The American Series of Foreign Penal Codes

Alternative Draft
of a
Penal Code for
The Federal Republic of
Germany

Alternative Draft of a Penal Code for the Federal Republic of Germany

Translated and with an Introduction by JOSEPH J. DARBY

Commentary By
JÜRGEN BAUMANN

FRED B. ROTHMAN & CO. South Hackensack, N.J.

Sweet & Maxwell Limited London

1977

© New York University, N.Y. 1977

L. C. card no. 76-43177 ISBN 0-8377-0041-8

Published in the U.S.A. by Fred B. Rothman & Co. of 57 Leuning Street South Hackensack, N.J.

Published in Great Britain by Sweet & Maxwell Limited of 11 New Fetter Lane London

THE AMERICAN SERIES

of

FOREIGN PENAL CODES

21

Alternative Draft
of a Penal Code for
the Federal Republic of Germany.

COMPARATIVE CRIMINAL LAW PROJECT a division of

THE

CRIMINAL LAW EDUCATION AND RESEARCH CENTER

New York University School of Law

DIRECTOR Gerhard O. W. Mueller

International Advisory Committee

Argentina Ricardo Levene h. Sebastian Soler

Brazil Heleno Claudio Fragoso

Canada John Ll. J. Edwards

Denmark
Stephen Hurwitz

France
Marc Ancel
Henri Feraud

Germany
Hans von Hentig
H. H. Jescheck

Great Britain
Sir Leon Radzinowicz
Glanville Williams
Manuel Lopez-Rey

Italy Benigno di Tullio

Japan Shigemitsu Dando Korea Paul K. Ryu

Netherlands
J. M. Van Bemmelen

Norway
Johs. Andenaes

Spain Federico Castejon

Switzerland Jean Graven

United States of America
Francis A. Allen
José M. Canals
B. J. George, Jr.
Jerome Hall
Albert Hess
Norval Morris
Lester B. Orfield
Rollin M. Perkins
Frank J. Remington
Louis B. Schwartz
Arthur H. Sherry
Helen Silving
Herbert Wechsler

THE AMERICAN SERIES

of

FOREIGN PENAL CODES

21

Alternative Draft
of a Penal Code for
the Federal Republic of Germany.

COMPARATIVE CRIMINAL LAW PROJECT a division of

a division o

CRIMINAL LAW EDUCATION AND RESEARCH CENTER

New York University School of Law

DIRECTOR Gerhard O. W. Mueller

International Advisory Committee

Argentina Ricardo Levene h.

Sebastian Soler

Brazil

Heleno Claudio Fragoso

Canada

John Ll. J. Edwards

Denmark

Stephen Hurwitz

France

Marc Ancel Henri Feraud

Germany

Hans von Hentig H. H. Jescheck

Great Britain

Sir Leon Radzinowicz Glanville Williams Manuel Lopez-Rey

Italy

Benigno di Tullio

Japan

Shigemitsu Dando

Korea

Paul K. Ryu

Netherlands

J. M. Van Bemmelen

Norway

Johs. Andenaes

Spain

Federico Castejon

Switzerland

Jean Graven

United States of America

Francis A. Allen
José M. Canals
B. J. George, Jr.
Jerome Hall
Albert Hess
Norval Morris
Lester B. Orfield
Rollin M. Perkins
Frank J. Remington

Frank J. Remington Louis B. Schwartz

Arthur H. Sherry

Helen Silving

Herbert Wechsler

CLEAR Center Publications

I. THE AMERICAN SERIES OF FOREIGN PENAL CODES

published by Fred B. Rothman & Co.

57 Leuning Street

South Hackensack, N.J. 07606

- 1. The French Penal Code, 1960
- 2. The Korean Criminal Code, 1960
- 3. The Norwegian Penal Code, 1961
- 4. The German Penal Code, 1961
- 5. The Turkish Code of Criminal Procedure, 1962
- 6. The Argentine Penal Code, 1963
- 7. The French Code of Criminal Procedure, 1964
- 8. The Japanese Draft Penal Code, 1965
- 9. The Turkish Criminal Code, 1961
- 10. The German Code of Criminal Procedure, 1965
- 11. The German Draft Penal Code E 1962, 1966
- 12. The Austrian Penal Act, 1966
- 13. The Israel Criminal Procedure Law, 1967
- 14. The Colombian Penal Code, 1967
- 15. The Swedish Code of Judicial Procedure, 1968
- 16. The Greenland Criminal Code, 1970
- 17. The Swedish Penal Code, 1972
- 18. The Greek Penal Code, 1973
- 19. The Penal Code of the Polish People's Republic, 1973
- 20. The Penal Code of the Romanian Socialist Republic, 1976
- 21. Alternative Draft of a Penal Code for the Federal Republic of Germany, 1977

