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FINAL REPORT

CHILD VICTIM AS WITNESS
RESEARCH AND DEVELOPMENT PROGRAM

Education Development Center, Inc.
The University of North Carolina - Chapel Hill
American Prosecutors Research Institute

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Debra Whitcomb
Project Director

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CHAPTER ONE

BACKGROUND

INTRODUCTION

Statistics on child abuse and neglect have escalated dramatically in the years since the National Center on Child Abuse and Neglect began collecting data on reports made to child protection agencies. And there is no sign of abatement. Based on two national incidence studies, cases of child maltreatment increased by 66 percent from 1980 to 1986. The incidence of physical abuse increased by 58 percent, while the incidence of sexual abuse tripled during this brief time period. In sum, more than 1.5 million children suffered abuse or neglect in 1986; nearly 156,000 of those children experienced sexual abuse.¹

Reported crimes represent only the tip of the iceberg. The findings of six studies, all based on retrospective self-reports of childhood experiences, suggest that anywhere from 12 to 38 percent of all women, and from 3 to 16 percent of all men, are subjected to some form of sexual abuse in their childhood.² Even excluding those cases that are never reported to authorities, child protection and criminal justice agencies have been besieged with allegations that require substantiation and, where appropriate, intervention.

National outrage over child abuse has encouraged criminal prosecution of offenders. Even intrafamilial cases, which had traditionally been handled by the protective service and juvenile justice systems, are now finding their way into the criminal justice system. The influx of child victims in the courts has raised a host of unsettling issues. The challenge has been to find ways to prosecute these cases effectively without exacerbating the child's trauma.

Intrafamilial child sexual abuse, in particular, has been associated with a wide variety of behavioral and psychiatric disorders in the child victims, including withdrawal, depression, anxiety, fear, school problems, suicidal behavior, negative self-concept, isolation, sexual problems, and Post-Traumatic Stress Disorder.³ Because of the unique attributes of child victims as witnesses--their cognitive and emotional developmental level and, commonly, their position as the most critical source of evidence in sexual abuse cases--the adjudication process can add to the trauma already experienced by the child. For child victims, court intervention may have any or all of three effects: it may delay the resolution of symptoms resulting from the abuse; it may intensify existing problems; or it may even create a new set of stressful circumstances with which the child must cope.⁴ The problem may be especially acute in intrafamilial cases.

The Child Victim as Witness Research and Development Program was a three-year project funded by the Office of Juvenile Justice and Delinquency Prevention. It was a collaborative effort involving a team from three organizations: Education Development Center, Inc. (EDC); the University of North Carolina-Chapel Hill (UNC); and the American Prosecutors Research Institute (APRI) of Alexandria, Virginia.

The overarching goal of the study was to address the basic dilemma confronting prosecutors: How can child sexual abuse cases be most effectively prosecuted without imposing additional trauma on the child victims?

The project was designed to answer the following research questions:

- What characteristics of a child, family, incident, community, and legal environment influence the decision to prosecute child sexual abuse cases?
- How do these characteristics influence the decision to use certain courtroom or system innovations?
- How does the availability of such techniques influence the decision to prosecute child sexual abuse cases?
- What is the impact of such techniques on the outcome of case prosecution and on the child's emotional trauma?

To answer these questions, we designed a study that would

- identify and implement a range of techniques for investigating and prosecuting child sexual abuse cases
- empirically assess the circumstances under which alternative techniques are used
- evaluate how well these innovations reduce victim trauma and increase successful prosecution of offenders

The study was carried out in four jurisdictions: Erie County (Buffalo), New York; Polk County (Des Moines), Iowa; Ramsey County (St. Paul), Minnesota; and San Diego County, California. These sites met certain minimum criteria: each maintained a relatively large caseload and each agreed to participate in the intensive research and development effort. In addition, the sites varied in the following ways:

- Variation in statutory framework. Diversity among the sites represents the various conditions under which prosecutors across the country must practice. For example, at the time of project start-up, Iowa had passed a wide range of statutory innovations whereas the New York legislature had only begun to consider these reforms.
- Variation in size. Buffalo and San Diego are large metropolitan areas; Des Moines and St. Paul are medium-sized jurisdictions. Again, this diversity

allowed us to examine what may be feasible in different jurisdictions with varying resources and caseload characteristics.

- Variation in current and planned prosecutorial procedures. The specific techniques already being used varied across the sites. Some jurisdictions had only recently implemented certain techniques while others had several years of experience.

In each site, we worked with a multidisciplinary "Program Team" of local agency officials to look at current policies and practices, identify areas needing improvement, and select prosecutorial strategies to study. Then, from local criminal justice and child protection agencies, we gathered data to track the progress of child sexual abuse cases that had been referred for prosecution during a one-year "baseline" period prior to project start-up. We also tracked a parallel, "prospective" group of child sexual abuse cases that were referred for prosecution during the project period. To assess the impact of prosecution on child victims, we conducted psychological interviews with 256 children from the prospective group before and after their cases were adjudicated.

This report describes preliminary findings from this intensive longitudinal research and development effort. Subsequent reports will describe additional findings as we continue to refine our analyses of the large, multisite database that was created under this project. In the remainder of Chapter 1, we provide a brief overview of past research, the theoretical framework underlying the proposed research effort, and an overview of program intervention and research methods.

Chapter 2 presents case studies of the four participating sites. For each community, we describe the process for investigating and prosecuting child sexual abuse cases as we observed it during our initial, baseline site visits. We then delineate the intervention goals that were identified for each site and discuss progress that was made during the study period. The perspectives of professionals in each county are introduced through the findings of two surveys we conducted in each site. Finally, selected descriptive statistics are offered to describe the adjudication process.

Chapter 3 discusses the results of the case tracking component of our study. We present findings that describe the characteristics of victims, perpetrators, and case processing at the point of referral for prosecution. These data are further analyzed and presented in a discussion of factors influencing the decision to prosecute.

Chapter 4 presents the results of the child interviews. We discuss the children's psychological status at the time of the Wave I interviews as well as observed changes between the Wave I and Wave II interviews. The chapter includes selected analyses of differences that may be related to victim or perpetrator characteristics, such as relationship between victim and perpetrator, and nature and duration of abuse.

Chapter 5 discusses conclusions that can be drawn from our preliminary findings and outlines the next steps for data analysis. Due to limitations of time and funding and the complexity of this large multisite database, we were unable to complete these analyses within the scope of the original grant. However, with additional funding from the National Center on Child Abuse and Neglect, EDC and UNC-Chapel Hill will be able to fully mine these data.

PRIOR RESEARCH

Recent research has identified nightmares, separation anxiety, confusion, humiliation, and false retraction of children's accounts of their experiences as emotional responses to court proceedings.⁵ Dr. Roland Summit has described a "child sexual abuse accommodation syndrome" comprising five categories. Each helps to explain why these children are in a uniquely difficult position when they testify in criminal court.

1. The secrecy inherent in sexual abuse dissuades victims from reporting--but society (jurors and the courts) expects an immediate outcry.
2. The victim's helplessness means there is little resistance to the assault--which may be interpreted as consent.
3. Entrapment (i.e., the feeling that there is no way out of the abusive situation) prevents victims from seeking help, because to do so, they believe, would cause dissolution of the family. To accommodate their emotional turmoil, children may turn to substance abuse or act out sexually--behaviors that raise questions about their credibility as witnesses.
4. Delayed, conflicting, and unconvincing disclosure raises questions about the motivation for reporting.
5. Retraction often occurs when victims are pressured by family members, or when it becomes apparent that disclosure has, indeed, resulted in dissolution of the family.⁶

Some observers of the justice system assert that participation in judicial proceedings can cause deleterious effects and psychological harm to sexually abused children. Others, however, maintain that testifying can serve as a catharsis for child victims and contribute to their recovery by restoring a sense of power and control. Past research on whether the adjudication process is in fact harmful to children is conflicting.

In the only study reported to date that administered psychological tests directly to child victims whose cases were being adjudicated in juvenile and/or criminal courts, Runyan and colleagues found that testifying *in juvenile court* may actually be beneficial: children who testified in juvenile court were 20 times more likely to have reduced anxiety levels than children who did not testify. (Too few children testified *in criminal court* to allow

meaningful analysis.) Children whose cases were still pending criminal court disposition, however, did *not* improve on the psychological measures, and the researchers hypothesized that the delays and continuances that characterize criminal prosecution can cause additional stress for child victims.⁷

This hypothesis was challenged, however, by the findings of a subsequent study by Goodman and her colleagues.⁸ Goodman et al. examined the impact of testifying in criminal court on child sexual abuse victims, based on measures of behavioral adjustment provided by nonoffending parents. They found that the children tended to show greater improvement with time, regardless of whether they testified. Parents of children who testified were significantly more likely to say their children had been adversely affected by criminal prosecution than were parents of a matched control group of child victims who did not testify. Some parents and children (in both groups) specifically targeted the length of the adjudication process as a source of stress. At the final follow-up, 11 months after the children first testified, differences between the "testifiers" and the controls had diminished, although a subset of children still showed negative effects. Some of these children had testified; others had not.

Overall, factors that appeared to be related to improvement were

- fewer times required to testify
- maternal support
- presence of corroborative evidence
- passage of time
- positive parental attitudes about the legal system

Factors that were *not* related to improvement included psychological counseling, case outcome, and the number of investigative interviews.

The children questioned by Goodman and her colleagues reported negative feelings about talking to the defense attorney and facing the defendant. They had mixed feelings about the judge, felt positively about the prosecutor, and wanted their parents with them when they testified.⁹ Tedesco and Schnell also queried child sexual abuse victims directly about their experiences with the criminal justice system.¹⁰ Based on self-administered questionnaires completed by 48 children and/or adults on the children's behalf, the researchers found that a greater percentage of victims rated the legal process as helpful rather than harmful. Children were most likely to object to multiple interviewers and testifying in court. Finally, courtroom observations of the children in Runyan et al.'s study revealed that children lacked effective advocacy and support figures, and further, that attorneys often failed to prepare children and their families adequately prior to testifying. Inappropriate and ineffective trial techniques on the part of both attorneys also contributed to the children's discomfort.¹¹

The purpose of the Child Victim as Witness Research and Development Program was to shed additional light on the effects of the court process on child sexual abuse victims. The study

was designed to explore the impact of a variety of promising approaches to alleviating trauma on children's behavioral and psychological status following case adjudication.

THEORETICAL FRAMEWORK FOR THE STUDY

Exhibit 1 presents a schematic overview of the theoretical framework that guided the research design. It shows the major variable groups that were included in the theoretical framework and the presumed relationships between them.

The framework includes three types of *background variables* that may affect the decision to prosecute, the prosecutorial techniques used, and case outcomes:

- child and family characteristics
- case characteristics
- system characteristics

It also shows the two primary *independent variables* in our analysis of project impact:

- the decision to prosecute
- techniques used to accommodate child victims

The framework includes a number of *modifying variables* that may alter the effect of the prosecutorial techniques used on the outcome variables of interest:

- case management approach, especially the use of multidisciplinary case review
- psychological treatment for the child
- protective services offered the child
- defense attorney actions, such as harsh or intimidating cross-examination

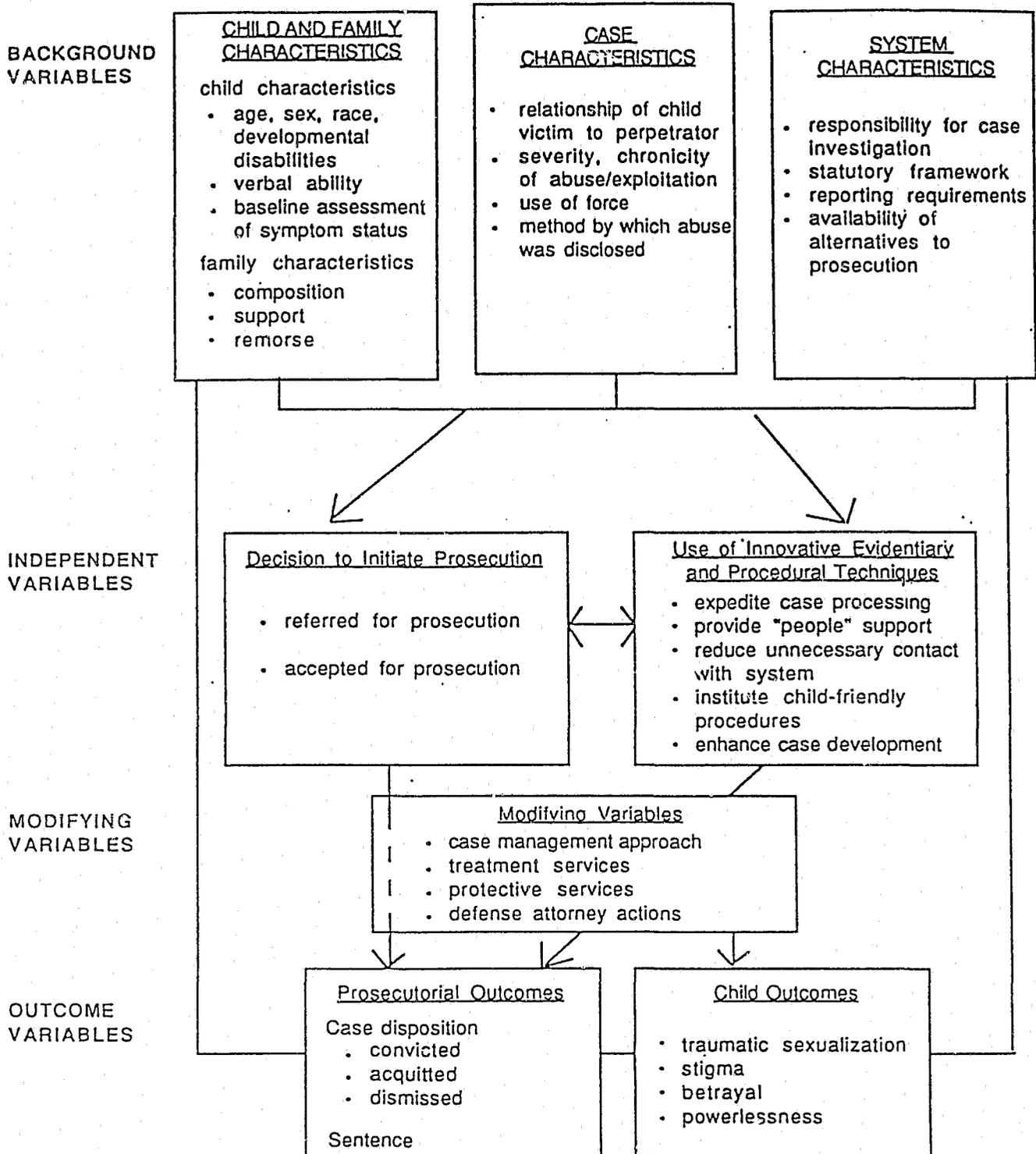
Finally, it shows the two *outcome variables* of interest:

- final case disposition
- child behavioral and psychological status

Each set of variables in the theoretical framework is described briefly below.

Exhibit 1

SCHMATIC OVERVIEW OF THE CONCEPTUAL FRAMEWORK



Background Variables

Child and Family Characteristics

Some children may be more vulnerable to sexual exploitation than others.¹² Age, gender, and developmental status may separate vulnerable children from children less likely to be victimized. Children with handicaps have been identified as one potentially vulnerable population.

The age of the child may also affect the likelihood of prosecution or foster care placement and the range of psychological and behavioral symptoms. The developmental issues from preschool through adolescence have been described in terms of clinical presentation and treatment concerns.¹³ The age of the child may also influence the courtroom techniques used, the ultimate effectiveness of the prosecution, and the impact of court intervention on the child. So, too, the child's verbal ability may influence the decision to prosecute, the specific techniques used, and case outcomes.

In cases involving intrafamilial abuse, family characteristics may also contribute to sexual victimization of children and mediate the impact of sexual abuse and court intervention on the victim. Russell's work suggests that stepfathers are eight times more likely to sexually abuse children than biological fathers.¹⁴ Frequently, mothers of child sexual abuse victims themselves evidence a history of sexual victimization.¹⁵ Other factors that may be involved include parental sexual dysfunction, parental work patterns, and family stress.

Family support appears to be a significant moderating variable in the relationship between victimization and impact of sexual abuse on the victim.¹⁶ In the University of North Carolina study, which involved only intrafamilial cases, approximately 35 percent of mothers chose to support the perpetrator instead of the child victim.¹⁷ And, in Goodman's study, maternal support for the child was found to be related to improvement in the child's well-being.¹⁸ These studies suggest that maternal support may be the single most important variable affecting the resolution of the child's distress. Another moderating influence may be parental expression of guilt and remorse.

Case Characteristics

A number of factors are thought to be important in predicting the effect of sexual assault upon the victim.¹⁹ Among these are type of abuse, chronicity, relationship of the perpetrator to the victim, and use of force. At this point conclusive data for each of these points is lacking. A recent survey of adults who had been victimized in childhood suggested that attempted or completed intercourse, for example, had been more traumatic to the victims than fondling experiences.²⁰ Several other studies, however, failed to show any relationship between the form of victimization and long-term effects on the victim.²¹

The relationship of the perpetrator to the victim is thought to be a significant moderator of the trauma from sexual molestation. Not surprisingly, research suggests that abuse by a father or stepfather is significantly more traumatic than abuse by all others.²²

Finally, the use of force has been suggested as an important predictor of the impact of abuse. Both Russell and Finkelhor found strong relationships between self-reports of trauma and the use of force.²³ Goodman, et al., found that children whose victimization experiences had been most severe exhibited the most anxiety on the day of testimony. Further, among those children who testified, those who had experienced more severe abuse, who lacked maternal support, and who were more frightened of the defendant rated their experience with the legal system more negatively than those children who testified in less severe cases, who had maternal support, and who were not intimidated by the defendant.²⁴

System Characteristics

A number of studies have documented the wide variation in response to child abuse among different jurisdictions, agencies, and professionals. Mayer determined that the disposition of child abuse was partially dependent upon whether the case was initially investigated by the police or social service.²⁵ Runyan, et al. demonstrated that the use of foster care in child protection cases was determined, in large part, by which social service agencies and/or court districts were responsible for the investigation and disposition.²⁶

Another system factor governing both the decision to prosecute and the type of procedures used is the statutory framework governing use of evidentiary and procedural techniques in the jurisdiction. A related factor is pertinent court rulings regarding the use of innovative techniques on behalf of child witnesses. Absent certain provisions and favorable court opinions, prosecutors may be less likely to accept prosecution of certain types of cases, and limited in the degree to which they can employ desired strategies.

Reporting requirements may also affect the decision to prosecute. In some states, such as Massachusetts, all substantiated reports of serious child abuse (which includes all cases of child sexual abuse) must be reported to the district attorney. In such jurisdictions there is reason to believe that a larger proportion of cases will be processed by the criminal justice system.

Finally, the availability of alternatives to prosecution may affect the decision to initiate criminal proceedings. There are three types of alternatives: removal of the child to an adequate foster home, shelter, or other placement; restraint of the perpetrator via voluntary or court-ordered measures; and/or treatment for the perpetrator.

Independent Variables

Decision to Initiate Prosecution

It is possible that as innovations in child sexual abuse cases are introduced (e.g., as criminal court procedures are streamlined and made less intrusive) protective service personnel may be more willing to refer certain cases to the criminal justice system. Therefore, it is important to examine the circumstances surrounding decisions to refer cases for prosecution as well as the actual numbers and types of cases referred, before and after the introduction of such changes. Likewise, there may be changes in the criteria for case acceptance, as well as actual changes in the numbers and types of cases accepted for prosecution.

Innovative Techniques

The Office of Juvenile Justice and Delinquency Prevention was initially interested in examining seven major types of evidentiary and procedural innovations that might be used to accommodate child victims.

1. Avoiding direct confrontation between child victim witnesses and defendants
 - a. using closed-circuit television
 - b. permitting children to testify in front of a one-way mirror
 - c. permitting children to testify in judge's chambers
 - d. permitting videotaped depositions and statements
2. Streamlining the justice process
 - a. expediting cases
 - b. reducing the number of interviews of children
3. Permitting special exceptions to hearsay for sexually abused children
 - a. allowing medical complaints
 - b. allowing complaint of rape
 - c. allowing excited utterances
4. Eliminating or modifying competency criteria for child victim witnesses
 - a. modifying the wording of the oath for child witnesses
 - b. establishing a level of understanding of the difference between truth and falsehood
5. Using child victim advocates and guardians ad litem at different stages of the court process
6. Using expert witnesses
 - a. testifying on selected attributes of child sexual abuse
 - b. providing developmental information to compare normal behavior patterns with those of children who were sexually abused

- c. providing testimony that explains the behavior of children after the event occurs
7. Excluding spectators from the courtroom audience
- a. limiting access to the general public
 - b. developing legislation to better protect the identity of child witnesses

For purposes of this study, these and other techniques that have been introduced on behalf of child victims can be described as *courtroom reforms* and *system reforms*.²⁷

Courtroom Reforms. These include efforts to shield the child from direct confrontation by the accused by using closed-circuit television, videotape technology, or opaque screens erected in the courtroom. Other courtroom reforms include efforts to limit the courtroom audience, special hearsay exceptions for sexually abused children, and elimination of special competency examinations for child witnesses. By definition, courtroom reforms are available only to those children whose cases actually go to trial.

System Reforms. By contrast, system reforms benefit every child whose abuse is disclosed to authorities. Although many system reforms do not require statutory authorization and pose no threat to constitutional protections, they may be just as difficult to implement as courtroom reforms because implementation depends on cooperation and coordination among multiple agencies. Among the most popular system reforms are provision of a support person for the child, assignment of a guardian ad litem, reducing delay, multidisciplinary case review, and streamlining the system by reducing the number of interviews and appearances required of the child.

Despite the proliferation of legislation authorizing the use of alternative procedures for child victims in court, and specifically videotaped or closed-circuit testimony, prosecutors and courts have been reluctant to implement these techniques because their constitutionality is still in question. With the U.S. Supreme Court's recent decision in Maryland v. Craig, more children may benefit from the new technology.²⁸ By and large, however, extraordinary measures will be reserved for extraordinary cases. This is not to say that statutory reforms are unnecessary, but rather to reinforce the importance of a wide variety of procedural innovations.

Exhibit 2 displays five major goals of the various interventions that were considered for implementation and evaluation in this study. In Chapter 2 we describe in detail the way in which innovations were implemented and the intended and unintended consequences they may have had on the communities' response to child sexual abuse cases.

Exhibit 2

ORIENTATION OF ACTIVITY

		SYSTEM	CHILD
INFORMATION E R V E N T I O N G O A L S	EXPEDITE CASE	<ul style="list-style-type: none"> ● Faster set-up of case processing points ● Strict continuance policy ● Active case monitoring ● Use of fast track system for charges ● Prompt delivery of results of medical tests on child 	<ul style="list-style-type: none"> ● Earliest contact with child by police, social agencies and prosecutor
	PROVIDE PEOPLE SUPPORT TO VICTIM	<ul style="list-style-type: none"> ● Early identification of child advocate/guardian ad litem ● Co-ordination of case management with multi-disciplinary team ● Early referrals for treatment/services for child and child's family 	<ul style="list-style-type: none"> ● Continuous contact between child and child advocate, social service agencies
	REDUCE UNNECESSARY CONTACT OF CHILD WITH SYSTEM	<ul style="list-style-type: none"> ● Waiver of discretionary contact points between child and system ● Reduction in number of interviews with child through co-ordination in case management 	<ul style="list-style-type: none"> ● Use of videotape in place of live appearance by child at subsequent stages in proceedings where original testimony would be recited
	INSTITUTE CHILD-FRIENDLY PROCEDURES	<ul style="list-style-type: none"> ● Use of anatomical dolls, artwork, etc. to help elicit child's testimony ● Use of screens, one-way mirrors and appropriate furniture placement to reduce visual contact between victim and defendant in court ● Use of closed-circuit TV ● Modifications to courtroom environment: e.g. use of scale furniture and appropriate colors; frequent breaks during child testimony ● Limitations on movement and voice levels by counsel 	<ul style="list-style-type: none"> ● Explanation to child of purpose of proceeding and case development ● Debriefing after testimony and disposition of case, including delivery of victim impact statement ● Limitation on media coverage of proceedings and other public identification of victim ● Preparation and delivery of "certificate of participation/co-operation/truthfulness" (for example) as indication of appreciation of child's assistance to authorities
	ENHANCE CASE DEVELOPMENT	<ul style="list-style-type: none"> ● Use of exceptions to hearsay rule ● Use of expert witnesses to strengthen child's testimony ● Improved methods of establishing competency of child witnesses ● Vigorous use of general and case-specific medical tests and research w/ involvement by local medical community 	<ul style="list-style-type: none"> ● Modification of oath for child witnesses <p>NOTES:</p> <ol style="list-style-type: none"> 1. Use of exceptions to hearsay rule can also help to reduce contact by child during testimonial stages

Modifying Variables

Case Management Procedures

Case management procedures may modify the effects of court intervention on the child. Investigations and interventions into child sexual abuse may be the shared or separate responsibilities of the child protection and legal systems. In communities across the country, there are wide variations in the degree of cooperation and coordination of efforts between social service, police, and prosecuting personnel. Often, the objectives of intervention by each agency can be quite different. The presence of a multidisciplinary team may systematically alter agency and/or court responses to victims and families and is presumed to ameliorate the impact of both the abuse and the intervention.

Treatment Approaches

A variety of psychological treatment approaches have been recommended for child sexual abuse victims, including individual, family, and group therapy.²⁹ Within each of these modalities is a diversity of specific techniques ranging from role playing to art therapy. Evaluations of specific models of treatment are beginning to emerge.³⁰ The mere fact that a child was referred for therapy may be important in modifying the effect of court intervention on the child's well-being. (Gathering detailed data on treatment modalities was beyond the scope of this study, however.)

Protective Services

A final modifying variable was the extent to which the child was protected from further abuse during the course of case prosecution. In many cases involving intrafamilial abuse, civil and criminal proceedings may occur simultaneously. The impact of criminal prosecution on the child may be exacerbated by concomitant juvenile court proceedings dealing with the child's placement in foster care or removal of the alleged perpetrator from the home. Whether the child (or the perpetrator) was removed from the home during all or part of the criminal prosecution is likely to have an important influence on the child's psychological status.

Defense Attorney Actions

A final modifying variable was the nature of actions taken by defense attorneys in their cross-examination of child witnesses. Questioning that is harsh, intimidating, or overly lengthy may be expected to have adverse effects on a child, whereas questioning that is age-appropriate and respectful of the child's cognitive or emotional limitations is likely to be less burdensome. Whether at preliminary hearings, depositions, or trials, the defense attorney's interrogation of child witnesses may have an important influence on the children's experience of the criminal justice system.

Outcome Variables

Prosecutorial Outcomes

To explore the impact of the use of innovative evidentiary and procedural techniques on case disposition, the study was designed to examine changes in the proportion of cases in which the defendant is found guilty, either by entering a plea or through conviction at trial, the proportion of cases that are dismissed; and the proportion in which defendants are found not guilty. For cases resulting in conviction, changes in sentencing outcomes are also examined.

Child Outcomes

To investigate the psychological impact on the child, the study relied on the conceptualization articulated by Finkelhor and Browne in their 1985 paper on the "traumagenic dynamics" of child sexual abuse.³¹ This model takes into account events and interactions that occur after abuse is revealed, and sets forth four dynamics that explain most, if not all, of the short-term effects that have been observed among child sexual abuse victims.

1. Traumatic sexualization results from the inappropriate sexual contacts and relationships that typify abusive incidents.
2. Betrayal results when the child realizes that a loved one or trusted individual has in fact harmed him or her. Another context for betrayal occurs when nonoffending family members or others to whom the child discloses fail to believe the child's allegations.
3. Stigmatization results when the child realizes that the abusive behavior is morally and socially unacceptable and is made to feel guilty or responsible.
4. Powerlessness results not only from the child's inability to prevent or terminate the abuse, but also from the "snowball" nature of society's interventions to protect the child.

These dimensions provide a clear organizing framework and conceptual basis for research on the psychological impact of sexual abuse and subsequent court intervention on children.

STUDY METHODS

Intervention Strategy

The Child Victim as Witness Research and Development Program was designed to effect change in how organizations respond to child sexual abuse cases and to measure the effect these changes have on child victims. The assumption underlying this commitment to change is that child sexual abuse cases, because of their complexity, require different responses from

law enforcement and social service agencies and a level of interagency coordination not usually found in the response to other types of criminal offenses.

In each site, we worked with a multidisciplinary Program Team including prosecutors and representatives of the courts, law enforcement and social services, medical and mental health communities, and victim advocacy groups. During the first year of the study, staff of the American Prosecutors Research Institute (APRI), National Center for the Prosecution of Child Abuse, worked with the Program Teams to look at current policies and practices in each jurisdiction, identify areas needing improvement, and select prosecutorial strategies to implement and study.

APRI chose an intervention strategy that was based on two concepts from the practice of organizational development: action research and field theory of planned change. Organizational development has been defined as a process of planned improvement in the overall functioning of an organization.³² APRI's approach was to apply the basic principles of organizational development, working with Program Teams made up of representatives from several community agencies that had a common purpose in investigating and prosecuting child sexual abuse.

Action research involves a two-step, cyclic process of (1) fact-finding, or diagnosis through the use of surveys, interviews, and other forms of data gathering; and (2) implementation, or administering the "prescription" for needed change, based on the evaluation of the results of the fact-finding process.³³

To conduct action research effectively, the outside intervenor must facilitate a process through which the members of the organization (or team) provide information about their perceptions of changes needed and develop consensus on particular changes to be implemented and plans for implementing them. By facilitating this process, the outside intervenor increases the commitment of the people affected by the implementation of change.

This view of the change process is particularly applicable in child sexual abuse cases, which involve complex dynamics between the social service and criminal justice systems. Even small changes in one component of the system can have broad ripple effects among the other components. Because of the potential for profound impacts on any of the agencies involved in the response to child sexual abuse cases, we felt it was critically important for the Program Teams to oversee the change process with guidance from APRI.

APRI staff also used the "Field Approach" developed by psychologist Kurt Lewin,³⁴ in which the question underlying planned change is "What 'conditions' have to change to bring about a given result, and how can one change these conditions with the means at hand?"³⁵

Lewin views the present situation--the status quo--as being maintained by certain conditions or forces. For example, police procedures and child protective procedures are maintained by certain forces internal as well as external to the agencies. To effect change, the people

involved must describe the status quo, describe the desired state, and identify the forces that maintain the status quo and prevent change necessary to reach the desired state.

These forces can either be facilitating forces, which assist agencies to make change, or restraining forces, which prevent change from taking place. Members of the research and development team used this concept to help the Program Teams develop action plans for implementing new methods of responding to child sexual abuse. The overarching goal was to minimize or eliminate restraining forces while strengthening facilitating forces. For example, many Program Team members found that their desire to examine operating policies and procedures and to apply recent developments in the child protection and legal fields was a facilitating force. On the other hand, the lack of understanding of each agency's specific constraints and sometimes competing goals was a force restraining the teams from implementing change. Therefore, discussions among the Program Teams centered around clarifying the goals of participating agencies and increasing understanding among team members.

The use of the field approach to identify facilitating and restraining forces for change is continual. Program Team members were trained in this approach at a cluster conference midway through Year 2 of the project, after it had been used as the basis for the change process in Year 1. The model is helpful for organizing information and providing a structure for ongoing planning activities.

A more specific description of the intervention strategy as it was applied in this project is provided in Chapter 2.

Research Methods

Case Sampling

In order to compare case processing before and after the introduction of innovative strategies, the research plan called for gathering data on two samples of child victims:

- a baseline or "retrospective" sample of child victims who entered the system before the new strategies were introduced
- a "prospective" sample of child victims whose cases were initiated after the innovative strategies were put in place

Only child victims whose cases were substantiated by the child protection agency and/or law enforcement agency and referred for prosecution were included in our sample. For both the baseline and prospective samples, we gathered data from existing case files to capture the nature of the case, the way in which it was processed through the system, and the final disposition.

In order to evaluate the impact of case processing on the psychological well-being of child victims, we conducted two interviews with those children in the prospective sample whose parents or guardians consented to participate in this aspect of the study. The first interview occurred shortly after the case was referred for prosecution; the second occurred between seven and nine months later. A battery of instruments was selected to capture the four dimensions of the theoretical model described above: traumatic sexualization, betrayal, powerlessness, and stigmatization.

The Child Victim as Witness (CVAW) database consists of a number of samples and subsamples. The following is meant to describe the major components and how they relate to one another.

Abstraction Samples. As noted earlier, there were two principal sources for data collection: primary data collected through interviews of child victims and their mothers/guardians, and secondary data collected through case record review. At each site, individuals were trained in the use of a project developed Case Record Abstraction Form, a booklet (with supplements) used for encoding case-based materials maintained by the prosecutors' offices, law enforcement agencies, the courts, and child protection agencies. These data were collected on all cases of child sexual abuse referred to the prosecutors' offices and not excluded due to

1. parental or child refusal to consent to participate in the study
2. inability of the parent to understand the consent process
3. inability of the child to understand the interview questions

The abstraction samples, then, are truly population-based data, reflecting *all* eligible cases of child sexual abuse in our participating sites. In keeping with our design, two abstraction samples were collected: a retrospective sample and a prospective sample.

Retrospective Sample. Given the research and demonstration aspects of the CVAW project, it was important to collect baseline information on child sexual abuse cases prior to implementing the technical assistance component. To that end, we included in the sample all cases that were referred to the prosecutors' offices and that met eligibility requirements for project participation during the baseline year. The baseline year extended from July 1, 1986 through June 30, 1987, a time interval near to the project's commencement but not overlapping with it.

The total retrospective sample consisted of 430 cases collected across four sites. While the intent was to abstract information on all eligible cases, whether accepted or declined for prosecution, administrative procedures in two of our sites precluded this; neither Erie nor Ramsey County maintained files on declined cases. This policy was corrected after the project began, but places some limitations on retrospective analyses and comparisons. For example, retrospective comparisons of accepted versus declined cases can only be done in San Diego and Polk Counties. The size of the retrospective sample, broken down by site and acceptance for prosecution, is as follows:

<u>County Site</u>	<u>Prosecution Status</u>		<u>Total</u>
	<u>Accepted</u>	<u>Declined</u>	
Erie County	70	8	78
Polk County	55	52	107
Ramsey County	63	0	63
San Diego County ¹	<u>112</u>	<u>70</u>	<u>182</u>
	300	130	430
	70%	30%	

Prospective Sample. The prospective sample is also population based, comprising all eligible cases referred to the prosecutors' offices once the CVAW project began. Even though the prospective sample to be described here consisted of secondary data collection through the abstraction of case records, this sample was also meant to serve as the recruitment pool (sampling frame) for the interview sample (described in more detail below). As a result, procedures for identifying the prospective sample required extensive negotiations with each site regarding human subjects procedures and review, site staffing, and subcontractual arrangements. Thus, while the original design called for a prospective one-year window that would extend from July 1, 1988 through June 30, 1989, the actual start-up date was dependent upon the satisfactory completion of these negotiations. Slippage in start-up was not great, however, and the prospective windows at each of the four sites were as follows:

<u>County Site</u>	<u>Prospective Window</u>
Erie County	06/01/88 - 05/31/89
Polk County	06/07/88 - 06/06/89
Ramsey County	11/01/88 - 10/31/89
San Diego County	06/14/88 - 06/13/89

Seasonal variation in case dynamics should not affect analyses as a full one-year window was employed at each site.

The size of the prospective sample, broken down by site and acceptance for prosecution is as follows:

¹ As originally designed, and working from the then projected caseloads, a random sample of cases was to be selected from a sampling frame consisting of all logged cases in the event that the total number of such cases exceeded 100, the originally determined cap. The only site to log more than 100 cases was San Diego County, and this was limited to their "accepted" cases, which, during the baseline period, numbered 123. While the site data collector was instructed to take a random sample of size 100, a random sample of 112 was obtained instead.

<u>County Site</u>	<u>Prosecution Status</u>		<u>Total</u>
	<u>Accepted</u>	<u>Declined</u>	
Erie County	79	59	138
Polk County	52	47	99
Ramsey County	101	48	149
San Diego County ²	<u>104</u>	<u>53</u>	<u>157</u>
	336	207	543
	62%	38%	

Interview Sample. In addition to looking at case characteristics and case flow dynamics, the CVAW project was designed to assess the psychological status of children, both at the time that their cases were referred for prosecution, and again nine months later. These assessments were based on a battery of standardized psychological instruments and interviews that were individually administered to participating children and their mothers/guardians.

The prospective abstraction sample just described was originally intended to serve as the sampling frame for the interview sample. An analysis of projected caseloads, coupled with estimated participation rates, suggested that a one-year sampling frame should prove adequate for recruitment of the interview sample. Nevertheless, actual caseloads and willingness to participate in the research lagged behind projections.

Consequently, while the prospective abstraction sample was ascertained during the one-year window as designed, the recruitment period was extended to enhance the size of the interview sample. By extending the recruitment period, renegotiating the time when initial contact could be made at one site, and bolstering our recruitment efforts, we were able to achieve remarkable success in our interview sample. The sampling period, by site, was as follows:

<u>County Site</u>	<u>Sampling Window (Interview Sample)</u>
Erie County	06/01/88 - 12/15/89
Polk County	06/07/88 - 12/15/89
Ramsey County	11/01/88 - 12/15/89
San Diego County	06/14/88 - 12/15/89

As noted in the introduction, each participant was meant to be interviewed on two occasions. Some attrition is inevitable in such longitudinal research; nevertheless, we were exceptionally successful at maintaining the sample over time, realizing a follow-up rate of 88 percent. The size of the interview sample, broken down by site and time of observation, is as follows:

² As noted before, when the number of logged cases in any category exceeded 100, the data collector was instructed to take a simple random sample of approximately 100. During the prospective one-year window, the number of "Accepted" cases in San Diego County numbered 185; the 104 cases included are a simple random sample from the frame.

<u>County Site</u>	<u>Observation</u>	
	t_0	t_1
Erie County	84	79
Polk County	27	24
Ramsey County	54	50
San Diego County	<u>124</u>	<u>101</u>
	289	254
		88%

Relationship Among the Samples. Schematically, the relationship among the various samples is depicted in Figure 1 below.

Clearly, there is no overlap between the retrospective and prospective samples, as they were drawn from distinctly separate sampling windows. The prospective samples, on the other hand, may require some explanation. The prospective abstraction sample comprises the areas labeled 1, 2, and 4, all of which are cases identified during the one-year prospective window which was meant to provide a comparison with the retrospective or baseline data.

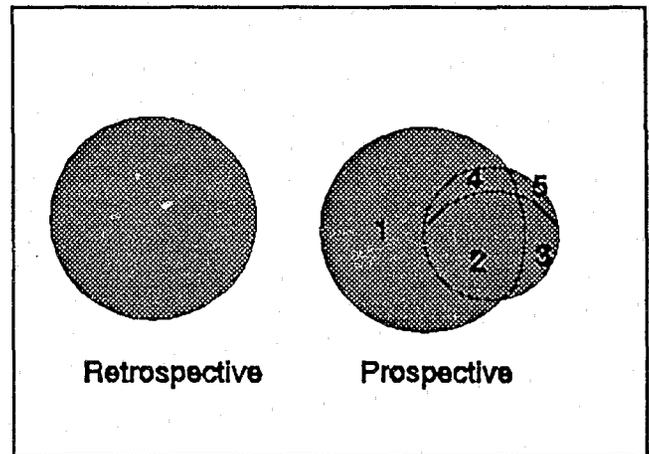


Figure 1. Schematic diagram of CVAW samples.

The interview sample consists of areas 2, 3, 4, and 5. The subset consisting of areas 2 and 3 represent those interview cases that were interviewed twice (at t_0 and t_1), while areas 4 and 5 were cases interviewed at t_0 , but later lost to attrition. Finally, areas 3 and 5 are those interview cases that were recruited beyond the one-year window which constituted the prospective abstraction sample. It should be added that case abstraction data were also collected on all interview cases, regardless of whether the interview cases were identified within the prospective one-year window or afterwards.

Instrumentation

Case Abstraction. In order to identify and track potential cases at each prosecutor's office, the project developed a sampling log. Case abstractors entered information into this log for each sexual abuse case that came to the attention of the prosecutor's office. The sampling log data were used to determine the approximate size of the samples we might expect at each site, and to serve as an initial basis for checking the representativeness of the interview sample from which psychological data were collected.

The project used multiple instrument packages to encode the criminal justice data, all of which were developed by EDC project staff. The basic instrument package included the following:

- Case Tracking Form (for detailed information on victim, perpetrator, and case characteristics and the adjudication process)
- Supplement A (for additional detail on child's experience in investigative interviews)
- Supplement B (for additional detail on the child's experience in court proceedings)
- Supplement C (to clarify or elaborate on a limited number of variables in the Case Tracking Form), such as details surrounding the initial disclosure of abuse and the perpetrator's prior criminal record

These forms were used to gather data on cases where there was one perpetrator and one victim; different packages were assembled to abstract data on cases involving multiple victims and/or perpetrators. (Please refer to the Technical Appendix for additional details.)

Child Interviews. As was described earlier, our theoretical framework for this study relied on the "traumagenic dynamics" of child sexual abuse as articulated by Finkelhor and Browne: traumatic sexualization, betrayal, stigmatization, and powerlessness. To measure child outcomes, we selected instruments that would capture these four dimensions. These instruments included the following:

- Child Assessment Schedule, a semi-structured psychiatric interview administered to children in the third grade or higher.
- Child Behavior Checklist-Parent Form, which measures child mental health through parental report for children ages 4-17.
- Peabody Picture Vocabulary Test-Revised, a measure of cognitive functioning in children of all ages.
- Preschool Behavior Checklist, which focuses on behavior problems in young children.
- Child Sexual Behavior Inventory, a parent report of children's sexualization.
- Adolescent Sexuality Inventory, designed by project staff to obtain self-reports of sexual activity and attitudes toward sexuality from older child victims.
- Children's Nowicki-Strickland Internal-External Scales, to assess locus of control.

