 of the 42 LCJB areas. In Sweep 9 the number of leads needed to be uploaded per area was estimated from previous response rates, and from Sweep 10 leads were 'fed in' and exhausted incrementally to achieve or get close to the 200 target.

Figure 6.1 Achieved interviews by Sweeps 1-22

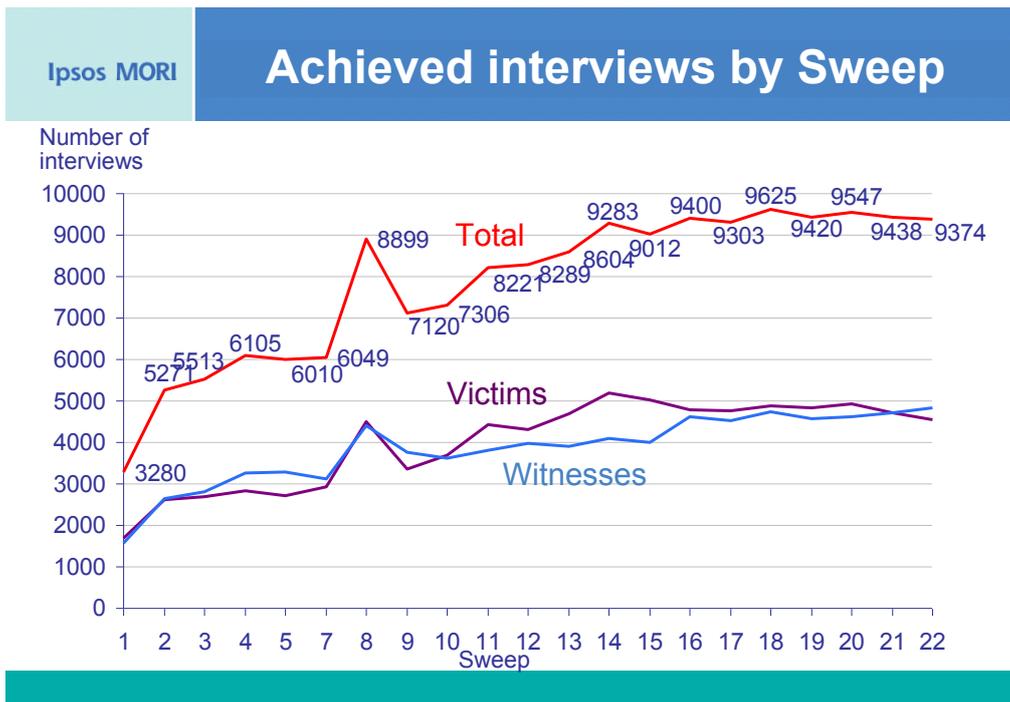


Table 6.2 shows the number of interviews achieved across Sweeps 19-22 broken down by victim/witness status, and LCJB area.

**Table 6.2 Achieved interviews by LCJB Area Sweeps 19-22**

	<i>Victims</i>	<i>Witnesses</i>	<i>Total achieved</i>
Avon and Somerset	466	333	799
Bedfordshire	321	470	791
Cambridgeshire	329	371	700
Cheshire	434	359	793
Cleveland	407	392	799
Cumbria	313	480	793
Derbyshire	411	383	794
Devon and Cornwall	443	348	791
Dorset	306	370	676
Durham	378	412	790
Dyfed Powys	311	447	758
Essex	460	339	799
Gloucestershire	229	343	572
Greater Manchester	927	668	1595
Gwent	333	452	785
Hampshire	428	366	794
Hertfordshire	311	483	794
Humberside	459	336	795
Kent	424	369	793
Lancashire	445	344	789
Leicestershire	430	360	790
Lincolnshire	333	457	790
London	2277	1715	3992
Merseyside	427	361	788
Norfolk	330	454	784
Northamptonshire	244	338	582
Nottinghamshire	430	355	785
Northumbria	424	373	797
North Wales	354	437	791
North Yorkshire	268	525	793
South Wales	469	314	783

*Source: Ipsos MORI*

**Table 6.2. continued. Achieved interviews by LCJB Area, Sweeps 19-22**

	<i>Victims</i>	<i>Witnesses</i>	<i>Total achieved</i>
South Yorkshire	419	370	789
Staffordshire	408	378	786
Suffolk	380	410	790
Surrey	301	488	789
Sussex	348	450	798
Thames Valley	440	351	791
Warwickshire	344	416	760
West Midlands	866	731	1597
West Mercia	371	415	786
West Yorkshire	721	553	1274
Wiltshire	313	431	744
<b>TOTAL</b>	<b>19032</b>	<b>18747</b>	<b>37779</b>

*Source: Ipsos MORI*

At each sweep, samples were provided to the Ipsos MORI telephone centre in separate batches (each batch contained samples from a number of LCJB areas). This batch system was adopted to allow use of samples received after the deadline for the submission of samples by any LCJB areas. (These delays were usually due to LCJB areas experiencing difficulties in collecting the information that was required.) Interviewing began as soon as the first batch of samples was made available to interviewers.

When each batch was uploaded, the Ipsos MORI data processing team would confirm how many leads were uploaded successfully to the telephone centre, and how many leads were rejected. A handful of leads were sometimes rejected due to issues with the telephone number being accepted by the CATI system. For example, this can be due to the telephone number not containing enough digits, or there being an invalid character within the number. Further to this, an Ipsos MORI executive would also check to ensure that the number of leads uploaded in each batch matched the number of cleaned leads sent to the telephone centre.

Within each batch, the sample leads were randomised in the CATI system. This meant that interviewers contacted leads at random, as opposed to exhausting leads LCJB area by LCJB area. Any leads where contact was not made on any one particular attempt at calling (either because the call was not answered, or the telephone was engaged) joined a queue; this queue ensured that the leads were not tried again immediately, but were added back into the sample after a few hours.

Before each attempted contact with a potential respondent, interviewers could view details of all previous calls and contacts with that particular individual. They could also see whether there were multiple victims/witnesses within a household selected for the survey. Where contact might already have been made with another family member, this allowed interviewers to explain to anyone answering in the respondent's household that, even though they had been in touch with one family member in the past week, they also wanted to speak to another family member. Interviewers were not allowed to view any other information contained in the sample (i.e. no case information was sent to the Telephone Centre).