II. THE CLEAR CENTER MONOGRAPH SERIES published by Fred B. Rothman & Co.

- The Legal Norms of Delinquency—A comparative Study, by Mueller, Gage, and Kupperstein
- 2. Wiretapping and Electronic Eavesdropping: The Law and Its Implications, by Juris Cederbaums
- 3. Horizons of Clinical Criminology, by Benigno Di Tullio
- 4. Comparative Criminal Law in the United States, by G.O.W. Mueller, et al.
- Delinquency and Puberty: Examination of a Juvenile Delinquency Fad, by G.O.W. Mueller, et al.
- Responses to Crime—An Introduction to Swedish Criminal Law and Administration, by Alvar Nelson
- 7. What Can a Police Officer Do? A Comparative Study: U.S.A.—German Federal Republic—Israel—Italy
- 8. Perception of Police Power: A Study in Four Cities, by Anastassios Mylonas
- 9. The Most Misleading Maxims of American Criminal Justice (In preparation)

III. PUBLICATIONS OF THE CLEAR CENTER (Hardcover Series)

A. Published by Fred B. Rothman and Sweet & Maxwell (London):

1. Essays in Criminal Science, G.O.W. Mueller, Ed., 1961.

- International Criminal Law, G.O.W. Mueller and Edward M. Wise, Eds., 1965.
- 3. The General Part of the Criminal Law of Norway, by J. Andenaes, 1965.

B. Published by Fred B. Rothman & Co.:

- Japanese Criminal Procedure, by Shigemitsu Dando, trans., B. J. George, Jr., 1965.
- The Effectiveness of Punishment Especially in Relation to Traffic Offenses, by Wolf Middendorf. 1968.
- 11. The Criminal Justice Systems of the Latin-American Nations: A Bibliography of the Primary and Secondary Literature, by Richard Rank, 1974.

C. Published by Charles C. Thomas, Publisher: 301-327 East Lawrence Avenue Springfield, Illinois 62717

- 6. Continental Police Practice, by Sheldon Glueck, 1973.
- Legal Dimensions of Drug Abuse in the United States, by Harvey R. Levine, 1974.
- 8. Of Delinquency and Crime, by Sheldon and Eleanor Glueck, 1974.
- *9. Studies in Comparative Criminal Law, Edward M. Wise and G. O. W. Mueller, Eds., 1975.
- 10. Education for Crime Prevention and Control, Robert Joe McLean, Ed., 1975.
- Sentencing: Process and Purpose, by Gerhard O. W. Mueller (to be published).

^{*}Incorrectly numbered as Volume 11 (on title page).

PREFACE

The publication of Volume Twenty-one of the American Series of Foreign Penal Codes represents the first presentation in the Series of an alternative draft to an officially proposed penal code. It was prepared by younger, more liberal criminal law scholars in the Federal Republic of Germany who were dissatisfied with a government proposal submitted to the Bundestag in 1962. Its provocative proposals are outlined by Professor Joseph J. Darby in the Introduction. They include proposals to specify "the reintegration of the offender" as "the purpose of corrections," to create a practical process for criminalizing industrial behaviors that "unlawfully pollute," and to protect individual privacy against intrusion. All of these proposals have significance in the United States where controversies rage over the purpose(s) of prisons, the role of the criminal law process in protecting the environment, and the threat posed to our liberties by the institutionalized intrusions of the Federal Bureau of Investigation, the Central Intelligence Agency and other federal, state and local "red squad" activities.

Volume Twenty-one is a significant precedent to be emulated in the United States and elsewhere. Draft proposals of new penal codes emanate from official sources, including the National Commission on Reform of the Federal Criminal Laws, and state commissions established for this purpose. Even the Model Penal Code of the American Law Institute, completed in 1962, reflects traditional academic and practitioner thinking on reformist themes. Criticism of these proposals is often important—witness the current opposition to the proposed new federal criminal code—but it is usually fragmented and, for the most part, negative. The existence of a systematic alternative draft of a penal code could strengthen the quality of public debate and enhance the possibility of enactment of a more just penal code. As penal ideologies evolve and come into conflict, the utility of embodying different ideologies into specific proposals beJürgen Baumann who participated in the drafting, I have endeavored to convey German legal terminology in an understandable way to the reader trained in the Anglocomes more apparent. Dissenting scholars in many countries should emulate their brethren in West Germany. It is hoped that the publication of this volume will foster this process.