- Perceived Competence Scale for Children and Pictorial Scale of Perceived Competence, measures of self-concept.
- Intervention Stressors Inventory, a measure developed by project staff to quantify the relative stressfulness of post-disclosure interventions.
- Parental Reaction to Abuse Disclosure Scale, a measure of parental support scored by interviewers based on questions addressed to mothers and children.

All these instruments are described more fully in Chapter 4.

Analysis Plan

The Child Victim as Witness Research and Development Program is the first part of an ongoing research program. The findings presented in this final report represent the first set of analyses to be conducted on this rich and extensive database. In the months to follow, additional analyses will be carried out. These will move beyond initial descriptions of abstraction and interview samples independent of one another and will seek to disentangle the complex relationships that the fully integrated database will reveal.

The analysis plan follows a logical progression. It begins by examining relationships that lie wholly within the criminal justice system. Criminal justice outcomes of interest include variables such as accepted/declined for prosecution, final case disposition, sentencing, and overall indicators of case flow dynamics such as time until final disposition. Criminal justice inputs include case characteristics (e.g., child characteristics, perpetrator characteristics, nature of the offense) and case processing variables (e.g., number of victim interviews, nature of prosecution case, child testimony, use of special child oriented techniques, number of continuances). The initial analyses included in this report seek to identify those factors that differentiate between cases accepted for prosecution and those that were declined.

Next, we examine the psychological data that were gathered from the child interviews. Among the questions to be addressed are: What is the children's initial psychological status at the time of case referral for prosecution? What factors explain variation in initial status? How does children's psychological status change over time? What variables account for observed changes? In this report, we examine psychological status in terms of bivariate relationships, looking at its relationship to a variety of factors one at a time.

Subsequent analyses will be conducted on a fully merged data set that will enable us to examine relationships between the children's psychological status and their experiences in the criminal justice system. These analyses are central to addressing the potentially competing agendas of criminal justice and mental health professionals. Thus, for example, if a variable--such as maternal support for the child--is observed to promote positive psychological outcomes for children, it will be important to determine whether or not this same variable has positive, negative, or neutral impact on criminal justice outcomes. Similarly, if a variable--such as number of investigative interviews--is observed to enhance case outcomes,

it will be important to determine whether this same variable has positive or deleterious effects on children's psychological functioning at follow-up. While the most salutary finding would be identifying factors that are good for children and prosecutors alike, it will be important to assess these relationships directly. These analyses will be critical in communicating the policy implications of our results to both professional audiences.

Additional detail on the research design, instrumentation, and analysis plan can be found in the Technical Appendix and in Chapters 3 (Results of the Case Tracking), 4 (Results of the Child Interview), and 5 (Conclusions and Next Steps).

Finally, we supplemented our extensive quantitative data by gathering qualitative data through periodic personal interviews with key actors in each community, review of written documentation (e.g., new policies, protocols, statutes, etc.), and two mail surveys of child-serving professionals in each of the four counties. Additional detail on this process is provided in Chapter 2, The Intervention Process and Four Case Studies.

CHAPTER TWO

THE INTERVENTION PROCESS AND FOUR CASE STUDIES

CASE STUDY METHODS

The Child Victim as Witness Research and Development Program was originally conceived as an evaluation of specific interventions that were meant to ameliorate the trauma experienced by child sexual abuse victims when their cases entered the adjudication process. Prior to project start-up, however, the Research Team recognized that (1) successful intervention requires ongoing involvement by key members of the host community; and (2) interventions do not operate in isolation, but rather in the context of a dynamic, ever-changing social and political environment. Consequently, staff of the American Prosecutors Research Institute (APRI), National Center for the Prosecution of Child Abuse, designed a strategy to work closely with representatives of key agencies in each of the four communities in assessing local needs, identifying changes in policy or procedure that would address those needs, and implementing the desired changes.

In each of the participating sites, a multidisciplinary Program Team was established, consisting of prosecutors and other court representatives, law enforcement and social services agencies, medical and mental health professionals, and victim advocacy groups. It was the role of the Program Teams to work with APRI staff to look at current policies and practices for prosecuting child sexual abuse cases in their jurisdictions, to identify areas needing improvement, to select prosecutorial strategies for study, and to implement the selected strategies.

Soon after project start-up, members of the Research Team visited each community. These visits were generally structured to begin with a meeting of the full Program Team to introduce the project and its goals. Then we conducted individual interviews with key personnel from the various agencies involved in investigating, prosecuting, and treating child sexual abuse cases. Additional interviews were conducted with personnel who were knowledgeable about their respective agencies' recordkeeping practices and file maintenance. Each visit ended with another meeting of the Program Team, during which we reported our observations, obtained feedback, and began a dialogue surrounding potential interventions that might address perceived problems.

A few months later, selected members of the Program Teams were invited to a "cluster" conference in Baltimore, hosted by APRI and attended by EDC staff. At a minimum, each community sent a prosecutor, law enforcement officer, and representative of the child protection agency. This conference permitted the site representatives to share their problems and concerns about child victims and to contribute to each other's intervention plans. The matrix of intervention techniques in Exhibit 2 (see Chapter 1) was used to structure the Program Teams' deliberations. At the close of this conference, each Program Team had

About halfway through the project period a second cluster conference was held in Leesburg, Virginia. Team representatives presented triumphs and setbacks in their efforts to improve management of child sexual abuse cases and offered each other suggestions and recommendations for ongoing improvements.

APRI staff remained available to the Program Teams for ongoing technical assistance throughout the grant period. The prosecutor members of the teams were contacted periodically to assess their progress and to offer assistance where appropriate. Additional visits were made to address specific problems. For example, APRI staff were invited to lead a workshop on interviewing techniques in San Diego and to participate in a regional conference on videotaping children's interviews in Erie County. On request, APRI staff provided team representatives with helpful documentation, such as case law summaries, sample investigation protocols, and transcripts of expert witness testimony.

To document changes that occurred in the sites, EDC staff visited each site at least once each year to interview key actors in the community about modifications in statutes, policies, and procedures, as well as major events that may have influenced the management of child sexual abuse cases. Finally, two mail surveys were conducted among selected child-serving professionals in each site to gather additional data on perceived strengths and weaknesses of the community's response to child sexual abuse. These surveys were not intended to be rigorous research tools. Rather, the goals were (1) to provide general, subjective information to the Program Teams about perceptions held by their colleagues in the criminal justice and human service fields and (2) to provide a starting point for discussions among team members and with APRI regarding the identification and implementation of new policies or procedures. Thus, we relied on a "convenience" sample, in which Program Team members were asked to distribute the surveys among their staff or a member of the Research Team distributed them during a routine site visit. Consequently, the findings that were reported back to the Program Teams, and the summaries that are reported in this chapter, are meant only to be illustrative of the range of opinions reported at two intervals by certain professionals in each community.

As indicated above, the change process unfolds in an ongoing social and political context. Interventions are not delivered uniformly; rather, they emerge through dialogue and interaction between project staff and the participating communities, drawing upon community strengths, leadership, and opportunities for change. Recognizing the importance of context informs not only the intervention and change process, but the research methodology that runs parallel to it. The qualitative research paradigm embodied in case methodology is uniquely qualified for this purpose. The case study is a mode of inquiry that can capture the complexity of the change process as it develops without resorting to the necessary oversimplification that our more quantitative efforts must rely on. Through site visits and interviews with key informants (and change agents), project staff have been able to gather the information necessary to inform change, to help create a context within which change is possible, to identify facilitators and obstacles to change, and to document the entire process.

This chapter presents case studies of four jurisdictions seeking to bring about improvements in their handling of child sexual abuse cases. They are informative in their own right and also provide a context for understanding the quantitative results that are reported in succeeding chapters.

ORGANIZATION OF THE CASE STUDIES

Case studies of the four participating communities are structured in a parallel fashion. First, certain baseline data are provided to place the community in context: size, caseload, innovative statutes, key agencies, and a brief description of the process for investigating and adjudicating child sexual abuse cases as it existed at project start-up.

The focus of each case study then shifts to the change process, including descriptions of both planned changes as well as other modifications and events that occurred during the study period. Some of these latter changes were already in process at the time of project start-up, others were related to activities and discussions that arose in the context of our study, and still others occurred totally independently of the planned change process. Nonetheless, because the investigation and adjudication of child sexual abuse cases occurs in the context of a constantly changing community, it is important to describe the evolution of each community during the three-year tenure of our project.

Finally, respondents' answers to the surveys of child-serving professionals are discussed, and selected quantitative data on case processing are presented.

ERIE COUNTY (BUFFALO), NEW YORK

BASELINE INFORMATION

Population of County 1,000,000 (1984 est.)
Population of Major City 340,000 (1984 est.)

Caseload

70 cases were accepted for prosecution between July 1, 1986 and June 30, 1987¹

Innovative Statutes

Videotaped testimony in lieu of live testimony for grand jury only
Testimony via closed-circuit television at trial
Courtroom closure during child's testimony
Permission for victim advocate to accompany child victims

Key Agencies

<i>Law Enforcement</i>	Buffalo Police Department Sex Offense Squad (SOS) Erie County Sheriff's Department Family Offense Unit
<i>Child Protection</i>	Child Protective Services Sexual Abuse Unit
<i>Prosecution</i>	Erie County District Attorney's Office CAAR (Comprehensive Assault, Abuse, and Rape) Unit
<i>Victim Assistance</i>	Erie County Crisis Services Hospital response Court accompaniment
<i>Medical Facilities</i>	Erie County Medical Center Buffalo Children's Hospital Child Abuse Task Force
<i>Treatment Resources</i>	Child and Adolescent Psychiatric Services Child and Family Services Erie County Medical Center Catholic Charities
<i>Other</i>	Erie County Task Force on Sexual Abuse in Families (largely composed of treatment providers) Citizen Committee Against Rape and Sexual Assault (dedicated to community education) Coalition Against Domestic Violence (mostly service providers) Coordinating Council on Family Violence (created during our grant period; see below)

¹The Erie County District Attorney's Office did not systematically maintain files on declined cases during our retrospective data collection period.

Case Management at Project Start-up

The two major hospitals in Erie County had arrangements with Crisis Services whereby that agency would be contacted to assist with sexually abused children and their families. A volunteer would arrive at the hospital and provide crisis services as well as referrals to other community agencies. Suspected intrafamilial abuse in New York was reported to the Central Hotline, located in Albany. Extrafamilial cases were reported to police at the victim's direction or the hospital's discretion.

Intrafamilial reports received by the hotline were referred to Child Protective Services (CPS) in the appropriate county. (Extrafamilial cases inappropriately reported to the hotline were referred to the appropriate law enforcement agency.) In Erie County, the majority of cases involved the Buffalo Police Department, with a smaller number falling within the jurisdiction of the Erie County Sheriff's Department and any of the 50+ other municipal police departments.

CPS often attempted to arrange for joint interviews with police, but policy in the Buffalo Police Department required these calls to enter via the 911 system. As a result, uniformed patrol officers responded rather than the more experienced detectives from the Sex Offense Squad (SOS). After this initial interview, the child would then be scheduled to give a full statement to the SOS detective at the police department. There, a children's interviewing room had been established, equipped with anatomically detailed dolls, a one-way mirror, and videotaping capabilities, although the latter had never been used. (Reportedly, efforts to arrange joint interviews between CPS and the sheriff's department were more successful, presumably due to the smaller caseload; CPS relationships with the many smaller departments were quite variable.)

Regardless of which law enforcement agency responded to the case, if the police found probable cause, the child was taken to a city judge, or magistrate, to swear out the warrants required for searches and arrests. All children under the age of 12 were required to satisfy a qualifying examination at this time. Subsequent to arrest, a preliminary hearing was scheduled, at which children were given a competency exam before testifying. Competency exams were also required before children testified at grand jury and, later, at trial.

In the two years preceding project start-up, the prosecutor's office in Erie County had identified child sexual abuse cases as a major priority. A comprehensive assault, child abuse, and rape unit, called CAAR, was created in July 1984, composed of five attorneys selected for their ability to work sensitively with these child victims. Within this unit, vertical prosecution was instituted to ensure that the same prosecutor would handle all criminal proceedings and, whenever possible, coordinate between the family court and the criminal court. All neglect and abuse cases that originated in family court were reviewed by the prosecutor's office to see if criminal charges should be brought. If the case was accepted for prosecution, a volunteer from Crisis Services (but not the hospital volunteer) would accompany the child to the formal court proceedings.

After the initial visit to Buffalo, the following strengths were observed:

- The county had a history of interest and willingness to develop a systematic, coordinated response to child sexual abuse. A report of the County Executive's Task Force, issued in January 1984, resulted in several improvements county-wide--most notably establishment of the CAAR unit.
- Most of the key agencies (Buffalo Police Department, Erie County Sheriff's Department, District Attorney's Office, Children's Hospital) had developed special units to provide special attention to child sexual abuse cases.
- The CAAR Unit prosecuted all cases vertically and actively monitored law enforcement investigations.
- The CAAR Unit monitored Family Court activities involving child sexual abuse victims and had the option of actively intervening in that court, at the judge's discretion. This coordination was facilitated by a paralegal assigned to the unit, who received CPS reports and flagged them for the unit's review.
- Crisis Services provided support and advocacy for victims of extrafamilial abuse.
- CPS referred all cases to law enforcement and to the District Attorney's Office for investigation and prosecution.
- Children's Hospital Emergency Room followed a protocol that included contacting Crisis Services for a victim advocate and examinations by an attending physician on the hospital's Child Abuse Task Force.

Planned Changes

Exhibit E-1 displays the original goals that were identified in April 1988, along with their implementation status as of June 1989 and February 1990.

Shortly after project start-up, the elected district attorney (DA) was named to the federal bench. An interim DA was appointed and later elected. One issue in the campaign was elevating the CAAR Unit to the status of a Bureau, on a par with the other Trial Bureaus in the Office. The Chief of the CAAR Unit/Bureau changed twice during the course of our grant. These changes had important implications for the degree of attention and leadership dedicated to improvements in management of child sexual abuse cases. While there was little concerted activity early in the grant period, by the end of the second year the DA's office had clearly established its leadership in this area.

EXHIBIT E-1

RECOMMENDED INTERVENTIONS AND IMPLEMENTATION STATUS

ERIE COUNTY (BUFFALO), NEW YORK

GOALS	SUGGESTED INTERVENTIONS	STATUS AS OF JUNE 1989	STATUS AS OF FEBRUARY 1990
<i>Expedite Case Processing</i>	Have motions for continuances placed on the record	No action	
	Flag cases on the indictment list submitted to the Administrative Judge	No action	
	Cite research findings when arguing against continuances	No action	
	Work to strengthen existing statute to <i>require</i> expedited scheduling	No action	
<i>Provide People Support</i>	Encourage greater reporting, especially among schools		
	Expand the support services available to child victims	DA's Office and Crisis Services worked on criteria for expanding the role of Crisis Services	As of June 1990, a social worker in the CAAR Unit will provide court accompaniment to child victims
	Formalize the District Attorney's role in Family Court		
<i>Reduce Unnecessary Contact with the System</i>	Reduce the number of interviews with child victims	Key agencies worked to develop internal protocols	Work progressed toward a master protocol governing cross-referrals among all key agencies
	Reduce the number of appearances required of child victims	Police agencies were instructed to consult with the CAAR Unit before making arrests	Use of preliminary hearings was reportedly greatly reduced

GOALS	SUGGESTED INTERVENTIONS	STATUS AS OF JUNE 1989	STATUS AS OF FEBRUARY 1990
<i>Institute Child-Friendly Procedures</i>	Establish a courthouse waiting area		
	Make special efforts to educate judges	Conference (with APRI) was held in November 1987	Conference in October 1989
<i>Enhance Case Development</i>	Work towards a centralized approach among law enforcement agencies	DA provided sample questions to assist with competency exams	
	Clarify the requirement for prosecution of juvenile sex offenders in Family Court	Sheriff's dept. explored potential for assisting smaller departments in these investigations	

Nonetheless, certain goals were not successfully addressed. For example, efforts by the sheriff's department to offer assistance to smaller departments in their investigations of child sexual abuse cases met with little success. The principal reason appeared to be that the smaller departments resented the sheriff intruding on their "turf." Also, goals pertaining to expediting cases were not pursued.

Perhaps the most promising activities, in terms of improving child and case outcomes, that were undertaken during the study period were (1) *initiating cases via grand jury rather than arrest and preliminary hearings*; and (2) *a concerted effort to develop interagency protocols*. The purpose underlying the first objective was to streamline a process that was extremely burdensome for child victims. This process, which was described earlier, required young children to submit to multiple competency examinations, to swear out arrest and search warrants before a city judge, and to testify at both a preliminary hearing and grand jury. Under the new plan, law enforcement officers were instructed to avoid making immediate arrests wherever possible so that children would not have to swear out warrants and prosecutors could prepare cases for presentment to the grand jury.

With regard to protocol development, there was general agreement among the Erie County Program Team that the DA's office should take the lead, and APRI was asked to visit twice to assist in this process. By the time of our final site visit, in February 1990, elaborate charts had been prepared to track victims' routes through the system from various starting points (i.e., hospital, CPS, law enforcement). A core group of team members was meeting regularly to shape the referral protocols and there were plans to present drafts to the child sexual abuse committee of the Coordinating Council on Domestic Violence (see below).

Other Changes That Occurred During the Study Period

Law Enforcement

Roughly one year after project start-up, the Erie County Sheriff's Department received a grant to develop a "Coordinating Council on Family Violence." A committee on child sexual abuse was one of three committees that were established (the others were domestic violence and elder abuse). The council has widespread representation among community agencies and is the only multidisciplinary group to enjoy strong membership among law enforcement. Initially chaired by the pediatrician from Erie County Medical Center, in 1990 the group was co-chaired by the head of the CAAR Unit and the Executive Director of Crisis Services.

Prosecutor

As noted above, the CAAR Unit enhanced its status to a level with other Trial Bureaus during our study period. Under the new CAAR Bureau Chief, the prosecutor's office played a key role in protocol development, shifting the law enforcement response from immediate arrest, and encouraging improved interagency relationships via the Coordinating Council. He

was also heavily involved in the planning process for videotaping young children's statements (see below) and for two judges' conferences. By the end of our study period, it was clear that other Program Team members held his leadership in high regard.

Child Protection

The child protection agency underwent several changes during our study period. At the beginning, there were two units assigned to the investigation of child sexual abuse cases. Later, there was only one, and at another point the special unit was assigned to other maltreatment cases as well. Efforts were underway to develop a case weighting system for purposes of assigning cases in a more equitable way: work on child sexual abuse cases would be weighted more heavily than work on other types of cases. The general impression was one of constant review and flux surrounding the agency's directions and priorities with regard to child sexual abuse reports.

Medical Services

Around the time of project start-up, a new pediatrician joined the staff of Erie County Medical Center and opened a child abuse diagnostic clinic. Formerly with the army, this doctor had considerable experience with multidisciplinary child protection teams and sought to introduce the concept to Erie County. Although many agency representatives welcomed his ideas, others were more cautious. Soon this physician had procured grant funding to explore the use of videotape to preserve young children's statements. By the close of our grant period, he had purchased the requisite equipment, held a conference on the subject of video technology, and initiated "Project C.E.A.S.E." (Comprehensive Evaluation of Abusive Sexual Events). The plan at the time was to pilot the use of videotape with very young children (under age 5) whose cases were unlikely to be pursued in criminal court due to the children's inability to pass the competency exam.

Also early in our project period, Children's Hospital acquired a colposcope.

Victim Services

The role of the Crisis Services Agency in supporting child victims was problematic throughout the grant period. Relations with both the major hospitals were strained. By the time of our final site visit, the Emergency Room director at Children's Hospital had revised the protocol to make referrals to Crisis Services discretionary rather than automatic. Crisis Services seldom responded to the Erie County Medical Center diagnostic clinic, reportedly because the agency's contract with that hospital was limited to services in the emergency room.

The prosecutor's office valued the support provided by Crisis Services in keeping families involved in the criminal justice system. Together, the DA's office and Crisis Services began writing a grant proposal to employ a child victim advocate whose time would be shared by

both agencies. The district attorney, however, argued for a full-time advocate in his office. Two proposals were submitted and both were funded. As a result, there is now a full-time child advocate with the CAAR Bureau and a case management worker at Crisis Services who maintains contact with families in the crucial week following their initial hospital visit.

Results of the County Surveys

A total of 35 people responded to the first survey of child-serving professionals in Erie County. Respondents were evenly divided between the service professions (social workers, educators, and medical/mental health service providers) and criminal justice professions (law enforcement officers, prosecutors, and court personnel). Their demographic characteristics were as follows:

- more than 75 percent were women
- the average age was 36
- 85 percent were white
- 71 percent had at least a college degree (34 percent had advanced degrees)
- 85 percent worked in the public sector

Respondents reported substantial longevity in their work: service professionals had worked an average of eight years in the county (and six with the same agency), while criminal justice professionals had worked an average of 17 years in the county (and 10 with the same agency). They described their work as largely direct service, with sexual abuse cases comprising more than half their personal caseloads. While 23 percent of respondents had one year of experience or less working specifically with child sexual abuse cases, 29 percent had five years or more, and the median years of experience was two and one-half.

Exhibit E-2 displays respondents' opinions on how child sexual abuse cases should be handled. Respondents almost unanimously agreed that

- the level of protection for child sexual abuse victims should be increased
- more perpetrators should be found guilty
- cases should be adjudicated faster

More than 75 percent of respondents also agreed that

- interagency collaboration should increase
- there should be greater sensitivity to child witnesses' needs

The survey asked respondents to rate, on a 5-point scale, the importance and performance of 13 different activities designed to protect child victims during case investigation and prosecution. Exhibit E-3 displays the results.

Exhibit E-2

HANDLING OF CHILD SEXUAL ABUSE CASES

- Should decrease
- ▨ Should remain the same
- ▩ Should increase

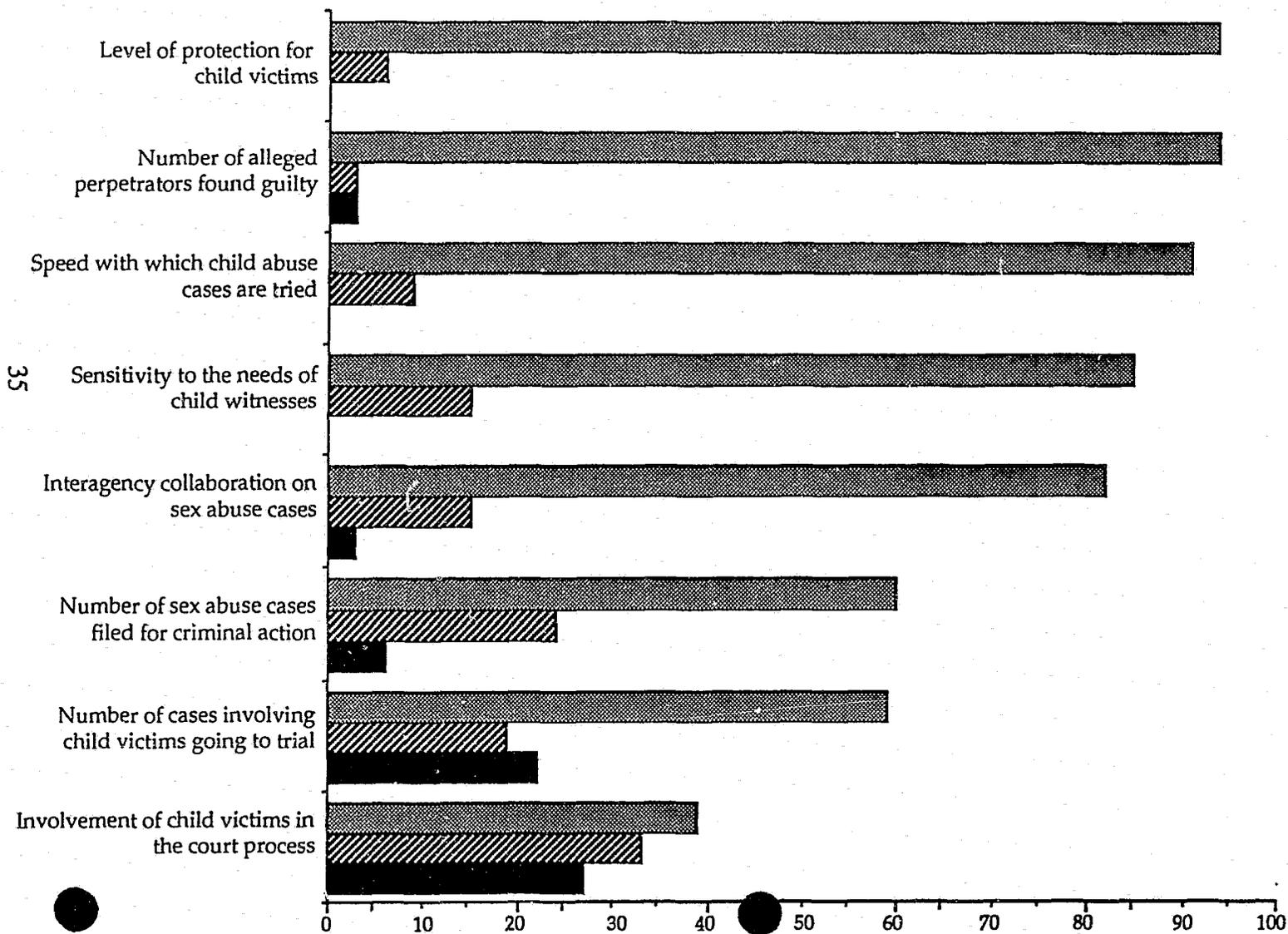
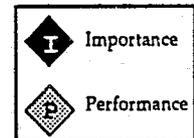
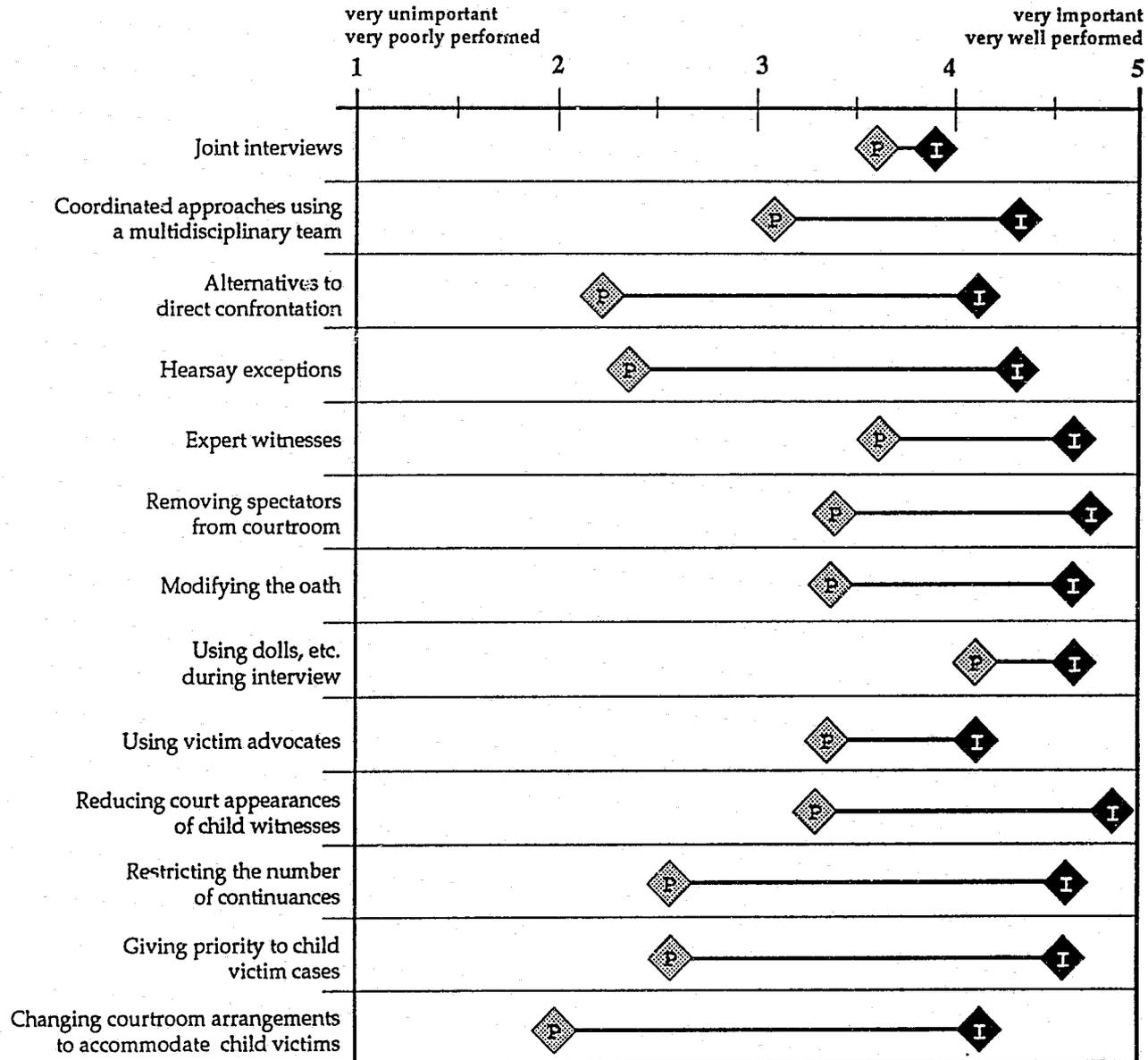


Exhibit E-3

IMPORTANCE AND PERFORMANCE OF ACTIVITIES TO PROTECT CHILDREN



Of most interest in terms of planning for change are those activities that were rated highest in importance but low in performance. The following five activities emerged as most in need of improvement:

- alternatives to confrontation
- use of hearsay exceptions
- restricting the number of continuances
- giving child sexual abuse cases priority on court dockets
- changing courtroom arrangements and procedures to accommodate child victims

The survey also asked respondents to rate 10 groups of agencies with responsibility for child sexual abuse cases on three issues: the amount they had changed in the past year (corresponding roughly to calendar year 1988), the need for change, and willingness to change.

Respondents assigned fairly low ratings (between 2 and 3 on a 5-point scale) to all agencies on the amount they had changed in the past year. As shown on Exhibit E-4, they also believed that virtually all agencies needed substantial change. Those agencies perceived as needing the most change, while at the same time appearing least willing to change, were the courts, the school system, mental health providers, and medical service providers in the private sector.

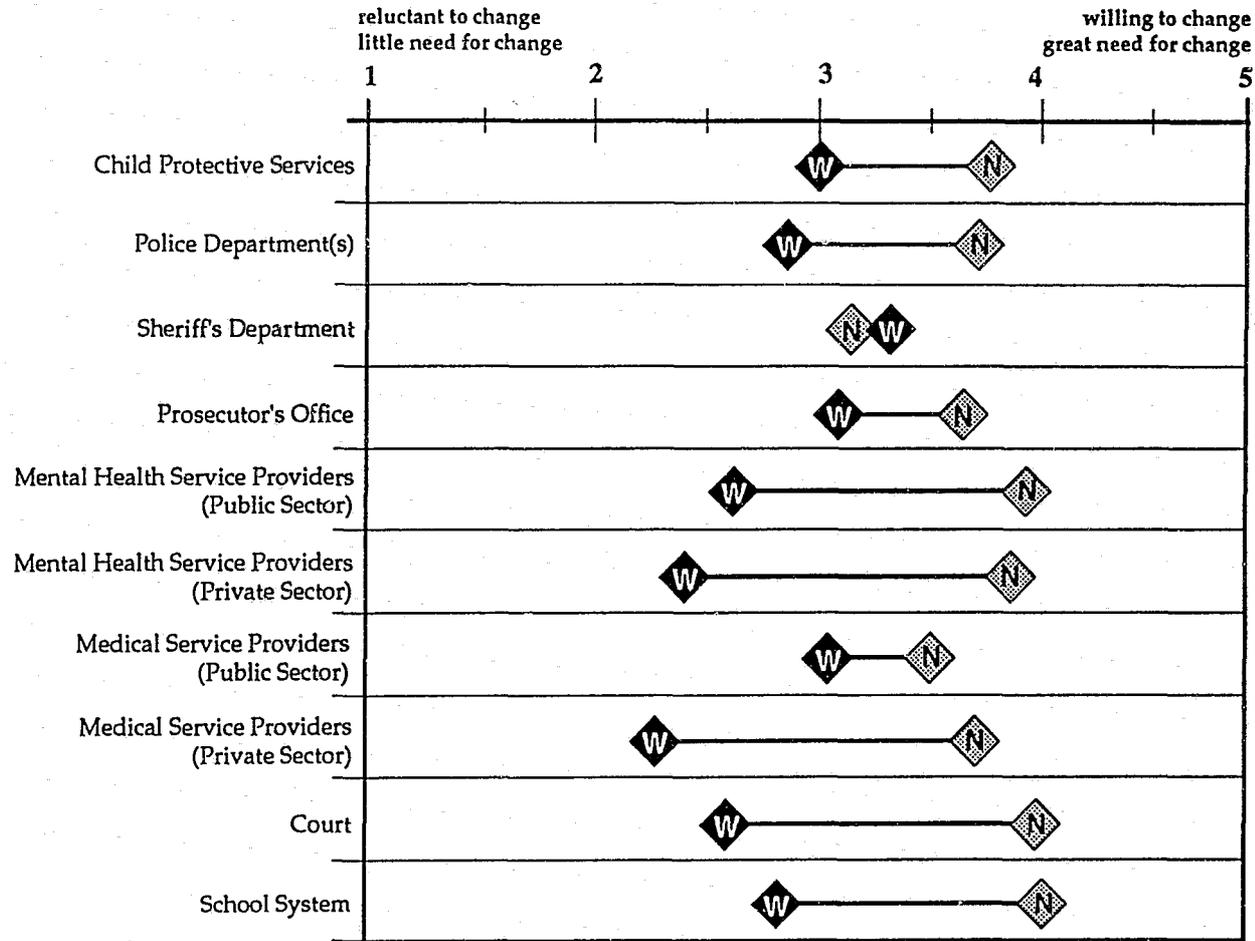
These findings were returned to the community in a brief report that was intended to inform their ongoing efforts to improve the investigation and prosecution of child sexual abuse cases.

One year later, we conducted a follow-up survey, using a similar (but shorter) instrument. A total of 11 people responded, seven from criminal justice professions and four from service professions. Their demographic and background characteristics were as follows:

- 64 percent were men
- the average age was 36 years
- 82 percent were white; 18 percent were minorities
- 91 percent had a college degree, with 64 percent also holding a graduate degree
- on average, 66 percent of their time was spent in direct service
- an average of 50 percent of their casework was related to sexual abuse
- respondents had worked in Erie County for approximately eight years, seven years with their current agency, and four and one-half years on sexual abuse cases (on average)

Exhibit E-4

AGENCIES' NEED AND WILLINGNESS TO CHANGE



 Willingness to change
 Need for change

Of the 13 activities that respondents were asked to consider (see Exhibit E-3), the following four activities emerged as most in need of improvement:

- giving priority to cases involving child victims on court dockets
- restricting the number of continuances
- changing courtroom arrangements and procedures to accommodate the needs of child victims
- using special exceptions to hearsay

All four of these activities had been identified as most in need of improvement in the first survey, suggesting that these respondents observed little change.

Respondents also assigned average ratings (averaging 3.5 on a 5-point scale) to the 10 agencies listed in Exhibit E-4 on the amount they had changed in the past year. One agency, the prosecutor's office, was rated a 4.0, slightly higher than the others. The respondents indicated that there was room for improvement among all agencies (average rating of 3.5), with a particular need for improvement in the courts and in the school system. The courts and the schools were also identified as the two agencies that appeared least willing to change. These findings did not change from the first survey.

One encouraging difference was observed in the amount that community agencies were judged to have changed in the preceding year. The average rating (on a 5-point scale) for the 10 agencies had been between 2 and 3 on the first survey; one year later, the ratings averaged 3.5. It is likely, of course, that the 11 individuals who completed the survey were also those most involved in the community's efforts to develop protocols and other improvements in case management.

Summary of Case Processing During the Study Period

To summarize, Erie County underwent significant change during our study period. At project start-up, there was no organized effort to assess and improve the community's response to child sexual abuse, and the prosecutor's office, in particular, had been erratic in assuming a leadership role. Shortly after the project began, new personalities entered the picture, largely with positive results. The prosecutor's office clearly began to provide the leadership this community needed. At about the same time, a new physician joined the team with innovative ideas and successfully obtained funds to implement them. While some members of the team were slow to accept the shifts in leadership, overall the community appeared to have coalesced behind the new "regime." One serious problem that was not addressed by the Program Team, but which has important implications for children's progress through the criminal justice system, is a severe shortage of treatment resources in the community.

Exhibit E-5 displays selected caseflow statistics for cases that were referred for prosecution during our prospective study period.

EXHIBIT E-5

SELECTED CASEFLOW STATISTICS FOR SINGLE VICTIM/SINGLE
PERPETRATOR CASES IN THE PROSPECTIVE ABSTRACTION SAMPLE

Referrals

Number of cases referred for prosecution	138
Number of cases accepted for prosecution	79

Acceptance rate: 57.2%

Outcomes of prosecution

Dismissals	8 (13%)
Acquittals	4 (7%)
Guilty pleas	36 (60%)
Convictions at trial	6 (10%)
Cases pending or unknown	3 (5%)
Other outcomes	3 (5%)

Conviction rate: 78%

Sentencing Outcomes (non-exclusive categories)

Number of sentences imposed	38
<i>Institutional Sentences</i>	
Incarceration	19 (50%)
<i>Non-Institutional Sentences</i>	
Probation	18 (47%)
Sex offender treatment program	5 (13%)
Restitution	1 (3%)
Community service	2 (5%)
Fine	14 (37%)
<i>Other Sentencing Options</i>	
No contact with child victim	1 (3%)
No contact with any minors	1 (3%)

Incarceration rate: 50%

POLK COUNTY (DES MOINES), IOWA

BASELINE INFORMATION

Population of County 300,000 (1984 est.)
Population of Major City 200,000 (1984 est.)

Caseload

107 cases were referred for prosecution between July 1, 1986 and June 30, 1987

Innovative Statutes

Priority docket status
Alternatives to direct confrontation
Presumption of competency
Appointment of guardians ad litem in criminal proceedings

Key Agencies

<i>Law Enforcement</i>	Des Moines Police Department Sex Abuse Unit Vice and Narcotics (pedophiles)
	Polk County Sheriff's Department
<i>Child Protection</i>	Department of Human Services Child Protection-Investigation Child Protection-Treatment
<i>Prosecution</i>	Polk County Attorney's Office
<i>Victim Assistance</i>	Victim Services Agency (within Polk County Social Services)
<i>Medical Facilities</i>	Broadlawns Medical Center (until late 1989) B-Safe Clinic (since late 1989), affiliated with Methodist Hospital
<i>Treatment Resources</i>	Sands Treatment Center (for families and children older than nine) Child Guidance Center (for children younger than nine)
<i>Guardians ad Litem</i>	Office of the Juvenile Citizen Advocate (public defender) Youth Law Center
<i>Other</i>	IntraFamily Sexual Abuse Program (IFSAP), a pretrial diversion program overseen by a multidisciplinary team

Case Management at Project Start-up

The management of child sexual abuse cases in Polk County follows the guiding principles of IFSAP--the IntraFamily Sexual Abuse Program, a pretrial diversion program modeled after the pioneering Child Sexual Abuse Treatment Program in Santa Clara County, California. Since 1980, referral to IFSAP has been the alternative of choice for most first time intrafamilial offenders with single victims. The IFSAP coordinator is organizationally located within Polk County Victim Services Agency. An integral component of IFSAP is the multidisciplinary case review team that meets weekly to review new referrals and the status of ongoing cases. Participating agencies include child protective services, law enforcement, the county attorney's office, juvenile court, victim services, and treatment centers.

Historically, eligibility requirements for IFSAP included no prior arrests for sexual abuse, no history of violence or legal unreliability, and an admission of guilt. All perpetrators spent at least one night in jail. In the morning, the IFSAP coordinator met with them at the jail to assess their eligibility for, and interest in, the pretrial diversion program. Once accepted, an offender agreed to abide by a no-contact order and cooperate with treatment; compliance was monitored by juvenile court with the assistance of the treatment providers and the IFSAP Team. In return, the County Attorney's Office accepted a guilty plea to a reduced (misdemeanor) charge at the completion of treatment, approximately 18 months later. If the offender failed in the program, the case was returned to the County Attorney's Office for standard prosecution. (Program failures were reportedly quite rare.)

Medical examinations of child victims were generally conducted at Broadlawns Medical Center, a county hospital, which housed a special diagnostic clinic for child sexual abuse cases. Clinic staff routinely contacted Victim Services so that an advocate could accompany the child during the exam and throughout any subsequent court proceedings. Additional victim support was available through the appointment of a guardian ad litem pursuant to Iowa law. (Guardians ad litem were generally attorneys, although not required by Iowa law.) Investigative interviews with child victims were kept to a minimum by encouraging joint interviews by law enforcement and Child Protection-Investigation, by frequent use of videotape to preserve children's statements, and by the team review at weekly IFSAP meetings.

Cases of child sexual abuse that were not intrafamilial, did not involve a caretaker, or were otherwise not eligible for IFSAP, were referred by a juvenile court prosecutor for criminal prosecution. Procedure in Polk County required neither preliminary hearings nor grand jury, but child victims were typically required to submit to depositions. Defendants were usually present, in full view of the victims, and the proceedings were routinely audiotaped (but not videotaped).

After the initial visit to Des Moines, the following strengths were observed:

- There was a high degree of commitment to the IFSAP approach.