## 6.2 Interview procedures and samples

LCJB areas were asked to provide details of all eligible victims and witnesses in their area for each sampling period. Throughout Sweeps 19-22, the number of leads provided by LCJB areas varied widely. For LCJB areas where large samples (over 950 leads, in instances where the target number of interviews was 200) were provided, Ipsos MORI researchers randomly selected 950 leads from the cleaned sample (475 victims and 475 witnesses, if possible) to receive opt-out letters. Details of victims and witnesses in this sub-sample were then sent to the telephone centre for interviewing.<sup>15</sup>

These leads were put into a random order;<sup>16</sup> cases from the sample were then uploaded by the telephone centre incrementally in order to get as close as possible to the 200 target, without setting a quota. Exhaustive attempts were made to contact and interview all cases from each tranche of sample before further increments were loaded in. Each lead which was uploaded by the telephone centre was 'exhausted' (i.e., was tried 15 times if there was no definite call outcome). For LCJB areas which did not provide enough usable leads to reach 200 completed interviews, interviewing was conducted with the aim of exhausting all leads provided.

## 6.3 No reply telephone numbers

A standard procedure was followed for those numbers which interviewers called but got no reply. When these numbers were tried, interviewers noted on the CATI system the form of response they received (no answer, engaged, spoke to another household member etc.) Numbers which, when called, were not answered or were engaged, were attempted up to fifteen times (at different times and days) before being classed as exhausted and not tried again. If contact was made within the fifteen attempts, for instance if a lead was reached but could not be interviewed on the seventh attempt, the 'tally' of attempts was reset to zero.

## 6.4 Length of interview

The average interview length across Sweeps 19-22 was 17 minutes and 15 seconds. The length of any one interview varied depending on how much contact the respondent had with the Criminal Justice System as part of their case:

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<sup>15</sup> A full account of the sampling design and sample uploading procedures across Sweeps is provided in Chapter 3.

<sup>16</sup> The sample files were stratified by case outcome and ordered alternately by victim/witness status in these files, with victim and witness leads placed in a random order in the list.

those who went to court and gave evidence, for example, answered more questions than those whose case was dropped and did not have to attend a trial.

## 6.5 Liaison between researchers and telephone centre

Throughout the fieldwork period Ipsos MORI researchers liaised closely with the Ipsos MORI Telephone Centre to monitor fieldwork progress, and to identify and take action on any issues arising. This liaison included:

- Daily updates from the telephone centre on progress in the form of a ‘daily statistics’ spreadsheet. This spreadsheet detailed the number of interviews achieved, the questionnaire length, and the quality of the sample.
- Weekly detailed feedback sheets from the telephone centre, including a written analysis on progress to date, and details of any issues encountered.
- Ad hoc liaison as and when required. This included regular contact via telephone to ensure the smooth running of the project, and also contact when issues requiring attention or action from research staff arose.

The Ipsos MORI research team could also ‘log into’ the CATI server, and used this facility to check CATI scripts, review fieldwork progress within each LCJB area, and run topline results of the survey progress during fieldwork.

## 6.6 Response rates

Four separate response rates were calculated for Sweeps 19-22. Table 6.3 overleaf illustrates these response rates, as well as the steps taken in their calculation. A more detailed description of response rates follows the table.

**Table 6.3 Response rates across Sweeps 19-22**

Definitions		SWEEP			
		S19	S20	S21	S22
Total leads provided		109,181	111,021	106,759	108,802
STAGE 1: SAMPLE RECEIPT AND OPT-OUT					
Coverage	Proportion of eligible leads sent by LCJB areas that were contactable	86%	86%	87%	87%
Not opting-out	Proportion that did not opt-out	93%	93%	93%	93%
STAGE 2: FIELDWORK					
Issued:	Leads uploaded by telephone centre	29,610	27,571	29,434	28,676
Unknown eligibility	e.g. no contact, answerphone, wrong/bad number, language/hearing difficulties	11,068	9,880	10,815	10,586
Total screened, of which:	Leads for whom eligibility is known (Issued – unknown eligibility)	18,542	17,691	18,619	18,090
Eligible	Refusals, interview quit, broken appointments, successful interviews	16,081	15,308	15,564	15,533
Ineligible	Ineligible for survey/screened out	2,461	2,383	3,055	2,557
Interviews	Number of successful interviews	9,420	9,547	9,438	9,374
RESPONSE RATE CALCULATIONS					
Eligibility rate (N)	Total eligible/total screened	16081 /18542	15308 /17691	15564 /18619	15533 /18090
Eligibility rate (%)	Total eligible/total screened	87%	87%	84%	86%
Response rate (unadjusted) (N)	Interviews/total issued	9420 /29610	9547 /27571	9438 /29434	9374 /28676
Response rate (unadjusted) (%)	Interviews/total issued	32%	35%	32%	33%
Response rate (adjusted) 1) (N)	Interviews / total issued and assumed to be eligible	9420/ (29610*.87)	9547/ (27571*.87)	9438/ (29434*.84)	9374/ (28676*.86)
Response rate (adjusted) 1) (%)	Interviews / total issued and assumed to be eligible	37%	40%	38%	38%
<b>Response rate (adjusted) 2) (N)</b>	<b>(Interviews / total issued and assumed to be eligible) x %not opting-out</b>	<b>Rradj1*.93</b>	<b>Rradj1*.93</b>	<b>Rradj1*.93</b>	<b>Rradj1*.93</b>
<b>Response rate (adjusted) 2) (%)</b>	<b>(Interviews / total issued and assumed to be eligible) x %not opting-out</b>	<b>34%</b>	<b>37%</b>	<b>36%</b>	<b>36%</b>
Response rate (adjusted) 3) (N)	(Interviews / total issued and assumed to be eligible) x %not opting-out x coverage	Rradj2*.86	Rradj2*.86	Rradj2*.87	Rradj2*.87
Response rate (adjusted) 3) (%)	(Interviews / total issued and assumed to be eligible) x %not opting-out x coverage	29%	32%	31%	31%

*Source: Ipsos MORI*

The unadjusted response rate shows how many successful interviews were obtained as a proportion of all leads uploaded (and therefore exhausted) by the telephone centre. This response rate does not take into account the eligibility of leads uploaded, and as such, a high proportion of ineligible leads sent by LCJB areas (but not picked up and excluded at the sample cleaning process) will result in a lower response rate. This response rate fluctuated slightly in Sweeps 19 to 22, reaching a peak of 35% in Sweep 20.

The first adjusted response rate corrects for the fact that some leads uploaded to the telephone centre are not eligible to take part in WAVES. For instance, they may be a professional witness, or involved in a case which has not yet completed, but not flagged as such in the initial sample sent by LCJB areas, and therefore not removed at the sample cleaning stage. During fieldwork, while we can ascertain the eligibility of many leads (e.g. those who pass all the screening questions are eligible), there is a proportion for whom we are unable to establish the eligibility status (for instance, those with bad telephone numbers, or who we are unable to speak with during the fieldwork period). The total number of cases which are eligible must therefore be approximated; this is done by extrapolation from leads whose eligibility *is* known.