I gratefully acknowledge the distinctive professional quality of the Translation and Introduction by Professor Joseph I. Darby of the University of San Diego School of Law. The commentary by Professor Jürgen Baumann of the University of Tübingen is incisive and provides a critical guide through the provisions of the Draft. The achievement of the German criminal law scholars who participated in producing this Draft is acknowledged. These included Gunther Arzt, Otto Backes, Jürgen Baumann, Anne-Eva Brauneck, Albin Eser, Klaus Geppert, Gerald Grünwald, Ernst-Walter Hanack, Armin Kaufmann, Arthur Kaufmann, Ulrich Klug, Ernst-Joachim Lampe, Theodor Lenckner, Werner Maihofer, Peter Noll, Stephan Quensel, Klaus Rolinski, Claus Roxin, Rudolf Schmitt, Wolfgang Schöne, Horst Schüler-Springorum, Hans Schultz, Günter Stratenwerth and Walter Stree.

John Delaney
Criminal Law Education
and Research Center
New York University
School of Law

CONTENTS

	PAGE
Preface	1
GENERAL PART	
Section One THE CRIMINAL LAW	
Title I Principles	
§1 No Punishment, No Treatment Without	
Statutory Authorization	11
§2 The Purpose and Limits of Punishment and	
Treatment	11
Explanatory Remarks: Section One, Title I Title II Scope of Application	11
§3 Temporal Application	12
§4 Conduct Within Germany or on German	
Ships and Aircraft	13
§5 Conduct Outside Germany Affecting Domes-	
tic Legal Interests	13
§6 Conduct Abroad Affecting Internationally	
Protected Interests	13
§7 Other Types of Conduct Outside Germany	14
§8 Time and Place of Conduct	15
§9 Special Regulations for Children, Juveniles, and Young Adults	15
Explanatory Remarks: Section One, Title II	15
Title III Statutory Meaning of Various Words	10
\$10 Definitions	17
§11 Felonies and Misdemeanors	18

Section Two CRIMINAL CONDUCT	PAGE
Title I Bases for Imposition of Criminal Punishment	
§12 Forebearance as Conduct	18
Criminal Liability of Corporate Bodies and	••
Agents	18
\$14 Self Defense and Exceeding the Bounds of	10
Self Defense	19
§15 Justifiable Necessity	19
§16 Intentional and Negligent Conduct	19 20
§17 Intention and Knowledge	20
§18 Negligence	20
§20 Mistake of Law	20
§21 Lack of Criminal Capacity Because of Mental	20
Disorder	21
§22 Diminished Responsibility	21
§23 Excusable Necessity	21
Explanatory Remarks: Section Two, Title I	21
Title II Attempt	
§24 Definition	23
§25 Punishment of an Attempt	23
§26 Abandonment	24
Explanatory Remarks: Section Two, Title II	24
Title III Parties to Crime	
\$27 Principals	25
§28 Instigation	25 25
§29 Aiding and Abetting	26
§30 Special Personal Characteristics	26
§31 Independent Criminal Responsibility of Par-	
ties to Crime	26
§32 Attempt to Enlist Participation in Crime	32
§33 Abandonment of the Attempt to Enlist Par-	
ticipation in Crime	27
Explanatory Remarks: Section Two, Title III	27
Title IV Parliamentary Privilege	
§34 Parliamentary Statements	28
\$35 Parliamentary Reports	28

Section Three PUNISHMENTS	PAGE
Title I Imprisonment	
\$36 Term of Imprisonment	28
§37 The Purpose of Corrections	29
§38 Principles of Corrections	29
§39 Correctional Industries	29
§40 Probation	30
§41 Conditions of Probation	31
§42 Instructions	31
§43 Directions to Public Administrative Officials.	32
§44 Probation Assistance	32
§45 Subsequent Court Orders	33
§46 Revocation of a Suspended Sentence	33
§47 Release from Punishment and Expungement	33
of Sentence after Probation	34
§48 Suspension of Remainder of Sentence	34
Explanatory Remarks: Section Three, Title I	35
Title II Punishments Not Involving Deprivation of	33
Liberty	
§49 Total Amount and Method of Payment of	
Fines	40
§50 Fines In Lieu of Imprisonment	40
§51 Reduction of Fines	41
\$52 Satisfaction of Fine Through Work in Com-	
munity Charities	41
§53 Satisfaction of Fine Through Imprisonment	41
§54 Release from the Remainder of Sentence	42
\$55 Revocation of Driver's Licence	42
\$56 Directives Supplementary to Fines and Re-	43
vocation of Driver's License	
Explanatory Remarks: Section Three, Title II	43
Title III Forebearance from Imposition of Punish-	
ment	
§57 Warning and Withholding Punishment	49
§58 Verdict of Guilty with Waiver of Punishment	49
Explanatory Remarks: Section Three, Title III	50
Title IV Measure of Punishment	
§59 Principles for the Measure of Punishment	52