- Iowa enjoyed an unusually child-centered legal environment, as evidenced in the range of statutory reforms listed above.
- A number of innovative techniques were already in place: joint interviews between police and social workers, videotaping the child's first statement, use of anatomical dolls, appointment of guardians ad litem.
- Juvenile and criminal court proceedings were coordinated through the screening function of the juvenile court prosecutor.
- All key agencies accorded special priority to child sexual abuse cases (some had special units) and most appeared to have adequate resources.
- A wide range of treatment resources was available for victims, offenders, and family members.

Planned Changes

Interviews with, and discussions among, agency representatives during the Phase I site visits and cluster conference suggested a number of areas needing change. These became the focus of our intervention strategy. Exhibit P-1 displays the original goals that were identified in April 1988, along with their implementation status as of June 1989 and August 1990.

Some of the selected interventions were not successfully implemented during the study period. For example, the Supreme Court decision in *Coy v. Iowa* in June 1988 had a decidedly chilling effect on the use of alternatives to confrontation for child witnesses. The Program Team abandoned its efforts to institute videotaping of depositions for potential use at trial in lieu of live testimony. Also, appointments of guardians ad litem were somewhat improved, but contractual disagreements between the courts and the Youth Law Center had the effect of precluding that agency from providing attorneys to fill the GAL role in criminal cases.

Perhaps the one intervention with the most potential for improving child and case outcomes was the *incorporation of extrafamilial cases into the weekly multidisciplinary team meetings*, which formerly had focused exclusively on intrafamilial cases and the IFSAP program. This change in procedure helped to mobilize the team's attention on unmet needs of this victim group and to ensure that these cases did not fall through the cracks in a community with an established approach to dealing with incestuous families.

EXHIBIT P-1

RECOMMENDED INTERVENTIONS AND IMPLEMENTATION STATUS

POLK COUNTY (DES MOINES), IOWA

GOALS	SUGGESTED INTERVENTIONS	STATUS AS OF JUNE 1989	STATUS AS OF AUGUST 1990
<i>Expedite Case Processing</i>	Prioritize cases on court dockets	Recognition of need by county attorney and judges	Policy is to resist continuances
	Oppose unwarranted requests for continuances	Aggressive objections by county attorneys	
	Expedite juvenile court proceedings	One county attorney was designated	
<i>Provide People Support</i>	Routinize assignment of guardians ad litem	Flagging procedures were identified	Continuing efforts to ensure supportive representation
	Provide training for guardians ad litem	county attorney's office participates in training	A training videotape was prepared by Victim Services and the Youth Law Center
	Increase services to victims in nonfamily cases	A new multi-disciplinary team was created to review these cases	The new team was merged with the pre-existing IFSAP team
	Expand focus on special subpopulations of victims	Subcommittees of the Program Team were established	No action
<i>Reduce Unnecessary Contact with the System</i>	Videotape depositions for possible use at trial	Abandoned after Supreme Court opinion in <u>Coy v. Iowa</u>	

GOALS	SUGGESTED INTERVENTIONS	STATUS AS OF JUNE 1989	STATUS AS OF AUGUST 1990
<i>Institute Child-Friendly Procedures</i>	Locate a neutral place for videotaping interviews	Interviews are videotaped at the police department's child interview room	
	Establish a courthouse waiting area	Need funds	Need to free up space in the courthouse
	Modify the courtroom to minimize confrontation	Need funds	No action
<i>Enhance Case Development</i>	Increase public awareness	Created a public awareness subcommittee of the Program Team	No action
	Continue efforts to enact a special hearsay exception	No action	No action

Other Changes That Occurred During the Study Period

Law Enforcement

During the course of the study, Des Moines Police Department expanded its Sex Abuse Unit and opened a child interviewing room. It also limited videotaping to selected "difficult" cases (especially younger children); the reasoning was that these videotapes could help prosecutors in their charging decisions.

Prosecutor

In September 1988, the County Attorney's Office began referring child sexual abuse cases to an "external" attorney for review and filing decisions. Evidently this action was taken in an effort to improve conviction rates by applying more stringent and consistent screening criteria. The screening attorney had been the original IFSAP prosecutor and later served as a guardian ad litem in her private practice. By her own report, she did indeed tighten acceptance criteria (e.g., by looking for multiple victims or other eyewitnesses). She also met with most victims before reaching a filing decision. Accepted cases generally were assigned to the special trial attorney who handled most child sexual abuse cases.

Medical Services

The physician who staffed the child abuse diagnostic clinic moved from Broadlawns Medical Center (a county facility) to Methodist Hospital (a private facility) late in 1989. There were at least two problems associated with this move:

- Payment for the exam. For a while, families were being billed even though under Iowa law, the state pays for rape exams. This issue was reportedly resolved.
- Coordination with Victim Services and Child Protection-Investigation. Hospital administrators apparently developed procedures for referring cases to the mandated agencies without consulting the IFSAP Team. As a result, there were inconsistencies in the hospital's contacts with Victim Services as well as permission for victim advocates or social workers to accompany children during the exams.

On the plus side, because the new clinic was open during normal business hours (at Broadlawns it was available only a few hours each week), exams were completed more quickly. Also, a form was prepared to indicate a normal exam; where there were findings, the doctor dictated a detailed memo. The team found this helpful in understanding the results of the medical exam. And, by early 1990, a physician's assistant from the new clinic had begun to attend IFSAP meetings.

Guardians ad Litem

As noted above, procedures were instituted to flag cases requiring appointment of a GAL, and reportedly the appointments did become more regular as a result. The source of these appointments remained a problem, however. Because the Youth Law Center was essentially excluded from GAL appointments in criminal court, most GALs were appointed from the Office of the Juvenile Citizen Advocate (a public defender agency) or from a standing list of private attorneys who provide defense representation. Many of these individuals were thought to have little empathy for child victims, and so the County Attorney's Office attempted to work with the court clerk to identify attorneys who were perceived as supportive.

The IFSAP Program

There were at least two changes of interest within the IFSAP Program. First, it tightened its recruitment procedures. Formerly, the IFSAP coordinator went to the jail to encourage appropriate defendants to apply for the program. As of the end of 1989, eligibility for IFSAP was first assessed by the screening attorney. If she believed the defendant to be a potential candidate, she would send him an application package, leaving it to *his* discretion to apply via his defense attorney.

Second, Sands Treatment Center instituted a new six-week program of psychological testing and evaluation for first offenders who denied the abuse and therefore were ineligible for IFSAP. If they persisted in denying after the six-week program, conventional prosecution was initiated.

Other Pertinent Events

In November 1988, the Governor's Office commissioned a coalition of national experts to examine the Iowa Department of Human Services. This study followed a highly publicized case involving a child's death and exposure of a particularly complicated foster care case on *60 Minutes*. The resulting report, known as the Kempe Report, was completed by January 1, 1989. Also, at about the same time, a "FOCUS" committee was established in response to media reports lambasting a DHS policy that allowed child protection workers to visually examine children for bruises. This report, released in December 1988, contained nine recommendations for legislative changes.

The Kempe Report contained two recommendations of great concern to people in Polk County:

- Juvenile court officers should no longer file petitions in dependency cases, nor should they be involved in supervising the families. These tasks should rest exclusively with DHS.

- The County Attorney's Office should not prosecute dependency cases. An apparent conflict of interest was observed: attorneys who are trained to prosecute criminals cannot also protect children. The Kempe Report recommended having the Attorney General's Office prosecute dependency cases; DHS should have its own attorneys for internal legal support.

By the end of the study period, neither the Kempe Report nor the FOCUS report had resulted in any sweeping changes.

Results of the County Surveys

A total of 30 people responded to the first survey of child-serving professionals in Polk County. Respondents were about evenly divided between service professionals (social workers, educators, and medical/mental health service providers) and criminal justice professionals (law enforcement officers and prosecutors).

Demographic and background characteristics were as follows:

- 69 percent were women
- the average age was 37
- all were white
- 90 percent had at least a college degree; 40 percent had advanced degrees
- 87 percent worked in the public sector
- about 50 percent of their time, on average, was spent in direct service
- an average of 44 percent of their caseload concerned sexual abuse
- respondents had worked a median of seven years for Polk County, four and one-half years with the current agency, and four years on sexual abuse cases

Exhibit P-2 displays respondents' opinions on how child sexual abuse cases should be handled. Large majorities of respondents agreed that

- cases should be adjudicated faster (93 percent)
- more perpetrators should be found guilty (90 percent)
- the number of sex abuse cases filed for criminal action should be increased (87 percent)
- there should be greater sensitivity to child witnesses' needs (83 percent)

The survey asked respondents to rate, on a 5-point scale, the importance and performance of 13 different activities designed to protect child victims during case investigation and prosecution. Exhibit P-3 displays the results.

Exhibit P-2

HANDLING OF CHILD SEXUAL ABUSE CASES

■ Should decrease
 ▨ Should remain the same
 ▩ Should increase

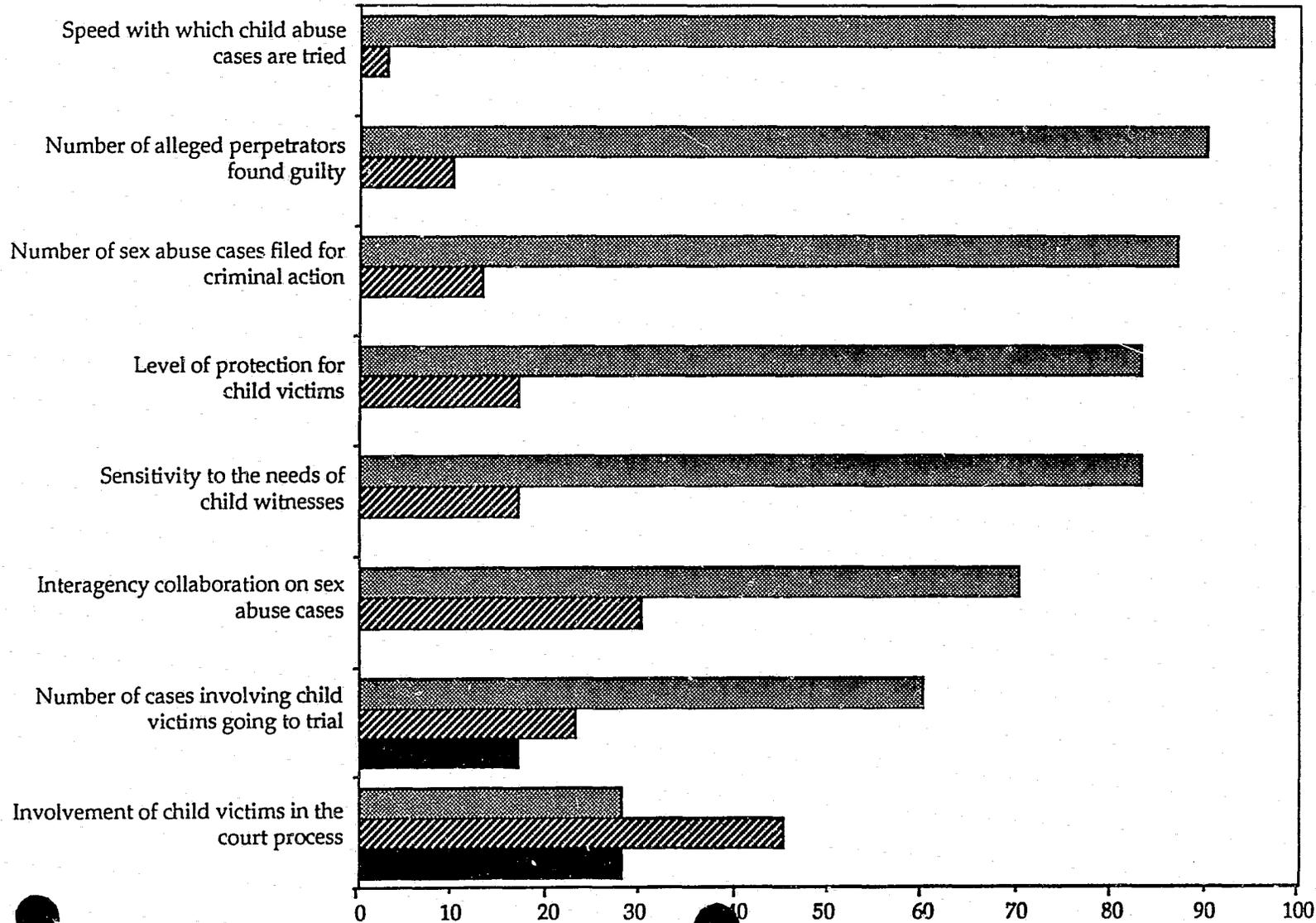
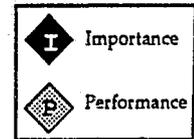
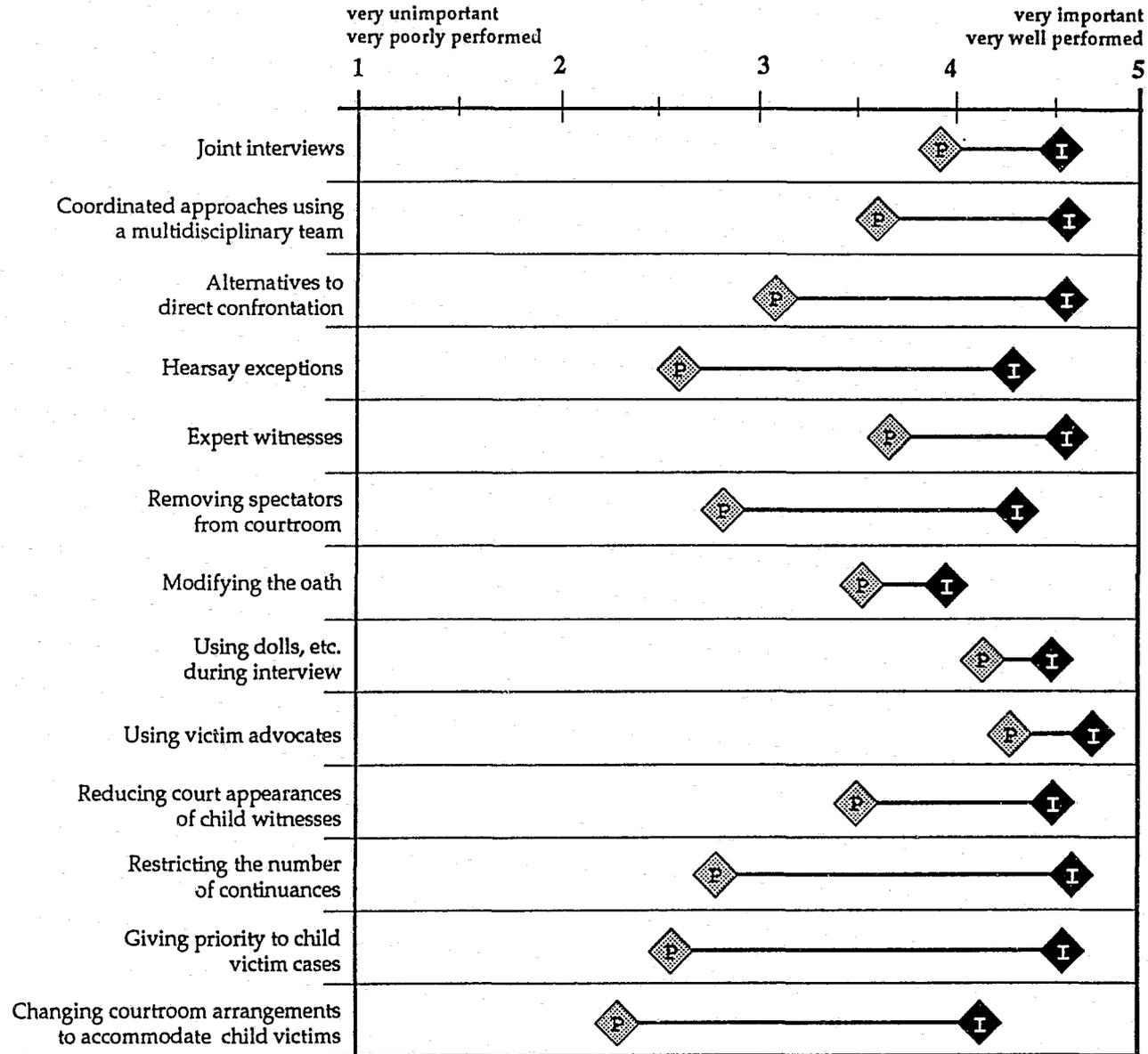


Exhibit P-3

IMPORTANCE AND PERFORMANCE OF ACTIVITIES TO PROTECT CHILDREN



Almost all the activities were considered highly important. A number were considered fairly well performed, especially use of dolls and other interviewing aids and use of victim advocates.

Of most interest in terms of planning for change are those activities that were rated highest in importance but low in performance. The following six activities emerged as most in need of improvement:

- giving child sexual abuse cases priority on court dockets
- changing courtroom arrangements and procedures to accommodate child victims
- restricting the number of continuances
- use of hearsay exceptions
- removing spectators during testimony of child witnesses
- alternatives to confrontation

The survey also asked respondents to rate 10 groups of agencies with responsibility for child sexual abuse cases on three issues: the amount they had changed in the past year (corresponding roughly to calendar year 1988), the need for change, and willingness to change.

Respondents assigned fairly low ratings (between 2 and 3 on a 5-point scale) to all agencies on the amount they had changed in the past year, except that the prosecutor's office received a moderate rating. As shown on Exhibit P-4, they believed that virtually all agencies needed a moderate amount of change, but also that most agencies were moderately willing to change. Although no gap between need for change and willingness to change was substantial, those agencies in which there was the greatest gap were the courts, the police, and child protective services.

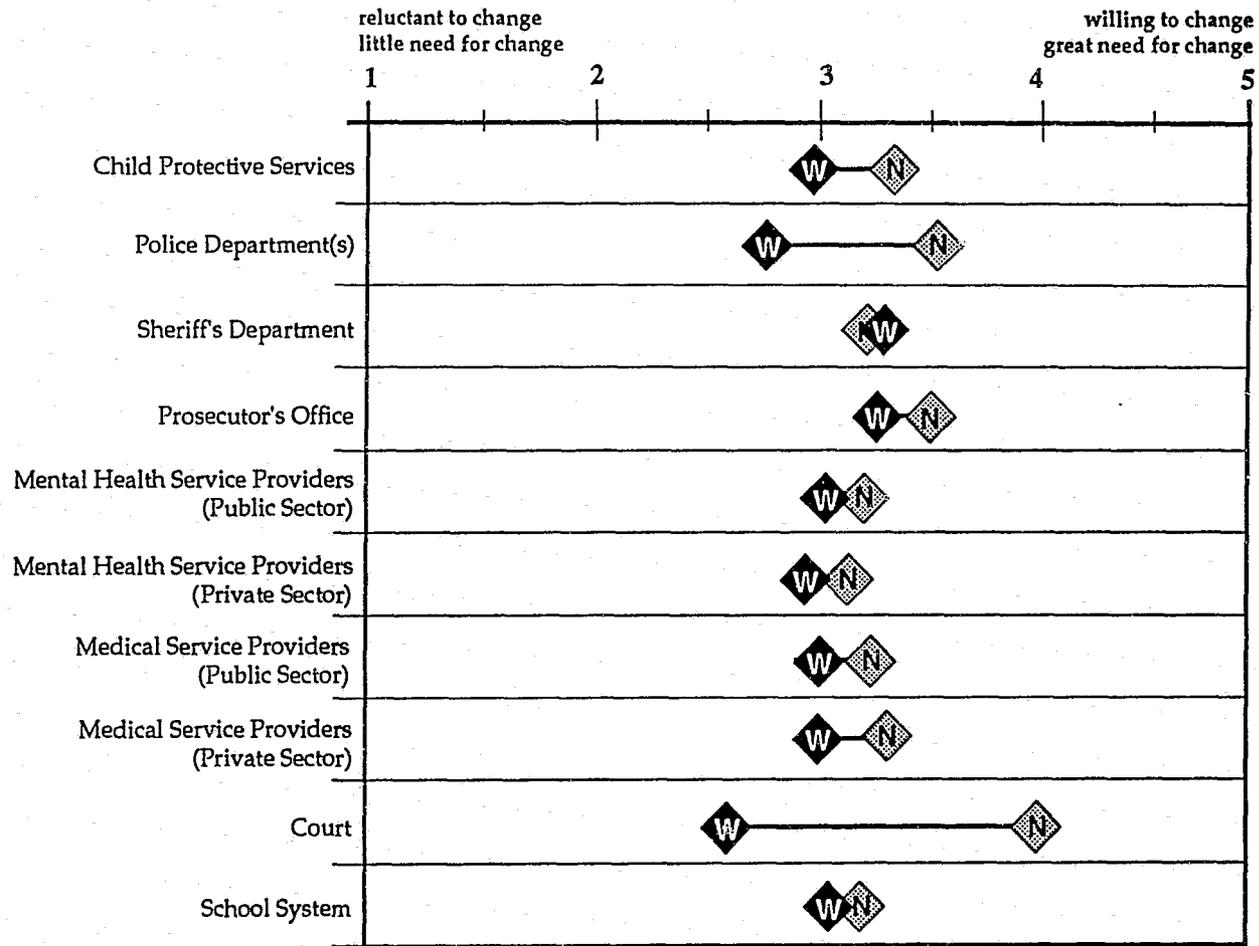
These findings were returned to the community in a brief report that was intended to inform their ongoing efforts to improve the investigation and prosecution of child sexual abuse cases.

One year later, we conducted a follow-up survey, using a similar (but shorter) instrument. A total of 14 people responded, five from criminal justice professions and nine from service professions. Their demographic and background characteristics were as follows:

- 79 percent were women
- the average age was 42 years
- all of the respondents were white
- all had college degrees (including associates' degrees); 43 percent held graduate degrees
- on average, 75 percent of their time was spend in direct service
- an average of 63 percent of their casework was related to sexual abuse

Exhibit P-4

AGENCIES' NEED AND WILLINGNESS TO CHANGE



52

 Willingness to change
 Need for change

- respondents had worked in Polk County for approximately 10 years, six years with their current agency, and five years on sexual abuse cases

Of the 13 activities that respondents were asked to consider (see Exhibit P-3), the following five activities emerged as most in need of improvement:

- changing courtroom arrangements and procedures to accommodate the needs of child victims
- alternatives to direct confrontation between child witnesses and defendants
- removing spectators from courtroom during testimony by child witnesses
- restricting the number of continuances in cases involving child victims
- giving priority to cases involving child victims on court dockets

All five of these activities had been identified as most in need of improvement in the first survey, suggesting little change.

Respondents also assigned average ratings (averaging 3.2 on a 5-point scale) to the 10 agencies listed in Exhibit P-4 on the amount they had changed in the past year. One agency, the police department, was rated a 4.0, slightly higher than the others. The respondents indicated that there was room for improvement among all agencies (average rating of 3.8), with a particular need for improvement in the prosecutor's office and the courts. The prosecutor's office and the courts were also identified as the two agencies that appeared least willing to change.

These findings suggest that respondents observed noticeable improvement within the police department, which had been identified in the first survey as one of three agencies with the largest gaps between need to change and willingness to change. The prosecutor's office emerged more strongly in the second survey as an agency in need of improvement. Indeed, several child-serving professionals expressed a certain loss of confidence in the prosecutor's office in personal interviews during our site visits. This feeling appeared to stem from a series of acquittals in child sexual abuse cases, along with some political turmoil within the prosecutor's office (unrelated to child sexual abuse), at the time of the second survey.

One encouraging difference was observed in the amount that community agencies were judged to have changed in the preceding year. The average rating (on a 5-point scale) for the 10 agencies had been between 2 and 3 on the first survey; one year later, the ratings averaged 3.2. It is likely, of course, that the 14 individuals who completed the second survey were also those most involved in the community's efforts to improve case management.

Summary of Case Processing During the Study Period

In sum, Polk County emerged as a community in transition during the course of our project. There was a long history with the IFSAP diversion program, with a wide range of resources to assist primarily intrafamilial victims and their families. At the same time, there were efforts to strengthen prosecution by instituting a special screening attorney and tightening eligibility for the IFSAP program. Long-standing procedures within the child protection agency and the juvenile court were challenged by a critical report from an external review group. A comfortable relationship that had existed between the examining physician and the Victim Services Agency was shaken when the physician changed her hospital affiliation. And the Supreme Court's decision in Coy v. Iowa caused prosecutors to reconsider the availability of mechanisms to shield child victims from defendants during trial testimony. Nonetheless, the IFSAP team, with its purview expanded to embrace victims of extrafamilial abuse, continued to meet weekly to review cases and to grapple with these issues and pressures. The longevity of this team, and the community's faith in its approach to case management, attest strongly to Polk County's ability to resolve difficult problems and continue to improve the system's response to child sexual abuse cases.

Exhibit P-5 displays selected caseflow statistics for cases that were referred for prosecution during our prospective study period.

EXHIBIT P-5

SELECTED CASEFLOW STATISTICS FOR SINGLE VICTIM/SINGLE PERPETRATOR CASES
IN THE PROSPECTIVE ABSTRACTION SAMPLE

Referrals

Number of cases referred for prosecution	99
Number of cases accepted for prosecution	52

Acceptance rate: 52.5%

Outcomes of Prosecution

Dismissals	5 (11%)
Acquittals	3 (7%)
Guilty pleas	29 (64%)
Convictions at trial	4 (9%)
Cases pending or unknown	4 (9%)
Other outcomes	0

Conviction rate: 81%

Sentencing Outcomes (non-exclusive categories)

Number of sentences imposed	29
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Institutional Sentences

Incarceration	14 (48%)
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Non-Institutional Sentences

Probation	10 (34%)
Suspended sentence	9 (31%)
Sex offender treatment program	5 (17%)
Restitution	21 (72%)
Community service	5 (17%)
Fine	2 (7%)

Other Sentencing Options

No contact with child victim	2 (7%)
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Incarceration rate: 48%

RAMSEY COUNTY (ST. PAUL), MINNESOTA

BASELINE INFORMATION

Population of County 460,000 (1984 est.)
Population of Major City 266,000 (1984 est.)

Caseload

63 cases were accepted for prosecution between July 1, 1986 and June 30, 1987²

Innovative Statutes

Special hearsay exception for child sexual abuse victims
Exclusion of spectators during child victims' testimony
Joint interviews by law enforcement and child protection
Trial testimony via videotape or closed circuit television
Docket priority over all cases except those in which the defendant is in custody

Key Agencies

<i>Law Enforcement</i>	St. Paul Police Department Sex Offense Unit Ramsey County Sheriff's Department
<i>Child Protection</i>	Community Human Services
<i>Prosecution</i>	Ramsey County Attorney's Office
<i>Victim Assistance</i>	Victim Witness Unit (within the County Attorney's Office)
<i>Medical Facilities</i>	Midwest Children's Resource Center (MCRC) St. Paul Ramsey Hospital
<i>Treatment Resources</i>	Wilder Child Guidance Clinic Ramsey County Mental Health Services Midwest Children's Resource Center
<i>Other</i>	Child Abuse Team Ramsey County Council on Abuse

²The Ramsey County Attorney's Office did not systematically maintain files on declined cases during our retrospective data-collection period.

Case Management at Project Start-up

Ramsey County (St. Paul) was identified as a possible site for this project by APRI staff as an outgrowth of their prior work with that community. The County Executive's Office had commissioned APRI to facilitate efforts to revitalize the Child Abuse Team and to overcome some tensions among the various participating agencies. As a result, some of the baseline information described below was gathered from APRI's work with the Child Abuse Team prior to Ramsey County's involvement with this project.

Under Minnesota law, reports of suspected child abuse or neglect could be filed either with child protection or law enforcement agencies. Those agencies, in turn, were responsible for notifying each other by telephone within 24 hours, to be followed up in writing. However, the child protection agency, Community Human Services (CHS), was not authorized to take emergency custody of children at risk; this action required police intervention. In practice, most cases were reported first to CHS and that agency would determine whether police intervention was warranted.

Generally, children who were seen first by CHS workers were referred to Midwest Children's Resource Center (MCRC) for a medical examination. There, the principal pediatrician, who enjoys a national reputation for her pioneering techniques, not only conducted a complete physical examination but also an intensive interview with the child which she routinely videotaped. Conversely, children whose cases were reported first to St. Paul Police Department were taken to St. Paul/Ramsey Hospital Emergency Room for their examinations. Investigative interviews with the children were conducted solely by police officers and not videotaped. (Procedures used by other law enforcement agencies in the County varied with regard to referrals to MCRC and use of videotape.)

The Child Abuse Team, an interagency group of 20 years' standing, was available for staffing of difficult cases. Sometimes this team assisted in decisions to refer cases for prosecution, but more often cases were referred to the County Attorney's Office directly by CHS or law enforcement agencies. At the time of project start-up, the team had been staffing fewer and fewer cases and had enlisted APRI to help revitalize its efforts.

The County Attorney's Office had a special unit to prosecute intrafamilial abuse cases and a Victim/Witness Unit to notify families of court proceedings and prepare them for subsequent interviews or appearances. Criminal procedures in Minnesota allowed for cases to be initiated via prosecutor complaint; there was no preliminary hearing or grand jury that required the child's testimony. For most child victims, the only time they testified was at trial.

After APRI's initial visit to St. Paul, the following strengths were observed:

- Child-serving agencies were staffed by a cadre of skillful, experienced, and dedicated professionals.

- There was a strong history and tradition of cooperation, as evidenced by the 20-year-old Child Abuse Team, among the first in the nation.
- There was a widespread concern for victims, even at the state level, as evidenced by victims' rights legislation.
- Agencies enjoyed the support and interest of the County Executive's Office, which allocated financial resources to support victims and sponsored the technical assistance contract with APRI.
- Agency representatives believed state laws were strong and clearly written to encourage reporting, define crimes and penalties, and encourage multidisciplinary teams.
- MCRC was seen as a unique resource, providing expert medical examinations as well as treatment resources.

Planned Changes

Exhibit R-1 displays the original goals that were identified in April 1988, along with their implementation status as of June 1989 and March 1990.

Among the goals that were envisioned by the Program Team, the most prominent was the effort to standardize videotaping of children's interviews. Despite numerous meetings and considerable input from APRI on the subject, the team was not able to achieve consensus on this subject, and the goal was ultimately abandoned. According to the assistant county attorney, whether or not a videotape was taken actually had little impact on her cases.

By project's end, the most significant changes that had occurred in response to the initial goals were (1) the consolidation of all cases involving child victims within a single unit of the County Attorney's Office, and (2) the expansion of the Victim/Witness Unit to allow a more proactive approach to child victims and their families.

Throughout the course of the project, however, numerous other events occurred within St. Paul, Ramsey County, and the state of Minnesota that may have influenced the investigation and adjudication of child sexual abuse cases. These events are outlined below.

EXHIBIT R-1

RECOMMENDED INTERVENTIONS AND IMPLEMENTATION STATUS

RAMSEY COUNTY (ST. PAUL), MINNESOTA

GOALS	SUGGESTED INTERVENTIONS	STATUS AS OF JUNE 1989	STATUS AS OF APRIL 1990
<i>Expedite Case Processing</i>	Create a social services liaison to interact with police and hospitals	CHS caseworkers had been assigned to work in the St. Paul PD on a rotating basis A method for liaison between CHS and hospitals had been established	St. Paul PD plans to detail an investigator to CHS to screen reports for police intervention were not implemented
<i>Provide People Support</i>	No interventions were identified for this goal		
<i>Reduce Unnecessary Contact with the System</i>	Institute a system for videotaping investigative interviews by St. Paul Police Department	Despite several meetings and trainings, the St. Paul PD was unable to designate an interviewing room and begin videotaping its interviews	The County Attorney's Office abandoned this goal after determining that videotaped interviews were not critical for prosecution
<i>Institute Child-Friendly Procedures</i>	Utilize a multilingual coloring book designed to prepare child victims for court	The books are available and are used by the Victim/Witness Unit	

GOALS

SUGGESTED INTERVENTIONS

STATUS AS OF JUNE 1989

STATUS AS OF APRIL 1990

Institute Child-Friendly Procedures

Develop form letter to advise victims/ families of decisions to decline prosecution and the reasons therefor

A series of form letters has been developed by the Victim/Witness Unit

Enhance Case Development

Increase accessibility and applicability of Child Abuse Team so more cases are staffed more quickly

CHS established a policy mandating CAT review of all cases involving drug-affected babies, siblings in cases of child death, and children under five years old

No further interventions were pursued

Expand case responsibility of child abuse prosecution unit to include extrafamilial cases

The Family and Domestic Violence Unit was expanded to include responsibility for all cases involving children as victims or offenders

Other Changes That Occurred During the Study Period

County Attorney's Office

The case processing system within the Juvenile/Family Violence Division was enhanced in several ways:

- Prior to project start-up, the Ramsey County Attorney's Office had not systematically kept track of cases that were not prosecuted. At the project's suggestion, forms were developed to document decisions to decline prosecution, on which screening attorneys are required to state their reasons for declining. Also, a form letter was designed to notify families of decisions not to prosecute. Another form was designed to provide feedback to law enforcement on decisions not to prosecute.
- A new Computerized Case Management and Tracking (CATS) System was installed in the County Attorney's Office. The system would allow easy access to case status and was thought to help prosecutors be more responsive to questions from victims and the public.
- The legislature created a new offense: Criminal Sexual Conduct in the Fifth Degree, which is a gross misdemeanor. The Ramsey County Attorney's Office uses it mostly for charging cases that involve teenaged victims who allege fondling over the clothes.

Court and County Attorney Procedures

Numerous procedural changes occurred during the study period. For example:

- Under the Victim Rights Act,
 - victims have a right to be notified of plea agreements, decisions not to prosecute, schedule changes, and the suspect's release from pretrial detention.
 - victims can demand speedy trial, usually within 60 days of the defendant's initial appearance/arraignment. (By statute, child abuse cases have docket priority over all cases except those in which the defendant is in custody.)
 - victims can prepare victim impact statements and may submit them in person at the sentencing hearing.
 - victims can request restitution as part of the sentence.

- The legislature doubled the presumptive prison sentence for criminal sexual conduct in the first degree (as of August 1989). Prosecutors anticipated this action would have a tremendous impact on charging decisions and plea negotiations, especially with defendants more likely to press for trial.
- A third conviction on criminal sexual conduct in the first degree now draws a mandatory 37-year sentence. According to prosecutors, this change will "guarantee" trials the third time around.
- A new statute allows substantial departures from the state's sentencing guidelines for sex offenders demonstrating predatory patterns that require long-term intervention. There are also new enhancements for certain dangerous or "career" offenders.
- Malicious punishment, a gross misdemeanor, had formerly been prosecuted by the City Attorney's Office (as are most misdemeanors). During our study period, responsibility for malicious punishment shifted to the County Attorney's Office. This change may have increased prosecutions of physical abuse cases.
- The legislature established a civil commitment alternative for certain offenders.

Intra-Agency Procedures

In addition to the issues that were described above and on the matrix in Exhibit R-1, the following changes occurred:

- The Child Abuse Team, which meets monthly, adopted as its priorities the development of a protocol for handling divorce cases involving allegations of sexual abuse; development of a protocol for monitoring chronic or patterned neglect; and examination of opium use among the Southeast Asian community.
- The Ramsey County Council on Abuse, which is staffed by the County Executive's Office, created a new position of family violence specialist as of April 1990. The role of the specialist is to coordinate existing services within the County and to develop new relationships with additional organizations.
- Initiated by judges in the family court, the child protection agency launched a new project intended to enhance protection of children in violent homes. Community Human Services assigned a special caseworker to review cases arising in family court for no contact orders in domestic abuse cases to see if the children were also at risk. The caseworker would conduct a neglect assessment, carry the case for 90 days, develop a visitation plan, and report

back to the court. The results of this one-year experiment were being analyzed at the close of our project.

- As of September 1988, the St. Paul School District changed its reporting procedures. Formerly, schools had been instructed to contact CHS when child abuse or neglect was suspected. However, in the wake of a highly publicized case involving a "dirty house," in which the family refused to allow social workers into the home and social workers, in turn, did not contact police for emergency holds on the children, the school district altered its policy to require reports directly to police instead. (In Minnesota, social workers are not authorized to remove children from their homes without court orders, but police can place the children under an emergency hold.)

Results of the County Surveys

A total of 36 people responded to the first survey of child-serving professionals in Ramsey County. Their demographic and background characteristics were as follows:

- 61 percent were criminal justice professionals; 36 percent were service professionals
- 81 percent worked in the public sector
- 56 percent were women
- average age was 43
- 92 percent were white
- 83 percent had at least a college degree; 75 percent had advanced degrees
- on average, respondents spent 40 percent of their time in direct service
- on average, 31 percent of their caseload concerned sexual abuse
- their median experience was nine years working on sexual abuse, four and one-half years working for their current agency, and 13 years working in the county

Exhibit R-2 displays respondents' opinions on how child sexual abuse cases should be handled. Majorities of respondents agreed that

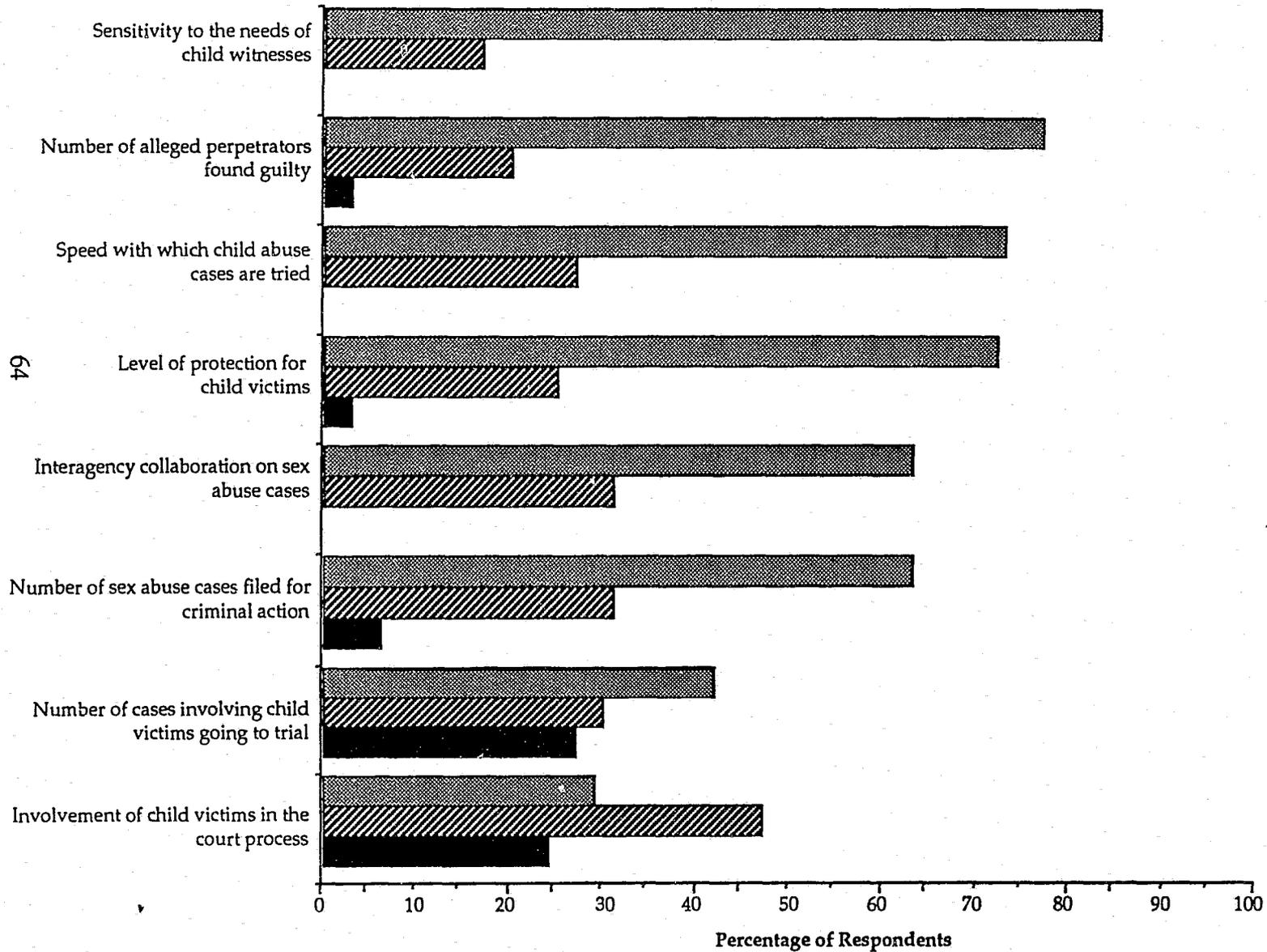
- there should be greater sensitivity to child witnesses' needs (83 percent)
- more perpetrators should be found guilty (77 percent)
- cases should be adjudicated faster (73 percent)
- protection for child victims should increase (72 percent)
- there should be more interagency collaboration on sex abuse cases (69 percent)
- the number of sex abuse cases filed for criminal action should be increased (63 percent)

The minority response on these items was almost invariably that the levels should remain the same.

Exhibit R-2

HANDLING OF CHILD SEXUAL ABUSE CASES

■ Should decrease
▨ Should remain the same
▩ Should increase



The survey asked respondents to rate, on a 5-point scale, the importance and performance of 13 different activities designed to protect child victims during case investigation and prosecution. Exhibit R-3 displays the results. Of most interest in terms of planning for change are those activities that were rated highest in importance but low in performance. The following five activities emerged as most in need of improvement:

- restricting the number of continuances
- changing courtroom arrangements and procedures to accommodate child victims
- giving child sexual abuse cases priority on court dockets
- removing spectators during testimony of child witnesses
- using alternatives to confrontation

The survey also asked respondents to rate 10 groups or agencies with responsibility for child sexual abuse cases on three issues: the amount they had changed in the past year (corresponding roughly to calendar year 1988), the need for change, and willingness to change.

Respondents assigned fairly low ratings (between 2 and 3 on a 5-point scale) to all agencies on the amount they had changed in the past year, except that the prosecutor's office received a moderate rating. Exhibit R-4 compares the need for change with the willingness to change for each agency. Those agencies in which there was the greatest gap were Community Human Services, the courts, and the schools. Small gaps existed for the sheriff's department, the police, and private medical providers. Interestingly, the prosecutor's office was perceived to be more willing to change than the need warranted.