Firstly, an 'eligibility rate' is calculated. This is the number of leads known to be eligible (refusals<sup>17</sup>, abandoned interviews, broken appointments and successful interviews), as a proportion of all leads whose eligibility is known (the aforementioned categories, but also including those who are screened out as ineligible). The eligibility rate was stable at 86-87% across Sweeps 19-22, apart from in Sweep 21 when it dropped slightly to 84%. The first adjusted response rate is then calculated as the number of successful interviews, as a proportion of all leads issued, divided by the eligibility rate. At Sweep 22 this response rate stood at 38%. Just under two in five *eligible* leads uploaded by the telephone centre therefore result in a successful interview.

The second adjusted response rate corrects for the fact that some leads opt out of the survey at the opt-out stage. The rate of opt outs has remained consistently low; less than one in ten victims and witness who are written to opt out of the survey. However, although not directly approached for an interview, these leads could be classed as refusals. Removing these leads before sample is issued to the telephone centre artificially increases response rates, given that some leads who are more likely to refuse are not telephoned. In order to correct for this bias, the second adjusted response rate weights the first adjusted response rate down by the proportion who opted out before fieldwork. In Sweep 22, this response rate stood at 36% (i.e. 93% of the first adjusted response rate). As such, taking into account those who opt out of the survey, more than one in three eligible leads uploaded by the telephone centre result in a successful interview.

The second adjusted response rate therefore corrects for both the eligibility of leads, and the proportion who opt-out, but does not go as far as correcting for undercoverage, which only becomes an issue if there are key differences between covered and uncovered leads. As such, the second adjusted response rate can be

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<sup>17</sup> In consultation with the OCJR, for the purposes calculating the eligibility rate it is assumed that refusals are eligible.

considered the main response rate for the WAVES survey, and is emboldened in the table above.

The third adjusted response rate additionally corrects for the fact that it is simply not possible to contact all leads provided by LCJB areas. For instance, some leads contained in the samples sent by LCJB areas do not have address details and therefore cannot be written to, while other leads do not have telephone details and do not return successful matches when telephone look-ups are performed. At Sweep 22, the coverage was 87% (i.e., it was not possible to contact 13% of leads sent by LCJB areas). This lack of information leads to potential coverage bias: the available sample does not cover all eligible cases. This becomes an issue if uncovered leads differ from the relevant population profile on variables related to survey responses. If leads without contact details occurred randomly throughout samples, there would be no coverage bias. The third adjusted response rate therefore weights down the second adjusted response rate by the proportion who are not covered by the survey. At Sweep 22, this response rate stood at 31%.

# 7. Data checking and processing

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## 7.1. Derived variables

A database of the final results was produced in SPSS, showing the responses to each question asked in the survey. The information for most variables related directly to individual questions asked in the survey. However, due to the complicated routing in the questionnaire some variables had to be derived from responses at several questions.

### 7.1.1. Offence type variable

Offence types were categorised according to the Home Office classification system into the following categories for purposes of analysis: criminal damage, theft or handling stolen goods, burglary, violence against the person, and other.

Information about the type of offence the respondent had been involved with was available in the original samples provided by LCJB areas, and from the interview itself. Data from the interview were obtained from answers at Questions 2 and 3 of the survey, which asked victims and witnesses about the type of offence they were involved with.

### 7.1.2. Case outcome variable

In the original sample template, LCJB areas were asked to classify cases into one of six categories: 'guilty plea', 'dropped/written off case', 'contested trial (not guilty)', 'contested trial (guilty)', 'contested trial (acquittal)' and 'guilty outcome (unsure of plea)'. In most cases, offences had been assigned to one of these categories. Ipsos MORI executives recoded the remaining ad hoc responses into one of these categories – where information was available – using a standard coding list.

Information about the case outcome was available in the original samples provided by LCJB areas, and from the interview itself. Data from the interview were obtained from answers at Questions 46a, 46xa, 105, 140 of the survey, which asked victims and witnesses about the outcome.

This is one of several variables which draw on both sample and interview data: for example, 'b\_casesq' takes information about the case outcome from the sample. However, where information was not recorded in the original sample, information is taken from the interview itself. The variable 'b\_caseqs' works the opposite way: where information was not provided during the interview (because respondents did not know the case outcome), information was taken from the sample.

### 7.1.3. Court type variable

The variable describing which type of court respondents had attended (Crown Court, Magistrate's Court, or Youth Court) was drawn from the sample. This

information was also recorded in the interview for all respondents involved in a case that went to court and who attended court, or gave evidence by video link.

#### **7.1.4. Called to give evidence variable**

The variable showing whether each respondent was called to give evidence in court distinguished between those who were called to give evidence and gave evidence, and those who were originally called to give evidence but who ultimately did not do so. It also isolated those respondents whose case went to trial but who were not called upon to give evidence.

This information was derived from questions 42, 50a and 84, and also question 62 (for Sweeps 19-21 only, as question 62 was deleted in Sweep 22).

#### **7.1.5. Attended court variable**

In order to compare any difference in satisfaction levels of those who attended court and those who did not attend court, a variable was constructed which covered the range of those who went to trial. Those who attended court included both those who attended court in order to give evidence (whether they ultimately gave evidence or not), as well as those who went to observe the trial. The field for not attending court includes those who were never called to give evidence and did not go to observe the trial, as well as those who were asked to give evidence but ultimately were told they would not have to, or who did not attend court for some other reason.

The Attended Court variable was derived from questions 44 and 49a.

#### **7.1.6. Coding of social class**

The socio-economic grade of each respondent was collected at the end of the interview. Determining socio-economic grade involved asking a series of standard questions which determined details about the occupation of the chief income earner in the respondents' household. These included details of job title, the industry, any relevant qualifications held, and any staff or management responsibilities. The results from these questions were analysed by Fieldwork Supervisors who assigned a grading to each respondent.

The socio-economic grade was calculated using responses across all questions, according to standard groups produced by the Market Research Society (MRS). Respondents were coded into one of the following groups: A, B, C1, C2, D, and E. A second Fieldwork Supervisor checked the respondents' answers and allocated grade to ensure that these grades were accurate.

## **7.2. Testing for seasonality effects**

The data from twelve Key Outcome WAVES questions were analysed to see whether the season in which cases closed affects respondents' perceptions and satisfaction levels. Looking back at two and a half years of data (10 sweeps: Sweeps 13 to 22), we find there is a consistent upward trend in recollection and satisfaction of Criminal Justice System services.