	PAGE
§60 Less Serious Cases	52
§61 Special Statutory Grounds for Reduction of	
Punishment	52
§62 Concurrence of Different Grounds for Re-	
duction of Punishment	53
§63 Credit for Time in Custody	53
Explanatory Remarks: Section Three, Title IV	54
Title V Concurrence of Offenses	
§64 Several Criminal Violations	55
§65 Subsequent Aggregate Punishment	56
Explanatory Remarks: Section Three, Title V	57
Section Four	
MEASURES OF SECURITY AND REFORM	M
Title I Measures Involving Deprivation of Liberty	
§66 Types of Measures: Synopsis	58
§67 Commitment to a Mental Institution	58
§68 Commitment to an Institution for the Treat-	
ment of Chronic Alcoholics	58
§69 Commitment to an Institution of Social	
Therapy	59
§70 Commitment to an Institution of Protective	
Custody	60
§71 Court Órders	61
§72 Confinement Center for Observation	61
§73 Control of Treatment	61
§74 Suspension of Commitment to a Mental	
Health Institution or to an Institution for the	
Treatment of Chronic Alcoholics	62
§75 Provisional Leave of Absence	63
§76 Provisional Leave of Absence from an In-	
stitution of Protective Custody	63
§77 The Relationship of Punishment to Treat-	
ment	64
Explanatory Remarks: Section Four, Title I	65
Title II Treatment Without Deprivation of Liberty	
§78 Prohibition of Practice of a Profession	69
§79 Suspension of Driver's License	70

	PAGE
§80 Cessation of Treatment Explanatory Remarks: Section Four, Title II	71 71
Title III Common Provisions	
§81 Principles Governing Court Orders	72
§82 Imposition of Treatment	72
Section Five FORFEITURE AND CONFISCATION	
mul. I.E. C.	
Title I Forfeiture	70
§83 Prerequisites for a Forfeiture	72 70
§84 Forfeiture of Replacement Value	73
§85 Appraisal	73
§86 Hardship Provisions	73
\$87 Effect of Forfeiture	74
Title II Confiscation	7.
§88 Prerequisites for Confiscation	74
§89 Confiscation and Destruction of Publications	74
and Other Representations	74
§90 Effect of Confiscation	75
§91 Compensation	75
Title III Independent Court Orders	75
§92 Independent Court Orders	75 76
Explanatory Remarks: Section Five	76
Section Six	
CRIMINAL CHARGES AND STATUTES OF	LIM-
ITATION	
Title I Criminal Charges, Authorization, Penal Petition	
§93 Criminal Charges	78
§94 Beginning and End of Time to Press Charges	78
§95 Revocation of Charges	78
§96 Authorization and Penal Petition	79
Title II Statutes of Limitations	B
§97 Period of Limitations	79
§98 Suspension of the Statute of Limitations	79
§99 Interruption of the Statute of Limitations	79

PAGE

SPECIAL PART

Section One CRIMES AGAINST THE PERSON

Title I Crimes Against Life	
§100 Intentional Homicide	83
§101 Homicide on Request	84
§102 Negligent Homicide	84
§103 Failure to Prevent Suicide	84
§104 Emergency Homicide During Childbirth	84
Explanatory Remarks: Section One, Title I	84
Title II Crimes against Embryonic and Foetal Life	
§105 Unlawful Termination of Pregnancy	86
§106 Abortion	87
§107 Petty Infraction	87
Explanatory Remarks: Section One, Title II	88
Title III Crimes Against Physical Integrity	
§108 Physical Abuse	94
§109 Battery	95
§110 Aggravated Battery	95
§111 Negligent Battery	95
§112 Consent	96
§113 Civil Fine	96
§114 Diminished Blameworthiness	96
§115 Failure to Render Aid to Those Faced with	
Danger to Life and Limb	97
115a Reimbursement	97
Explanatory Remarks: Section One, Title III	97
Title IV Crimes Against Personal Liberty	
§116 Intimidation	101
§117 Aggravated Intimidation	102
§118 Threatening Conduct	102
§119 False Imprisonment	102
§120 Extortionary Child Kidnapping	102
§121 Abduction	103
§122 Criminal Trespass	103
\$123 Unauthorized Medical Treatment	103
Explanatory Remarks: Section One, Title IV	104