These findings were returned to the community in a brief report that was intended to inform their ongoing efforts to improve the investigation and prosecution of child sexual abuse cases.

One year later, we conducted a follow-up survey, using a similar (but shorter) instrument. A total of 45 people responded, 21 from criminal justice professions and 24 from service professions. Their demographic and background characteristics were as follows:

- 52 percent were women
- the average age was 43 years
- 91 percent of the respondents were white, 9 percent were minorities
- 82 percent had a college degree (including associates' degrees), with 44% also holding a graduate degree
- on average, 64 percent of their time was spent in direct service
- an average of 34 percent of their casework was related to sexual abuse
- respondents had worked in Ramsey County for approximately 16 years, 14 years with their current agency, and eight years on sexual abuse cases (on average)

Exhibit R-3

IMPORTANCE AND PERFORMANCE OF ACTIVITIES TO PROTECT CHILDREN

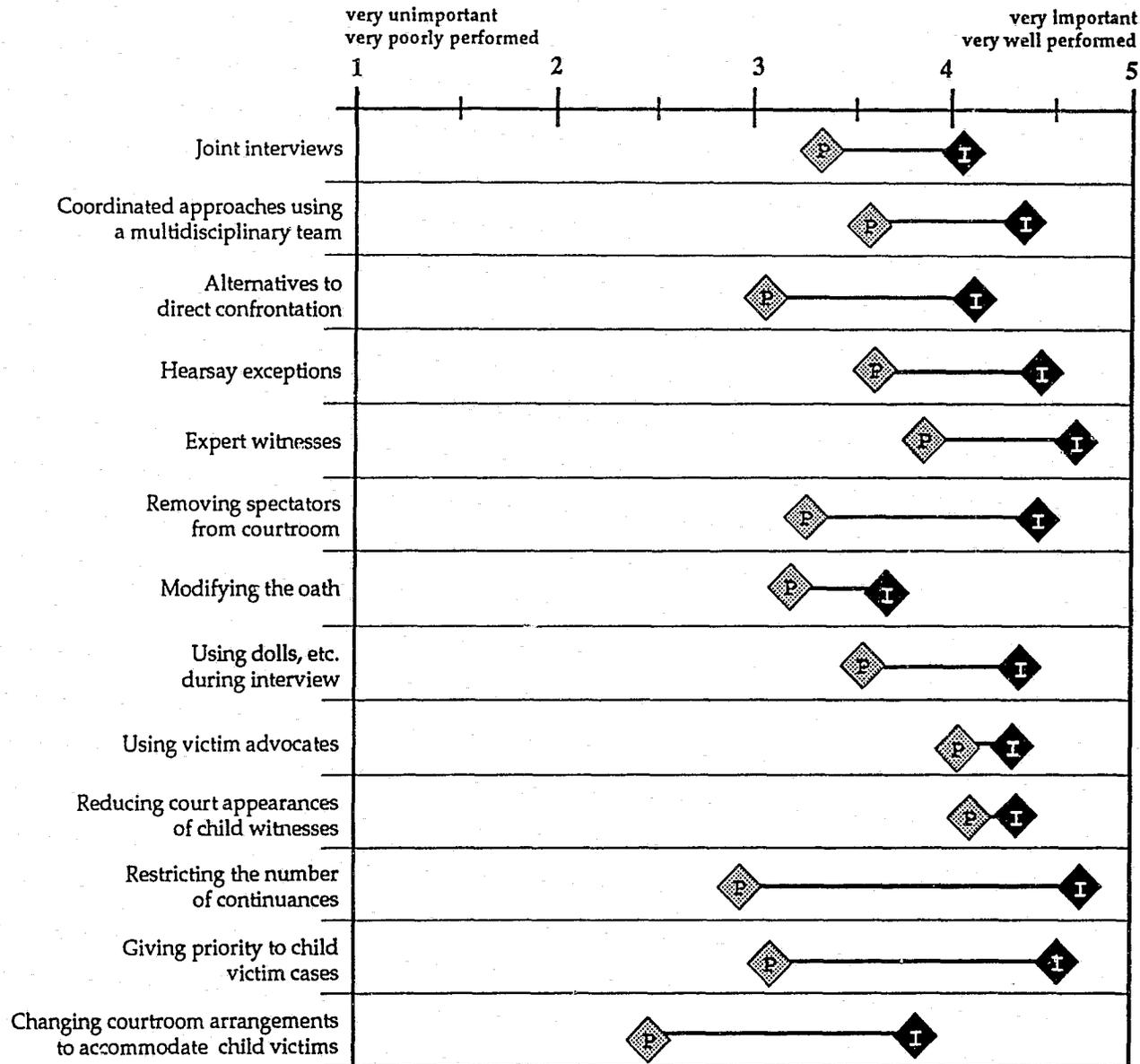
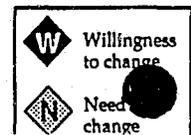
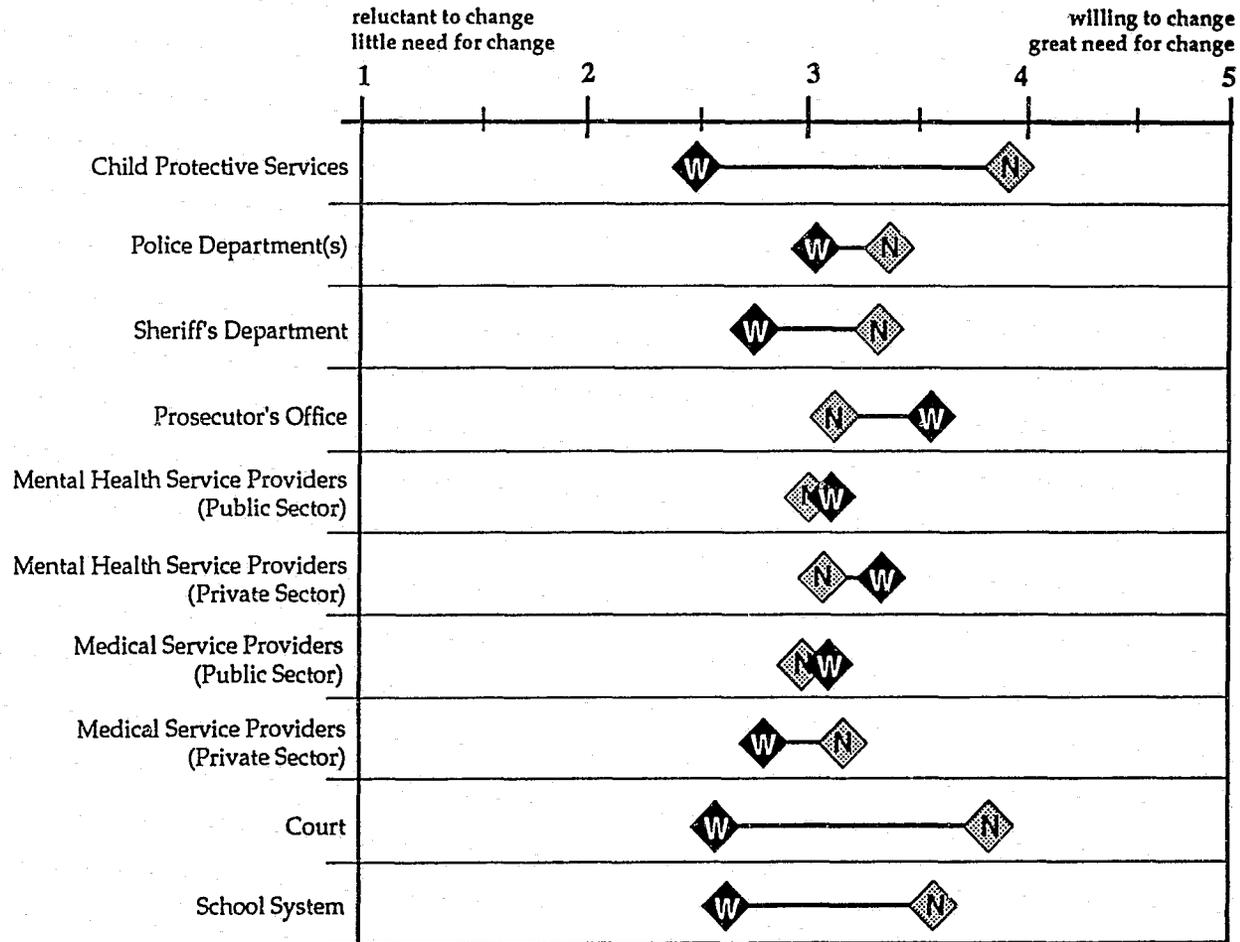


Exhibit R-4

AGENCIES' NEED AND WILLINGNESS TO CHANGE



Of the 13 activities that respondents were asked to consider (see Exhibit R-3), the following three activities emerged as most in need of improvement:

- restricting the number of continuances
- changing courtroom arrangements and procedures to accommodate the needs of child victims
- giving priority to cases involving child victims on court dockets

All three of these activities had been identified among those most in need of improvement in the first survey, suggesting there is still room for change.

Respondents also assigned average ratings (averaging 3.2 on a 5-point scale) to the 10 agencies listed in Exhibit R-4 on the amount they had changed in the past year. One agency, the prosecutor's office, was rated a 3.5, slightly higher than the others.

The respondents indicated that there was room for improvement among all agencies (average rating of 3.4), with a particular need for improvement in the courts. Agencies that were perceived as needing the most change, while at the same time appearing least willing to change, were mental health services, health care providers, and the courts.

Summary of Case Processing During the Study Period

To summarize, Ramsey County was a community desirous of change at the time of project start-up. Members of the Program Team had proactively sought the assistance of APRI in infusing new life into collaborative relationships that had appeared to suffer from an absence of shared enthusiasm. At the state level, Minnesota enjoys a reputation for a very progressive environment, particularly with regard to social issues. The criminal justice system is kind to child victims because pre-trial court appearances are rare. Many of the changes that occurred during our study period (such as longer sentences for most sex crimes) were designed largely to strengthen prosecution, but may have the effect of forcing more trials. At the same time, Minnesota is also known for the notorious Scott County case involving multiple allegations that were ultimately dropped. Victims of Child Abuse Laws (VOCAL), a national lobbying group that frequently opposes reforms on behalf of child victims, emerged in Minnesota as a result of the Scott County case. And Dr. Ralph Underwager, perhaps the nation's most prominent defense expert on "brainwashing" techniques used with child witnesses, hails from the Twin Cities area. This dual reputation--that of a socially progressive community with a recently emboldened defense orientation--was clearly reflected in the prosecutor's careful and considered approach to the intervention process.

Exhibit R-5 displays selected caseflow statistics for cases that were referred for prosecution during our prospective study period.

EXHIBIT R-5

SELECTED CASEFLOW STATISTICS FOR SINGLE VICTIM/SINGLE
PERPETRATOR CASES IN THE PROSPECTIVE ABSTRACTION SAMPLE

Referrals

Number of cases referred for prosecution	149
Number of cases accepted for prosecution	101

Acceptance rate: 67.8%

Outcomes of Prosecution

Dismissals	1 (1%)
Acquittals	3 (4%)
Guilty pleas	32 (39%)
Convictions at trial	2 (2%)
Cases pending or unknown	44 (53%)
Other outcomes	1 (1%)

Conviction rate: 89%

Sentencing Outcomes (non-exclusive categories)

Number of sentences imposed	32
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Institutional Sentences

Incarceration	22 (69%)
Residential sex offender program	3 (9%)

Non-Institutional Sentences

Probation	15 (47%)
Suspended sentence	15 (47%)
Sex offender treatment program	11 (37%)
Substance abuse treatment program	3 (10%)
Restitution	8 (27%)
Fine	13 (43%)

Other Sentencing Options

No contact with child victim	14 (47%)
Maintain employment	1 (3%)
Abstain from alcohol/drugs	2 (7%)

Incarceration rate: 78%

SAN DIEGO COUNTY, CALIFORNIA

BASELINE INFORMATION

Population of County 1,900,000 (1984 est.)
Population of Major City 960,000 (1984 est.)

Caseload

193 cases were referred for prosecution between July 1, 1986 and June 30, 1987

Innovative Statutes

Exclusion of spectators during victim testimony at preliminary hearing
Substitution of videotaped preliminary hearing testimony for live testimony at trial
Priority docket status

Key Agencies

<i>Law Enforcement</i>	San Diego Police Department Child Abuse Unit San Diego Sheriff's Office Child Abuse Unit Child Sexual Abuse Investigators Association
<i>Child Protection</i>	Department of Social Services Immediate Response Services Unit
<i>Prosecution</i>	San Diego District Attorney's Office Child Abuse Unit
<i>Victim Assistance</i>	Victim/Witness Assistance Program
<i>Medical Facilities</i>	Children's Hospital, Center for Child Protection
<i>Other</i>	Children in Court, a structured educational program for child victims and their parents, sponsored by CCP Commission on Children and Youth Child Abuse Council Children's Doctors Group Juvenile Justice Commission

Case Management at Project Start-up

San Diego had a system for responding to child sexual abuse reports that was generally considered to be progressive and deserving of emulation. A "typical" report would be filed with DSS and investigated by a social worker/police officer team. Generally, the social worker focused on the non-offending parent while the police officer interviewed the child. It should be noted, however, that this procedure was not always followed. Interviews with law enforcement officers and responses to our surveys of county professionals suggest that it was not unusual to see a three-day lag between the report to DSS and subsequent referral to law enforcement; meanwhile, social workers conducted independent investigations which law enforcement officers perceived as detrimental to the criminal investigation. (Note that this problem was echoed by law enforcement officers in St. Paul; see above.)

Children were frequently detained overnight at Hillcrest Center (a small holding facility) and taken by police to Children's Hospital--Center for Child Protection (CCP) for a physical examination. A psychiatric social worker with CCP also conducted evidentiary interviews; most of these were videotaped for purposes of sharing with prosecutors, child protection workers, and sometimes juvenile court. Weekly multidisciplinary team meetings at CCP allowed ongoing oversight of selected cases.

California's criminal justice system required adversarial preliminary hearings in all cases, and most children were required to testify (and be cross-examined) at these hearings. Because there were so many children going through this process, CCP obtained funding to pilot a Children in Court program to help prepare children and parents for court testimony. This program consisted of several structured sessions of instruction and role-play for the children, featuring introductions to judges, attorneys, and other court personnel. Parents received supportive instruction in their own concurrent groups.

The District Attorney's Child Abuse Unit was limited to cases involving child victims under the age of 13; cases involving older victims were handled by the adult sexual assault unit.

After the initial visit to San Diego, the following strengths were observed:

- California law mandated reports to both law enforcement and social services, and the law enforcement agencies brought virtually all children to CCP for exams.
- Law enforcement and social service agencies appeared to have adequate resources to manage their caseloads.
- CCP conducted medical exams and investigative interviews (nearly always videotaped) with child victims.

- An established multidisciplinary team met weekly to review ongoing cases and present new cases.
- The Children in Court program provided education for child witnesses and their families.
- Preliminary hearings were often videotaped, both to refresh the children's memory prior to trial and, occasionally, to introduce at trial if the child recanted or became unavailable.
- The District Attorney's Office was aggressive and innovative in prosecuting child abuse cases, using vertical case management and creative techniques where available.

Planned Changes

Exhibit S-1 displays the original goals that were identified in April 1988, along with their implementation status as of June 1989 and August 1990.

While many of the goals that were articulated by the Program Team required interagency collaboration, the team chose to focus their attention on activities that lay within the domain of the prosecutor's office. During the course of the project, the *Children in Court program was greatly expanded* and the prosecutors emphasized their *efforts to expedite cases and strengthen case development through greater knowledge of research findings*. By the end of the study period, procedural guidelines had been documented by the prosecutor's office, county counsel (for dependency cases), and social services, although this outcome cannot be attributed solely to our interventions.

EXHIBIT S-1

RECOMMENDED INTERVENTIONS AND IMPLEMENTATION STATUS

SAN DIEGO, CALIFORNIA

GOALS	SUGGESTED INTERVENTIONS	STATUS AS OF JUNE 1989	STATUS AS OF AUGUST 1990
<i>Expedite Case Processing</i>	Maximize use of statutory mandate to accord docket priority to child abuse cases	Prosecutor met with judges and proposed that one or two judges be designated to hear all cases involving child victims	Motions for case priority are used selectively Case processing guidelines were issued to all police agencies Prosecutor's case log was reformatted to allow cross-reference by victim and perpetrator names
<i>Provide People Support</i>	The victim/witness program could dedicate volunteer support to the Children in Court program	Children in Court program was expanded to serve all child victims	Victim/witness advocates are assigned in each case
<i>Reduce Unnecessary Contact with the System</i>	Reduce number of interviews by different people	Prosecutor refrained from re-interviewing children where investigative interviews were videotaped APRI provided training on interviewing process and techniques	The District Attorney's Office, County Counsel, and DSS developed written protocols to guide case management

GOALS

SUGGESTED INTERVENTIONS

STATUS AS OF JUNE 1989

STATUS AS OF AUGUST 1990

Institute Child-Friendly Procedures

Continue objecting to harsh questioning by defense attorneys

Objections are made when defense attorneys engage in "harrassment" procedures during cross-examination

Continue instructing victims and families about their rights in the system

Routinize preparation of victim impact statements by or on behalf of child victims

These goals are presumed to be addressed by the Kids in Court program

Establish children's courtrooms in criminal court

Prosecutor met with County Commissioners; implementation depends on availability of funds

Continue to explore this idea

Establish a waiting area in juvenile court

Existing waiting area is still considered inadequate

Enhance Case Development

Educate judges about the validity of the accommodation syndrome

Points and authorities were developed to accompany motions opposing requests for delay or permission to use expert testimony

Prosecutor's office systematically gathers briefs and other materials on expert witnesses

Enhance Case Development

Establish a countywide law enforcement strike force

There is a San Diego County Association of Child Abuse Investigators

Continue efforts to enact a special hearsay exception

Other Changes That Occurred During the Study Period

Law Enforcement

Due to budgetary constraints, the San Diego Sheriff's Office disbanded its Child Abuse Unit in 1988. The investigators were reassigned to other duties and tried to take responsibility for child abuse cases that arose from their respective geographic assignments. Nonetheless, a backlog of investigations arose during this period. The unit was reunited in July 1989.

In 1989, there was a proposal to expand the responsibilities of the San Diego Police Department's Child Abuse Unit to include *all* cases involving child victims. Formerly extrafamilial sexual assault cases were handled by the department's Sex Crimes Unit.

Prosecutor

Late in 1989, there was a major shift in the management of dependency cases. Prior to that time, the District Attorney's Office represented the Department of Social Services in the juvenile court dependency proceedings. In the fall of 1989, activities were underway to shift this responsibility to the Office of the County Counsel. (Recall there was a similar recommendation in Polk County; see above.) This move was felt to avert potential conflicts of interest in cases where the District Attorney's Office was concurrently prosecuting intrafamilial offenders while representing DSS efforts to reunite families. It was also hoped that the dependency proceedings would become less litigious if handled by attorneys with more experience in civil court proceedings. Finally, there was a feeling that dependency cases would receive more individualized attention; the County Counsel had hired 21 attorneys to handle the caseload that had formerly been handled by five assistant district attorneys.

In 1990, a "resident child molester" law became effective. This legislation enabled prosecutors to pursue cases in which there was ongoing sexual abuse but the child victim was unable to specify dates or circumstances surrounding individual incidents. This legislation arose out of several cases involving serious incestuous situations in which convictions were reversed due to lack of specificity. (Note: Ongoing molestation cases also pose a tremendous problem for prosecutors in Erie County. There, when children cannot specify dates, prosecutors are limited to charging child endangerment, a misdemeanor.)

Social Services

In the fall of 1989, DSS adopted a new regulation allowing child protection workers to place children with relatives pending the juvenile court investigation. Formerly, the only option available was foster care. The new procedure was believed to be less disruptive to the children.

Other Pertinent Events

In 1990, San Diego County became part of a "Transfer of Knowledge" project on child victims as witnesses, organized by the California Department of the Youth Authority. A multidisciplinary team from the county participated, along with teams from Los Angeles, Sonoma, Riverside, and Sacramento Counties. By the end of July, the District Attorney's Office, Office of the County Counsel, and DSS had developed memos outlining their own procedures in responding to child sexual abuse cases, toward development of interagency protocols.

Also in 1990, California voters passed a resolution allowing use of the grand jury to initiate criminal cases. While this event occurred too late to be reflected in our data, it offers an opportunity for prosecutors to avoid subjecting child victims to adversarial preliminary hearings.

Results of the County Surveys

A total of 50 people responded to the first survey of child-serving professionals in San Diego County. Respondents were about evenly divided between the service professions (social workers, educators, and medical/mental health service providers) and criminal justice professions (law enforcement officers and prosecutors). Their demographic and background characteristics were as follows:

- evenly split between men and women
- average age was 43
- about 80 percent were white, 14 percent were Hispanic, 4 percent were of Asian background, and 2 percent were African-American
- 76 percent had at least a college degree; 50 percent had advanced degrees
- on average, respondents spent 60 percent of their time in direct service, although a sizeable proportion spent all their time in direct service
- on average, 61 percent of their caseload concerned sexual abuse

Respondents reported substantial longevity in their work: service professionals had worked an average of 10 years in the county (seven with the same agency), while criminal justice professionals had worked an average of 20 years in the county (15 in their current organization). In addition, they averaged five years of experience working with sexual abuse cases, although 20 percent had two years or less.

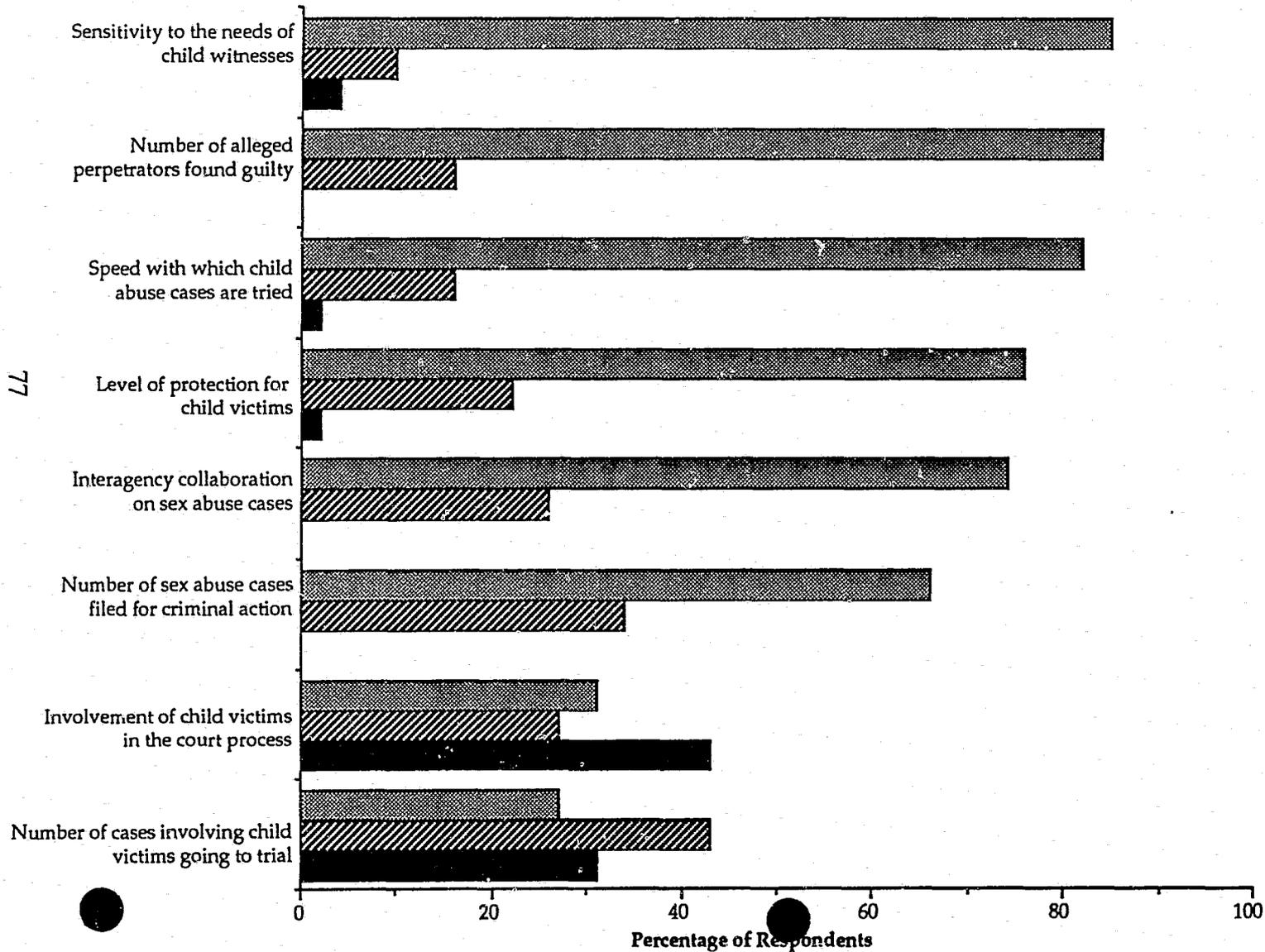
Exhibit S-2 displays respondents' opinions on how child sexual abuse cases should be handled. Large majorities of respondents agreed that

- there should be greater sensitivity to child witnesses' needs (85 percent)
- more perpetrators should be found guilty (84 percent)
- cases should be adjudicated faster (82 percent)

Exhibit S-2

HANDLING OF CHILD SEXUAL ABUSE CASES

- Should decrease
- Should remain the same
- Should increase



The survey asked respondents to rate, on a 5-point scale, the importance and performance of 13 different activities designed to protect child victims during case investigation and prosecution. Exhibit S-3 displays the results. Of most interest in terms of planning for change are those activities that were rated highest in importance but low in performance. The following eight activities emerged as most in need of improvement:

- restricting the number of continuances
- using alternatives to confrontation
- changing courtroom arrangements and procedures to accommodate child victims
- reducing the number of court appearances for child victims
- giving child sexual abuse cases priority on court dockets
- employing coordinated approaches using a multidisciplinary team
- removing spectators during testimony of child witnesses
- using hearsay exceptions

The survey also asked respondents to rate 10 groups or agencies with responsibility for child sexual abuse cases on three issues: the amount they had changed in the past year (corresponding roughly to calendar year 1988), the need for change, and willingness to change.

Respondents assigned fairly low ratings (between 2 and 3 on a 5-point scale) to all agencies on the amount they had changed in the past year, except that the sheriff's office received a moderate rating (probably reflecting the temporary dissolution of the special child abuse unit). As shown on Exhibit S-4, respondents believed that virtually all agencies needed at least a moderate amount of change, but also that many agencies were moderately willing to change. Those agencies in which there was the greatest gap between perceived need for change and willingness to change were the courts, public mental health providers, and the sheriff's department. Smaller, but noticeable gaps were found for the school system, child protective services, and private mental health providers.

These findings were returned to the community in a brief report that was intended to inform their ongoing efforts to improve the investigation and prosecution of child sexual abuse cases.

One year later, we conducted a follow-up survey, using a similar (but shorter) instrument. A total of 26 people responded, 18 from criminal justice professions and eight from service professions. Their demographic and background characteristics were as follows:

- 58 percent were men
- the average age was 38 years
- 96 percent of the respondents were white, 4 percent were minorities

Exhibit S-3

IMPORTANCE AND PERFORMANCE OF ACTIVITIES TO PROTECT CHILDREN

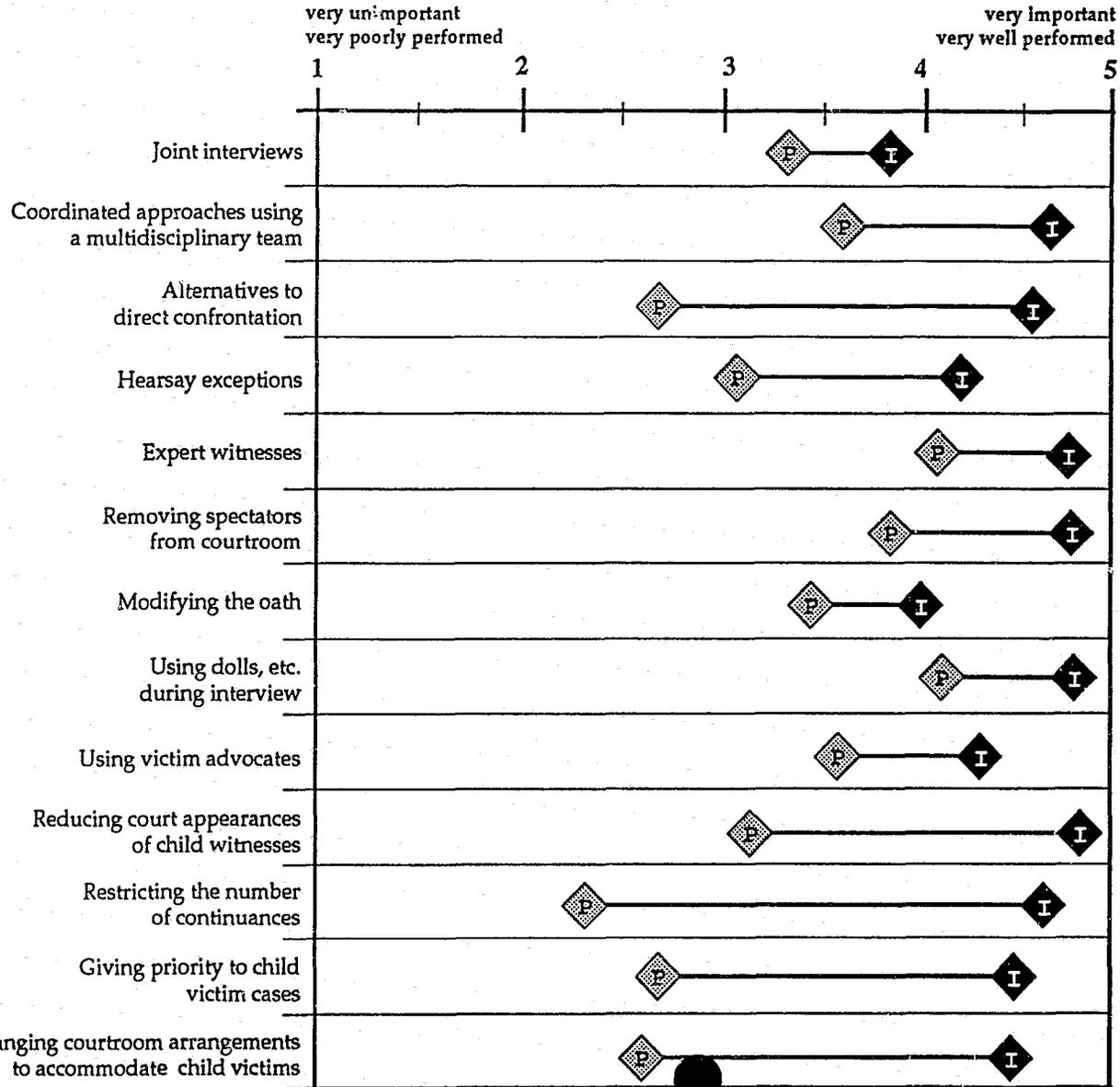
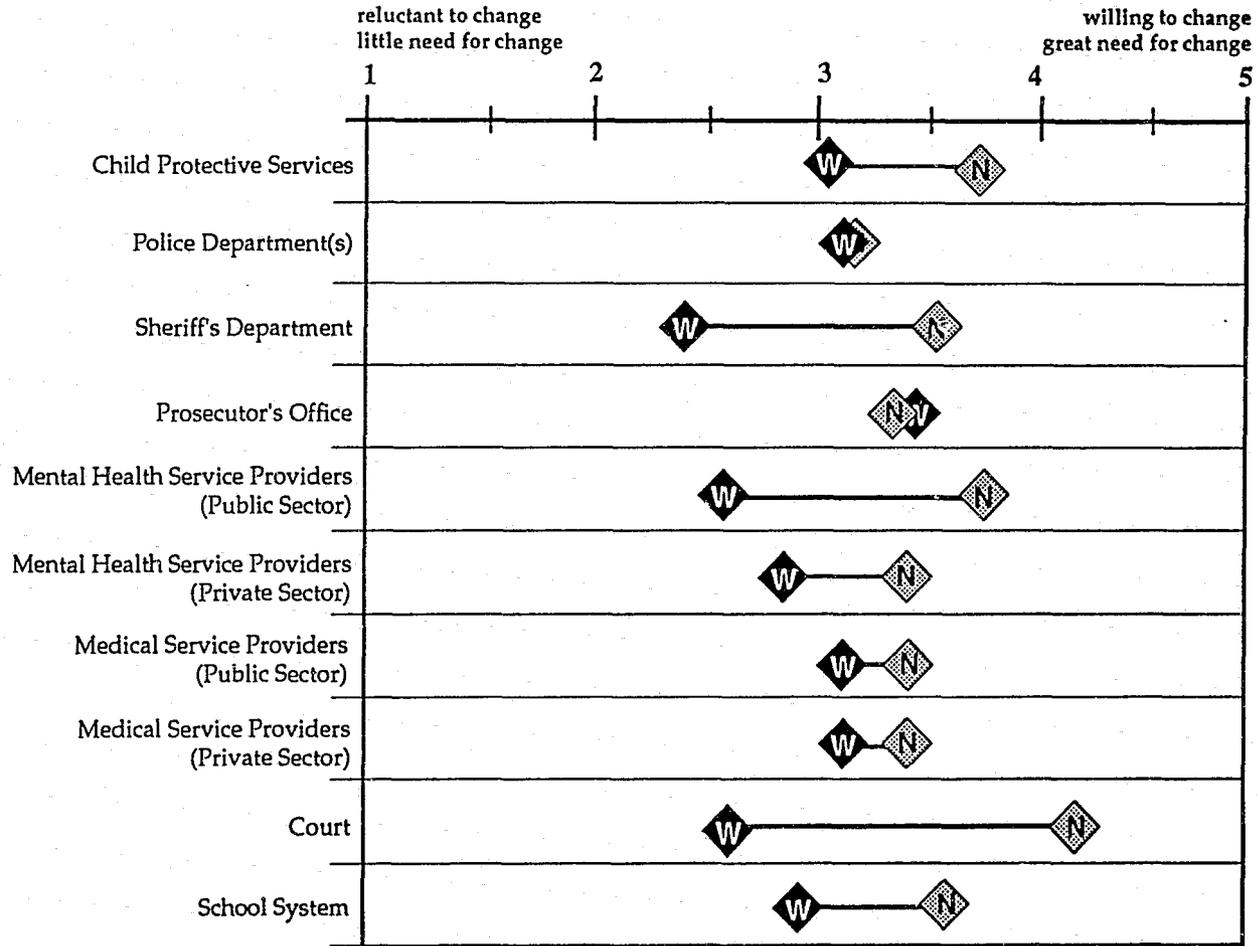


Exhibit S-4

AGENCIES' NEED AND WILLINGNESS TO CHANGE



80

 Willingness to change
 Need for change

- 88 percent had a college degree (including associates' degrees), with 62 percent also holding a graduate degree
- on average, 73 percent of their time was spent in direct service
- an average of 76 percent of their casework was related to sexual abuse
- respondents had worked in San Diego County for approximately 13 years, 9 years with their current agency, and four and one-half years on sexual abuse cases (on average)

Of the 13 activities that respondents were asked to consider (see Exhibit S-3), the following four activities emerged as most in need of improvement:

- restricting the number of continuances
- reducing the number of appearances by child witnesses during the judicial process
- using special exceptions to hearsay
- using alternatives to direct confrontation between child witnesses and defendants

All four of these activities had been identified among those most in need of improvement in the first survey, suggesting that these respondents observed little change.

Respondents also assigned average ratings (averaging 3.1 on a 5-point scale) to the 10 agencies listed in Exhibit S-4 on the amount they had changed in the past year. No single agency stood out as having changed more than the others in the past year.

The respondents indicated that there was room for improvement among all agencies (average rating of 3.6), with a particular need for improvement in mental health services and in the courts. These same two agencies were perceived as needing the most change, while at the same time appearing least willing to change. Perhaps not surprisingly, none of the survey respondents worked in either mental health services or in the courts. Conversely, the prosecutor's office was rated as the agency most willing to change and at the same time least in need of change; the largest group of respondents was from the prosecutor's office. These findings are, however, consistent with those of the first survey, suggesting there may have been little perceptible improvement among mental health services and the courts.

Summary of Case Processing During the Study Period

To summarize, San Diego County began this project as a recognized leader in the field of child abuse prosecution. The fundamental components of the community's response to child sexual abuse cases--joint investigation by police and social workers, medical and psychiatric examination by the Center for Child Protection, multidisciplinary team review, and preparation of child witnesses via the Children in Court program--were essentially unchanged during the study period. In fact, most of the changes that occurred in San Diego County

were extrinsic to the intervention strategies of this project. Nonetheless, these changes--e.g., the temporary dissolution of the sheriff's Child Abuse Unit, shifting of responsibility for prosecution of dependency cases from the DA's Office to the County Counsel, and the new statute permitting prosecution of ongoing abuse even when the child victim is unable to specify dates--can be expected to have substantial impact on both the adjudication process and child outcomes.

Exhibit S-5 displays selected caseflow statistics for cases that were referred for prosecution during our prospective study period.

EXHIBIT S-5

SELECTED CASEFLOW STATISTICS FOR SINGLE VICTIM/
SINGLE PERPETRATOR CASES IN THE PROSPECTIVE ABSTRACTION SAMPLE

Referrals

Number of cases referred for prosecution	238
Number of cases accepted for prosecution	185

Acceptance rate: 77.7%

Outcomes of prosecution

Dismissals	0 (0%)
Acquittals	1 (1%)
Guilty pleas	58 (84%)
Convictions at trial	3 (4%)
Cases pending or unknown	5 (7%)
Other outcomes	2 (3%)

Conviction rate: 98%

Sentencing Outcomes (non-exclusive categories)

Number of sentences imposed	61
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Institutional Sentences

Incarceration	56 (92%)
Other residential program	1 (2%)

Non-Institutional Sentences

Probation	42 (69%)
Suspended sentence	1 (2%)
Sex offender treatment program	14 (23%)
Substance abuse treatment program	5 (8%)
Restitution	45 (74%)
Community service	4 (7%)
Fine	32 (52%)

Other Sentencing Options

No contact with child victim	39 (64%)
Register as sex offender	37 (61%)
No contact with any minors	20 (33%)
Maintain employment	14 (23%)
Abstain from alcohol/drugs	9 (15%)

Incarceration rate: 94%

SUMMARY

Taken together, the four communities that participated in the Child Victim as Witness project portray an interesting cross-section of communities throughout the country as they consider alternative approaches to the investigation and prosecution of child sexual abuse cases.

- Polk County can be characterized as a relatively small, homogeneous community with strong mental health resources and a shared commitment to pretrial diversion for first-time intrafamilial offenders. During the course of our study the community took steps to focus more attention on child victims of extrafamilial perpetrators and to strengthen prosecution.
- San Diego is a geographically vast county with a large and culturally diverse population base. Under the leadership of a dynamic prosecutor and strong hospital-based diagnostic program, San Diego is nationally known for its aggressive stance on child abuse prosecution. At the same time, California's criminal justice system is perhaps the most burdensome on victims, at least in terms of requiring their testimony at adversarial preliminary hearings. Interventions here were targeted largely at enhancing case development and improving preparation of child victims for testifying in court.
- Ramsey County is much like San Diego in some ways, but on a much smaller scale. As in San Diego, there are strengths in the prosecutor's office and in the diagnostic center, and a long-standing multidisciplinary team. Distinctions may be drawn in the smaller and relatively more homogeneous population, and in the system's more "congenial" response to crime victims (at least in terms of required court appearances). Interventions here focused on routinizing the use of videotape to preserve children's statements (albeit unsuccessful), centralizing prosecution of all cases involving children as victims or perpetrators, and greatly expanding victim services.
- Of the four sites, Erie County had perhaps the farthest to go in terms of community effort. For example, this was the only county that lacked an active multidisciplinary team at project start-up. During the project period, new faces in the community brought fresh ideas and enthusiasm toward improving the system on behalf of child victims. The prosecutor's office clearly assumed a much-needed leadership role and made significant progress toward (1) developing protocols to guide interagency relationships in managing child sexual abuse cases, and (2) initiating cases via the grand jury rather than preliminary hearing. By the end of the study period, a core team had emerged, in the context of a new coordinating council, to work on protocol development and related issues of interagency collaboration.

It is important to understand the community context for differences in investigation and adjudication of child sexual abuse cases before attempting to draw inferences from any observed changes in child trauma outcomes. In the next chapter, changes that occurred in these communities during the study period are reflected in differences among the sites with regard to case processing. And, in Chapter 4, certain fundamental differences across the sites will be critical in interpreting the assessment of system-induced stress and related psychological outcomes.

CHAPTER THREE

CHARACTERISTICS OF CHILD SEXUAL ABUSE CASES AND THE DECISION TO PROSECUTE

CHAPTER OVERVIEW

Successful prosecution and the degree of trauma experienced by children in the process are both likely to be related to the type of cases that are referred to prosecutors and accepted for prosecution. This chapter examines the preliminary results of tracking child sexual abuse cases referred to prosecutors' offices in the four sites during Year 2 of the Child Victim as Witness project. We aim first to profile the population in terms of child and family characteristics and case characteristics. We then examine factors related to the initial decision point for prosecutors: the decision to accept or decline a case for prosecution. This begins the analysis of the relationship of case characteristics to prosecutorial decision making, and thus is the first component of an overall examination of how child sexual abuse cases are prosecuted.