While on occasion satisfaction falls between sweeps, this occurs for a minority of questions in any given sweep. Highlighted below in grey are instances where satisfaction or receipt of services is lower than the preceding sweep. In Sweep 22, satisfaction and recollection of services offered fell across six of the questions asked. If these declines reflect a seasonal factor, one would expect this pattern to be replicated in Sweep 18, the equivalent Sweep for the previous year. However, in Sweep 18, only three questions show a decrease in satisfaction, only one of which correlates to a corresponding decrease in Sweep 22. Furthermore, where there are declines, these are small, typically one or two percentage points.

Analysis of the survey data across over two years therefore does not support the existence of seasonal influences on respondent perception and recall with respect to when their case closed. Furthermore, there are theoretical reasons to believe that such effects are unlikely. Within a given quarter, interviews are conducted among those whose cases have closed within the same three month period. However, due to variations in both case length (not all cases begin in the same quarter) and victims and witness involvement in the case, the data for each sweep are not indicative of respondents' perceptions from the same three month period. As such, even if there were seasonal effects on respondents' perceptions, it is unlikely they would be reflected in the data.

Question		S 13	S 14	S 15	S 16	S 17	S 18	S 19	S 20	S 21	S 22
Satisfied with overall contact with CJS (Q190)	Sat	80	81	81	81	84	83	83	83	84	85
	Dissat	16	16	16	15	15	14	13	14	13	13
Satisfied with outcome of your case (Q142) <sup>18</sup>	Sat	82	83	83	84	84	87	86	86	n/a	n/a
	Dissat	15	14	14	14	14	11	12	14	n/a	n/a
% Satisfied with information provided about the CJS process (Q187)	Sat	81	81	83	84	84	84	84	84	85	85
	Dissat	15	15	14	13	13	13	12	13	12	12
% Satisfied with how well they've been kept informed of case progress (Q188)	Sat	75	75	76	79	79	79	79	79	79	80
	Dissat	22	22	21	18	20	18	18	18	18	18
% Of those who required emotional/practical support, those who were offered relevant services (Q165)	Yes	67	66	67	68	71	69	69	71	74	72
	Dissat	12	12	12	10	11	10	11	12	12	13
% Satisfied with how they were dealt with prior to attending court (Q72a)	Sat	86	86	86	88	87	88	87	86	87	85
	Dissat	12	12	12	10	11	10	11	12	12	13
% Offered a court familiarisation visit before the trial (Q66)	Yes	64	63	62	62	62	64	66	69	68	65
% Satisfied with consideration shown before giving evidence in court (Q91)	Sat	90	88	91	91	90	91	90	92	92	90
	Dissat	8	10	8	7	9	7	8	8	7	8
% Satisfied with court facilities (Q78a)	Sat	84	85	85	85	87	86	87	87	87	87
	Dissat	11	11	10	11	10	10	10	10	9	9
% Victims offered the opportunity to make a Victim Personal Statement (Q12)	Yes	39	40	41	40	41	41	44	42	44	43
% Victims who felt their views as set out in the Victim Personal Statement were taken into account during the CJS process (Q192)	Yes	67	63	67	64	69	70	70	67	67	65
% Victims satisfied with their contact with Victim Support (Q172)	Sat	79	78	82	85	82	83	84	85	89	89
	Dissat	15	12	14	9	13	12	11	10	8	7

<sup>18</sup> This question was not asked after Sweep 19



# 8. Weighting the Data

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## 8.1 Reasons for weighting

The main purpose of WAVES is to provide both national and local (LCJB area) level data. In order to do so, the results of the survey must be representative of the population of victims and witnesses at both national and local levels. WAVES follows a disproportional design, aiming to achieve 200 interviews in each LCJB area per quarter, with half of these interviews being with victims, and half with witnesses<sup>19</sup>.

In order to produce data that truly reflects the varying volumes of crime per LCJB, as well as the relative proportions of victims and witnesses, it is necessary to weight the data accordingly to correct the disproportional design. For example, an LCJB area such as London should have a much greater weight in the national data than an LCJB area such as Cumbria, where there is comparatively little crime. Furthermore, given that there are generally around two witnesses for every victim in the survey population, weighting is required to correct for the fact that victims and witnesses are interviewed in roughly equal numbers in the survey.

## 8.2 Weighting strategy

The Home Office commissioned an independent report in the summer of 2007 to advise on the weighting strategy to be employed on WAVES. The independent review suggested calculating a separate weight for 84 separate WAVES strata as defined by witness or victim status within LCJB.

Weightreview = no. eligible cases in stratum<sup>20</sup> / no. responding cases in stratum

As there is no alternative data source relating to victims and witnesses, which could be used to provide independent population data for non-response weighting, we are reliant on the information provided in the sample frame. Furthermore, in practice the sampling stratification variables generally proved to be the best of the candidate non-response weighting variables. This argues for simplifying the calculation of design and non-response weights by using a single formula as recommended in the review.

In this way, weighted WAVES data reflects both the relative proportions of victims and witnesses within LCJB areas, as well as the relative caseloads across LCJB areas relative to each other.

Ipsos MORI proposed two minor amendments to this approach which was approved by the OCJR and their independent reviewers. The first amendment arose from the finding that sample frame accuracy varies across LCJB areas, and

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<sup>19</sup> Exceptions are West Yorkshire, where the target is 300, Greater Manchester and West Midlands (400), and London (1,000).

<sup>20</sup> 'No. eligible cases' refers to the total number of cases on the sample frame from which the sample was drawn, after ineligibles have been removed.

that the proportion of leads screened out during fieldwork varies by area (i.e. because a varying proportion of the ineligible cases are identifiable in the sample files themselves). In Sweep 22 for instance the proportion screened out as ineligible varied from 5% in Gloucestershire to 12% in North Yorkshire. Our recommendation was that this variation should be taken into account during weighting. This is done by using the formula:

$$\text{Weight}_{\text{adjusted}} = \text{no. eligible cases} / (\text{no. responding cases} + \text{no. identified as ineligible during fieldwork})$$

The original equation recommended by the review would only produce accurate weights in areas where the supplied sample is of high quality. It would also produce weights that are too large in LCJB areas where samples contain large numbers of ineligible units which cannot be identified until fieldwork begins (in these cases, the eligible survey population would not be as large as their samples suggest).

The method relies on taking respondents' answers to the screener questions at face value, and trusting these over sample information. Arguably some respondents could have forgotten the details (or might answer falsely to try to shorten the interview); however, we would expect this level of inaccurate reporting (for the purpose of determining eligibility) to be small and evenly spread across areas, and therefore do not consider it to pose a serious problem for the weighting strategy.

The second amendment suggested by Ipsos MORI arose from analysis of the sample frame data which shows a steady increase over time in the number of eligible victims and witnesses provided by LCJB areas, as well as some erratic shifts in some areas across the sweeps in the relative proportions of victims and witnesses provided.

These variations are more likely to reflect changes and improvements to the way in which LCJB areas are collecting their samples, rather than actual changes in the volume of WAVES eligible crimes 'on the ground'. This is not a particularly serious issue when considering weighted results for a single sweep; however, respondents in later (vs. earlier) sweeps could be given greater weight in the results merely by virtue of changed/improved sampling methods in LCJB areas. While we wish to avoid this bias, it is undesirable completely to neglect any variation in the sample frame, given that some of this change may be genuine – particularly if in future a level of sampling efficiency is reached whereby fluctuations in the population (potentially both up and down) are a true representation of changes in the eligible WAVES population.

In order to minimise the impact of these variations, in calculating the weights, we averaged the population figures with those from the immediately preceding sweep. As an example, if the sample frame shows 520 eligible victims for Bedfordshire in Sweep 19, and 590 eligible victims for Bedfordshire in Sweep 20, our population estimate used in the calculation of Bedfordshire's Sweep 20 victim weight will be 555 [i.e.  $(520+590)/2$ ].

The effect of applying this calculation is to ‘smooth’ the variation in the population estimates over time, thereby attenuating the effect of any sudden changes in the amount of eligible sample provided by LCJB areas.

To demonstrate the smoothing effect on an LCJB level, we have taken two areas at random (Merseyside and Avon and Somerset), and plotted their raw and smoothed victim population estimates across Sweeps 19-22. In each case, the effect of the smoothing is to even out the variability recorded in the raw data across the sweeps.

**Figure 8.1 Effect of smoothing: Merseyside**

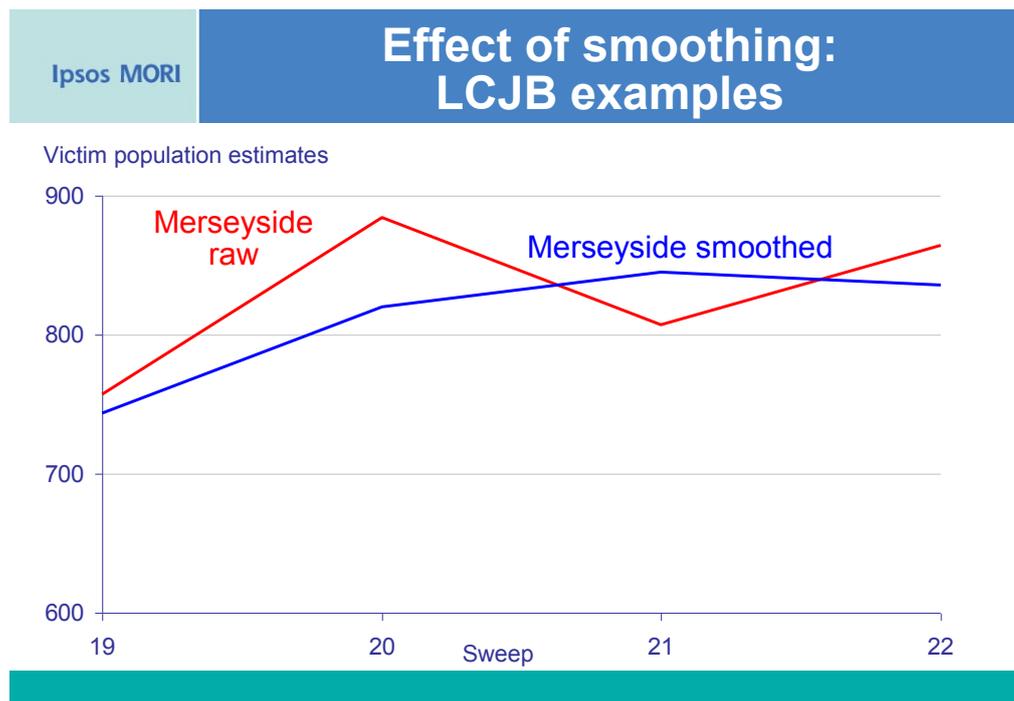
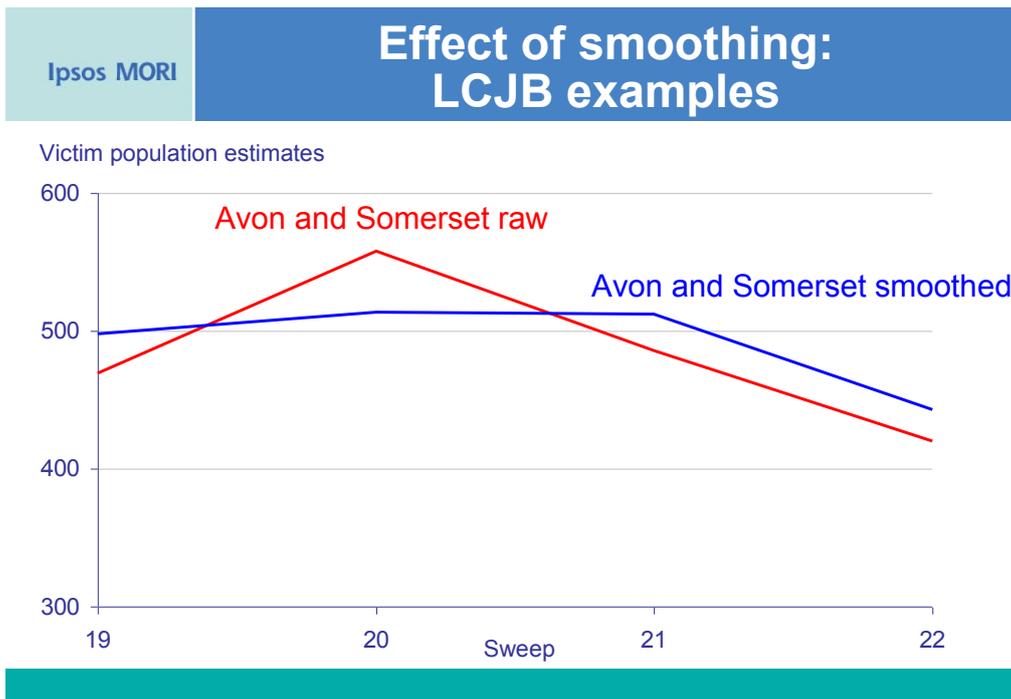


Figure 8.2 Effect of smoothing: Avon and Somerset





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# Appendices

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## 1. Opt-out letter

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### Private and Confidential

[Title] [Name] [Surname]

[Address 1]

[Address 2]

[Town/City]

[County]

[Postcode]

REF NO: [moriid]

June 2010

Dear [title] [surname]

**Can you spare 20 minutes to improve services for victims and witnesses?**

We are writing to ask you to take part in the Witness and Victim Experience Survey (WAVES). Hearing your views is the best way to improve the support the Criminal Justice System gives to others. As a result, the Government's Office for Criminal Justice Reform has asked Ipsos MORI, an independent research agency, to carry out this important survey.