There are multiple reasons why factors associated with acceptance are important for policy consideration. First, such analysis yields greater understanding of the social, psychological, and evidentiary factors that may influence the dispensation of justice in child sexual abuse cases. Second, understanding which cases are likely to be prosecuted helps us understand the conditions under which children are likely to be involved in prosecution. Third, it helps us identify obstacles to prosecution that could be addressed by legislation or other means of changing policy.

To our knowledge, only one study, conducted by the National Center for Jewish Women (NCJW) Center for the Child,³⁶ has collected extensive data describing child sexual abuse cases referred to prosecutors. One other study, conducted by the American Bar Association (ABA),³⁷ has examined factors related to acceptance for prosecution. Other related studies have a somewhat different focus. The Bureau of Justice Statistics³⁸ reported results from the Offender-Based Transaction Statistics (OBTS) data set on outcomes for offenders charged with sexual assault and other sexual offenses against children, broken down by race, sex, and age of offender, but no results were reported on outcomes by child and case characteristics. Similarly, a Bureau of Justice Assistance study³⁹ presented outcome data but no data on child and case characteristics. Finkelhor⁴⁰ and Runyan and colleagues⁴¹ reported on criminal justice outcomes of child sexual abuse cases, but both employed social services samples. Only a portion of the cases from these samples were referred for prosecution, and the samples were not necessarily representative of the population of cases referred to prosecutors because they excluded cases in which there was no social services involvement. Goodman et al.'s study⁴² only sampled cases that were accepted for prosecution.

Descriptive analysis of the study sample data suggests that victims experienced fairly severe abuse. The majority of cases were intrafamilial and only a small minority of perpetrators

were unknown to their victims. Most cases came to light within the social network of victims (i.e., family, friends, and acquaintances), followed quickly by reports to authorities. A majority of cases were accepted for prosecution. Factors related to acceptance for prosecution included child age, perpetrator's relationship to child, several indices of severity of abuse, several aspects of case reporting and substantiation, and several variables reflecting the nature of the evidence.

A similar analysis was planned for the retrospective data from 1986 to 1987 (prior to project start-up) that was collected from the sites during Year 1 of the project, that is, the so-called Retrospective Abstraction Sample (see Chapter One). Unfortunately, prosecutors' offices in Erie and Ramsey Counties did not maintain records on cases that were referred but not accepted for prosecution during that period. Data on the full population of cases referred to prosecutors in the four sites during the retrospective period were thus not available, and a study of population characteristics and correlates of case acceptance could not be conducted for that period. In a preliminary, exploratory study, data from Polk and San Diego Counties were analyzed alone. Findings from this preliminary study are presented in Appendix B in the form of an abstract and tables from presentation at two 1990 conferences.⁴³

METHODS

The sample analyzed for this chapter is the Prospective Abstraction Sample (as described in Chapter One), which includes all project-eligible cases of child sexual abuse referred for prosecution during a one-year period starting in 1988. (See Chapter One for a full description of sampling procedures.)

Data analysis was restricted to 431 cases in which a single perpetrator and a single victim were identified. This procedure avoids the conceptual and practical problems of analyzing a sample of cases in which there are non-independent observations (i.e., multiple perpetrators, multiple victims, or both) within a case. Thus, for example, the analysis of perpetrator relationship to child and its association with acceptance for prosecution is straightforward, and is not complicated by the association of sets of perpetrators or victims within a particular case. Recognizing that this omits an important segment of the target population, we are currently developing methods for analyzing multiple perpetrator/victim cases, and future analyses will incorporate them into the sample.

This analysis employed secondary data collected through case record review. At each site, individuals were trained in the use of a project-developed Case Tracking Form (CTF), a booklet (with supplements) used for encoding case-based materials maintained by prosecutors' offices, law enforcement agencies, courts, and child protective services. The CTF and supplements provided data on a wide variety of child, family and case characteristics, including data on investigative interviews and court appearances, and on the process and outcomes of prosecution (see Appendix A). From prosecutors' records of referrals, project case abstractors in each site identified all eligible cases and examined all necessary case files to complete the Case Tracking Form and supplements.

PROFILE OF CHILD AND CASE CHARACTERISTICS

Because virtually all cases referred for prosecution in the four sites were abstracted over a one-year period, descriptive statistics on the sample offer a profile of cases that prosecutors faced during this time frame. Data describing the children, perpetrators, severity of abuse, case reporting and substantiation, and pretrial screening are presented below.

Children

Data on children are presented in Table 3.1. A large majority of the victims were girls. The mean age at referral for prosecution was 10.3, with significant numbers of preschool children (15 percent), elementary school age children (52 percent) and teenagers (35 percent) represented. A large majority of the victims were white, reflecting the racial-ethnic makeup of the sites, but significant minorities of African-Americans (19 percent) and Hispanics (8 percent) were included. Nine percent of the children were identified as having handicaps.

Perpetrators

Data on perpetrators are presented in Table 3.2. Perpetrators were overwhelmingly male and largely white. Half were 32 years old or younger, and almost three-quarters were 40 or younger. A majority of perpetrators had a high school education or less. A majority were employed in non-professional occupations, although over one-quarter were unemployed at the time cases were abstracted. A little more than one-third had a prior criminal record, although only 8 percent had a record of prior sex crimes. Based on the judgements made by case abstractors from case records, 25 percent were judged to abuse alcohol, drugs, or both.

A majority of perpetrators were considered to be related to the victim (i.e., intrafamilial cases). The largest categories were biological parents (14 percent), mothers' boyfriends (14 percent), and step-parents (13 percent). In only 3 percent of cases were perpetrators unknown to their victims.

Severity of Abuse

Most victims in the sample suffered severe abuse, as measured by the type of abusive acts, number of incidents, and duration of abuse (see Table 3.3). Penetration was involved in 37 percent of cases (excluding digital-vaginal penetration), and 68 percent of cases involved some form of genital contact. Nearly half of the children were threatened with force or subjected to force, and over half experienced multiple incidents of abuse. The duration of abuse was over one month in 40 percent of cases and over one year in 27 percent of cases. Alcohol was judged to be involved in over one-fifth of the cases, and drugs in 8 percent of cases.

Table 3.1

**Child Characteristics of the
Prospective Abstraction Sample**

GENDER	89% Female
AGE @ TIME OF REFERRAL (Mean)	10.3 Years
RACE/ETHNICITY	71% White 19% African-American 8% Hispanic 2% Other
HANDICAPS	9%

Table 3.2

**Perpetrator Characteristics of the
Prospective Abstraction Sample**

GENDER	98% Male
AGE (Median)	32 Years
RACE/ETHNICITY	64% White 21% African-American 11% Hispanic 3% Other
OCCUPATION	41% Non Professional 24% Unemployed 5% Professional/Managerial 3% Retired 26% Other
EDUCATION	26% More Than High School 31% High School 43% Less Than High School
CRIMINAL RECORD	41% w/Any Prior Convictions 10% w/Sex Crime Prior Convictions
SUBSTANCE ABUSE	75% None Observed in Record 15% Alcohol 5% Drugs 5% Both
RELATIONSHIP TO VICTIM	57% Intrafamilial 43% Extrafamilial
Detailed breakdown	14.0% Biological Parent 1.4% Adoptive Parent 12.6% Step Parent 13.7% Mother's Boyfriend 7.2% Uncle 4.4% Grandparent 1.9% Sibling .9% Other Relative 28.6% Acquaintance 4.4% Caregiver 3.3% Stranger .9% Victim's Boyfriend

Table 3.3

**Severity of Abuse in the
Prospective Abstraction Sample**

TYPES OF ABUSE (all that apply)	37% Penetration (excluding Digital-Vaginal) 28% Oral-Genital 30% Digital-Vaginal 77% Other
MOST SEVERE ABUSE	38% Penetration 16% Oral-Genital 14% Digital-Vaginal 32% Other
USE OF FORCE	53% None 8% Threat of Force 33% Mild Force 5% Violent Force
NUMBER OF INCIDENTS	43% Single Incidents 57% Multiple Incidents
DURATION OF ABUSE	57% One Month or Less 11% 2-6 Months 5% 7-12 Months 27% More than 1 Year
ALCOHOL USE DURING INCIDENT	21% Cases
DRUG USE DURING INCIDENT	8% Cases

Case Reporting and Substantiation

Data on reporting suggest that cases usually came to light within the social network of the victim (see Table 3.4). In the vast majority of cases, the child victim disclosed the abuse. Usually a family member was notified first, while an institution or agency was notified first in less than one-quarter of cases. Social services and law enforcement were about equally likely to be the first government agency notified, and law enforcement was almost exclusively the agency to refer cases for prosecution. A medical exam was performed in over half of the cases.

For the majority of cases, case reporting following disclosure was rapid, although in a minority of cases it was considerably slower. Over half of cases were reported within one week of the last incident and 69 percent within one month. Fully 20 percent of cases, however, were not reported within three months of the last incident, and 14 percent were not reported within 6 months. Once reported, less than a third were referred to the prosecutor within a week, but two-thirds were referred within a month and 94 percent within three months.

Pretrial Screening

Data were collected on the decision to prosecute and on the nature of the evidence available to prosecutors on which to base that decision (see Table 3.5). A majority (61 percent) of cases were accepted for prosecution. In the majority of cases, interviews with the victim provided evidence of the crime. Although a medical exam was performed in a majority of cases, medical evidence was available in just under one-third of cases. In nearly one-third of the cases, there were confessions by the perpetrators, and in over a quarter of cases, there was psychological evidence based on the victim's emotional state and behavior.

A fresh complaint or excited utterance was available as evidence in 16 percent of cases. These terms refer to forms of hearsay evidence in which witnesses (such as parents, teachers, or police officers) are permitted to testify as to the victims' initial disclosures of abuse. Only 9 percent of cases manifested physical evidence. It should be noted that sites differed considerably on what type of evidence was coded, which may reflect differences in case abstraction, record-keeping, and/or the priority assigned to different forms of evidence. Further analysis of this sample will compare sites vis-a-vis the availability and use of evidence.

Table 3.4

Case Reporting and Substantiation
 Characteristics of the Prospective Abstraction Sample

CHILD DISCLOSED	86% Cases
FIRST PERSON NOTIFIED (regardless of who disclosed)	58% Family 13% Friend/Acquaint 22% Institution/Agency 6% Other
FIRST GOVERNMENT AGENCY NOTIFIED	51% Social Service 49% Law Enforcement
TIME FROM LAST INCIDENT UNTIL REPORT (Median = 2.00 days)	(CUM. %) 52% 52% w/in 1 wk 17% 69% w/in 1 mo 8% 77% w/in 2 mos 3% 80% w/in 3 mos 6% 86% w/in 6 mos 5% 91% w/in 1 yr 9% 100% > 1 yr
AGENCY REFERRING CASE TO PROSECUTION	98% Law Enforcement 2% Social Services
TIME FROM REPORT TO AUTHORITIES UNTIL DA REFERRAL (Median = 1.00 days)	(CUM. %) 29% 29% w/in 1 wk 37% 67% w/in 1 mo 20% 87% w/in 2 mos 7% 94% w/in 3 mos 4% 99% w/in 6 mos 1% 99% w/in 1 yr 1% 100% > 1 yr
MEDICAL EXAM	56% Cases
TIME FROM DA REFERRAL UNTIL FILE OPENED (Median = 0.00 days)	(CUM. %) 80% 80% w/in 1 wk 15% 95% w/in 1 mo 3% 98% w/in 2 mos 1% 99% w/in 3 mos 1% 100% w/in 6 mos

Table 3.5

**Pretrial Screening Characteristics of the
Prospective Abstraction Sample**

PROSECUTOR'S DECISION	61% Accepted 39% Declined
NATURE OF PROSECUTION CASE	9% Physical Evidence 32% Medical Evidence 29% Psychological Evidence 16% Fresh Complaint/ Excited Utterance 15% Other Eyewitness 32% Confession by Perpetrator 53% Victim's Interview

Summary and Discussion

In summary, the victims in the sample were mostly girls, heterogeneous in age and racial-ethnic background. A large majority of perpetrators were men under the age of 40 and most were of lower socioeconomic status. Prior criminal record and histories of alcohol and drug abuse appeared to be represented in substantial proportions. Most abuse appeared to be severe. Disclosure usually took place within the social network of the victim, and was generally reported to authorities quite rapidly, although for a minority of cases the disclosure and reporting process was considerably slower. A majority of cases were accepted for prosecution. Victim interviews were available as evidence in a majority of cases; medical evidence and perpetrator confessions were available in about one-third of cases, psychological evidence in about one-quarter, and fresh complaint or excited utterance and physical evidence in smaller proportions of cases.

The findings of three previous studies of court intervention (by the ABA, NCJW, and Runyan, et al.)⁴⁴ may be compared with those of the present study. The descriptive characteristics of our sample are similar to these other studies on a number of dimensions. Victims were more likely to be female (80-90 percent across all studies) and white (61-71 percent, data not available for ABA). The average perpetrator, across all studies, tended to be a male in his thirties. Comparing the child's relationship to the perpetrator is somewhat more difficult because of differences in definition and categorization. Nevertheless, our sample is rather similar to those of the ABA and NCJW studies, except that the latter included a higher proportion of strangers (14 percent). The North Carolina sample naturally included a much higher proportion of intrafamilial cases as the sample was ascertained through child protective services.

Some differences were also observed. The age of child victims varied across the studies. These differences, however, are generally due to differences in sampling procedures and the inclusion/exclusion criteria that were employed. Some variation may also be due to differences in how child age was assessed--for example, whether child age refers to age at time of abuse or time of referral. Variation was also observed in the racial composition among minorities, which is likely attributable to the ethnic composition of the respective sites within which the samples were obtained. Finally, the type of abuse could not be compared across these studies because of differences in categorization and reporting of data.

The rate of acceptance for prosecution in our data (61 percent) was comparable to the findings of the BJA and ABA studies,⁴⁵ but much lower than the 90 to 95 percent rates for sexual assault and other sex offenses from four states reported in the findings of the Offender-Based Transaction Statistics analysis.⁴⁶ Possible explanations of this gap include differences in the research methods used in the OBTS study, possible under-reports of referrals in the OBTS study, or changes in the willingness of professionals to refer cases for prosecution because of heightened awareness of child sexual abuse and more aggressive prosecutors. Analysis of the characteristics of our sample suggest that many of the cases that were referred were difficult to prosecute: most involved intrafamilial relationships, 46

percent involved neither penile penetration nor oral-genital contact, 43 percent involved single incidents, and 57 percent involved abuse of one month or less. Our data suggest that the prosecutors' offices in our sample received a wide variety of cases that required them to do a significant amount of screening.

FACTORS ASSOCIATED WITH ACCEPTANCE FOR PROSECUTION

The first prosecutorial decision that crucially influences case outcome is whether to accept or decline a case for prosecution. An important component of our analysis, therefore, is to examine what types of cases are accepted for prosecution and what types are declined. The discussion below examines a number of factors associated with acceptance for prosecution: child characteristics, perpetrator characteristics, nature and severity of abuse, case reporting and substantiation, and nature of prosecution evidence.

Data analysis involved simple comparison of accepted and rejected cases in terms of percentages, means, and medians (for continuous variables that did not meet the assumptions underlying parametric tests) on single variables. For categorical variables, contingency tables were constructed, the odds of acceptance for prosecution were calculated at different levels of the independent variable, and Pearson's chi square statistic was calculated to test the null hypothesis of independence between the two variables. For 2 X 2 tables, odds ratios were calculated as well. An odds ratio of 1 indicates that there is no difference in the odds of acceptance for prosecution; an odds ratio greater than 1 or less than 1 indicates increased likelihood and decreased likelihood of acceptance for prosecution, respectively. For continuous variables that met parametric assumptions, analyses of variance were conducted to test whether means were significantly different. Several continuous variables had skewed distributions; the Wilcoxon rank sum test, a non-parametric analogue of the t-test, was used to compare the distributions of accepted cases and rejected cases for these variables.

The preliminary analysis is exclusively bivariate and thus, given the complexity of the phenomena studied, must be considered exploratory at this stage in the research. Future analyses will employ multivariate techniques to explore the effects of numerous variables considered together, and thus provide a more realistic model of the interplay of factors related to prosecution.

Readers should take caution in interpreting these results: statistical relationships may not result from a causal relationship between the variables. A factor may be causally related to the decision to prosecute, or the statistical association may be due to some third factor(s), or, in some cases, the decision to prosecute may help cause the case characteristic.

Child Victim Characteristics

The relationship between child characteristics and acceptance for prosecution is presented in Table 3.6. Only one significant difference appeared between cases that were accepted for prosecution and those that were declined: victims in accepted cases were on average almost two years older than victims in cases that were declined. Only 34 percent of cases involving pre-schoolers (age 4 to 6) were accepted, versus 69 percent of cases involving elementary school children (age 7 to 12) and 68 percent of cases in which the victims were teenagers (age 13 to 17). Cases in which children were placed in a relative's home appeared to be less likely to be prosecuted.

Perpetrator Characteristics

The relationship between perpetrator characteristics and acceptance for prosecution is presented in Table 3.7. Three perpetrator characteristics were significantly related to acceptance for prosecution: race/ethnicity, perpetrator relationship to child, and perpetrator substance abuse. White perpetrators were more likely to be prosecuted than African-American or Hispanic perpetrators. The interpretation of this finding is unclear, however, as it may reflect a host of differences between cases involving perpetrators from different races and ethnic groups, and thus may be a function of other variables. Further data analysis will be conducted to clarify this relationship.

The nature of the relationship between the perpetrator and the victim had a complicated association with acceptance for prosecution. Considered as a group, intrafamilial cases were no more likely to be prosecuted than extrafamilial cases. However, when the specific relationship was examined further, differences did emerge. Only a minority of biological parents (overwhelmingly fathers) and mothers' boyfriends were prosecuted, compared to 50 percent or more in every other category. In contrast to biological fathers and mothers' boyfriends, over three-quarters of step-parents (also overwhelmingly male) were prosecuted. A majority of cases was prosecuted in every other intrafamilial relationship category as well, including uncles, grandparents, and other relatives.

Evidence in case records of perpetrators having a substance abuse problem (either alcohol, drugs or both) was highly related to acceptance for prosecution. The acceptance rate for substance-abusing perpetrators was much higher than for perpetrators without evidence of substance abuse. It is not clear, however, to what extent this finding reflects real differences between perpetrators in accepted versus rejected cases. It is possible that perpetrators charged with sexual abuse are likely to raise a drinking or drug habit as a defense, or that accepted cases are investigated more thoroughly, increasing the likelihood that substance abuse would be discussed in case records. Indeed, for convicted defendants, pre-sentence investigations including social history are often the norm.

There was also a trend toward prior criminal record being associated with acceptance for prosecution, and a trend toward female perpetrators being less likely to be prosecuted.

Table 3.6
Relationship of Victim Characteristics to Acceptance for
Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS (N=431)			Prosecutor Decision		Odds of Acceptance	Odds Ratio	
			% Accepted	% Declined			
Gender	Male	(N= 48)	54%	46%	1.18 : 1	0.75	
	Female	(N= 377)	61%	39%	1.58 : 1		
Age (mean years)****			11.0	9.2			
Race/Ethnicity	White	(N= 295)	63%	37%	1.70 : 1		
	African American	(N= 77)	55%	46%	1.20 : 1		
	Hispanic	(N= 33)	55%	46%	1.20 : 1		
	Other	(N= 8)	75%	25%	3.00 : 1		
Victim Residence in County	Yes	(N= 407)	60%	40%	1.53 : 1	0.56	
	No	(N= 17)	73%	27%	2.75 : 1		
Handicaps	Yes	(N= 40)	60%	40%	1.50 : 1	0.98	
	No	(N= 378)	61%	39%	1.54 : 1		
Pretrial Placement (All that apply)	Relative home+	Yes	(N= 32)	47%	53%	0.88 : 1	0.54 +
		No	(N= 383)	62%	38%	1.62 : 1	
	Foster home	Yes	(N= 43)	65%	35%	1.87 : 1	1.24
		No	(N= 372)	60%	40%	1.51 : 1	
	Institution	Yes	(N= 31)	71%	29%	2.45 : 1	1.64
		No	(N= 384)	60%	40%	1.49 : 1	
Child Removed from Home	Yes	(N= 56)	70%	30%	2.29 : 1	1.58	
	No	(N= 369)	59%	41%	1.44 : 1		
Placed Victims Returned	Yes	(N= 27)	67%	33%	2.00 : 1	1.83	
	No	(N= 46)	52%	48%	1.09 : 1		

Note: Preliminary analysis was restricted to cases with single victims and single perpetrators.

+ p<.10	* p<.05	** p<.01	*** p<.001	**** p<.0001
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Table 3.7
Relationship of Perpetrator Characteristics to Acceptance for
Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS			Prosecutor Decision		Odds of Acceptance	Odds Ratio
			(N=431)	% Accepted		
Gender+	Male	(N= 416)	61%	39%	1.57 : 1	3.15 +
	Female	(N= 9)	33%	67%	0.50 : 1	
Age (mean years)			35.0	33.3		
Race/Ethnicity*	White	(N= 267)	65%	35%	1.84 : 1	
	African American	(N= 89)	51%	49%	1.02 : 1	
	Hispanic	(N= 47)	57%	43%	1.35 : 1	
	Other	(N= 12)	83%	17%	4.99 : 1	
Occupation	Non-professional	(N= 138)	66%	34%	1.94 : 1	
	Unemployed	(N= 81)	68%	32%	2.12 : 1	
	Professional/Managerial	(N= 17)	76%	24%	3.25 : 1	
	Retired	(N= 11)	91%	9%	10.00 : 1	
	Other	(N= 88)	68%	32%	2.09 : 1	
Education	More than H.S.	(N= 50)	93%	7%	13.08 : 1	
	High School	(N= 61)	85%	15%	5.76 : 1	
	Less than H.S.	(N= 84)	88%	12%	7.33 : 1	
Prior Criminal Record+	Yes	(N= 155)	71%	29%	2.45 : 1	1.96 +
	No	(N= 223)	56%	44%	1.25 : 1	
# Priors (mean)			1.4	1.2		
Prior Record of Sex Crimes	Yes	(N= 43)	72%	28%	2.58 : 1	1.44
	No	(N= 338)	64%	36%	1.79 : 1	
# Sex Crimes (mean)			0.2	0.1		
Substance Abuse****	None	(N= 316)	54%	46%	1.18 : 1	
	Alcohol	(N= 64)	83%	17%	4.81 : 1	
	Drugs	(N= 21)	67%	33%	2.00 : 1	
	Both	(N= 22)	82%	18%	4.49 : 1	
Relationship to Victim (Dichotomous)	Extrafamilial	(N= 181)	64%	37%	1.74 : 1	1.24
	Intrafamilial	(N= 293)	58%	42%	1.40 : 1	

Note: Preliminary analysis was restricted to cases with single victims and single perpetrators.

+ p<.10	* p<.05	** p<.01	*** p<.001	**** p<.0001
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Table 3.7 (continued)
 Relationship of Perpetrator Characteristics to Acceptance for
 Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS	(N=431)	Prosecutor Decision		Odds of Acceptance	Odds Ratio
		% Accepted	% Declined		
Relationship to Victim***(breakdown)					
Biological Parent	(N= 59)	41%	59%	0.69 : 1	
Adoptive Parent	(N= 5)	80%	20%	4.00 : 1	
Stepparent	(N= 54)	76%	24%	3.15 : 1	
Mother's Boyfriend	(N= 62)	48%	53%	0.90 : 1	
Uncle	(N= 14)	68%	32%	2.10 : 1	
Grandparent	(N= 19)	58%	42%	1.38 : 1	
Sibling	(N= 8)	88%	13%	7.00 : 1	
Other Relative	(N= 22)	67%	33%	2.00 : 1	
Acquaintance	(N= 122)	68%	33%	2.08 : 1	
Service Provider	(N= 24)	50%	50%	1.00 : 1	
Stranger	(N= 15)	67%	33%	2.00 : 1	
Other	(N= 20)	50%	50%	1.00 : 1	

* p<.10	* p<.05	** p<.01	*** p<.001	**** p<.0001
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Nature and Severity of Abuse

Several indices of the severity of the abuse were significantly related to the decision to prosecute (see Table 3.8). Abuse of longer than one month's duration, use of force, and severity of abusive acts were associated with increased likelihood of prosecution. Cases involving multiple incidents showed trends toward greater prosecution. Of all the types of abuse alleged, only oral-genital contact significantly increased the likelihood of prosecution. Moreover, when oral-genital contact was the most severe form of abuse, a much higher proportion of cases were prosecuted than if the most severe abuse was another type, including penetration. Cases with and without penetration were about equally likely to be prosecuted.

Alcohol use during the incident was significantly related to acceptance for prosecution. This finding may reflect the severity of incidents perpetrated under the influence of alcohol or perpetrators' claims of alcohol use as a defense; alternatively, alcohol use may be more frequently detected in accepted cases because they are more thoroughly investigated than declined cases. There was also a trend toward location of abuse in the home of a child's relative (other than the perpetrator) being related to acceptance for prosecution.

Case Reporting and Substantiation

Several characteristics of case reporting and substantiation were related to acceptance for prosecution (see Table 3.9). When the first person notified about the abuse was a family member, friend or acquaintance, cases were more likely to be prosecuted than if the first person notified was affiliated with an institution. When social services departments were the first government agency notified, about half of cases were prosecuted as opposed to two-thirds of cases when law enforcement agencies were notified first. In Erie County, the only site in which social services regularly referred cases for prosecution, cases referred by law enforcement to the prosecutor were much more likely to be prosecuted than cases referred by social services departments. The nature of the relationship between case reporting and the decision to prosecute will be investigated further in subsequent data analyses. The possibility that these relationships reflect differences in case mix is quite real. For example, in cases in which a member of an institution is notified first rather than a family member, the nature of the relationship between the child and the perpetrator is likely to differ. Similarly, cases in which social services is notified first may be more likely to involve intrafamilial perpetrators than others.

Cases that were referred to prosecutors' offices more promptly after being reported were more likely to be accepted than cases referred less promptly. For example, 73 percent of cases that were referred within one week after being reported were accepted, as compared to 51 percent that were referred within two months and 40 percent that were referred within three months. Curiously, fairly high percentages of cases referred after three months were accepted, but small sample sizes make this result difficult to interpret. These results may also be a function of the nature of cases that require longer investigations.

Table 3.8
Relationship of Abuse Characteristics to Acceptance for
Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS			Prosecutor Decision		Odds of Acceptance	Odds Ratio
			% Accepted	% Declined		
Types of Abuse	Penetration (excludes Digital-Vaginal)	Yes (N= 156)	58%	42%	1.36 : 1	0.83
		No (N= 269)	62%	38%	1.64 : 1	
	Oral Genital*	Yes (N= 121)	69%	31%	2.27 : 1	1.72 *
		No (N= 304)	57%	43%	1.32 : 1	
	Digital-Vaginal	Yes (N= 129)	63%	37%	1.69 : 1	1.15
		No (N= 296)	60%	41%	1.47 : 1	
	Other	Yes (N= 330)	62%	38%	1.64 : 1	1.36
		No (N= 95)	55%	45%	1.21 : 1	
Most Severe Abuse*	Penetration (excludes Digital-Vaginal)	(N= 156)	58%	42%	1.36 : 1	
		Oral Genital (N= 68)	77%	24%	3.26 : 1	
		Digital-Vaginal (N= 58)	57%	43%	1.33 : 1	
		Other (N= 135)	57%	43%	1.33 : 1	
Use of Force+	None Threat of Force Mild Force Violent Force	(N= 227)	56%	45%	1.25 : 1	
		(N= 34)	62%	38%	1.62 : 1	
		(N= 141)	67%	33%	2.00 : 1	
		(N= 21)	76%	24%	3.20 : 1	
Use of Force* (Dichotomous)		Yes (N= 197)	67%	34%	1.99 : 1	1.59 *
		No (N= 227)	56%	45%	1.25 : 1	
Use of Weapon		Yes (N= 11)	64%	36%	1.75 : 1	1.15
		No (N= 412)	60%	40%	1.53 : 1	
Number of Incidents+	Multiple Incidents	(N= 242)	64%	36%	1.76 : 1	1.24 +
		(N= 182)	56%	40%	1.41 : 1	
	# Incidents (median)		1	1		
		# Incidents (mean)		4.2	2.5	
Duration of Abuse	One Month or Less Two to Six Months Seven to Twelve Months More than 1 Year	(N= 235)	57%	43%	1.33 : 1	
		(N= 45)	73%	27%	2.75 : 1	
		(N= 20)	65%	35%	1.86 : 1	
		(N= 114)	65%	35%	1.85 : 1	
	# Months/(median)+ (Cases >1 Incident)		12	4		

Note: Preliminary analysis was restricted to cases with single victims and single perpetrators.

+ p<.10 * p<.05 ** p<.01 *** p<.001 **** p<.0001

Table 3.8 (continued)
Relationship of Abuse Characteristics to Acceptance for
Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS	(N=431)	Prosecutor Decision		Odds of Acceptance	Odds Ratio
		% Accepted	% Declined		
Duration of Abuse* (Dichotomous)					
< 1 Month	(N= 235)	57%	43%	1.33 : 1	0.65
> 1 Month	(N= 179)	67%	33%	2.03 : 1	
Alcohol Use During Incidents***					
Yes	(N= 79)	78%	22%	3.48 : 1	2.82
No	(N= 329)	55%	45%	1.24 : 1	
Drug Use During Incidents					
Yes	(N= 36)	69%	31%	2.27 : 1	1.54
No	(N= 386)	60%	40%	1.48 : 1	
Location of Abuse (all that apply)					
Victim's Home					
Yes	(N= 67)	57%	43%	1.31 : 1	0.83
No	(N= 358)	61%	39%	1.58 : 1	
Perpetrator's Home					
Yes	(N= 139)	63%	37%	1.72 : 1	1.19
No	(N= 286)	59%	41%	1.44 : 1	
Shared Home					
Yes	(N= 163)	60%	41%	1.47 : 1	0.94
No	(N= 262)	61%	39%	1.57 : 1	
School/ Day Care					
Yes	(N= 9)	56%	44%	1.25 : 1	0.81
No	(N= 416)	61%	39%	1.54 : 1	
Relative Home+					
Yes	(N= 13)	85%	15%	5.49 : 1	3.71
No	(N= 412)	60%	40%	1.48 : 1	
Other					
Yes	(N= 59)	66%	34%	1.95 : 1	1.32
No	(N= 366)	60%	40%	1.48 : 1	

+ p<.10	* p<.05	** p<.01	*** p<.001	**** p<.0001
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Table 3.9
Relationship of Case Characteristics to Acceptance for
Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS	(N=431)	Prosecutor Decision		Odds of Acceptance	Odds Ratio
		% Accepted	% Declined		
Child Disclosed	Yes (N= 357)	62%	38%	1.60 : 1	0.99
	No (N= 55)	62%	38%	1.62 : 1	
First Person Notified*					
Family	(N= 240)	62%	38%	1.64 : 1	
Friend/Acquaintance	(N= 54)	78%	22%	3.50 : 1	
Institution	(N= 89)	53%	47%	1.12 : 1	
First Government Agency Notified**					
Social Services	(N= 170)	51%	49%	1.02 : 1	0.52 **
Law Enforcement	(N= 248)	67%	34%	1.99 : 1	
Time from Last Incident to Report					
Within 1 week	(N= 200)	65%	35%	1.86 : 1	
Within 1 month	(N= 68)	65%	35%	1.83 : 1	
Within 2 months	(N= 30)	60%	40%	1.50 : 1	
Within 3 months	(N= 12)	67%	33%	2.00 : 1	
Within 6 months	(N= 24)	54%	46%	1.18 : 1	
Within 1 year	(N= 18)	56%	44%	1.25 : 1	
More than 1 year	(N= 34)	68%	32%	2.09 : 1	
# Days (median)		6	7.5		
# Days (mean)		98.1	84.0		
Agency Referring to Prosecution**					
Social Services	(N= 26)	35%	65%	0.53 : 1	0.32 **
Law Enforcement	(N= 399)	62%	38%	1.65 : 1	
Time from Report to DA Referral**					
Within 1 week	(N= 114)	73%	27%	2.68 : 1	
Within 1 month	(N= 154)	60%	40%	1.53 : 1	
Within 2 months	(N= 83)	51%	49%	1.02 : 1	
Within 3 months	(N= 30)	40%	60%	0.67 : 1	
Within 6 months	(N= 16)	75%	25%	3.00 : 1	
Within 1 year	(N= 3)	67%	33%	2.00 : 1	
More than 1 year	(N= 3)	67%	33%	2.00 : 1	
# Days (median)**		14	24		
# Days (mean)**		29.0	34.5		
Medical Exam					
Yes	(N= 186)	62%	38%	1.65 : 1	1.06
No	(N= 238)	58%	37%	1.56 : 1	

Note: Preliminary analysis was restricted to cases with single victims and single perpetrators.

+ p<.10	* p<.05	** p<.01	*** p<.001	**** p<.0001
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Table 3.9 (continued)
Relationship of Case Characteristics to Acceptance for
Prosecution in the Prospective Abstraction Sample

CHARACTERISTICS			Prosecutor Decision		Odds of Acceptance	Odds Ratio
			% Accepted	% Declined		
Time from DA b Referral to DA File Opened	Within 1 week	(N= 322)	63%	37%	1.68 : 1	
	Within 1 month	(N= 60)	52%	48%	1.07 : 1	
	Within 2 months	(N= 13)	69%	31%	2.25 : 1	
	Within 3 months	(N= 4)	50%	50%	1.00 : 1	
	Within 6 months	(N= 3)	67%	33%	2.00 : 1	
	# Days (median)		0	0		
# Days (mean)		5.8	6.6			
Nature of Prosecution Evidence (all that apply)						
Physical***	Yes	(N= 37)	89%	11%	8.26 : 1	6.01 *
	No	(N= 382)	58%	42%	1.38 : 1	
Medical	Yes	(N= 47)	65%	35%	1.83 : 1	1.29
	No	(N= 286)	59%	41%	1.42 : 1	
Psychological	Yes	(N= 47)	65%	35%	1.86 : 1	
	No	(N= 299)	59%	41%	1.43 : 1	
Fresh Complaint***	Yes	(N= 68)	82%	18%	4.68 : 1	3.62 *
	No	(N= 351)	56%	44%	1.29 : 1	
Eyewitness*	Yes	(N= 65)	74%	26%	2.82 : 1	2.02 *
	No	(N= 354)	58%	42%	1.39 : 1	
Confession****	Yes	(N= 135)	90%	10%	9.42 : 1	10.83 *
	No	(N= 284)	47%	54%	0.87 : 1	
Victim Interview*	Yes	(N= 219)	56%	44%	1.26 : 1	0.65 *
	No	(N= 200)	66%	34%	1.94 : 1	

b Chi square test results are not valid on this contingency table because of excessive small expected frequencies.

+ p<.10	* p<.05	** p<.01	*** p<.001	**** p<.0001
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Nature of Prosecution Evidence

Case abstractors coded the nature of the evidence that was available to prosecutors, and the relationship of this evidence to acceptance for prosecution was examined (see Table 3.9). It should be noted that these relationships often varied considerably among sites, which will be explored in future data analysis on this sample. The analyses reported here examine whether particular types of evidence, considered in isolation, were significantly related to acceptance for prosecution.

Relationships between certain types of evidence and increased odds of acceptance were substantial. When physical evidence was present, almost 90 percent of cases were accepted versus under 60 percent when it was absent. When fresh complaint or excited utterance evidence was available, which essentially only applied to Ramsey and San Diego Counties, over 80 percent of cases were prosecuted versus under 60 percent when it was not available. Confession by the perpetrator was extremely highly related to the decision to prosecute: 90 percent of cases were prosecuted when it was present, compared to just under half when it was not. It was not always possible in this sample, however, to determine if the confession came before or after the decision to prosecute, so these data do not necessarily suggest that confession "predicts" acceptance for prosecution.

Although the reliance on victim interview evidence may truly influence prosecutors to decline a case, there is a plausible alternative explanation for this negative association. It may also be a confound stemming from the fact that the two sites (Erie and Polk Counties) that were rated as relying on victim interview evidence in a large number of cases also had somewhat lower prosecution rates. It should also be noted that differences between sites in the proportion of cases relying on victim interview evidence may simply reflect site differences in record-keeping or case abstraction practices, and not necessarily differences in case processing. The exact relationship between victim interview evidence and acceptance for prosecution will be examined further in future analyses.

Summary and Discussion

A number of factors were related to the decision to accept a case for prosecution. Children in accepted cases were older than children in declined cases. White perpetrators were more likely to be prosecuted than black or Hispanic perpetrators, although this may be an artifact of a range of differences between the cases in these categories. Only a minority of fathers and mothers' boyfriends were prosecuted, compared to 50 percent or more in every other category of perpetrator relationship to victim. Several indices of severity of abuse were significantly related to acceptance for prosecution. Examining the presence or absence of specific forms of abuse, only allegations of oral-genital contact were significantly related to the decision to prosecute. Both substance abuse generally and alcohol use during the incident were significantly related to acceptance, although this may be an artifact reflecting the effects of prosecution on the type of information that perpetrators or investigators produce about an incident.

Several characteristics of case reporting and substantiation were related to higher rates of acceptance for prosecution, including initial notification of a person known to the victim versus an institution, the first agency notified or the referring agency (in Erie County) being law enforcement rather than social services, and promptness of referrals to prosecution after reporting. The presence of several types of evidence was related to the decision to prosecute, especially perpetrator confession, physical evidence, and fresh complaint or excited utterance evidence. The coding of victim interview evidence was associated with a greater likelihood of declining a case for prosecution, although this may be an artifact of site differences in case record abstraction or record keeping.

The greater likelihood that cases with older child victims were prosecuted is consistent with previous research.⁴⁷ It appears that prosecutors are much less willing to accept cases involving preschoolers, although the extent to which this reflects the nature of the crime, the quality of evidence, or concern about the child victim is unclear. Future analyses will attempt to disentangle these effects by examining, for example, the relationship between the psychological status of children and the prosecutor's decision to accept the case. The finding that cases involving teenaged victims were equally likely to be prosecuted as cases involving 7- to 12-year-old children contrasts with Finkelhor's finding that these cases were less likely to be prosecuted.⁴⁸ This may reflect changes in societal attitudes during the approximately 10 years between the two studies, or may be specific to the four sites involved in our study.

The finding that a minority of biological fathers and mothers' boyfriends were prosecuted while majorities were prosecuted in most other categories is consistent with, but more specific than, Finkelhor's finding that extrafamilial cases were more likely to be prosecuted than intrafamilial cases.⁴⁹ It is hard to compare our finding to the ABA study's finding that parents were less likely to be prosecuted than non-parents⁵⁰ because the ABA study did not distinguish between biological parents and step-parents. The lower prosecution rates for biological fathers and mothers' boyfriends may be related to the nature of their relationship with the child's mother, whose support may be crucial for successful prosecution. This, however, fails to explain higher prosecution rates for stepfathers. Future analyses will examine the association between perpetrator's relationship to the child and acceptance for prosecution in more detail, examining, for example, the role of maternal support. There was only a trend toward higher prosecution rates for perpetrators with a prior criminal record, which deviates considerably from Finkelhor's findings, where it was "one of the single best predictors of prosecution."⁵¹

The relationship between severity of abuse and the likelihood of prosecution appears to be straightforward. More severe cases are more heinous, perhaps easier to gain conviction and therefore more likely to be accepted for prosecution. The statistical trend toward slightly greater prosecution of cases with multiple incidents is not as strong as the ABA study's finding that multiple incident cases were much more likely to be prosecuted.⁵² The fact that penetration was unrelated to acceptance for prosecution is not easily explained, and contrasts with the ABA study's findings of much higher rates of prosecution for sodomy and intercourse.⁵³ The significant relationship between oral-genital contact and prosecution is

similarly perplexing; this category of abuse was not examined separately in the ABA study. Future analyses will need to examine a range of variables that may help explain the relationship between type of abuse and prosecution, including age of child, perpetrator relationship to child, and frequency and duration of abuse. In addition, an interesting area of inquiry is prosecutors' assessment of the credibility of allegations of different types of abuse in jury trials. Finally, while the present analysis was limited to presence or absence of single types of abuse, future analyses will examine profiles of types of abuse and their relationship to acceptance for prosecution.

The explanation for the association of reports of substance abuse and alcohol use during abusive incidents with acceptance for prosecution is unclear. It may reflect an actual effect of alcohol use on the nature of the victimization, or may reflect greater attention to the issue of alcohol use during the alleged incident once a case is accepted. The finding suggests that the role of substance abuse in the incidence of child sexual abuse and in the treatment of the sexual offender deserves greater attention in future research.

The relationship of several case reporting and substantiation variables to acceptance for prosecution suggests that *how* a case is handled may play a crucial role. It is unclear why cases that are disclosed to institutional personnel are less likely to be prosecuted than other cases, but it may be related to maternal support for the victim. The association between the involvement of social services and cases being declined is consistent with previous research.⁵⁴ Future analyses will need to examine the extent to which this is an effect of social services intervention or the nature of cases with social services involvement, which are more likely to be intrafamilial cases. Similarly, additional analyses will need to examine whether the association between the time between reporting and referral to prosecutors and acceptance for prosecution reflects slower institutional handling of cases or differences between cases that take a long versus a short time to investigate.

The findings on evidence are only suggestive at this point. They appear to indicate, however, that, despite legal innovations to make victim testimony more useful to prosecutors, the availability of victim testimony is not related to acceptance for prosecution. Acceptance is instead associated with fresh complaints/excited utterances and with some more traditional forms of evidence, for example, confessions and physical and eyewitness evidence. The difficulty, of course, is that some of these types of evidence are available in only small proportions of cases (e.g., in this sample, physical evidence, 9 percent; eyewitness evidence, 15 percent).