We understand that you have recently been a witness or victim of a reported crime. Your views about your experiences are very important to us, no matter how minor the offence was, and even if you did not attend court. The survey asks about any support and information you received from the police, the courts and other organisations: we do not ask any questions about the case itself. On average, the survey takes 20 minutes to complete.

**To take part, you do not need to do anything.** One of Ipsos MORI's interviewers will call you in the next few weeks to arrange a convenient time to conduct the interview by telephone. **If you do not wish to take part**, or if you think your telephone number has changed since you gave it to the police, please complete and return the contact form overleaf within the next month.

**All of your answers to the survey will be completely confidential** – the Office for Criminal Justice Reform will not know who has taken part. Your details will be used only for the purposes of this research and will not be shared with any other organisation.

There is more information about the survey overleaf. If you have any questions, please contact Ipsos MORI on xxx, leaving your name, reference number (from the top right hand side of this letter) and telephone number.

Thank you very much for your time.

Yours sincerely

Ipsos MORI Social Research Institute

Office for Criminal Justice Reform

## Some questions & answers

**Why are we carrying out this survey?** The only way we can learn about victims' and witnesses' experiences of the Criminal Justice System is to speak to people like you who are willing to share their views. Overall, the survey aims to help the police and other agencies to make these experiences better by improving services. This is the only national survey which focuses on the experiences of witnesses and victims. So far, over 50,000 people have taken part.

**Do I have to take part?** No – taking part is completely voluntary. However, even if you only gave a statement to the police, we hope you will take part as we are interested in the whole range of people's experiences.

**I don't remember being a victim or witness, why have you contacted me?** In some instances people's contact with the police and other agencies will have been limited. Perhaps you only gave a witness statement to the police and had no further involvement with the case, or perhaps an incident happened at your workplace. Everyone we write to has been listed by the police as a witness or victim.

**How did we get your name and address?** The Office for Criminal Justice Reform has asked your Local Criminal Justice Board to help us contact witnesses and victims. Your name was randomly selected from local police records, and passed to Ipsos MORI in confidence. Ipsos MORI will keep your contact details confidential and, once the survey has been completed, will destroy them. Your details are stored securely and will not be passed on to any other research organisations or used for any other surveys.

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## Contact Form

**I am willing take part but I think my telephone number has changed** since I gave my details to the police.

My telephone number is: \_\_\_\_\_  
Area code + number (e.g. xxx) or mobile number

**I do not wish to take part** in the Witness and Victim Experience Survey, please remove my details from your records.

Name: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Reason (optional): \_\_\_\_\_

*You may return this form in the pre-paid envelope enclosed – there is no need to attach a stamp. If you are happy to take part, and your telephone number has not changed since you gave it to the police, you do not need to return this form or take any action.*



## 2. Opt-in letter

**Private and Confidential**

[Title] [Name] [Surname]  
[Address 1]  
[Address 2]  
[Town/City]  
[County]  
[Postcode]

REF NO: [moriid]

June 2010

Dear [title] [surname]

**Can you spare 20 minutes to improve services for victims and witnesses?**

We are writing to ask you to take part in the Witness and Victim Experience Survey (WAVES). Hearing your views is the best way to improve the support the Criminal Justice System gives to others. As a result, the Government’s Office for Criminal Justice Reform has asked Ipsos MORI, an independent research agency, to carry out this important survey.

We understand that you have recently been a witness or victim of a reported crime. Your views about your experiences are very important to us, no matter how minor the offence was, and even if you did not attend court. The survey asks about any support and information you received from the police, the courts and other organisations: we do not ask any questions about the case itself. On average, the survey takes 20 minutes to complete.

**To take part, please complete the contact form overleaf** and send it back to us in the pre-paid envelope within the next month. One of Ipsos MORI’s interviewers will then call you to arrange a convenient time to conduct the interview by telephone. **If you do not send us your telephone number, we will not be able to contact you** and you will not be able to give your views about your experiences.

**All of your answers to the survey will be completely confidential** – the Office for Criminal Justice Reform will not know who has taken part. Your details will be used only for the purposes of this research and will not be shared with any other organisation.

There is more information about the survey overleaf. If you have any questions, please contact Ipsos MORI on xxx, or e-mail [x](#) stating your name, reference number (from the top right hand side of this letter) and telephone number.

Thank you very much for your time.

Yours sincerely



## Some questions & answers

**Why are we carrying out this survey?** The only way we can learn about victims' and witnesses' experiences of the Criminal Justice System is to speak to people like you who are willing to share their views. Overall, the survey aims to help the police and other agencies to make these experiences better by improving services. This is the only national survey which focuses on the experiences of witnesses and victims. So far, over 50,000 people have taken part.

**Do I have to take part?** No – taking part is completely voluntary. However, even if you only gave a statement to the police, we hope you will take part as we are interested in the whole range of people's experiences.

**I don't remember being a victim or witness, why have you contacted me?** In some instances people's contact with the police and other agencies will have been limited. Perhaps you only gave a witness statement to the police and had no further involvement with the case, or perhaps an incident happened at your workplace. Everyone we write to has been listed by the police as a witness or victim.

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## Contact Form

**Please complete and return this form to take part in the survey**

**I am willing take part** in the Witness and Victim Experience Survey.

My telephone number is: \_\_\_\_\_  
Area code + number (e.g. xxx) or mobile number

*You may return this form in the pre-paid envelope enclosed – there is no need to attach a stamp.*

*Alternatively, you can send us your details via e-mail: please tell us your telephone number and reference number ([moriid]) to [x](#)*

## 3. Crime type definitions

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Definitions and examples of the crime categories covered by WAVES are as follows:

### **Criminal Damage**

- Includes damaging or destroying property or building, arson, graffiti, vehicle damage, etc (sometimes these crimes can have a racial or religious motivation).

### **Theft and handling stolen goods**

- Refers to stealing vehicles, employee theft, theft from vehicle or shop (shoplifting), handling stolen goods, bicycle theft, and also cases where a car is tampered with and it is evident that the intention was to commit theft of or from the vehicle.