Many of the findings of the analysis of the prospective abstraction sample are similar to the findings of the retrospective analysis of data from two years earlier in two sites (see Appendix B). This suggests that a number of findings were reliable over time, at least in Polk and San Diego Counties. The following findings from the reduced retrospective sample analysis were consistent with findings from the analysis of the prospective abstraction sample:

- cases involved severe abuse
- several indices of severity were significantly related to acceptance for prosecution, including the type of abuse
- allegations of penetration were not significantly related to acceptance for prosecution, but allegations of oral-genital contact were, and cases were more likely to be accepted if oral-genital contact was the most severe abuse alleged
- both perpetrator substance abuse and alcohol use during sexual abuse incidents were significantly related to acceptance for prosecution
- perpetrator confession was highly related to acceptance for prosecution

Several differences existed between the findings of the reduced retrospective sample and the prospective sample, but further analyses are needed to disentangle the effects of actual changes in the sites versus effects due to the differences in the sites included in the two samples.

This analysis has shed some light on the nature of cases that are referred for sexual abuse prosecution. Preliminary examination of the relationship between case characteristics and the prosecutors' critical first decision to accept or decline a case for prosecution have been described. A number of factors are identified that relate to prosecutorial decision making. Future analyses will examine these relationships in more detail, through comprehensive multivariate models that attempt to capture the rich complexity of this decision-making process.

CHAPTER FOUR

THE IMPACT OF THE COURTS ON THE CHILDREN

DESIGN OVERVIEW

A major goal of the Child Victim as Witness Research and Development Program has been to characterize the impact of the court process on the children through direct interviews with the children and their parents. The child component of the study was a cohort study in which children who had been reported to a prosecutor's office for sexual abuse or sexual assault were interviewed immediately and again nine months later. Standard measures with known validity and reliability were used to assess the children's mental health status. At the follow-up interview we also obtained data about all court-related experiences, therapy, and residence changes that had occurred in the interim. The analysis strategy was to examine differences in the pattern of resolution of mental distress in the children as a function of the investigation, court proceedings, and therapeutic efforts made in each case.

Subjects

In general, all sexually abused children, aged 4 to 17 years, reported to the prosecutors' offices in the four study counties over a 16 to 18 month period ending on December 15, 1989 were eligible for inclusion. In one county, San Diego, the sample was restricted to an upper age of 13 years for the first four months for procedural reasons, and then expanded to 17 years when it became apparent that the number of cases to be enrolled was going to be smaller than projected. Exclusion criteria included parental or child refusal to consent to the study, inability of the parent to understand the consent process, or inability of the child to understand the interview questions. All study procedures were approved by Institutional Review Boards (IRBs) either at the local site, or in the case of Des Moines where no local IRB was available, by the IRB at the University of North Carolina. Informed consent was obtained from each parent/guardian and from children over age 11 in Polk and Erie Counties and children over age 7 in Ramsey and San Diego Counties. Records were maintained of refusals so the study subjects could be compared to those refusing participation.

We proposed to obtain 200 subjects at each of four sites for a total of 800 subjects in order to have sufficient statistical power to examine the wide variety of potential experiences that children might have in the criminal justice system. Despite the selection of sites with large urban centers that could provide access to large samples, actual recruitment of subjects proceeded much slower than we anticipated. We extended the recruitment phase from 12 months to 18 months (June 1988 through December 1989) to expand the sample size as much as possible, with the result that we were able to recruit 289 subjects. Reasons for the relatively small sample included parental refusals (33 percent), inability to locate referrals (e.g., no phones, unlisted numbers, changed addresses, no response to letters) in 23 percent of the cases, and a 7-percent "repeat no-show" rate.

Procedures

We elicited the cooperation of the county or state social service department, the police and/or sheriff's department, and the prosecutor's office in each of the four jurisdictions. Children were identified as early as possible after their cases were referred to the prosecutor's office. Prosecutor records were reviewed weekly to obtain the names and addresses of victims. When possible, old addresses were updated from social service records. An introductory letter was mailed to the child's parent/guardian, followed by a telephone call from the interviewer who further described the study and invited the parent and child to participate. Interviews were generally conducted in university offices, space in child advocacy organizations affiliated with children's hospitals, in nongovernmental family services offices, or in the child's residence. We used specially trained interviewers who had prior or concurrent work experience in the area of child mental health. The parent and child were paid a combined fee of approximately \$20 for the initial interview, which lasted from 60 to 90 minutes.

The families were re-contacted eight to nine months later for the second interview and a return appointment was made. At this time, we also invited the mothers of the victims to participate in an adjunct study of maternal support, an ancillary and separately funded research project to identify factors that influence a mother's supportive behavior following the discovery that her child has been sexually abused, and how her support affects her child and the institutional responses to the abuse. If the mother consented, we conducted the Time 2 assessment with two interviewers, one who interviewed the child while the other interviewed the mother in a separate room. The child's interview was essentially a reassessment using the same instruments employed at Time 1. The only difference in the follow-up data collection for the child was the substitution of an interventions questionnaire for the earlier background summary. The child's second interview was reimbursed at the same rate as the initial interview, while the mothers were reimbursed \$40 for their participation in the maternal support study.

Within two weeks after collection, the interview data were stripped of names and mailed to the University of North Carolina where they were coded, entered, verified, and cleaned. These data were then merged with the legal record data collected by EDC's case abstractors to create a combined analysis file.

Measures

Finkelhor and Browne⁵⁵ have proposed that the traumagenic dynamics (or trauma-causing factors) of sexual abuse can be conceptualized as traumatic sexualization, stigmatization, betrayal, and powerlessness. It has been suggested that societal interventions, such as criminal court involvement, may continue to traumatize child victims with similar dynamics, or if implemented with care and sensitivity, may begin to decrease sexual problems, enhance self-esteem, empower the child, and restore feelings of trust.⁵⁶ We selected instruments to measure important aspects of these factors, and administered them soon after the disclosure

of the sexual abuse, and again nine months later. While trauma related to the abuse and all other pre-existing conditions would be captured in Time 1 scores, we would be able to look at symptom resolution or exacerbation at Time 2 and relate the degree of change to intervening events.

Because of the broad age range of subjects, the battery of assessment measures varied by child's grade with separate, but overlapping protocols for preschool through kindergarten, grades 1 and 2, grades 3 to 6, and grades 7 to 12. Table 4.1 lists the measures selected for the initial and follow-up interviews.

The primary measure of child mental health functioning for the study was the *Child Assessment Schedule (CAS)*,⁵⁷ a semi-structured psychiatric interview with considerable psychometric evidence attesting to its interrater reliability,^{58,59,60,61} test-retest reliability,⁶² and validity.^{63,64} It was administered to children who were in the third grade or higher at the initial and follow-up interviews. Dr. Kay Hodges, the principal developer of the CAS, trained our interviewers in administration and scoring. This "child-friendly" measure consists of 189 questions with standardized probes, organized in content areas, including: school, friends, activities, fears, worries, self-image, family, somatic complaints, mood, and conduct disorder. It is possible to generate a total psychopathology score, as well as scores for the various content areas, and scores for symptom scales such as depression and anxiety, which are derived from items embedded within the content scales. We modified the original instrument by adding brief content areas of memories of abuse and future orientation. We also modified the format of the conduct disorders section.

From the CAS, a number of subscales could be viewed as related to the traumagenic dynamics of sexual abuse or sexual abuse intervention. For example, the Self-image Scale could be conceptualized as related to stigmatization; the Fears, Anxiety, and Conduct Disorder Scales as related to powerlessness; and the Depression Scale as an indicator of feelings of betrayal. It is important to note, however, that there is not a one-to-one correspondence between the postulated dynamics and effects on child mental health. For example, feelings of betrayal by a trusted adult may be an important dynamic underlying a child's depression, but feelings of stigmatization and powerlessness could also contribute to depressive symptomatology.

Table 4.1

Summary of Child Assessment Measures

<u>DOMAIN</u>	<u>RESPONDENT</u>	<u>INSTRUMENT</u>
Demographics, Family Problems	Parent	Background Summary
Child's Verbal Intelligence	Child (ALL)	PPVT-R
Maternal Support	Child/Parent	PRADS
Child's Mental Health Status		
Global Functioning	Parent (ALL) Parent (4-5 y.o.) Child (8-17 y.o.)	CBCL-P Preschool Behavior Checklist CAS
Traumatic Sexualization	Parent (4-11 y.o.) Child (12-17 y.o.)	Child Sexual Behavior Inv. Adolescent Sexuality Inventory
Stigmatization	Child (4-17 y.o.) Child (8-17 y.o.)	Perceived Competence Scales CAS Self-Concept Scale CAS Depression Scale
Powerlessness	Child (6-17 y.o.) Child (8-17 y.o.)	Nowicki-Strickland CAS Fears/Anxiety Scale CAS Conduct Disorder Scale
Betrayal	Child (8-17 y.o.)	CAS Depression Scale CAS Depression Scale
Legal/Social Interventions	Parent/Child (ALL)	Interventions Stressors Inven.

A second measure, administered to the caretakers of all the children, was the *Child Behavior Checklist-Parent Form (CBCL-P)*.⁶⁵ This measure examines child mental health through parent report. It has been used extensively in prior research, including child sexual abuse research. We have examined this instrument's performance previously and raised concerns about its use, as well as the use of *all* parent reports, in studies of parental maltreatment.⁶⁶ However, it is one of only a small number of instruments that can be used to assess functioning in the very young child, as well as functioning across a broad age range of children (4 to 17 years old). Aside from the Peabody Picture Vocabulary Test-Revised, it is the only measure we were able to use with every child in our sample. To supplement the parents' CBCL report on young children, we also used Richman and Graham's *Preschool Behavior Checklist*.⁶⁷ It is a 20-item checklist that focuses on behavior problems in younger children.

The *Peabody Picture Vocabulary Test-Revised (PPVT-R)*,⁶⁸ a short, well-studied measure of receptive vocabulary, was used as a gross measure of cognitive functioning because of evidence that vocabulary is one of the best single predictors of IQ.

Traumatic sexualization was assessed in children from 4 to 12 years of age with the *Child Sexual Behavior Inventory* by Friedrich.⁶⁹ This 35-item parent report is used to measure the sexualization of the children, by comparing sexual behavior scores to those of a normative sample of 880 children. Children older than age 12 years completed the *Adolescent Sexuality Inventory*, which we developed to assess past and current sexual activity as well as attitudes toward physical intimacy and sexuality. The Adolescent Sexuality Inventory was completed only at the follow-up assessment.

Powerlessness may be manifested in anxiety, acting out, and/or attributing control of reinforcements to external sources. We used the *Children's Nowicki-Strickland Internal-External Scales* (CNSIE; separate forms for grades 1 through 6 and 7 through 12)⁷⁰ to assess the children's locus of control. When individuals perceive that occurrences in their lives are the result of luck, fate, or under the control of powerful others, they are labeled as having a more external locus of control. On the other hand, belief that events are contingent upon one's own behavior and relatively permanent characteristics is termed internal control. Research suggests that locus of control becomes more internal with age, and the CNSIE provides age norms. Other possible manifestations of a sense of powerlessness were assessed by the CAS fears/anxiety and conduct disorder subscales.

Stigmatization refers to negative connotations (e.g., badness, shame, and guilt) that are communicated to the child and then become incorporated in the child's self-concept.⁷¹ In addition to the self-concept scale on the CAS (grades 3 to 12), we also used the *Harter Perceived Competence Scale for Children*,⁷² a differentiated measure of self-concept for grade 3 and above, and *The Pictorial Scale of Perceived Competence*,⁷³ a downward extension of the same measure for preschool to kindergarten and grades 1 and 2.

At the follow-up interview, we collected data from the children and their caretakers about the number and extent of investigative interviews experienced by the child; the number of medical and psychological exams included in the investigation process; the number of court appearances required; the number of times the child had to testify in court; and whether the child or perpetrator changed residence as a result of the investigation. We also used this interview to ask the children and their caretakers about the harshness of interviews, cross examinations, and other similar experiences. These data were coded and scored using the *Interventions Stressors Inventory*. The Intervention Stressors Inventory is a measure we developed to quantify the relative stressfulness of a variety of post-disclosure interventions. This was done by listing the major events of the intervention process, along with important modifying factors, and asking experts with extensive experience with child sexual abuse victims to rate the relative stressfulness of these events and factors compared to the stressfulness of an interview with a law enforcement officer, which was used as an anchor and given the arbitrary weight of 50. The ratings of the experts were then combined into geometric means which allowed us to assign a weight to each type of experience. The resulting weights for events ranged from 35 for "interview with a social worker," to 110 for "testimony in criminal court," to 149 for "returning the perpetrator to the child's home." Modifying events, such as "presence of the perpetrator at an investigatory interview," were

rated as greatly increasing stress (in the aforementioned event, by 108 points) or decreasing stress (e.g., stress score for presence at a court hearing is decreased by 17 points if the child is debriefed following the hearing). The development of the ISI is described in greater detail in the appendix.

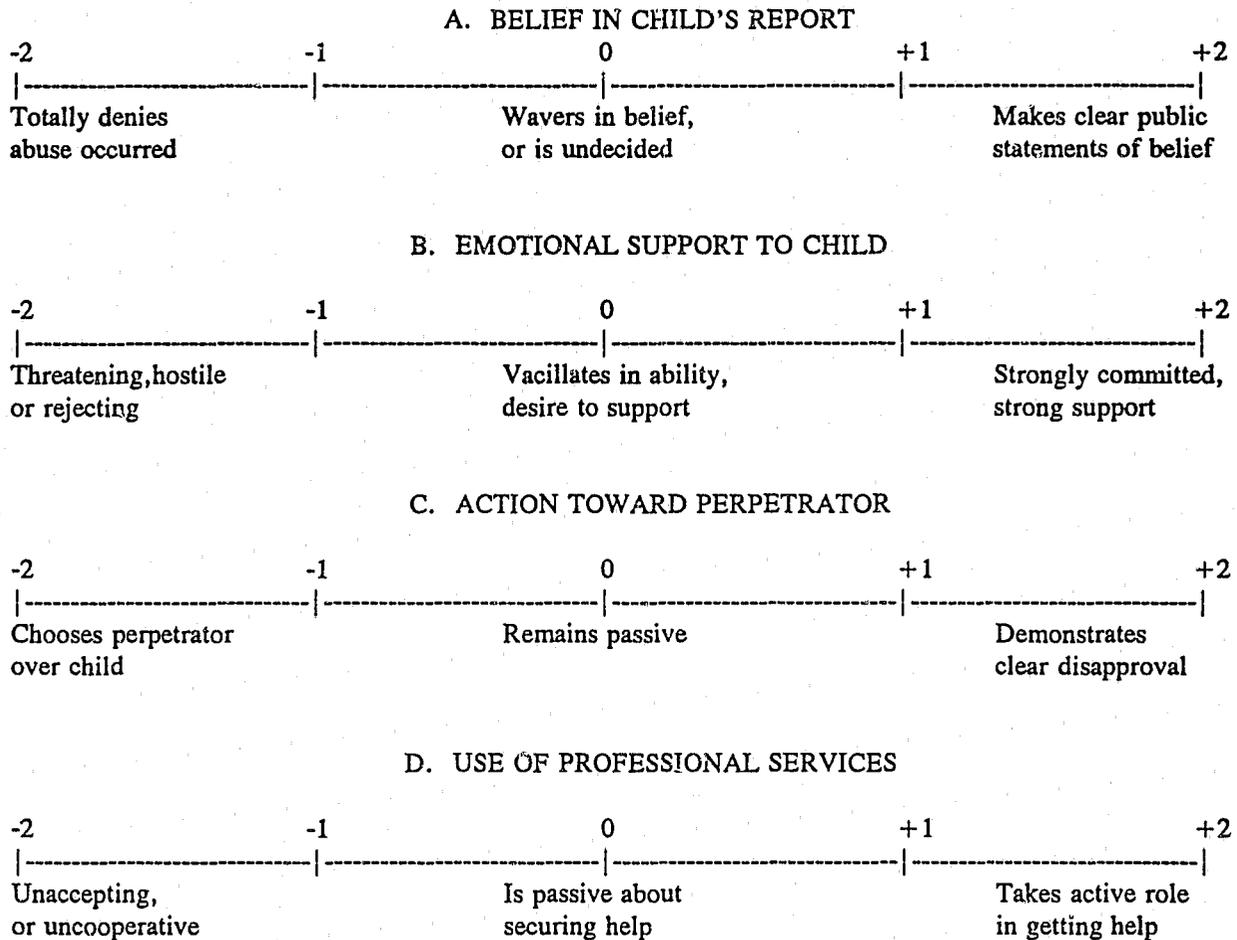
Because maternal support of the child victim has been shown to be a significant mediating influence, we modified our previously published scale of parental support⁷⁴ for use in this study. The modified scale, the *PRADS (Parental Reaction to Abuse Disclosure Scale)*, was scored by the interviewer after asking both mother and child a series of structured questions about the mother's initial and subsequent reactions to the alleged sexual abuse of her child. As displayed in Table 4.2, the PRADS comprises four subscales: belief in child's report, emotional support offered to child, action toward perpetrator's behavior, and use of professional services. Each subscale can be rated from -2 (least supportive) to +2 (most supportive), with the total scale score ranging from -8 to +8. A previous version of this scale performed quite well in categorizing mothers by their degree of support and predicted the level of agreement between a mental health instrument administered directly to children (the CAS) and an instrument completed by adults (the CBCL-P).

Training and Scoring

The interviewers at all sites were brought together for training on the interview process prior to the initiation of the study. Reliability on the CAS, the only instrument requiring interviewer judgement in scoring, was assessed by asking each interviewer to arrange for videotaping three CAS administrations which were scored by all of the other examiners. Intraclass correlation coefficients were calculated to assess reliability and all were quite good with a range between .69 to .81. All of the interview data were checked for consistency and completeness as well as interpretation of responses by one of the authors; the majority of the interviews were audiotaped as a part of this process. Feedback was given to the interviewers about problems noted in scoring or conducting the interviews.

Table 4.2

The Parental Reaction to Abuse Disclosure Scale (PRADS)



Analysis

The child data were cleaned and keypunched at UNC. An analysis file was built which included the summary scale scores of all of the psychological instruments as well as demographic and intervention data. Simple descriptive statistics were generated for the entire interviewed sample as well as for sample subgroups. The analysis strategy was then to examine for differences between major subgroups of children such as intrafamilial and extrafamilial victims, male and female victims, age groupings, and race. Change scores representing the difference between the initial and follow-up scores were calculated for all of the measures of mental health functioning. Stratified analyses comparing important subgroupings of children by change score were then followed by linear and logistic modeling procedures which offered simultaneous control for potentially confounding variables.

These analyses represent the first, preliminary analyses to be conducted on this large and comprehensive database. Continued analyses will seek to clarify and expand the results contained in this report.

RESULTS

Two hundred and eighty-nine children were enrolled in the study in the four counties. We were able to re-interview 256 of these subjects, for a follow-up rate of 89 percent. The initial sample is compared to the final sample in Table 4.3 for descriptive purposes only. The children who returned for follow-up did not differ significantly from those who dropped out of the study in demographic characteristics, abuse characteristics, or baseline scores on the measures of psychological functioning.

Intrafamilial Versus Extrafamilial Cases

Fifty-three percent of the children were victimized by family members and thus were involved in the child protective service system. In 47 percent of the cases a family member was not the alleged perpetrator and these children were not involved with social services. Table 4.4 presents a comparison of the intrafamilial and extrafamilial victims. There were proportionally more males in the extrafamilial group, but this difference was insignificant. Extrafamilial victims were significantly more likely to be older and to have been the victim of a single incident involving force.

Table 4.4

Intrafamilial Versus Extrafamilial Abuse Victims at Time 2

<u>Characteristic</u>	<u>Intrafamilial</u>		<u>Extrafamilial</u>		significance
	N	%	N	%	
Grade at Interview					
Preschool-Kindergarten	23	16.9%	13	10.8%	
1-2	32	23.5%	14	11.7%	
3-6	46	33.8%	44	36.7%	
7-12	35	25.7%	49	40.8%	p=.01
Gender (% female)	136	86%	120	77.5%	
Race (% nonwhite)	136	35.3%	120	27.5%	
Mother's Ed. (> H.S.)	132	51.5%	116	52.6%	
Penetration (penile/digital)	136	62.5%	120	67.5%	
Use of Force or Threat	136	37.5%	120	48.3%	
Duration (single incident)	132	22.7%	120	50.4%	
(> 1 year)		40.2%		15.1%	p=.000

Surprisingly, intra- and extrafamilial victims did not differ in initial overall maternal support scores, but closer examination revealed significant differences in each maternal support subscale (Table 4.5). As might be expected, mothers of the intrafamilial victims indicated less willingness to believe the allegation of sexual abuse against another family member and were less likely to demonstrate disapproval of the perpetrator. On the other hand, the intrafamilial mothers were perceived to be more emotionally supportive of their victim child and more willing to seek and utilize services to help the child and family. By the time of the

Table 4.5

Initial and Follow-up Scores by Intrafamilial and Extrafamilial Abuse

Characteristic	Intrafamilial			Extrafamilial			Sig.
	N	mean	SD	N	mean	SD	
Time 1							
PPVT (verbal IQ)	134	93.60	15.6	118	89.40	17.5	p=.04
PRADS-total score	110	3.65	3.3	100	3.54	2.8	
PRADS-belief	110	1.13	.9	100	1.39	.7	p=.03
PRADS-disapprove perp	110	1.01	1.1	100	1.30	.7	p=.025
PRADS-emotional support	110	.58	1.0	100	.32	.9	p=.06
PRADS-services	110	.93	.9	100	.51	.9	p=.002
CBCL-P Behavior Scale	134	64.00	10.3	119	63.70	12.4	
Nowicki-Strickland (1-6)	75	8.87	3.2	56	8.61	3.4	
Nowicki-Strickland (7-12)	35	7.09	2.4	47	8.68	3.8	p=.02
Child Sex'l Beh'v'r Inv	100	8.22	9.3	71	5.55	6.1	p=.025
CAS Global Pathology	81	45.40	17.6	91	49.1	19.6	
CAS Physical Complaints	81	4.12	2.89	91	4.57	2.86	
CAS Conduct Disord Scale	81	5.80	3.4	91	7.20	4.1	p=.014
CAS Family Problems	81	7.23	4.4	91	6.65	4.0	
TIME 2							
PRADS-total score	130	4.01	3.8	120	4.6	2.7	
PRADS-belief	130	1.34	1.1	120	1.58	.7	p=.034
PRADS-disapprove perp	130	1.21	1.2	120	1.74	.6	p=.0001
PRADS-emotional support	130	.58	1.0	120	.55	.9	
PRADS-services	130	.88	1.1	120	.69	1.1	
CBCL-P Behavior Scale	135	63.00	9.6	119	62.70	11.0	
Nowicki-Strickland (1-6)	76	7.80	3.5	56	7.90	3.7	
Nowicki-Strickland (7-12)	36	6.25	3.7	45	7.09	3.4	
Child Sex Behavior Inv.	100	5.67	8.3	72	5.10	6.1	
CAS Global Pathology	81	37.50	17.3	88	40.70	20.9	
CAS Physical Complaints	81	2.97	2.3	88	3.72	2.7	p=.06
CAS Conduct Disord Scale	81	5.78	3.6	88	6.89	4.2	p=.06
CAS Family Probs Scale	81	6.42	3.9	88	4.98	3.7	p=.02

follow-up, these latter two differences had disappeared, though intrafamilial mothers were still ranked lower in the more perpetrator-related subscales.

As also shown in Table 4.5, extrafamilial victims were noted to have a higher conduct disorder score on the initial CAS, a characteristic that may have preceded the victimization.

Of note, the initial degree of distress, as manifested on the CAS global score and the CBCL-P, is not significantly different between the two groups of victims despite the difference in perpetrators and the differences in duration of the abuse. The increased frequency of penetration and the threat of force may have offset the shorter duration of abuse for extrafamilial victims. The extrafamilial adolescents in the sample had a more external locus of control than their intrafamilial counterparts at intake, though their locus of control at follow-up was not significantly different. This finding, along with the higher conduct disorder scores at intake, offers evidence of increased feelings of powerlessness among children experiencing extrafamilial abuse. The intrafamilial victims appeared to be more sexualized at baseline which may reflect the longer duration of the abuse. Again, at follow-up the difference in Child Sexual Behavior Inventory score was no longer significant.

Male Versus Female Victims

Comparisons of the characteristics of the male and female victims revealed few differences (see Table 4.6). Demographically, there were proportionately more males who were white, as opposed to minority race. The only abuse characteristic that differed was type of abuse: females experienced more penetration. With the exception of CAS conduct disorder, where male victims scored higher than females at Time 1 and Time 2 ($p=.023$ and $p=.005$, respectively), there were no clear gender differences on the psychological measures at follow up. The conduct disorder difference was further supported by observations of significantly higher CBCL behavior problems and significantly lower "conduct self-esteem" (Harter) for boys at the follow-up.

Table 4.6

Demographic and Abuse Characteristics of Female and Male Victims at Time 2

<u>Characteristic</u>	<u>Female</u>		<u>Male</u>		<u>Sig.</u>
	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	
Grade					
PK	29	13.8%	7	15.2%	
1-2	35	16.7%	11	23.9%	
3-6	78	37.1%	12	26.1%	
7-12	68	32.4%	16	34.8%	
Intrafamilial	210	55.7%	46	41.3%	$p=.076$
Race (% nonwhite)	210	34.8%	46	17.4%	$p=.02$
Mo's Educ (>HS)	203	51.0%	45	48.9%	
Penetrat'n (Pen/Dig)	210	69.0%	46	45.7%	$p=.003$
Use of Force/threat	210	42.9%	46	41.3%	
Duration	208		43		
(one incident)		35.6%		37.2%	
(> 1 year)		28.4%		27.9%	

Testimony

Seventy-five percent (193/253) of the children had their cases accepted for prosecution. Extrafamilial cases were more likely to be accepted for prosecution than were intrafamilial cases (81.4 percent extrafamilial versus 69.6 percent intrafamilial, $p=.031$). Within the prosecuted cases, about one-third (65) of the child victims testified. Fifteen children testified twice (5.9 percent) and only one child testified three times. Extrafamilial victims also testified more than intrafamilial victims, perhaps because they also tended to be older. Victims of extrafamilial abuse cases testified in 45 percent of prosecuted (44/97) cases, while only 22 percent (21/95) of the victims in prosecuted intrafamilial cases testified ($p=.0000$).

More detailed breakdowns revealed striking differences in testimony based on the child's relationship to the perpetrator: victims of biological parents testified in only 8 percent of the cases ($N=37$); children testified in 23 percent of cases involving a maternal boyfriend ($N=26$); when the perpetrator was an acquaintance, 39 percent of the victims testified ($N=80$); and when the assault was by a stranger, over 46 percent of the victims testified ($N=13$) ($p=0.002$). Mothers' residential boyfriends were included in the intrafamilial category; if they had been classified as extrafamilial, the prosecution and testimony differences observed in these two categories would be even more dramatic.

Relationships between testifying and other demographic factors were also explored. There was a major age effect: only 13.9 percent of preschool and kindergarten children and 11.1 percent of first- and second-grade children testified; whereas 24.7 percent of third through sixth graders, and 39.8 percent of the seventh through twelfth graders were called upon to testify ($p=.001$). Race, too, appeared to be related to testimony: 29.3 percent of white children testified, while only 17.7 percent of non-white children did so ($p=.051$). This result, however, is probably confounded with socioeconomic status (SES). SES, as measured by maternal education, appears strongly associated with testimony. Thirty-one percent of the children whose mothers have more than a high school education gave testimony, whereas children whose mothers had only a high school education or less testified in only 19 percent of the cases ($p=0.03$).

By contrast, victim gender demonstrated no significant relationship to testimony. Similarly, the nature of the sexual abuse was unrelated to likelihood of testifying ($p>0.4$). However, the rate of testimony was 32.4 percent when force was used or threatened, compared to 20.7 percent when there was no force involved ($p=0.035$).

As demonstrated in Table 4.7, simple analyses of change scores did not reveal a significant main effect for testimony on any of the psychological measures.

Table 4.7

Changes in Mental Health Measures for Children as a Function of Testimony

<u>Characteristic</u>	<u>Testified</u>		<u>No Testimony</u>		<u>p</u>
	<u>N</u>	<u>mean</u>	<u>N</u>	<u>mean</u>	
Change in CAS total score	54	-6.6	113	-9.3	0.32
Change in CBCL-P	64	-0.78	185	-1.21	0.73
Change in Sex Beh. Inv.	32	-1.0	135	-1.82	0.5
Change in N-S (1-6)	27	-1.0	100	-0.65	0.17
Change in N-S (7-12)	30	-1.0	47	-1.76	0.31
Change in Maternal Suppt (belief)	55	.03	150	.173	0.27

Intervention Stressors Inventory Data

To examine more carefully the impact of intervention experiences on the children, including testimony, we developed the Intervention Stressors Inventory (ISI). The ISI provided an alternative method of describing a child's experiences with law enforcement, judicial, and social service interventions on a unitary dimension. The child's experiences were tabulated and weights derived from expert judgments were assigned for each (a) investigative procedure, (b) adjudication process, (c) testimony experience, and (d) form of social service intervention (see Appendix), and summed for a total score. Summary scores by site are presented in Table 4.8. The sites varied significantly in mean *subscale* scores, confirming our qualitative observations of different methods of system response to sexual abuse in the four jurisdictions. However, the *total* Intervention Stressor scores for each site were remarkably similar.

Analyses examining the relationship between the ISI score(s) and child and case characteristics provided support for the validity of the method. At the same time, the analyses revealed some unexpected characteristics associated with more invasive investigations, greater numbers of adjudication proceedings, more detailed testimony experiences, and greater social service interventions.

Not surprisingly, age (grade) was significantly related to the ISI subscale for testimony: the oldest group had a testimony stress score of 68.5, while the mean score for the youngest was 15.67. Age was also related to the total score for each child. Children in grades 7 through 12 had a mean stress score of 270.73 (N=83); those in grades 3-6 had a mean score of 182 (N=90); and those in grades 1 and 2 and preschool to kindergarten had scores of 171.3 (N=45) and 156.7 (N=36) respectively (p=.013). Older children appeared to experience more frequent testimony and harsher and more lengthy cross-examinations.

Table 4.8

Intervention Stressors Inventory Scale Scores by Site

Site (N)	Inves ^o	Adjud [#]	Test	Soc serv	Total
San Diego (103)	65.8	48.4	42.4	44.65	201.25
Erie (78)	86.0	41.43	52.01	35.32	214.76
Ramsey (50)	107.58	17.92	26.43	53.83	205.76
Polk (23)	84.38	8.83	21.61	78.2	193.02

Key: Inves=investigation, Adjud=adjudication, Test=testimony, and Soc Serv=social service

^o site is predictive with a $p=.0140$ and $R^2=.0415$, (Tukey grouping San Diego and Ramsey are different from each other)

[#] site is predictive at $p=.0038$ and $R^2=.052$, (Polk and San Diego different by both Tukey and Sheffe)

White victims' subscale scores for testimony were nearly twice as high as those for non-white victims (47.7 vs. 24.1, $p=0.015$). Similarly, those children whose mothers had more than a high school education had higher scores on this subscale than children of less educated mothers. Testimony scale scores were also higher for extrafamilial cases (62.1 vs. 20.8, $p=.0001$).

Adjudication scores were higher for older children and children of unmarried mothers, and nearly twice as high in extrafamilial cases as intrafamilial cases (49.5 vs. 25.2, $p=0.0021$). As could be anticipated, the social services stressor score was three times higher for intrafamilial than extrafamilial cases (66.3 vs. 24.7, $p=.0001$). ISI investigation scale scores were also higher in cases in which force was used or threatened (93.4 vs. 73.3, $p=0.048$). The extent and nature of the investigation process, as scored by the ISI, was inversely correlated with change in the maternal support of the child, as is shown in Table 4.9.

Neither gender, family income, nor type of abuse appeared to affect any of the subscales or total score for the ISI; no significant differences were observed in the estimated stress of the investigatory interviews, the adjudication, the testimony in court, or social services intervention.

Table 4.9

ISI Score Correlations with Age and Maternal Support

Intervention Stressors Inventory Score

<u>Variable</u>	<u>Investigation</u>	<u>Adjudication</u>	<u>Testify</u>	<u>Soc Services</u>	<u>Tot Intervention</u>
age	.1494	.1694	.2879	.1279	.3020
<i>p</i>	.017	.0068	.0001	.0417	.0001
change in maternal suppt ($t_2 - t_1$)	-.2456	-.0817	-.0346	-0.1126	-0.1907
<i>p</i>	.0004	.2431	.62	.10	.006

Modeling to Assess the Impact of Intervention Controlling for Potential Confounders

Before proceeding with multivariate modeling, we examined site differences in the nature of the abuse, race, use of force, type of abuse, and age of the perpetrator. After controlling for these baseline characteristics, we found *no* site-specific effect on either improved or impaired mental health functioning of the children.

Preliminary multivariate models were developed to begin to examine the impact of the intervention process on child mental health functioning, while controlling for potential confounders. Models for the impact of the testimony experience are presented in Table 4.10. The models attempted to control for the relationship of the perpetrator (intrafamilial versus extrafamilial), the duration of the abuse, the nature of the abuse, the use of force, maternal support for the victim child, and the child's age, race, gender, and estimated IQ. The sample size for the small number of children in the preschool and kindergarten ages precluded extensive controlling for potential confounders. Since different measures were used for children of different ages, we examined the different available dependent variables from the second interview with respect to both the presence or absence of testimony, the number of times each child testified, and the ISI testimony score.

In our preliminary analyses, the ISI stress score for testimony appeared to perform better in predicting children's mental health status at Time 2 than either the simple experience of testimony or the number of times that the child testified in all venues.

Table 4.10

Models for Impact of Testimony Controlling for Competing Influences

Dependent Variable: CAS total score-T. 2 Model R² =.21 p=0.0014
(N=160)

<u>Independent & Control variables</u>	<u>Beta</u>	<u>p</u>
ISI interview / investigation score	0.003	.87
ISI testimony score	0.053	.02 *
ISI adjudication score	-0.047	.12
ISI Soc Service Score	0.018	.27
Intrafamilial	-5.21	.12
Duration > 6 months	2.79	.40
Vaginal or rectal penetration	-0.77	.84
Oral /genital assault	1.78	.75
Force	1.85	.53
Maternal support (time 2)	-1.72	.0001
Race	-3.71	.34
Age	0.44	.47
Female	-1.72	.68
PPVT (estimated verbal IQ)	-0.90	.37

* When same model is tested with baseline CAS total pathology score as covariate the model R² is .538 with a p < .0001. The testimony score loses significance (p=.22) but maternal support remains significant (p=.0123)

Dependent Variable: Child Behavior Checklist-Parent-T.2 Model R² =.514 p=0.0001
(N=237)

<u>Independent & Control variables</u>	<u>Beta</u>	<u>p</u>
CBCL at time 1	0.58	.0001
ISI interview / investigation score	0.011	.12
ISI testimony score	0.004	.61
ISI adjudication score	-0.016	.12
ISI Soc Service Score	0.009	.17
Intrafamilial	0.047	.97
Duration > 6 months	-0.515	.64
Vaginal or rectal penetration	0.517	.67
Oral /genital assault	4.89	.014
Force	0.617	.54
Maternal support	-0.262	.098
Black race	-1.16	.38
Age	0.015	.92
Female	-2.14	.11
PPVT (est. verbal IQ)	-0.068	.028

Dependent Variable: Preschool Beh'r Inventory-T.2
(N=35)

Model $R^2 = .477$ $p=0.00$

<u>Independent & Control variables</u>	<u>Beta</u>	<u>p</u>
Pre Behav Inv- time 1	0.445	.0004
ISI interview/investigation score	-0.021	.021
ISI testimony score	-0.041	.01
ISI adjudication score	0.024	.012
ISI Soc Service Score	-0.0035	.64

Dependent Variable: Child Sexual Behavior Inv.-T.2
(N= 158)

Model $R^2 = .445$ $p=0.0001$

<u>Independent & Control variables</u>	<u>Beta</u>	<u>p</u>
Child Sexual Behavior Inv. score- Time 1	0.482	.0001
ISI interview / investigation score	0.001	.86
ISI testimony score	-0.002	.87
ISI adjudication score	-0.004	.70
ISI Soc Service Score	-0.006	.47
Intrafamilial	-0.999	.31
Duration > 6 months	0.606	.56
Vaginal or rectal penetration	1.067	.31
Oral /genital assault	3.18	.13
Force	-0.133	.89
Maternal support	-0.410	.01
Race (black)	-3.77	.002
Age	-0.22	.27
Female	-0.94	.44
PPVT (est. verbal IQ)	-0.016	.55

Dependent Variable: CAS Depression - T. 2
(N=161)

Model $R^2 = .415$ $p=0.0001$

<u>Independent & Control variables</u>	<u>Beta</u>	<u>p</u>
CAS Depression score- time 1	0.478	.0001
ISI interview / investigation score	-0.0006	.89
ISI testimony score	0.0105	.05
ISI adjudication score	-0.013	.063
ISI Soc Service Score	0.0005	.89
Intrafamilial	-0.344	.67
Duration > 6 months	-0.015	.98
Vaginal or rectal penetration	0.296	.73
Oral /genital assault	1.357	.31
Force	0.292	.68
Maternal support	-0.269	.009#
Race	-0.770	.40
Age	0.24	.09
Female	-0.22	.83
PPVT (est. verbal IQ)	-0.005	.81

With CAS dependent variable "Somatic complaints" the only predictive variable other than the time one somatic complaints is maternal support.

The Impact of Project Innovations to Reduce the Stress of Intervention on Children

The ISI total and subscale scores suggest a trend of lower stress due to the investigation/adjudication process over the duration of the study. The mean ISI interview/investigation stress score for children enrolled in the study during the first six months in the field was 101.3, with a statistically significant reduction to 74.7 for the children in the latter half of the study who had sufficient time to have all interventions ($p=0.03$). (Sufficient time for interventions was defined as all children enrolled in the study for a minimum of eight months of follow-up.) The mean score for the ISI adjudication subscale for the first six months was 47.3 compared to 30.9 for the latter half of the data collection period ($p=.09$). The mean testimony subscale score did not change significantly (47.4 vs. 41.3), and the overall level of stress related to social services intervention did not change at all from the first half of the study to the latter half.

These data suggest, but do not prove, that the innovations implemented under the Child Victim as Witness project may have had the desired effects on reducing the stress related to the court process. Interestingly, there were no significant differences in the early versus late ISI and ISI subscale scores for any individual site. Nevertheless, when aggregated across

sites, scores were lower for the investigation and adjudication subscales of the ISI for children who entered the study after the project had been underway for six months or more.

DISCUSSION

These data represent a large sample of children, identified from prosecutors' records, in which the permission of the parent or guardian was obtained for prospective study. A significant number of children did not participate due to parental refusal or inability to locate the families. This latter observation was instructive, as the records for both social services and the prosecutors offices were searched to ascertain the whereabouts of the children. One wonders how the system of justice functions when victims are so difficult to locate after being reported to a prosecutor's office. Unlike the earlier and smaller effort in North Carolina,⁷⁵ which obtained its sample from social service records, the refusal rate here was quite high, perhaps due to the families' concurrent legal involvement. Also unlike the North Carolina study, children placed in foster care were greatly underrepresented in this sample because social service agencies were reluctant to help us locate these children or to give permission for participation without parental consent.

Significant differences emerged in terms of social class, age of the child, and relationship to the perpetrator between cases in which the children testified and those in which the child did not testify. Specifically, older children and children with more educated mothers were more likely to testify. The ISI data amplify these observations by suggesting a very strong positive relationship between age and testimony, as well as between age and harsh or extensive cross examination.

Baseline data support the earlier observation that sexually abused children appear to be quite distressed at the time of intervention. While the CAS used in this study differs modestly from earlier versions, the baseline scores for the subjects who completed this instrument are consistent with earlier findings indicating very high levels of distress. Similarly high scores on the CBCL are also noted. Surprisingly, the baseline levels of distress do not differ significantly between the intrafamilial and extrafamilial victims, with the exception that more sexualized behavior was observed in intrafamilial victims and more conduct problems were observed in extrafamilial victims. Intrafamilial victims experienced longer durations of abuse by perpetrators in closer relationships. Extrafamilial victims, on the other hand, were more likely to have experienced threats and force while being abused. Future analyses will examine further the effects of different types of victimization, with a more definitive categorization of perpetrators.

Crude comparisons between children who testified and those who did not revealed no significant main effects of testimony in reducing or exacerbating the level of mental health distress. However, when the testimony score on the ISI (reflecting number of times testified as well as harshness and length of cross-examination) was entered in a regression model with other intervention experiences, age, relationship to the perpetrator, gender, race, nature of the abuse, duration, and use of force, *there was a significant adverse effect on children old*

enough to have completed the CAS. Interestingly, the parental report of behavior for the very youngest children, ages 4 and 5, suggested that testimony might have been helpful for these children (although all of the testimony scores were low for this group, indicating a far less stressful experience of testifying than that encountered by the older children).

The Interventions Stressors Inventory results promise to provide helpful data for program development in the area of system response to child sexual abuse, by identifying the areas of intervention that are most traumatic for children. For example, preliminary results suggest that it is not *testimony*, but the *harshness* of the testimony experience that further harms child victims. With further exploration we hope to learn from these data how to structure our interventions to provide both a just and therapeutic response to child victims and their families. Interestingly, the longitudinal comparison of mean ISI scores showed significant reductions in the mean ISI scores for those areas that were targeted for improvement in the technical assistance part of the Child Victim as Witness project. There was no reduction in the scores over time for the social service intervention area, which was not so targeted.

These data represent the largest prospective effort to date to examine the impact of court intervention on sexually abused children. These data, from child and parent interviews, provide a new perspective on the intervention process. As such, the data need to be considered along with the data from prior studies by Runyan, et al.⁷⁶ and Goodman, et al.⁷⁷ Runyan's study, with a North Carolina sample, found a higher rate of anxiety reduction in children who had recently testified in juvenile court (i.e., a child protection hearing as opposed to criminal court), suggesting either that the court experience was therapeutic or that there was a "relief" effect at having put a stressful experience behind them. Examination of adolescent adjustment, at a second follow-up in the North Carolina study, indicated that testifying more than once (in any type of court setting) contributed to negative long-term outcomes, such as dropping out of school, teenage pregnancy, suicide attempts, etc. This finding is consistent with Goodman's finding that testimony, particularly the number of times testified, has an adverse effect on children. Preliminary findings in the current study are not inconsistent with these earlier efforts. With the older children in our sample, it appears to be the amount and harshness of testimony that are related to ill effects. The younger children who testified appeared to have had a less stressful court experience, perhaps not unlike a juvenile court proceeding.