### **Public order (breach of ASBO and Other)**

- Breach of an ASBO is breaking the terms of an Anti-social behaviour order.
- Public order – other mainly refers to being aggressive or ‘causing trouble’ in public. Threat, throwing objects and minor scuffles come under this category.
- This category does not refer to harassment of any kind.

### **Harassment (including racial harassment)**

- Refers to a crime where someone is put in fear of violence or where there is a breach of a restraining order, causing harassment, alarm or distress, etc.

### **Robbery**

- This refers to stealing while using force, threats, or fear. Can commonly be referred to as mugging.

### **Burglary**

- Stealing from a dwelling or other building. Stealing from a shop is theft unless the shop is closed and the offender breaks into the building in which case it is categorised as burglary.

### **Serious violence against the person**

- Any kind of serious physical harm including homicide, threat or conspiracy to murder and serious wounding inflicted intentionally (i.e. grievous bodily harm (GBH) with intent).

**Other violence against the person**

- Includes assault which results in less serious injury such as assault occasioning actual bodily harm (ABH) - grazes, scratches, minor bruises, swelling, black eyes, etc. It also includes offences that are generally viewed less seriously by the courts, such as common assault, GBH without intent and possession of weapons .

## 4. Glossary of terms

**Computer Assisted Telephone Interviewing (CATI):** computerised interviewing method. The survey questionnaire is programmed into CATI format so that questions and possible responses appear on-screen for interviewers to read. Interviewers then select from the answers displayed by typing numeric codes into their computer. The CATI system automatically routes the interviewer to the appropriate questions.

**Codeframe:** a summary of the responses to an open-ended question, written in bullet point form

**Codes:** possible responses to a question. For example, with a question such as ‘What is your favourite colour?’ the codes would be Red, Orange, Blue etc.

**Coder:** a researcher who specialises in looking at the verbatim answers given by respondents at open-ended questions, grouping answers together, and forming codeframes of the most common responses.

**The Data Protection Act 1998 (DPA):** the legal requirements which instruct those using personal details of members of the public on the correct use of personal data.

**Key Outcomes:** a short report showing results for key questions in WAVES, focussing mainly on results from questions which relate to the Home Office’s Priorities (as defined in the Victim and Witness Plan).

**Local Criminal Justice Board (LCJB):** the local justice divisions which cover England and Wales; each board is responsible for the police, CPS and courts in their geographic area.

**Leads:** potential respondents; all victims and witnesses whose details are sent by LCJB areas to Ipsos MORI.

**Multi-coded questions:** questions to which several responses can be given. Other questions are single-coded questions, where only one response can be given.

**Open-ended question:** a question which allows respondents to answer spontaneously, and where interviewers record their verbatim answers. This differs from a standard pre-coded question, which will anticipate the possible answers of a respondent, and where interviewers might prompt respondents to select from possible answers.

**Opt-Out:** a method of gaining respondents’ consent to be approached for interview. A letter is sent explaining the purpose of the survey and how it will be conducted; those who do not wish to take part reply to ‘opt-out’ of further participation. Those who do not opt-out implicitly give their permission to be contacted for interview, although they are free to refuse to participate at this stage.

**Pre-codes:** a list of possible responses to a question; interviewers select the precode which best summarises the answer given by respondents.

**Routing:** instructions in a questionnaire which direct interviewers to skip forward to other questions, based on the answers at previous questions.

**Sample:** a selection of people from a defined population chosen to take part in a survey (regardless of whether they are interviewed or not). Samples are drawn because it is not usually practical to interview everyone in a particular population (e.g. all victims and witnesses of crime), and because results that are representative of the entire population can be gained from interviewing large samples.

**Single-coded question:** a question to which only one response can be given, as opposed to multi-coded questions where several responses can be given.

**Supplier:** companies contracted by Ipsos MORI to carry out parts of the survey work such as printing and mailing letters to respondents.

**Toplines:** a brief overview of survey results, usually presented in the form of a marked-up questionnaire. The questionnaire is marked up to show the percentage of respondents giving each answer.

**Weighting:** a statistical technique which helps to correct for any bias in samples. The profile of the achieved sample (i.e. all respondents who were interviewed) is compared against the known profile of the population in key respects. Where there are differences, data is weighted – for example, if too few female respondents have been interviewed, each female respondent might be treated as 1.3 respondents (rather than 1) – so that the results are representative of the population.

**Witness Management System (WMS):** an IT case management system containing existing case information. This system was developed by the CPS, and is staffed jointly by the CPS and police personnel, to support Witness Care Units. LCJB areas started to use the system to download WAVES samples from Sweep 7.

## 5. Questions cut in Sweep 21

### Questions cut from the WAVES survey in Sweep 21

5	Did you find the leaflet useful?
6.c	Was/ were this/ these earlier crime/s reported to the police?
10	Did you find the leaflet useful?
17	Your case would have initially been handled by the police, and then considered by the Crown Prosecution Service (who decide whether there is a case for prosecution). Who kept you informed about how your case was progressing (i.e. whether a suspect had been identified, what any charges were, what the next developments would be)?
20	How was this information delivered to you?
21	Were you satisfied or dissatisfied with HOW CLEAR the information was that you received about the progress of your case?
26	How did you find out?
27	What explanation was given for why charges were dropped?
29a	Were you satisfied or dissatisfied with the way you found out about the case being dropped?
31	In what way were the charges altered?
33	How did you find out?
34	Do you know what the reasons were for the charges being altered?
35	What were these reasons?
37	Were you satisfied or dissatisfied with the way you found out about the altered charges?
40b	Was the date of the court case ever changed? This may have been in advance or on the day at court.
40c	How many times was the date of the court case changed?
43c	What was the reason for your dissatisfaction?
45b	How did you find out?
48a	Can you tell me, was the offender sentenced to time in prison?
48b	Do you think that a prison sentence was suitable for the crime committed?
48c	Earlier you said that you did not think that the sentence given was fair/ suitable, what do you think would have been the most appropriate sentence in your case?
51b	name of court
51c	name of court
51e	Did your (Witness Care Officer/ another member of the Criminal Justice System) offer you help and support to make going to court easier?
53c	How were your concerns dealt with?
59	Did you receive a Witness Warning Letter? This is a letter that informs you that you will be called as a witness in a criminal court case at some stage: IF NECESSARY EXPLAIN: It would not necessarily include the date of the court case
60	When were you first told what the actual date of the court case would be?
61	Were you ever asked whether there were any dates when you would be unable to

	attend the court case?
62	On how many days did you actually give evidence?
64	On how many days did you attend court expecting to give evidence but were then not asked to do so?
65	Did you need to take time off work to appear as a witness? IF YES, were you given paid time off? IF NO, was this because you organised your hours around it or because you were not employed?
67a	Was this a useful exercise?
69b	Did you find the leaflet useful?
69d	How useful, if at all, did you find the DVD in helping you to understand what would happen at court?
71a	Can I clarify - Why were you dissatisfied with the information you received? Was it because there was...
71b	What other information, if any, would you like to have received?
76	What other information or support, if any, would you have found it useful to have been offered by the Witness Service?
78b	What was it about the court facilities that you were dissatisfied with?
80b	Did you go to the public Gallery at any point during the trial?
80c	Were prosecution and defence witnesses kept apart in the public gallery?
81	<i>Only ask the 'helpful' element, not the 'courteous' element</i>
82	In general, did you understand what was happening in court while you were there?
83	Did you know who to ask for information/explanations about what was happening in court?
85	At what stage were you told that your evidence would not be needed?
86	What explanation, if any, was given for why your evidence was not needed?
88	Did the fact that your evidence was not needed make you feel any more or less satisfied with your experience overall, or did it make no difference?
45xb	How did you find out?
48xa	Can you tell me, was the offender sentenced to time in prison?
48xb	Do you think that a prison sentence was suitable for the crime committed?
48xc	Earlier you said that you did not think that the sentence given was fair/ suitable, what do you think would have been the most appropriate sentence in your case?
91a	Were you given the opportunity to look at what you said in your statement to the police to refresh your memory before you gave evidence in court?
91c	When were you asked, was it:
96a	Did you feel that the Magistrate or Judge was courteous or discourteous in his/her treatment of you?
97d	<i>Remove this option from list read out: Wigs and gowns of the lawyers removed (Crown Court only)</i>
98d	Did you feel that - Wigs and gowns of the lawyers removed (Crown Court only) - helped you to give your best evidence?
99	What other support might have been provided to help you to give your best evidence?
100	Overall, did you feel that you were dealt with fairly or unfairly whilst giving evidence?
104	How did you find out?
107	Were you satisfied or dissatisfied with the way you found out about the verdict/outcome of your case?
109c	Can you tell me, was the offender sentenced to time in prison?

109d	Do you think that a prison sentence was suitable for the crime committed?
109e	Earlier you said that you did not think that the sentence given was fair/ suitable, what do you think would have been the most appropriate sentence in your case?
112	What was the reason for your dissatisfaction?
114	Was it explained to you what expenses you could claim?
116	Did you feel your contribution as a witness was appreciated by the officials you came into contact with?
117	Overall, were you satisfied or dissatisfied with your experience at court?
118	What improvements, if any, could you suggest to make the experience of being a witness at court better?
120	Have you ever been a witness before in another criminal court case?
121a	Can you tell me in what TYPE of court your case was held? Was it a crown court, magistrates court, youth court, or some other type of court?
121b	name of court
121c	name of court
130	Did you have any contact with the Witness Service in relation to this case?
131	Overall, were you satisfied or dissatisfied with the support that the Witness Service provided?
132	What other information or support would you have found it useful to have been offered by the Witness Service?
132b	Can you tell me, did you have contact with the Witness Service...
133a	Which of the following words would you use to describe how you felt in the court. When you were in the court did you feel...safe/unsafe?
133b	And did you feel...secure/vulnerable
134	Were you satisfied or dissatisfied in general with the facilities at the court such as public toilets and refreshment facilities?
136 a, b	Were the court staff, such as the receptionist and ushers...helpful/courteous
137	In general, did you understand what was happening in court while you were there?
138	Did you know who to ask for information /explanations about what was happening in court?
139c	How did you find out?
142	Were you satisfied or dissatisfied with the way you found out about the verdict/outcome of your case?
144b	Can you tell me, was the offender sentenced to time in prison?
144c	Do you think that a prison sentence was suitable for the crime committed?
144d	Earlier you said that you did not think that the sentence given was fair/ suitable, what do you think would have been the most appropriate punishment in your case?
147	What was the reason for your dissatisfaction?
148	Overall, were you satisfied or dissatisfied with your experience at court?
149	What improvements, if any, could you suggest to make the experience of going to court better?
153	Have they finished dealing with your claim?
154	How satisfied were you with the way the Criminal Injuries Compensation Authority (CICA) dealt with your application?

155	How soon was your claim dealt with?
156	Were you given a reason for this delay?
157	Was your claim accepted or turned down? IF ACCEPTED was it what you expected or less?
158	Were you told the reason(s) why your claim was turned down/ you received less than you expected?
158b	Were you told how to appeal if you had wanted to?
159	Approximately how long ago did you make your application?
161	So far, how satisfied or dissatisfied have you been with the service you have received from the Criminal Injuries Compensation Authority (CICA)?
163	Did you have any special needs as a result of witnessing this crime e.g. practical advice or emotional support?
164	Did you feel that you were given sufficient advice about how to access services that could help? IF NOT, did you receive any advice?
165a	Were you offered any of the following forms of support after the court case was completed? Note it needs to be clear that this is regardless of whether the offer was taken. <i>An opportunity to talk over the case with a member of the Witness Service</i>
167	Can I ask you to explain why or what it depends on?
168	Did you receive any support from other public sector organisations like the NHS, social services, the local council or others? PROMPT: If 'yes' clarify exactly which organisation provided the support (may be several)
169	Did you receive any support from voluntary organisations or charities other than Victim Support? PROMPT: IF YES, Which organization/s provided the support?
171	Which of the following types of information, advice or support did Victim Support provide you with? Please answer yes or no for each. <i>Information from the police (e.g. whether the offender had been identified)</i>
173	Can you give reasons for this response?
174	Were you at any stage asked if you wanted to take part in a scheme like this?
175	Did you decide to take part? If yes, were you contacted about taking part in this scheme?
176	What were your reasons for not wanting to take part in the scheme?
177	What were your reasons for agreeing to take part in the scheme?
178	When you were deciding whether to take part, were you given enough information about what the scheme would involve?
180	Could you tell me which, if any, of these things happened? <i>You met the offender face-to-face</i>
181	Did the offender agree to do any of these things as a result of taking part in the scheme? <i>Pay back money or compensate for loss or damage done</i>
182	Did the offender say he/she was sorry – whether in person or by a third person passing on a message?
183	Were you satisfied or dissatisfied with the way the scheme was run?
183b	What were your reasons for dissatisfaction with the scheme?
185	Can I ask why you would not report a similar crime to the police?
186	Can I ask what your decision would depend on?
191	What, if anything, could have been done to improve your experience as a witness or victim of crime at any stage of the Criminal Justice System?