Many more analyses of these data are in order before the results can be judged to be robust and not due to confounding or other idiosyncrasies of the data. Further analyses are in process and future publications from this study will have the advantage of more extensive and comprehensive examinations of this unique and extremely rich data set.

CHAPTER FIVE

CONCLUSIONS AND NEXT STEPS

CHALLENGES IN STUDYING THE EFFECT OF LEGAL INTERVENTIONS ON CHILD SEXUAL ABUSE VICTIMS

The Child Victim as Witness Research and Development Program was envisioned as a large, naturalistic experiment with a strong practitioner orientation. This design had important ramifications for the conduct of the study:

- Recognizing the value of local investment in the research project, the intervention strategy focused on the individual needs of the participating communities. We deliberately chose not to introduce certain predetermined interventions for purposes of this research.
- At the same time, we recognized that the adjudication process is a complex set of policies and procedures, none of which can be assessed in isolation from the larger environment. Consequently, we sought to capture the totality of each child's experience in the system and to document changes in the legal and institutional environment throughout the study.
- In keeping with our ethical responsibilities as researchers, and to reduce the possibility that families would feel pressured to participate in the interview component, we made participation totally voluntary. The project and the interviewers operated entirely independently of the social control agencies (i.e., prosecutors, law enforcement, and child protection) in each of the four communities.

In addition, certain precautionary procedures were implemented to accommodate specific concerns raised by Human Subjects Committees in each of our sites. For example, the concept of informed consent was explained verbally and in writing to parents and older children. Specialized training was provided to interviewers to prepare them for the possibility that children might present with suicidal gestures or other dangerous tendencies. In one location we acquired multiple copies of a community resource handbook for the interviewer to give families who sought additional counseling or support services.

In carrying out the project, we confronted a number of difficulties that are inherent in studies of this nature. The need for truly voluntary participation, in particular, tended to limit the size of our interview sample. To enhance successful recruitment, small stipends were paid to participating families, and interviews were sometimes conducted at the children's homes. Also, in two sites, prosecutors were concerned that our intervention with the families might adversely affect the adjudication process, and we were asked to delay contacting families

until after the prosecutors had conducted their own interviews. This decision reduced our recruitment prospects because, by the time we reached them, many families already felt overwhelmed by the number of appointments required by the legal system. One prosecutor soon allowed us to contact families as soon as possible after their cases were referred to his office; this decision resulted in an immediate increase in the proportion of families who agreed to participate. Still, despite these measures, we achieved a 35-percent response rate, and it will be important to analyze differences between the cases and children in the interview sample and their counterparts in the larger prosecution sample.

Even though a moderate proportion of eligible families elected to participate in the study, we enjoyed a remarkably low rate of attrition between the time 1 and time 2 interviews among those who did participate. This ability to retain subjects over a seven- to nine-month period attests to the "subject-friendly" nature of our interviews, particularly in the context of the interview-intensive process of case investigation and adjudication that was concurrently ongoing for so many of the children. While conducting research in this field is by no means easy, it can in fact be done with satisfactory results.

Further complicating the study is the sheer number of variables that are reasonably thought to have some effect on children's psychological well-being before and after prosecution. Reducing these variables to a manageable framework for analysis is a methodological challenge. To reduce the massive amount of data gathered from the prosecutors' files, we developed the Intervention Stressors Inventory; we have also attempted to cluster certain variables to measure "severity of abuse" and the nature of the child's relationship to the perpetrator. Other challenges, such as the appropriate encoding and aggregation of variables introduced when cases involve multiple perpetrators and/or victims, will be more fully addressed in future analyses of these data.

Despite the challenges inherent in conducting research on a particularly sensitive population in a particularly complex environment, we developed what is, to our knowledge, the largest extant database on child sexual abuse cases referred for criminal prosecution. Across the four sites, we have case-level data on 430 single victim-single perpetrator cases that were referred during our baseline year plus an additional 543 single victim-single perpetrator cases that were referred during the prospective period. Additional cases will be added to the data base when cases involving multiple perpetrators and/or victims are included. We also have extensive psychological data on 289 children at the initial interview, along with parallel data on 256 of those children at the follow-up interview. Each data set (case tracking and child interview) is remarkably rich and provocative; together, these data offer a unique opportunity for in-depth exploration of the relationships between elements of the adjudication process and specific characteristics of sexually abused children, their families, and the nature of their victimization.

Findings presented in this report represent a "first cut" at analyzing this immense data base. As noted above, our analyses of the criminal justice process explore factors influencing the decision to prosecute. We have not yet described case flow, nor have we analyzed factors

affecting conviction, sentencing outcomes, time to disposition, or any of the myriad other questions that arise in the context of criminal adjudication. Nor have we yet analyzed case processing when multiple victims or perpetrators are involved.

Our analyses of child interview data offer a preliminary look at the children's psychological status at the time their cases were referred for prosecution and again nine months later. We explored some differences in outcome by relationship to perpetrator, gender, and age of the child victim, but there are numerous other variables that can be explored. Also, our initial attempts to relate psychological outcomes to criminal justice interventions are based on the children's and parents' self-reports of their involvement in the system, not on the actual case tracking data. (Preliminary evidence suggests that victims' recollections may not accurately reflect their actual experiences--which is an interesting research question in itself, particularly as it relates to measurement of trauma.) Subsequent analyses will draw from a fully merged data set in which psychological outcomes can be related directly to criminal justice experiences.

SUMMARY OF INTERIM FINDINGS

The Intervention Process

As was discussed in Chapter 2, each of the four sites entered the study with certain strengths. Some of the interventions they chose tended to capitalize on their strengths, or to extend their strengths into broader areas. For example, Polk County has long enjoyed a multidisciplinary approach to intrafamilial abuse through its IFSAP program; its primary intervention for this study was to enlarge the scope of the case review team to embrace extrafamilial cases as well. In Ramsey County, most of the interventions that were adopted were localized within the prosecutor's office, such as the expansion of the special unit to include all cases involving children as victims or perpetrators, and procedures to routinize communication between the prosecutors' office and victims. Elsewhere, interventions were expressly designed to address identified weaknesses. In San Diego, for example, recognizing that the sheer number of cases precluded individualized attention to all child victims, the Children in Court educational program was expanded to be uniformly available. And in Erie County, a community that had not yet established a strong multidisciplinary approach, the Program Team worked to develop interagency case management protocols.

In addition to their efforts to implement new policies or procedures, each community experienced a number of changes that were not related to this project, yet could be expected to have implications for the adjudication process. For example, new laws were passed in Minnesota (to increase presumptive sentences for most sex crimes) and California (to allow felony prosecution of "resident" molesters). In Erie County, a new prosecutor was elected and a new pediatrician arrived with innovative ideas and a specialized clinic for abused children. And in Polk County, a special prosecutor was retained specifically to screen child sexual abuse cases. On a national scale, Coy v. Iowa and the McMartin Preschool case in

California were both decided during our study period, with results that had a chilling effect on prosecutors and victim advocates throughout the country.

Certainly these four communities employed very different approaches in their response to child sexual abuse cases. But do any of these variations in practice have any discernible impact on the children's experience of the adjudication process? The results of our Intervention Stressors Inventory (ISI), depicted in Table 4.8, suggest that they do. To recapitulate briefly, this measure attempts to capture the stress engendered by the criminal justice process by assigning expert ratings to specific elements of the process (here summarized as interviews, adjudication, testimony, and social services intervention), and moderating factors that exacerbate or lessen that stress. These ratings are then applied to parents' and children's self-reports of their actual experiences in the system at the time of their follow-up interview. (For more in-depth discussion of the ISI, refer to Chapter 4 and the Appendix.) A higher score reflects higher stress.

As shown on the table, total scores did not vary significantly across the four sites. However, each site ranked highest in stress in one of the four subgroups, for reasons that can be partially explained by the nature of their respective systems. For example, on the *interview* scale, Ramsey County scored significantly higher than San Diego, which may reflect the policy among law enforcement and child protection agencies in San Diego to conduct joint interviews. Conversely, San Diego rated highest in stress for the *adjudication* component of the ISI. This finding almost certainly reflects California's relatively unique requirement for fully adversarial preliminary hearings in all cases. Ramsey and Polk Counties scored lowest in that category, which is not surprising: Minnesota's procedure does not require any pretrial appearances of child victims, and Polk County assigns a substantial proportion of its cases to the IFSAP diversionary program. With regard to the *testimony* component of the ISI, differences in the sites' scores did not approach statistical significance, but Erie County ranked first. Based on self-reports of the victims and/or parents, this finding appears to reflect the child's involvement in grand jury proceedings, which are unique to Erie County (among these four sites). Finally, Polk County ranked highest in stress in terms of *social service interventions* (although this finding did not reach statistical significance). This finding may reflect the strong influence of the IFSAP program and its insistence on separating the child and perpetrator until deemed appropriate by the treatment providers.

Finally, we compared mean ISI stress scores for children who entered the study during the first six months with scores for children who entered during the latter half of our recruitment period. Across the four sites, we observed statistically significant reductions in mean ISI scores for the interview and adjudication components, a non-significant reduction in scores for the testimony component, and no difference for the social services intervention component. This analysis suggests that the intervention process that was introduced by our project may, in fact, have had the desired effect of modifying the investigative and adjudication processes in ways that are thought to benefit child victims. Alternatively, our intervention process may have capitalized on secular trends that were already active in the participating communities.

time?

The Adjudication Process

Results of the case tracking component of our study are provocative because they begin to illuminate the decision-making process employed by prosecutors when confronted with child sexual abuse allegations.

The most important characteristic of cases in our prosecution sample is that most victims suffered severe abuse, as measured by the type of abusive acts, number of incidents, and duration of abuse. Indices of severity of abuse were significantly related to increased odds of acceptance for prosecution versus declination.

Prosecutors were less likely to accept cases involving victims of pre-school age than school-aged or teenaged victims. Cases involving white perpetrators were more likely to be prosecuted than cases involving black or Hispanic perpetrators, and cases involving biological fathers and mothers' boyfriends were less likely to be prosecuted than cases involving perpetrators in any other relationship to the child victim. Explanations for these findings are not obvious, and will be explored further in future analyses.

Alleged oral-genital contact was significantly related to greater odds of acceptance, but alleged penetration was not. The lack of effect of penetration on the probability of acceptance for prosecution may reflect prosecutors' expectation that juries would not believe these allegations without medical evidence (which is usually lacking). Juries may not have such expectations about oral-genital contact.

Perpetrator confession, physical evidence, and "fresh complaints" made by the victims were highly related to acceptance for prosecution. Perpetrators' reports of alcohol use during incidents were also related to significantly greater odds of acceptance for prosecution. These findings require additional examination through continuing data analyses.

Effects of Prosecution on Child Victims

Preliminary findings from our analyses of child interview data are intriguing. We found, for example, that sexually abused children are highly distressed at the point of initial intervention, regardless of whether the perpetrators were intrafamilial or extrafamilial. Intrafamilial victims tended to experience abuse for a longer period of time by someone in a close relationship, whereas extrafamilial victims tended to experience more threats and force. Despite these differences in the nature of abuse, our findings suggest that the child victims are equally traumatized.

Older children and children with more educated mothers (a proxy for higher socioeconomic status) were more likely to testify. Older children were also more likely to experience harsh cross-examination. Although the act of testifying itself was not found to have a significant effect on children's mental health, as measured before and after the adjudication process, we did find a significant adverse effect among older children who scored high on the

Intervention Stressors Inventory testimony scale (which accounts for number of times testified as well as the length and harshness of cross-examination). At the same time, parental reports for younger children suggest that testifying is far less stressful for them and may in fact be helpful.

In sum, our preliminary results suggest that it may not be testifying itself, but the harshness of the testifying experience, that is harmful to children. We expect to elaborate further on these findings in future analyses of our data.

DIRECTIONS FOR FUTURE ANALYSES

Although this document is a final report to the Office of Juvenile Justice and Delinquency Prevention, we view it as presenting interim findings from the first, and most labor-intensive, phase of an expansive research program on the effects of court process on sexually abused children. Certainly the findings reported to date are stimulating and provocative. Having amassed such a large and rich data base on this exceptionally sensitive population, we are well-poised to conduct extensive, sophisticated analyses to explore in-depth many of the questions that have been posed by practitioners, legislators, and policymakers.

As an adjunct to this study, researchers from UNC-Chapel Hill and EDC procured funding from the National Center on Child Abuse and Neglect to examine the determinants of maternal support for sexually abused children. For that study, we administered a measure of the mothers' emotional and active support for their children and plan to analyze characteristics of the children, perpetrators, and abuse incidents to identify factors that are associated with supportive mothers. These findings will be helpful to professionals who work with victims and their families as their cases wend their way through the adjudication process.

The UNC-EDC Research Team also procured funding from NCCAN to explore the psychological impact of child sexual abuse, using this same data base but fully merging the case abstraction data with the child interview data. Among the questions to be addressed in future analyses are:

- How does child trauma and the child's initial psychological status relate to prosecutorial decisionmaking, case management, and case outcomes?
- How does maternal support for child victims affect prosecutorial decisionmaking and case management?
- How are child victims affected by decisions not to prosecute, by the number of investigative interviews, by a protracted adjudication process, by various case outcomes?

Through statistical modeling techniques, we hope to examine the full complexity of interactions among variables that contribute to children's mental health and the criminal justice system.

PLANS FOR DISSEMINATION

The Research Team anticipates publicizing the results of this project in a variety of ways. We expect to present at a series of conferences geared to professionals who work with child sexual abuse cases in varying capacities: as therapists, victim advocates, prosecutors, social workers, physicians, investigators, and researchers. Among the specific conferences we hope to attend are

- a child abuse research conference at Temple University in October 1991 (a paper on child placement and prosecution decisions has already been accepted)
- the annual conference for health professionals in San Diego in January 1992
- the annual conference of the National Council of Juvenile and Family Court Judges and the National District Attorneys Association, to be held in Kissimmee, Florida, in March 1992
- the annual conference on child sexual abuse in Huntsville, Alabama, in March 1992
- the biannual conference on child victimization sponsored by Children's National Medical Center, scheduled for Washington, D.C. in May 1992
- the annual conference of the National District Attorneys Association, to be held in Amelia Island Plantation, Florida
- the international conference on child victims to be held in Chicago in September 1992

We also have plans to develop papers for publication in leading academic journals, including *Child Abuse and Neglect*, *Violence and Victimology*, *Behavioral Sciences and the Law*, and the *Journal of Interpersonal Violence*. We may also submit papers for publication in law reviews and consider publishing an edited volume to invite other papers on this subject.

SUMMARY AND CONCLUSIONS

The Child Victim as Witness project was envisioned as the first part of a large research and demonstration program in four communities. The principal research question was: How can child sexual abuse cases be effectively prosecuted without exacerbating the children's trauma?

In each community, the Research Team worked with representatives of key criminal justice and human service agencies to identify local needs and implement new policies or procedures intended to address those needs. Staff of the American Prosecutors Research Institute remained available for technical assistance throughout the project period, and qualitative data on the implementation process were gathered periodically.

Quantitative data collection was two-pronged. First, case level data were gathered from existing case files on two prosecution samples: a baseline sample drawn from cases referred for prosecution prior to project start-up, and a prospective sample of cases referred during the project period. Second, psychological data were gathered on children representing a subset of the prospective prosecution sample. Two waves of interviews were conducted: the first shortly after cases were referred for prosecution, and the second roughly seven to nine months later.

Interim findings suggest a number of interesting observations:

- The process of implementing new policies and procedures to improve a community's response to child sexual abuse is quite complex because many agencies are involved in interactive ways. Nonetheless, preliminary results of the Intervention Stressors Inventory that was developed for this project (see Chapter 4 and the Appendix) suggest that the process we employed was effective. Through this measure we succeeded in documenting change in the nature of societal interventions that occurred in the participating communities.
- Cases that are referred for prosecution tend to involve more severe allegations, and those that involve oral-genital contact are more likely to be prosecuted than those involving penetration or any other form of proscribed sexual activity. This finding may reflect prosecutors' perception that jurors will expect positive medical findings when penetration is alleged (and such findings are infrequently available), whereas oral-genital abuse may not be expected to yield medical evidence.
- A history of alcohol abuse by the perpetrator is reported in a large proportion of cases that are accepted for prosecution. At this time, however, it is unclear whether the alcohol abuse is a factor that is considered in the decision to prosecute or whether it is detected after a case has been accepted, either as a result of more intensive investigation or as a possible defense tactic.

- Testifying, in itself, does not appear to produce significant changes in the child victims' mental health. However, measures of stressful testimony, which include testifying more than once and enduring long and/or harsh cross-examination, do appear to have significant adverse effects. This finding is limited to children over the age of eight, who were more likely than the younger children to experience more stressful testimony.
- In a corollary finding, preliminary results suggest that testifying is less stressful for younger children (than older children) and may even be helpful. Yet our case tracking data reveal that prosecutors are reluctant to pursue cases involving preschool children.

These findings are illuminating, yet we would emphasize preliminary in nature. Through our ongoing research program we will conduct more sophisticated, in-depth analyses on a complete data set that fully merges the case abstraction data with the child interview data. Through these analyses we will address a wide range of research questions that confront mental health and criminal justice professionals as they struggle to develop a more compassionate and effective response to child sexual abuse cases.

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APPENDIX

**CHILD VICTIM AS WITNESS
RESEARCH AND DEVELOPMENT PROGRAM**

**Education Development Center, Inc.
The University of North Carolina - Chapel Hill
American Prosecutors Research Institute**

July 24, 1991

Prepared under Grant No. 87-MC-CX-0026 from the Office of Juvenile Justice
and Delinquency Prevention, Office of Justice Programs, U.S. Department of Justice.

Points of view or opinions in this document are those of the author and do not necessarily
represent the official position or policies of the U.S. Department of Justice.

APPENDIX A
Technical Appendix

Criminal Justice Data

Sampling Logs

Case Records Abstractor Procedures Manual

Case Records Abstractor Coding Manual

Coding Multiple Victim/Perpetrator Cases

Case Tracking Form

Supplement A

Supplement B

Supplement C

Multiple Victims Case Tracking Form

Multiple Perpetrators Case Tracking Form

County Survey, 1990

Interview Data

Child Data Coordinator Procedures Manual

Intervention Stressors Inventory Article

Intervention Stressors Inventory

**SAMPLING LOG
PROSPECTIVE CASES REFERRED FOR PROSECUTION**

1*	2	3	4	5	6	7*	8*	9	10	11*	12	13	14*	15	16	17					
Control Number	Prosecution Case Number	Child Victim Name	Date of Reported Abuse	Date of Referral to prosecutor or date case opened	Name of alleged perpetrator	Perpetrator Relationship to Victim	Description of Abuse	Child Victim's Age (In Years)	Sample Eligible		Referred for interview		Interview completed		Reason for not interviewing child	Accepted for prosecution		Date of Acceptance for prosecution	Adult court Docket Number		
		(Last Name, First, MI)			(Last, First, MI)				Yes	No	Yes	No	Yes	No		Yes	No				
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.																					
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.																					
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.																					
.																					
.																					
.																					
.																					

*Instructions on reverse side

Instructions to Sampling Log, Prospective Cases

1. For control number, refer to your coding manual.

7. PERPETRATOR RELATIONSHIP TO VICTIM

sibling.....	01
step-sibling.....	02
biological parent.....	03
adoptive parent.....	04
step-parent.....	05
grandparent.....	06
resident friend of parent.....	07
other relative.....	08
nonfamilial caretaker.....	09
group leader.....	10
acquaintance.....	11
stranger.....	12
other non-relative.....	98
unknown.....	99

8. DESCRIPTION OF ABUSE (code the most serious)

penile-vaginal penetration.....	1
penile-anal penetration.....	2
digital penetration of vagina.....	3
digital penetration of anus.....	4
oral-genital contact.....	5
fondling/kissing.....	6
genital exposure.....	7
other.....	8
unknown.....	9

11. REASONS FOR NOT BEING ELIGIBLE

case not referred for criminal prosecution.....	1
(e.g., juvenile defendant, probation viol.)	
victim younger than four or older than 17.....	2
(or older than 14 in San Diego)	
child does not speak English.....	3
child developmentally unable to participate.....	4
other (specify in margin).....	8

14. REASONS FOR NOT INTERVIEWING CHILD

consent not given.....	1
no-show for scheduled interviews.....	2
unable to contact family.....	3
other (specify in margin).....	8

Instructions to Sampling Log, Retrospective Cases

1. For control number, refer to your coding manual.

7. PERPETRATOR RELATIONSHIP TO VICTIM

sibling.....	.01
step-sibling.....	.02
biological parent.....	.03
adoptive parent.....	.04
step-parent.....	.05
grandparent.....	.06
resident friend of parent.....	.07
other relative.....	.08
nonfamilial caretaker.....	.09
group leader.....	.10
acquaintance.....	.11
stranger.....	.12
other non-relative.....	.98
unknown.....	.99

8. DESCRIPTION OF ABUSE (code the most serious)

penile-vaginal penetration.....	.1
penile-anal penetration.....	.2
digital penetration of vagina.....	.3
digital penetration of anus.....	.4
oral-genital contact.....	.5
fondling/kissing.....	.6
genital exposure.....	.7
other.....	.8
unknown.....	.9

11. REASONS FOR NOT BEING ELIGIBLE

case not referred for criminal prosecution.....	.1
(e.g., juvenile defendant, probation viol.)	
victim younger than four or older than 17.....	.2
(or older than 14 in San Diego)	
child does not speak English.....	.3
child developmentally unable to participate.....	.4
other (specify in margin).....	.8

Instructions to Sampling Log, Retrospective Cases

1. For control number, refer to your coding manual.

7. PERPETRATOR RELATIONSHIP TO VICTIM

sibling.....	01
step-sibling.....	02
biological parent.....	03
adoptive parent.....	04
step-parent.....	05
grandparent.....	06
resident friend of parent.....	07
other relative.....	08
nonfamilial caretaker.....	09
group leader.....	10
acquaintance.....	11
stranger.....	12
other non-relative.....	98
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penile-vaginal penetration.....	1
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11. REASONS FOR NOT BEING ELIGIBLE

case not referred for criminal prosecution.....	1
(e.g., juvenile defendant, probation viol.)	
victim younger than four or older than 17.....	2
(or older than 14 in San Diego)	
child does not speak English.....	3
child developmentally unable to participate.....	4
other (specify in margin).....	8

PROCEDURES MANUAL
FOR
CHILD VICTIM AS WITNESS PROJECT
CASE RECORDS ABSTRACTORS
(Revised 8/89)

This manual was revised in August 1989 to reflect current practice in the project. The changes are minimal. Some details from the original manual have been deleted or refined; added/revised elements are printed in bold ink.

TABLE OF CONTENTS

- 1.0 Project Overview and Statement of Confidentiality
- 2.0 Case Abstractor Responsibilities
- 3.0 Sampling Procedures
- 4.0 Procedures for Completing the Case Tracking Form
- 5.0 Procedures for Assuring Confidentiality
- 6.0 Transfer of Data to EDC

Attachments: Privacy Certificate
 Statutory Codes (by site)
 Sampling Logs
 Random Numbers Tables
 Referral Form
 Letters Authorizing Access to Data
 Case Batch Cover Sheet

1.0 PROJECT OVERVIEW AND STATEMENT OF CONFIDENTIALITY

BACKGROUND

The influx of child sexual abuse cases in the criminal courts has raised a host of unsettling issues. Among those issues is the dilemma of placing a child in the disturbing position of both victim and key witness for the prosecution. In addition to the inherent problem of being a child in a singularly adult environment (the court), child victims of sexual abuse--particularly intrafamilial abuse--are thrust into a complex system that may compound their trauma in the attempt to protect them from continued abuse.

The Child Victim as Witness Research and Development Program has been funded by the Office of Juvenile Justice and Delinquency Prevention (OJJDP). The purpose of the project is to expand and improve our understanding of the effects of court policies and procedures on child sexual abuse victims who must often serve as witnesses, and to examine the impact of new techniques on victim trauma and case outcomes.

The research project is being conducted by three collaborating organizations:

- o Education Development Center (EDC), a nonprofit organization dedicated to human development through education, which is located in Newton, Massachusetts
- o The American Prosecutor's Research Institute, located in Washington, D.C., which houses the National Center for the Prosecution of Child Abuse
- o The University of North Carolina at Chapel Hill, Department of Social and Administrative Medicine

Each organization has designated staff who will provide technical assistance to participating communities and oversee the research effort.

Four jurisdictions are participating in the project:

- o Polk County (Des Moines), Iowa
- o San Diego County, California
- o Ramsey County (St. Paul), Minnesota
- o Erie County (Buffalo), New York

Each jurisdiction has assembled a program team, composed of representatives of law enforcement agencies, social service agencies, medical and mental health providers, prosecutors, and the courts. Each program team has agreed to assess local needs, select innovative strategies to be tested, design and implement intervention plans, and participate in the research activities required by the project. Among the strategies to be tested are:

- o expediting case processing, for example, by assigning these cases docket priority or by reducing the number of continuances
- o providing "people support" for children by assigning victim advocates or guardians ad litem
- o reducing contacts between the child and the system by eliminating court appearances or by coordinating the investigation process
- o instituting "child-friendly" procedures, such as closed-circuit television, anatomical dolls, or special interviewing rooms
- o enhancing case development, for example, by enacting special hearsay exceptions or by eliminating competency examinations

OBJECTIVES AND EXPECTED BENEFITS

The project is designed to strengthen the prosecution of child abuse cases in each of the participating jurisdictions, while at the same time minimizing the trauma experienced by the child victim. The research team will:

- o help participating communities identify strengths and weaknesses in existing policies and procedures, including areas where greater coordination may be needed across agencies
- o provide information about various innovative strategies that have been used effectively in other jurisdictions
- o provide training and technical assistance to help each community implement those strategies they feel are needed to improve case processing

- o provide feedback on the effectiveness of the new strategies that helps staff understand what procedures work well with what types of children under what circumstances

In addition to improving local handling of these cases, the project will also strengthen the prosecution of these cases nationally. Data from all four communities will be synthesized and the results will be disseminated widely. Thus, other jurisdictions will be in a better position to adopt and implement promising approaches in cases involving child sexual abuse victims.

RESEARCH/DATA COLLECTION PLAN

In order to compare case processing before and after the introduction of innovative strategies, the research plan calls for gathering data on two samples of child victims:

- o A baseline sample of child victims who entered the system before the new strategies were introduced. For ease of data collection, we intend to sample as many as 200 cases from each site from those filed between July 1, 1986 and June 30, 1987.
- o An intervention sample of child victims whose cases were initiated after the innovative strategies were put in place. We expect to draw approximately 200 cases in this sample prospectively from each site.

Only child victims whose cases have been substantiated will be included in our sample. The specific sampling procedures to be used will be tailored to each jurisdiction's caseload. We hope to gather data on a wide variety of cases, including those that are accepted for prosecution and those that are not.

For both the baseline and intervention samples, we will gather data on the nature of the case, the way in which it is processed through the system, and the way in which it is disposed. Data on each case will be collected through two primary data sources:

- o Case Records. Wherever possible, we will attempt to gather data on the case by examining case records available in juvenile court, criminal court, social service agencies, and the like. Such records are very helpful in providing information on whether the case was processed in juvenile and/or criminal court, what charges were filed against the perpetrator, whether various court proceedings were held, and how the case was disposed. Local data collectors will abstract such information from the case files, using a

standardized case record form to guide the coding process.

- o Interviews. Some information can only be gathered from individuals who are familiar with the case--details of the offense, the treatment services provided to the child and his/her family, whether the child was present at various court proceedings and how the child's testimony was handled, whether the parents are supportive of the child, etc. We will request such information from individuals familiar with the case--social workers, victim service representatives, guardians ad litem, juvenile court officers, etc.

For the intervention sample only, we will also conduct two interviews with each child. The first interview will occur soon after the case has been substantiated and referred for prosecution. The second, follow-up interview will be completed nine months later.

CONFIDENTIALITY PROCEDURES

Research with human subjects plays a vital part in expanding our knowledge about how to combat criminal behavior. It is essential, however, that research be performed without needless risk of distress and with the willing and informed cooperation of research subjects.

Research or statistical information identifiable to a participant in OJJDP-sponsored research is protected by statute from being used in legal proceedings.

[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings. (42 United States Code 3789g)

As part of our application process, the collaborating researchers were asked to file a Privacy Certificate which describes how we intend to assure privacy/confidentiality of all data collected under this grant. The certificate covers such topics as restricting access to members of the research team, removing identifiable names from analytic data files, securing data files from outside access, using the data for research purposes only, etc. The procedures that are outlined in the Privacy Certificate are incorporated in this manual, and a copy of the certificate is appended.

As a local case abstractor for the Child Victim as Witness Project, your responsibilities are distinguished from those of the local child data coordinator, who will be collecting data directly from the child and other family members. You will be collecting data primarily from existing records. Following is a list of your specific responsibilities.

1. Make and maintain original contacts with appropriate officials in various justice and human services agencies.
2. Identify the population of cases to be sampled from existing data bases in various justice and human services agencies.
3. Select 200 cases to comprise a retrospective sample, following sampling instructions as provided.
4. Record identified information about those 200 cases on pre-printed coding forms from identified data sources in accordance with protocols of the Coding Manual.
5. Select approximately 200 cases to comprise a prospective sample, following sampling instructions as provided, and forward the requisite information to the designated child evaluator.
6. Record identified information about those 200 cases on pre-printed coding forms.
7. Mail completed coding forms to EDC on a routine bi-weekly basis.
8. Maintain ongoing telephonic and written contact with EDC project staff.
9. Observe trials, preliminary hearings, or other court proceedings involving child witness testimony to the extent possible and feasible.

We will be drawing two different samples, one for the retrospective study of past cases and the other for the prospective study of new cases. For both samples, cases must meet certain minimum criteria:

- o The case must have been referred for criminal prosecution in adult criminal court (although the offender may be a juvenile).
- o The victim must be between the ages of 4 and 18.
- o The child must have been a victim of sexual abuse, including any form of penetration, oral-genital contact, fondling or kissing, or genital exposure. A list of the applicable statutory codes in this jurisdiction is appended to the procedures manual.
- o The child speaks English (if readily known from file).
- o We are currently reviewing our policy and procedures for handling cases with multiple victims and/or perpetrators. For now, please keep a separate listing of all such cases and postpone abstraction; we will update you as soon as we finalize our decision (anticipated for September 1989).

It will be possible at each site to refer to an indexing system of child sexual abuse cases kept in the prosecutor's office. This varies from a hand-written log in San Diego, through index cards--"computerized" in Des Moines, hand-typed in St. Paul--to the relevant output from the "wide-body" computer-based PROMIS (PRO-secutor's M-angement I-nformation S-ystem) in Buffalo. All the systems allow the opportunity to generate the sample base.

RETROSPECTIVE SAMPLE

The retrospective sample will be drawn from all cases filed between July 1986 and June 1987. We are interested in two types of cases: (1) those referred for prosecution but not accepted and (2) those accepted for prosecution. In each case, we would like to collect data on 100 cases, randomly sampled from all the cases in that category.

Cases referred but not accepted for prosecution. These cases will be the hardest to identify, because the office may not keep accurate records of the cases logged in but declined. Specific procedures will be tailored to each jurisdiction, including

looking up cases on the local PROMIS system, checking central log books, looking at declination records, etc.

For each case that involves child sexual abuse, you will need to fill in the appropriate identifying information on the sampling log (see copy attached)--RETROSPECTIVE CASES REFERRED FOR PROSECUTION. Begin by listing all of the child sexual abuse cases, regardless of the age or language of the child or the age of the offender. This will help us keep complete track of the kinds of cases being referred to the prosecutor over time, and will allow us to detect changes in prosecutorial decision making.

Once you have a complete list, you should apply the other criteria listed above: age and language of the child and whether the offender is an adult (or would be tried as an adult). Also review the file for any indication that the child is blind, severely hearing impaired, moderately or severely retarded, or a victim of Down's Syndrome. Such a child would probably be unable to participate fully in the interview. Draw a neat line through any case that does not fit the eligibility criteria.

If there are fewer than 100 eligible names on your list, then you are done. All of these child victims will be included in the sample. If there are more than 100, then you will have to select a random sample of 100 cases, using the following procedure.

All of the eligible cases will have a unique EDC number, ranging from 1 to 500. In order to sample 100 cases randomly, you will need to use the table of random numbers, which is attached. You can read the table down or across, starting at any point that you want.

Since you have more than 100 cases, you will need to sample 3-digit numbers. Reading down column 1, you would take case number 744, 725, 337, 780, 324, etc. If these numbers are out of range, which is most likely, select only those numbers that are within range--say 196, 063, and 092. For each number on the list, check the log to see if that case number is eligible for inclusion in the sample. If so, check off the appropriate column on the log. If not, go to the next number in the random numbers table. Continue in this fashion until you have 100 eligible cases checked off. This is your random sample.

Cases accepted for prosecution. These cases should be somewhat easier to identify through prosecutors' logs. Typically, prosecutors' offices set up case jackets when a new case enters and assign each new case opened a unique ID number. By checking the master list of IDs for cases which involve charges of child sexual abuse, we should be able to get a complete list. It is important to include all eligible cases, not just those handled by the special prosecution unit. For example, in Des Moines, most cases are handled by the IFSAP group and the special child

abuse prosecutor, but pedophile cases are handled by the Major Crimes Unit.

Each case should be listed on the master log--RETROSPECTIVE CASES ACCEPTED FOR PROSECUTION, as discussed above. Each case will have a unique ID number, from 501 to 1000. Once you have a complete list of cases, neatly draw a line through those that are not eligible due to the criteria listed above: age, language, or severe disability of the child victim or the juvenile status of the offender.

Then, you will need to randomly sample 100 cases, using the procedure outlined above. We have supplied a large number of random numbers tables--have fun picking any table, any three-digit numbers within the table (e.g., in Table I, you could pick 744 or 444 as your first number), and reading down or across.

PROSPECTIVE SAMPLE

The prospective sample will be a little easier to identify, but it poses additional problems, because we must sample cases before a final decision on prosecution is reached. In order to facilitate data collection, we will sample cases on a weekly basis, listing cases on the master log--PROSPECTIVE CASES REFERRED FOR PROSECUTION--as they enter the system.

For each case that enters the prosecutor's office, list all of the information on the log, whether or not the case meets all of the eligibility criteria set forth above. For purposes of logging in, the only criterion to be employed is whether the case involves child sexual abuse. If the case is not eligible on other grounds (e.g., child age, language, or disability; juvenile offender to be tried in juvenile court), enter the reason for ineligibility and draw a neat line through the case.

You will also be responsible for making referrals to the child data coordinator and keeping accurate records of those referrals. The specific procedures will be as follows:

1. For each new case referred to the prosecutor's office in a given week, make out a referral sheet and send it to the child data coordinator, using the form provided (see Appendix). She will complete the form and return it to you; you will then record on the master log whether the case is in the final sample.

2. For each child whose name is referred to the child data coordinator, you will send a letter describing the study to the supportive parent. These letters will be provided to you. Note that the envelope will have the child data coordinator's return address.

Once the child data coordinator has interviewed the child or has determined that a child cannot be interviewed, he or she will return the referral form with the bottom portion completed. At that time, you will complete the master log for the case.

DESCRIPTION OF THE FORM AND SUPPLEMENTS

Our Case Tracking Form and three supplements are designed to capture as much information as possible about each child's experience in the child protection and criminal justice systems. As a result, there is a large quantity of data to be collected. Although the forms may appear daunting at first, you will find that they become easier to complete as you gain familiarity with the forms and with your data sources. Also, not all of the information will apply to every child, which is the reason for the modular format.

For every case, you will begin by completing a cover sheet, which contains all the information you will need to identify the case if you should need to return to the file for future entries or to resolve questions.

The Case Tracking Form itself has three parts.

Part I comprises the sections entitled Victim Characteristics, Perpetrator Characteristics, Abuse Characteristics (section heading absent on form), Case Reporting and Substantiation, and Pre-Trial Screening. Complete Part I for every child in your sample.

Part II comprises the sections entitled Prosecution Characteristics, Adult Criminal Court Events, and Trial Activities. Complete Part II for all cases that are accepted for prosecution. The prompt to complete Part II appears at Item 45 in Part I.

Part III comprises the sections entitled Abuse/Neglect Proceedings and Family/Juvenile Court Adjudication Activities. Complete Part III for all cases that involve abuse/neglect proceedings on behalf of the child in juvenile or family court. The prompt to complete Part III appears in Item 46A in Part I and again at Item 96 in Part II.

Supplement A, Detail for Investigative Interviews, must be completed for each investigative interview that is conducted with the child, regardless of which actor in the system performs the interview, and regardless of whether the case is accepted for prosecution or is handled in juvenile or family court. You will be instructed to complete Supplement A when you reach Item 44 in Part I.

Supplement B, Detail for Court Proceedings, must be completed for every court proceeding where the child is present, regardless of whether it is criminal, juvenile, or family court. It also

applies to certain out-of-court proceedings, such as grand jury and depositions. You will be instructed to complete Supplement B when you reach Item 81 in Part II and again at Item 105 in Part III.

Supplement C, Additional Case Record Data, is a form being added in August 1989 to capture additional important case information that was not included in the Case Tracking Form.

DATA SOURCES

In order to complete the Case Tracking Form, you will probably have to consult several sources of information. Criminal court records are generally public information; social service and juvenile court records are generally confidential. Included with this manual are the requisite letters providing authority for you to review these files. If you encounter any problems, call Debra Whitcomb at EDC immediately.

In general, your primary source of data will be the prosecutor's file. Typically, the case jacket itself will provide the names of key actors in the case (e.g., defense attorney, guardian ad litem, investigating officer) and critical dates. The file itself is likely to contain the entire police report, reports of medical or psychological examinations, evidentiary reports, witness lists, etc.

Social service files will only exist in intrafamilial cases because child protection agencies have no mandate to intervene in nonfamilial cases. These files typically contain a wealth of data about the child and family, but because they are confidential and because the child data coordinator may be requesting information from the social worker, where appropriate, you should consider them secondary sources. You may find, however, that certain items can only be found in the social service files; it would be wise to accumulate these cases and approach the social service agency periodically to complete your forms.

Another potential source of information is the victim assistant or guardian ad litem assigned to the case. This should be considered a last resort because these individuals tend to document as little information as possible. They may, however, be able to help you with the supplements, particularly for cases in the prospective sample.

Other useful records include: perpetrator's criminal history records or "rap" sheets, juvenile county attorney records, juvenile and family court records, court transcripts, trial activity records, pre-sentence investigations, probation records, medical reports, psychological evaluations, other investigatory

agency reports, and various computer data bases in use in the sites. Case abstractors have developed various means for gathering data through experience in their sites. If you are new, ask previous case abstractors and personnel in the county attorney's office about good sources.

The last data source is actual courtroom observation. To the extent possible, we would like you to attend criminal trials (and, in San Diego, preliminary hearings) only during the child's testimony. Research suggests that trials in child sexual abuse cases are quite rare, and victim testimony is rarer still. Because you will be monitoring open cases, you will know when trials are scheduled, and through your close coordination with the prosecutors, you can learn (1) whether the child will be asked to testify and, if so, (2) the likely time when the child will appear. Actual observation of the trial experience may be the most reliable way to gather some of the information contained in Part II, Trial Activities, and in Supplement B.

PROCEDURES

Begin with the retrospective sample. Data collection for these cases should be relatively straightforward, since the vast majority will be closed by the time you have drawn your sample. If any cases are still pending, complete as much of the form as you can, prepare a file folder for each case, and consult the court dockets monthly for new activity.

Meanwhile, you will be selecting the prospective sample and referring names to the child data coordinator. Once you have completed the closed cases in the retrospective sample, you can turn your attention to the prospective cases.

You will want to begin by determining whether the case has already been closed, either because it was declined for prosecution or because it was quickly disposed. This information should be readily available from the prosecutor's central log. As with the retrospective cases, files for closed cases in the prospective sample should be easy to access.

Files on open cases will reside with the assigned prosecutors. Again, as with the open cases from the retrospective sample, you should prepare a file folder for each open case, insert the completed portions of the Case Tracking Form, and make a note to review the case monthly for updates on its status.

As noted above, cases that require consultation with data sources outside the prosecutor's office should be accumulated so that you can make periodic visits to the requisite locations and complete your cases in batches. Procedures for returning completed Case Tracking Forms to EDC are contained in Section 6.0.

It should be clear that at some point, you will have completed your backlog of closed cases. At the same time, you will have developed a growing list of open cases to track. Theoretically, then, your workload should be fairly well-balanced over the course of our data collection period.

A NOTE OF CAUTION: It should be self-evident that at no time should you share any case-related information with anyone affiliated with the defense. If defense attorneys attempt to gain access to your files, contact Debra Whitcomb at EDC immediately!

We have assured OJJDP and certain state and local governmental agencies that all members of the research team--which includes case abstractors and child data coordinators--will take adequate precautions to ensure administrative and physical security of identifiable data, as follows:

1. Cases will be assigned a unique ID number once they have been selected for the sample. Once instruments containing case information have been coded, identifying information must be removed and all subsequent reference to the questionnaire must be by unique ID number only.
2. Master lists linking the ID number to the identifying information must be stored in locked files to which only project staff have access. This includes sampling logs, referral forms, and cover sheets to the Case Tracking Form.
3. The physical security of all instruments and interview reports before they have been logged must be assured by keeping them in a locked file.

CASE TRACKING FORMS AND SUPPLEMENTS

On a routine, bi-weekly basis, you should transmit a batch of completed cases to EDC. Keep a log of the cases sent, using the Case Batch Cover Sheet designed for that purpose (see attached copy). Send a copy of that form to EDC in a separate letter and keep the original for your records.

Keep your postage receipts to serve as an audit trail in the unlikely event that the package goes astray. It will not be necessary to call EDC to "announce" the bi-weekly mailing unless you need to alert the project team to some special problem or concern.

RETROSPECTIVE SAMPLING LOGS

Once these are completed, make copies and send them to EDC.

PROSPECTIVE SAMPLING LOGS

Send a copy of your prospective log with each bi-weekly transfer of data. This will help us track the flow of cases and the proportion accepted/rejected for prosecution.

CODING MANUAL
FOR
CHILD VICTIM AS WITNESS PROJECT
CASE TRACKING FORM AND SUPPLEMENTS
(Revised 9/89)

This manual was revised in August 1989 to correct omissions and errors in the original manual and to provide additional instructions for the new Supplement C. Items for which instructions have been added or changed are marked with an asterisk (*). These new or revised instructions are printed in bold ink. An appendix at the back of the manual compares the old and new texts for instructions that have actually changed (items that simply have more detailed instructions are not included in the appendix).

Even if you are an experienced case records abstractor and have read the previous version of the manual, please read this version carefully.

CVAW CODING MANUAL

Our coding forms were designed to capture as much information as possible about the progress of child sexual abuse cases through the child protection and criminal justice systems. We are particularly interested in what these "systems" can do to make the process more "child-friendly." Although the forms are quite comprehensive, they cannot capture the kind of qualitative detail that brings these cases to life. Please feel free, as you peruse the files, to jot down any descriptive details that might better explain the process of cases that strike you as, for example, either unusually accommodating for the child or unusually stressful. We would especially appreciate clippings of any media accounts of highly publicized cases that may occur.

One example of additional information that is not captured on the forms is any instance of failure on the part of the perpetrator, e.g., failure to meet the conditions of pre-trial release or diversion, recidivism, probation violations. Our previous research suggests that known failures are relatively rare among this population. Although we are primarily interested in following these cases through their initial disposition in criminal and/or family/juvenile court, please note any instance of failure in a brief narrative so we can follow up later if we choose.

These are the coding forms to be completed for each case:

- o **The Case Tracking Form** - the 23-page document with the grey cover that contains most of the case information
- o **Supplement A** - the one-page blue form entitled "Detail for Investigative Interviews"
- o **Supplement B** - the two-page green form entitled "Detail for Court Proceedings"
- o **Supplement C (as of 8/89)** - the two-page pink form entitled "Additional Case Record Data"

GENERAL INSTRUCTIONS

1. There are certain coding conventions of which you should be aware before you embark upon this task:

- 0 (zero) = no instances of the particular topic under inquiry were noted.
- 7, 97, 997, etc. = not applicable, e.g., the case disposition cannot be coded because the case is still pending, or you cannot code the date of a social services report because that agency was never involved in the case.
- 8, 98, 998, etc. = other, where the response in the record does not "fit" in any of the categories provided. The "other" category is always followed by a space in which to enter the exact response.
- 9, 99, 999, etc. = missing values/unknown, when the information item in question is not revealed from the various data sources, or is "revealed" in such a way that is clear as mud.

Note that additional instructions may be provided for certain victims.

2. Items that allow for multiple responses will generally be noted both in this manual and on the coding sheet as "code all that apply." In these instances, the coding alternatives look peculiar, since they repeat in clumps of 4: e.g., 1, 2, 3, 4, 1, 2, 3, 4, etc. Although this convention will take a little getting used to, it makes for more accurate transcription of your responses by the computer operator. In the revised (8/89) version of this manual, two items that were previously "code one" are now "code all that apply": Items 5 (Victim's Handicaps) and 24 (Location of Abuse). Even though the Case Tracking Form will still say "code one" for these two items, make sure you code all that apply.

3. Certain items ask for an exact count (e.g., number of reported incidents, time-span of abuse). If you cannot get an exact count, specify a range as instructed in the manual (e.g., 10 to 20). If you cannot even be this exact, there are codes such as "multiple but unspecified." The particular rules to follow are discussed in the item instructions.
4. Keep track of the sources of information you use. This is coded in Supplement C.
5. Put the dates of the interview and court proceeding in the top right-hand corner of Supplements A and B, respectively. If you cannot get the exact date, note the approximate date, making sure to label it as approximate.
6. Please be aware whether the dates you are entering are in logical chronological order (items 29, 30, 37, 38, 42, etc.)
7. Avoid getting into a "default response" mind-set where you assume a particular response, however logical the assumption is.
8. Unless there are explicit instructions to skip one or more items (the "Go To" prompt), in no instance should an item be left without any entry. You should review each completed coding form for blanks before returning it to EDC.
9. Some of the numbers in a case (e.g., the court docket number) are being recorded on a separate cover sheet, not for analytical purposes, but rather as an aid to you as the coder--believe it or not--in tracking down the case if you are not able to complete the case in one work-session, or in the unlikely event that a case has to be recoded. There will be no reference to individual cases on the coding forms themselves.
10. In several of the items, we refer to the "perpetrator." This is to remind you as the coder that we are not just looking at the cases where an identifiable person is charged in adult court--the ordinary use of the term "defendant"--but that we are also looking at cases of abuse/neglect in juvenile or family court, where different terminology may be used.
11. Always keep your coding forms in a locked file until they are complete and ready to send to EDC. See your procedures manual for additional instructions for batching and mailing completed forms.

Coder Number

This is just to help us get back to you if there is a problem in computer coding the forms you fill out. We will add more coder numbers if necessary.

- 1 = Buffalo coder 1
- 2 = Buffalo alternate
- 3 = Des Moines coder 1
- 4 = Des Moines alternate
- 5 = St. Paul coder 1
- 6 = St. Paul alternate
- 7 = San Diego coder 1
- 8 = San Diego alternate

Control Number

We will use an alpha-numeric combination which will enable you and us to identify a case as coming from a particular site, and from either the retrospective or prospective parts of the sample. The first letter will stand for each site:

- E = New York (Buffalo)
- P = Iowa (Des Moines)
- R = Minnesota (St. Paul)
- S = California (San Diego)

The second letter will represent the different samples:

- R = retrospective
- P = prospective

The next three digits will stand for the discrete, unique, and sequential number assigned to each case, taken from your sampling log.

001-999

Thus, ER-127 = the 127th case coded in Buffalo's retrospective sample

In situations where more than one coder will be collecting court information from a given site, the coders should coordinate their assignment of control numbers to avoid duplicate assignment of the same control number.

CASE TRACKING FORM

PART I

VICTIM CHARACTERISTICS

1. VICTIM'S SEX

Be careful about making assumptions about the sex of the child from the name. Leslies, Robins, and Tonys can catch you, so to speak. Be prepared for a missing value, although it would be highly unlikely that something in the narrative or the system reports would not independently reveal the sex of the child beyond doubt.

- 1 = male
- 2 = female
- 9 = unknown/missing value

2. VICTIM'S AGE*

This refers to the victim's age at the date of the referral to prosecution. Code as 00 only where the victim is less than one year old. The victim's age should be 18 or less at all sites.

- 00 = under one year old
- 01-18 = age in years
- 99 = unknown/missing value

3. VICTIM'S RACE*

The following list of races cannot be all-embracing, but the main groups have been provided. In the event that the victim does not fall comfortably into one of these groups, use the 8-other category with an explanation. If the victim is both black and Hispanic, code as 8-other and specify this.

- 1 = white
- 2 = black
- 3 = Hispanic
- 4 = Native American
- 5 = Asian
- 6 = Oriental
- 8 = other (specify)
- 9 = unknown/missing value

4. VICTIM'S RESIDENCE*

This refers to the victim's residence at the time of referral to prosecution. The context here is that of the relationship of the victim's residence to the prosecutor's office, and thence, the court where the case was processed. It does NOT refer to where the victim was living when the abuse took place.

- 1 = same county as the processing D.A.'s office
- 2 = same state as the processing D.A.'s office
- 3 = out of state
- 4 = out of country
- 9 = unknown/missing value

5. VICTIM'S HANDICAPS*

This acknowledges the possibility that the victim has one of the typically phrased handicaps. The generally accepted terminology has been used in the coding alternatives. If an identified handicap is referred to by a term with which you are not familiar, code as 98-other, with a specific and brief transliteration of the term(s) used. If the victim has multiple handicaps, code 09-multiple handicaps and circle each handicap as well.

Code a handicap if 1) a professional (social worker, police officer, prosecutor, attorney, mental health professional, etc.) states that the child has a handicap; 2) the child has made use of special services related to the handicap (e.g., child participates in a rehabilitation program, uses prostheses, etc.); or 3) there is clear evidence of a handicap that affects functioning (e.g., the child has an IQ below 70 and is described as having difficulties functioning in daily life). If you have more specific information that clarifies the nature of the handicap or are unsure about your code, please make a note in the margin.

- 01 = none apparent
- 02 = learning disabled: Refers to disorders involving basic psychological processes that manifest themselves in problems with listening, speaking, reading, writing, and other academic skills. This includes such conditions as specific learning disabilities, perceptual handicaps, brain injury, minimal brain dysfunction, and dyslexia. If there is illiteracy without evidence of a learning disability, code 8-other and specify.
- 03 = developmental: Refers to mental retardation, which is diagnosed when intellectual functioning is significantly sub-average and a person's adaptive behavior is impaired.

- 04 = emotional: Refers to emotional disturbances that severely affect judgment and/or are identified by mental health professionals as impairing functioning. These include but are not limited to the following conditions: dangerously aggressive toward others, self-destructive, severely withdrawn and non-communicative, hyperactive to the extent that it affects adaptive behavior, severely anxious, depressed or phobic, psychotic or autistic, schizophrenic. Do not include psychiatric disorders that do not have a severe impact on functioning (e.g., general anxiety, minor depression). Because this may be a difficult category to code, please include specific information in the margin.
- 05 = orthopedic: Refers to physical conditions that impair gross and fine motor abilities (e.g., cerebral palsy, muscular dystrophy, etc.). The physical conditions are due to congenital anomalies, accidents, or disease. Do not specify.
- 06 = speech: Refers to speech and language disorders that include receptive or expressive language impairment and other voice and articulation problems.
- 07 = hearing: Includes both hearing impairment and deafness.
- 08 = sight: Includes both blindness and other visual impairments of a severe nature.
- 09 = multiple
- 98 = other (specify): May include chronic medical conditions that impair functioning, such as diabetes or cardiac conditions, as well as other handicaps.
- 99 = unknown/missing value

6. VICTIM'S PRE-TRIAL LOCATION*

The concern here is to track where the victim was during the system processing, particularly when s/he did not stay in his/her home. This should probably be called pre-disposition location. It includes each location from the date of report to authorities, i.e., Item 30, to the date of the disposition of the case (as in Item 85) or the end of data collection, whichever comes first. This information is likely to appear in social service agency records. Anytime a child is moved to a relative's home, or in a foster home or institution, you should check carefully to see if there were abuse/neglect proceedings related to the abuse. This information would be in Juvenile Court records or social service records.

"Pre-abuse residence" refers to the child's residence prior to the report to authorities. If the child was living in a relative's home, foster home, etc. prior to the report and continues in or returns to that residence, code 1. If the child and mother leave the residence together, code 8-other and

specify. This is a "code all that apply" response. Be careful to code the right number because of the repeating cycles of numbers to choose from.

- 1 = pre-abuse residence
- 2 = relative home 1
- 3 = relative home 2
- 4 = relative home 3
- 1 = foster home 1
- 2 = foster home 2
- 3 = foster home 3
- 4 = non-medical institution (specify)
- 1 = hospital
- 8 = other (specify)
- 9 = unknown/missing value

7. RETURN TO PRE-ABUSE LOCATION IF REMOVED PRE-TRIAL*

If the child was removed from the pre-abuse location and there is no information regarding whether s/he has been returned, code 9-unknown. Do not assume that the child has or has not been returned. The time frame for this item extends from the date of report to authorities to the date of the disposition of the case or the end of data collection, whichever comes first. The social services file is crucial to coding this item.

- 1 = yes
- 2 = no
- 7 = not applicable, i.e., the child was not removed
- 9 = unknown/missing value

PERPETRATOR CHARACTERISTICS

8. PERPETRATOR'S SEX

As with the victim, be careful about making assumptions about the sex of the "alleged perpetrator" (as the police love to say in their reports) from the names. The Leslies, Tonys, and Robins can still catch you. Again, be prepared for a missing value, although it would be highly unlikely that something in the narrative would not reveal the sex of the perpetrator.

- 1 = male
- 2 = female
- 9 = unknown/missing value

9. PERPETRATOR'S AGE

Where the record does not indicate the perpetrator's age at any point, code as 99-unknown. An age under 14 should not be likely, since children that young are rarely transferred to adult court for criminal prosecution. Any case where the perpetrator is a teenager should alert you to double-check the eligibility of this case for the sample. At the other end of life, do not expect to find many nonagenarian perpetrators!

13-95 = age in years
99 = unknown/missing value

10. PERPETRATOR'S RACE*

The following list of races duplicates that for the victim. As before, in the event that the perpetrator does not fall comfortably into one of these groups, use the 8-other category with an explanation. If the victim is both black and Hispanic, code as 8-other and specify this.

1 = white
2 = black
3 = Hispanic
4 = Native American
5 = Asian
6 = Oriental
8 = other (specify)
9 = unknown/missing value

11. PERPETRATOR'S RESIDENCE*

This refers to the residence of the perpetrator at the time of referral to prosecution. The context here is that of the relationship of the perpetrator's residence to the prosecutor's office, and thence, the court where the case was processed. It does NOT refer to where the perpetrator was living when the abuse took place, or to where the abuse itself took place.

1 = same county as the processing D.A.'s office
2 = same state as the processing D.A.'s office
3 = out of state
4 = out of country
9 = unknown/missing value

12. PERPETRATOR'S OCCUPATION*

The following are taken from the Federal Bureau of Labor categories, but we do not pretend that they are all-embracing. Fill in this item as best you can; however, notice that we ask you to fill in the occupation on Supplement C. If you are uncomfortable about using one, code 98-other and provide a one-

word definition of the job. Note that there is, as usual, a 99-unknown here, and also codes for "homemaker," "unemployed," and "military." If the perpetrator is primarily a student, code that way, even if s/he has a (part-time) job. A production worker is essentially a laborer. If you are unsure, write the specific occupation in the margin and do not circle any of the categories. Note that you also need to write in the occupation the perpetrator ordinarily pursues and his/her employment status in items 3-4 of Supplement C.

- 01 = unemployed
- 02 = student
- 03 = homemaker
- 04 = military personnel
- 05 = service occupation, e.g., hotel help, waiters, etc.
- 06 = skilled production worker, e.g., technicians, mechanics
- 07 = unskilled production worker, e.g., assembly line workers, industrial laborers
- 08 = farm worker
- 09 = clerical/administrative, non-executive position
- 10 = managerial/administrative, executive position
- 11 = professional specialty, e.g., doctors, lawyers, CPAs
- 98 = other (specify)
- 99 = unknown/missing value

13. PERPETRATOR'S EDUCATION*

This identifies the highest grade level the perpetrator reached. If you code 1, less than 9 years, specify in the margin whether the perpetrator reached the seventh grade. If the perpetrator has a high school equivalency diploma (G.E.D.), circle the category that represents the level of schooling attained and note the G.E.D. in the margin. If the perpetrator has an associates degree, circle 4-some college/vocational training.

- 1 = grades 1-8 inclusive, i.e., below high school
- 2 = grades 9-11, i.e., high school without graduation
- 3 = high school degree
- 4 = some college/post-secondary vocational training
- 5 = college degree
- 6 = post-graduate work or degree
- 9 = unknown/missing value

14. PERPETRATOR'S PRIOR CRIMINAL RECORD*

This is a simple total of the number of non-traffic related offenses ("real" crimes, if you like) of which the perpetrator has been convicted. Do not identify separately the number of felonies and misdemeanors. Code 00 means no convictions, when that information is known. Code 99 means that the number of convictions is not known. In order to code this and Items 15 and

16, it would help to obtain a printout of the perpetrator's criminal record from the police or sheriff's office.

00 = no prior convictions
01-95 = discrete number of prior convictions
99 = unknown/missing value

15. PRIOR RECORD OF SEX CRIMES

This is the total number of sexual offenses of which the perpetrator has been convicted, regardless of the victim. This figure must be less than or equal to the total in Item 14; since it cannot possibly be higher, you have an automatic check on your arithmetic. Do not identify separately the number of felonies and misdemeanors.

00 = no prior convictions
01-95 = discrete number of prior convictions
99 = unknown/missing value

16. PRIOR RECORD OF SEX CRIMES WITH SAME VICTIM

This moves the inquiry in the previous two categories one stage further by taking into account any previous criminal sexual relationship between the perpetrator and the child victim. Enter the total number of convictions for a sexual offense involving the perpetrator and the sample child as the victim. Again, this figure must be less than or equal to the total in Item 15, and there is no need to identify separately the number of felonies and misdemeanors.

00 = no prior conviction
01-95 = discrete number of prior convictions
99 = unknown/missing value

17. ALCOHOL/DRUG DEPENDENCY BY PERPETRATOR*

Code this if 1) the perpetrator is receiving or will receive treatment for a drug or alcohol problem (including Alcoholics Anonymous and similar groups); 2) a knowledgeable professional (e.g., psychologist) states that the perpetrator has a drug or alcohol problem or recommends that the perpetrator seek treatment for a drug or alcohol problem; 3) the perpetrator is diverted to or sentenced to drug or alcohol treatments (see Items 86, 94, and 95); or 4) there is clear evidence of excessive use of drugs or alcohol that impairs the perpetrator's ability to function (e.g., the perpetrator drinks an average of eight beers in an evening and often misses work because of drinking). The dependency needs to have been active at the time of abuse, not previous or subsequent to the abuse.

Note that the responses recognize the likely possibility that the perpetrator has both a drinking and chemical dependency. Note also that the response looks for a specific entry as to the type of drug. If the specific drug is identified, e.g., cocaine, note it. If the drug group only is mentioned, e.g., hallucinogen, use it.

If you are unsure how to code this, do not circle a category and write in relevant information in the margin. If the issue of alcohol/drug dependency is never mentioned in your sources of information, code 1-none. If there is information about drug or alcohol use but you cannot code one of the first four categories, code 9-unknown and note in the margins the information you have. This information may be in the pre-sentence investigation (PSI), if there is one.

- 1 = none
- 2 = alcohol
- 3 = drug (specify)
- 4 = both (do not specify)
- 9 = unknown/missing value

18. PERPETRATOR'S RELATIONSHIP TO CHILD*

This recognizes whether the victim and perpetrator are members of the same "family" by blood or marriage and identifies other potential relationships. Every attempt has been made to identify the most likely connections, but if there is a different relationship between the victim and perpetrator, code 8-other and specify. Please annotate your code in the margin for all nonspecific categories. Definitions of non-obvious categories are listed below.

- 01 = sibling: Includes half-siblings.
- 02 = step-sibling
- 03 = biological parent
- 04 = adoptive parent
- 05 = step-parent
- 06 = grandparent
- 07 = resident friend of parent: Refers to a live-in "boyfriend" or "girlfriend" whose primary residence is with the parent. Platonic resident friends of the parent(s) or lodgers who have become friendly but not intimate with the parent(s) should be coded as 98-other non-relative, with a specifying note.
- 08 = other relative (specify)
- 09 = nonfamilial caretaker: Refers to a perpetrator whose primary role is to care for the child (e.g., teacher, babysitter, foster parent). In the margin, please describe the relationship more specifically.

- 10 = group leader: Refers to a perpetrator whose primary role is leading a group formed for the function of recreation or extracurricular instruction (e.g., Scout leader, coach). In the margin, please note the relationship more specifically.
- 11 = acquaintance: Refers to a perpetrator with whom the child or family is acquainted; this category includes non-resident friends of the parents and/or the child. In the margin, please note the relationship more specifically.
- 12 = stranger
- 98 = other non-relative: Refers to a relationship more intimate than the stranger, but not included in the above list (specify).
- 99 = unknown/missing value

ABUSE CHARACTERISTICS (FROM ORIGINAL REPORT)

19. NATURE OF ABUSE*

Be very careful here to read the narrative, including the exact language describing the alleged offense. Do NOT assume a particular form of contact from the difference in sexes and/or age between perpetrator and victim.

If a particular form of abuse was attempted but not carried out, circle the appropriate categories and write "attempted" next to those categories. Several forms of abuse are not listed but should be coded under 8-other with a specifying note. These include such acts as taking pornographic pictures of the child, using objects for sexual acts with the child, and exposing the child to pornography.

Be prepared to enter a missing value here in the absence of a specific reference to the type of physical contact. Note that this is a "code all that apply" response and follow the appropriate coding convention.

- 1 = penile-vaginal penetration
- 2 = penile-anal penetration
- 3 = digital penetration of vagina
- 4 = digital penetration of anus
- 1 = oral/genital contact
- 2 = fondling/kissing with or without clothes on
- 3 = genital exposure
- 8 = other (specify, e.g., use of child as pornographic model)
- 9 = unknown/missing value

20. USE OF FORCE

This item addresses the question of the perpetrator using force, while the next item deals with weapon use. The distinguishing criteria involve the permanency of any harm inflicted.

- 1 = no threat or use of physical force
- 2 = threat but no actual physical force
- 3 = mild/moderate physical force, e.g., pushing or grabbing, leaving no permanent damage
- 4 = violent physical force; the use of force leaving permanent damage, e.g., scarring, burn marks, or other wounding
- 8 = force used, but degree unspecified
- 9 = unknown/missing value

21. USE OF WEAPON*

A weapon is defined as any object that was used to threaten or inflict harm on the child. Objects used for sexual acts are not coded as weapons (see instead Item 19) unless they were used intentionally to threaten or inflict harm. If there is no mention at all, code 1. Code 9 if there is an unclear reference to weapons, e.g., if medical evidence is consistent with use of a weapon, but there is no mention in the police report.

- 1 = no use of weapon
- 2 = use of weapon, including either threatened or actual use
- 9 = unknown/missing value; unclear whether weapon involved

22. NUMBER OF REPORTED INCIDENTS*

The important emphasis here is on the report to the authorities. The code columns cover the possibility of nearly 100 incidents having been reported. If you cannot identify the number of reported incidents, specify a range of the number of reported incidents between multiples of 10 (i.e., 0 to 10, 10 to 20, etc.). If this level of specificity is not possible, code 98-multiple but unspecified. "Unknown" only applies where it is not clear whether there has been more than one reported incident.

- 01-95 = discrete number of incidents
- 96 = 96 or more incidents
- 98 = obviously multiple but unspecified
- 99 = unknown/unclear whether discrete or multiple

23. TIME-SPAN OF ABUSE*

This is a measure in months. The columns allow for up to 100 months--eight years, not an impossible frame of reference. Code 96 if more than eight years. Code 97-not applicable if the abuse entailed a single incident. If you cannot identify the exact time-span of ongoing abuse, specify a range of a number of months between multiples of 10 (i.e., 0 to 10, 10 to 20, etc.). If this level of specificity is not possible, code 98-ongoing abuse but unspecified. Code "unknown" only where there is no indication whether the abuse was chronic or one-time.

00 = under one month
01-95 = number of months
96 = 96 or more months
97 = not applicable (single incident)
98 = ongoing abuse over more than one month, time-span not specified
99 = unknown whether chronic or one-time

24. LOCATION OF ABUSE*

If there were multiple locations, circle 5 and code all that apply, contrary to the statement in the Case Tracking Form. If the location was the home, and the victim and perpetrator shared the same home, circle both categories and write a margin note stating it was a shared home.

Do not assume in this response that the abuse took place at either the perpetrator's or victim's home or another particular location because of the relationship between the victim or perpetrator. Note that day care and school are the same for this category.

1 = victim's home
2 = perpetrator's home
3 = school/day care
4 = relative's home
5 = multiple locations
8 = other location (specify)
9 = unknown/missing value

25. ALCOHOL USE DURING INCIDENT*

Code this if 1) either the victim or the perpetrator admits that s/he used alcohol; 2) a relevant professional (e.g., police, social worker) states that a party used alcohol; 3) an observer saw that a party used alcohol; or 4) there is clear physical or other evidence of drinking during the incident (e.g., perpetrator had alcohol on his breath). If there is no information regarding alcohol use during the incident, code 4-by neither. If there is information about alcohol use but you cannot code one of the

first four categories, code 9-unknown and note in the margin the information you have.

- 1 = by victim
- 2 = by perpetrator
- 3 = by both
- 4 = by neither
- 9 = unknown/missing value

26. DRUG USE DURING INCIDENT*

Code according to the same criteria noted in Item 25, for drugs instead of alcohol.

- 1 = by victim
- 2 = by perpetrator
- 3 = by both
- 4 = by neither
- 9 = unknown/missing value

27. NUMBER OF VICTIMS*

This includes the victim described in Items 1-7. Note that this is a revision of the instructions from the original manual. Only the victims of the crimes being charged should be included.

- 01-95 = discrete number of victims
- 96 = 96 or more victims
- 99 = unknown/missing value

28. NUMBER OF PERPETRATORS*

This includes the perpetrator described in Items 8-18. Note that this is a revision of the instructions from the original manual.

- 01-95 = discrete number of perpetrators
- 96 = 96 or more perpetrators
- 99 = unknown/missing value

CASE REPORTING AND SUBSTANTIATION

29. DATE OF MOST RECENT REPORTED INCIDENT*

This refers to the last incident that the child reported prior to referral for prosecution, whether the incident was charged or not (in some cases, prosecutors may charge a previous incident rather than the most recent one). The date of the incident that triggered the system's intervention is being sought here. However, the data banks may not easily reveal this date,

particularly in a context of chronic abuse. The police convention of referring to "on or about x date" can be interpreted to mean that actual date. Do not assume chronic abuse unless so specified. Care should be taken to verify the difference between this date and the date of the report to the authorities, which is addressed in the next item.

Use the month/day/year format for recording dates, as defined below.

Month: 2 digits; Jan-Dec = 01-12
Day: 1st-31st = 01-31
Year: last 2 digits in 19--

99-99-98 = clear evidence of ongoing "chronic" abuse case
99-99-99 = unknown/missing value (note carefully the difference between no information and a chronic abuse situation; they are different)

30. DATE OF REPORT TO AUTHORITIES

Again, take care to distinguish this date from the "abuse" date discussed for the previous item.

Month/Day/Year

99-99-99 = unknown/missing value

31. DISCLOSURE CIRCUMSTANCES*

This item seeks to identify as precisely as possible who made the original notification of the apparent commission of an offense. It is, however, basically a child/other dichotomy; Item 33 will identify the person to whom the disclosure was made. A child who disclosed the incident to a parent, who then disclosed to the authorities (a very likely scenario), is properly identified as the disclosant in this item. Note that the nature of the disclosure is clarified further on Supplement C.

Code a statement by the child about the abuse as "child disclosed," whether or not the child intended it as a disclosure. For example, if a child unwittingly reveals abuse by describing her uncle's genitalia to her mother, this would still be considered a disclosure by the child. Note such situations in the margin. Code 2-someone else disclosed if the first person to learn about the abuse became aware of it by means other than the child's statement (e.g., from behavioral clues, medical clues, physical evidence, etc.) and then disclosed what s/he learned to someone else.

- 1 = child (victim) disclosed
- 2 = someone else disclosed
- 9 = unknown/missing value

32. PROMPTING CIRCUMSTANCES IF DISCLOSANT OTHER THAN CHILD

This is a "code all that apply" response that identifies the reason for the disclosure where the disclosant was not the child. "Not applicable" is the response where the child victim was the disclosant.

- 1 = medical findings
- 2 = behavioral clues
- 3 = direct knowledge by disclosant, e.g., eyewitness incident
- 7 = not applicable, i.e., child victim as disclosant
- 8 = other (specify)
- 9 = unknown/missing value

33. FIRST PERSON/AGENCY NOTIFIED*

This refers to the first person who received the disclosure (see Item 31). For any broad category (e.g., legal representative, social worker), please specify the person's role in a margin note. If information exists but it is unclear who the first person notified was, do not circle a category; instead, describe the situation as best you can in the margin.

Make sure that Items 31 (Disclosure Circumstances) and 33 (First Person/Agency Notified) on the Case Tracking Form and Item 5 (First Person to Learn About the Sexual Abuse) on Supplement C are coded logically and consistently. If the child disclosed the abuse (Item 31 coded 1), then the person/agency that received the disclosure is also the first person/agency notified (Item 33) and the first person to learn about the sexual abuse (Item 5). If someone other than the child disclosed the abuse (Item 31 coded 2), then the first person/agency notified (Item 33) is not the first person to learn about the sexual abuse (Item 5).

- 01 = mother
- 02 = adoptive mother/stepmother
- 03 = other female relative (specify)
- 04 = father
- 05 = adoptive father/stepfather
- 06 = other male relative (specify)
- 07 = friend
- 08 = teacher/day care provider
- 09 = clergy
- 10 = hot line
- 11 = social worker (specify)
- 12 = mental health professional
- 13 = health care provider (specify)

- 14 = rape crisis center/victim services
- 15 = law enforcement professional (specify)
- 16 = legal representative (specify)
- 98 = other (specify)
- 99 = unknown/missing value

34. FIRST GOVERNMENT AGENCY NOTIFIED

In completing this item, do not assume that any particular agency would be the first informed in the context of a particular set of case characteristics.

- 1 = member of social services agency, including child protection team
- 2 = law enforcement official (police, sheriff)
- 3 = prosecutor
- 8 = other (specify)
- 9 = unknown/missing value

35. AGENCY REFERRING CASE TO PROSECUTION

This is usually a dichotomy, recognizing that most cases are referred to the prosecutor either by the social service agency or the law enforcement agency. It is nonetheless possible that the referral came from some other source. If the referral source is unclear, code as "unknown."

- 1 = law enforcement
- 2 = social services
- 8 = other (specify)
- 9 = unknown/missing value

36. LAW ENFORCEMENT AGENCY ORIGIN

"Origin" in this item means the police agency to which the incident was reported. If in doubt about the county in which a police agency is located, ask somebody in the prosecutor's office; if they don't know, call AAA!

- 1 = major city police in processing D.A.'s county
- 2 = other city police in processing D.A.'s county (specify)
- 3 = sheriff's department or other county-wide force in processing D.A.'s county
- 4 = state police in processing D.A.'s state (highway patrol in California)
- 5 = military police
- 6 = federal law enforcement authority
- 7 = not applicable, i.e., no law enforcement involvement
- 8 = other (specify)
- 9 = unknown/missing value

37. DATE OF POLICE REFERRAL TO PROSECUTION

This identifies the time when the law enforcement agency sent its file to the prosecutor.

Month/Day/Year

99-99-97 = not applicable, i.e., case filed with prosecutor without any police action so far

99-99-99 = unknown/missing value

38. DATE OF SOCIAL SERVICE REFERRAL TO PROSECUTION

This identifies the time when the social service agency forwarded its file to the prosecutor to initiate criminal proceedings.

Month/Day/Year

99-99-97 = not applicable, i.e., no social service involvement

99-99-99 = unknown/missing value

39. LOCATION OF MEDICAL EXAM OF CHILD

This recognizes the different places where the medical exam could take place. Note the distinction between the child as an in- or out-patient. Unless the record indicates that the child was an in-patient, code a medical exam taking place as an out-patient situation. Note also that there is a specific code for no exam having taken place. Code as "unknown" if the location is not clear. This is a "code all that apply" response.

1 = no exam conducted or mentioned in record

2 = victim's home

3 = doctor's office

4 = school

1 = hospital in-patient

2 = hospital out-patient

8 = other (specify)

9 = unknown/missing value

40. LOCATION OF PSYCHOLOGICAL EXAM*

This refers to psychological exams performed as investigations or evaluations, not to psychological exams performed purely as part of ongoing therapy. Psychological exam refers to any interview that assesses sexual abuse from the child's self-report and behavior.

Similar to Item 39, this recognizes the different places where the psychological exam could take place. Again, note the

distinction between the child as an in- or out-patient. Also note again that there is a specific coding for no exam having taken place. Code as "unknown" if the location is unclear. This, too, is a "code all that apply" response.

- 1 = no exam conducted or mentioned in record
- 2 = victim's home
- 3 = doctor's office
- 4 = school
- 1 = hospital in-patient
- 2 = hospital out-patient
- 8 = other (specify)
- 9 = unknown/missing value

41. IDENTIFICATION OF PERPETRATOR BY VICTIM

It is important in coding this item to recognize that more than one identifying technique can be used. The photo display is the classic "mug-shot" imagery. This is another "code all that apply" response.

- 1 = none used, i.e., child named perpetrator
- 2 = live line-up
- 3 = photo display ("mug-shots")
- 8 = other (specify)
- 9 = unknown/missing value

PRE-TRIAL SCREENING

42. DATE PROSECUTOR FILE OPENED

This represents the first documented date on which the case was filed with the prosecutor.

Month/Day/Year

99-99-99 = unknown/missing value

43. NATURE OF PROSECUTION CASE*

This is another "code all that apply" item. To distinguish between the medical and the psychological evidence, examine the credentials and affiliations of the author(s) of the appropriate reports. Note, however, that medical personnel could give psychological evidence (e.g., comment on a child's behavior or emotions), and that other forms of evidence (e.g., fresh complaint) could come from a medical or psychological report. Physical evidence represents anything of a tangible nature which is not associated with the body in the anatomical context, e.g., photographs, clothing, linens, etc. If evidence consists of the

victim's self-report but not a fresh complaint or excited utterance, code 8-other and specify.

- 1 = physical evidence
- 2 = medical evidence
- 3 = psychological evidence
- 4 = fresh complaint/excited utterance
- 1 = other eyewitnesses
- 2 = confession by perpetrator
- 8 = other evidence (specify)
- 9 = unknown/missing value

44. NUMBER AND TYPE OF VICTIM INTERVIEWS*

This item is intended to include investigative interviews conducted by any and all of the individuals listed, from the time of the initial report of abuse through final case disposition. There are two steps: 1) circle the code corresponding to each agency that interviewed the child, and 2) for each agency, enter the number of interviews that were conducted. Code 9 if the records indicate that the child was interviewed but the type of interview is unclear or unspecified. Be sure to enter the number of such "unspecified" interviews in column 2. It may be necessary to jump around the documentation a little to code this, but it must still be done!

Although the term "interviews" is used here, this also refers to any investigative procedures conducted with the child (e.g., medical examination, polygraph examination) regarding the sexual abuse. Make sure that the medical exam and psychological exam you coded in Items 39 and 40 are counted here, and that the coding of "Type of Victim Interview" on Supplement A (Item 1) is consistent with your coding of this item. Complete Supplement A for each interview, except for medical examinations, when you need not bother with Supplement A.

FOR EACH INVESTIGATIVE INTERVIEW, BE SURE TO COMPLETE SUPPLEMENT A.

45. CASE ACCEPTED/REJECTED FOR PROSECUTION*

This is an important item that should be identified easily. Code declination if the prosecutor chooses not to press charges, or to bring a matter so far uncharged before a grand jury. Note that the codes indicated in the original manual were not consistent with the codes listed in the Case Tracking Form; this revision of the manual corrects that error.

- 1 = case accepted
- 2 = case declined

If the case is accepted, you may skip to Part II. Otherwise, continue with Part I.

46. REASONS FOR DECLINATION*

In the event of a response 2-case declined in Item 45, code the rejection reason(s) from the following list. This is a "code all that apply" situation. Be alert to the technical jargon which could be used here, including the frequent use of abbreviations and/or Latin: e.g., "no corpus" would be coded as response 1, loop 2. If you cannot interpret the terminology, either ask a knowledgeable person in the prosecutor's office, or code it as 8-other (note that this option does not exist on the Case Tracking Form; please write "8" in the margin), provide the information in the margin, and let us figure it out.

If the victim recants his/her report of abuse and declines to prosecute, code both 1-victim declines to prosecute and 4-other victim consideration, and note the recantation in the margin. Note that the "unknown" response here is where the case was declined but no reason was given.

- 1 = victim declines to prosecute
- 2 = victim unavailable
- 3 = victim not qualifiable, i.e., victim not able to be admitted or qualified as a witness
- 4 = other victim consideration (specify)
- 1 = insufficient evidence of crime taking place (the "corpus delicti")
- 2 = no corroboration
- 3 = medical reports negative re. abuse
- 4 = medical/other reports not complete
- 1 = key witness(es) other than victim not available
- 2 = other evidentiary consideration (specify)
- 3 = case transferred to other jurisdiction (includes other county, other state, military court system, federal system, etc.)
- 4 = perpetrator being processed on other charges
- 1 = other prosecutorial consideration (specify)
- 2 = 4th amendment problem, e.g., search and seizure issues
- 3 = 5th amendment problem, e.g., self-incrimination issues
- 4 = 6th amendment problem, e.g., right to counsel issues
- 9 = unknown/missing value, i.e., no reason stated

46A. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

Because allegations of child sexual abuse can be dealt with by way of "abuse and neglect" proceedings against the parent or guardian, the case tracking form includes items addressing these proceedings. If you code "no," you have completed data collection for this case, except for Supplements A and C. If you code "yes," then you must fill out Part III of the coding sheet.

1 = yes
2 = no - END

PART II

PROSECUTION CHARACTERISTICS

47. TYPE OF PROSECUTION UNIT

This is a "systemic" item, reflecting whether the case, on arrival in the prosecutor's office, was handled by a specialist unit dealing in sex abuse and/or child victim cases. Note the distinction in the coding categories.

- 1 = special unit for child victims
- 2 = other special crimes unit (specify)
- 3 = general unit
- 8 = other (specify)

48. TYPE OF CHARGING DOCUMENT

It is important here to distinguish between the preparation of an information or an indictment. The information is the charging document prepared by the prosecutor under his own signature; the indictment is the equivalent charging document prepared by the grand jury and is otherwise known as a "true bill." Be alert to use of this latter term to mean an indictment. Do not let the fact that the perpetrator is a juvenile being transferred to adult court confuse you. A charging document is still needed!

- 1 = indictment (produced by the grand jury)
- 2 = information (prepared by the prosecutor)
- 9 = unknown/missing value

49. INDICTMENT/INFORMATION DATE

This is the date the information was signed by the prosecutor, or the indictment handed down by the grand jury.

Month/Day/Year

99-99-99 = unknown/missing value

50. TOTAL NUMBER OF CHARGES FILED BY PROSECUTOR

This is a simple total of all the charges for "real crimes" (i.e., not low-grade traffic offenses) listed on the charging document. The definition of charges is "separate statutory (sub)sections." For example, if the perpetrator is prosecuted for one instance of a violation of Sec. 123.456 and one instance of a violation of Sec. 123.457, you should code two charges.

However, if the perpetrator is charged with two separate instances (counts) of Sec. 123.456, you should code one charge.

If you observe that one perpetrator has been prosecuted under different charging documents for two or more charges arising from the same set of circumstances, these multiple charges should be treated as one case for the purposes of the sample.

01-95 = discrete number of charges
96 = 96 or more charges
99 = unknown/missing value

51. TOTAL NUMBER OF COUNTS FILED BY PROSECUTOR

This item is dependent on the immediately previous one. It is a simple total concerning the overall number of counts in the charging document. The definition of count is "instances of the same statutory (sub)section."

The number of counts logically cannot be less than the number you record for the prior item, but it can easily be a whole lot more! For example, if the perpetrator is charged with three instances of one subsection and four of another, the total number of counts would be seven. As with the previous item, this response does not distinguish felonies from misdemeanors.

01-95 = discrete number of counts
96 = 96 or more counts
99 = unknown/missing value

52. HIGHEST CHARGE CATEGORY (SEX CRIME)

In this item we distinguish between felonies and misdemeanors. States vary in their classification of crimes into these categories. For guidance, consult the list of offense categories provided and/or a statute book in the prosecutor's office. If you're still unsure, ask a prosecutor.

1 = felony
2 = misdemeanor

53. HIGHEST STATUTORY CHARGE (SEX CRIME)

This correlates with the previous category and specifically identifies the statute forming the basis of the most serious charge, using the standard state abbreviations provided as an appendix to this manual.

54. HIGHEST CHARGE CATEGORY (NON-SEX CRIME)

Note that in this item we are examining the status of any non-sex crimes charged.

- 1 = felony
- 2 = misdemeanor
- 7 = not applicable, i.e., no non-sex crime was charged

55. HIGHEST STATUTORY CHARGE (NON-SEX CRIME)

Again, we are examining the status of any non-sex crimes charged.

56. PERPETRATOR'S PRE-TRIAL LIBERTY STATUS*

This refers to the first arrest and detainment on the charges coded in Item 50, regardless of how the arrest was made (e.g., police action vs. indictment by grand jury). Code detained if the perpetrator was held overnight or longer. Ignore the original instructions to go to Item 59 if you code 2-not detained or 9-unknown. Always code Items 57 and 58 if possible.

- 1 = detained
- 2 = not detained
- 9 = unknown/missing value

57. DATE OF ARREST*

This response only applies if it is known that the perpetrator was arrested. Fill this out if applicable, regardless of how you coded Item 56.

Month/Day/Year

99-99-99 = unknown/missing value

58. DATE OF PRE-TRIAL RELEASE*

Again, this response only applies if it is known that the perpetrator was arrested. It recognizes that a perpetrator is sometimes detained for a short period of time prior to trial. Fill this out if applicable, regardless of how you coded Item 57.

Month/Day/Year

99-99-99 = unknown/missing value

59. RELEASE CONDITIONS

Use the following categories to identify the characteristics of the perpetrator's pre-trial release circumstances. Since some of the categories can combine, (e.g., an ROR release with a no contact order), this is a "code all that apply" response. Code as "unknown" if it is not clear whether the perpetrator has been released or, if released, what the conditions are. Again, be alert to the special coding sequence here.

- 1 = in jail, never released, i.e., no pre-trial release
- 2 = released with financial conditions, i.e., what is usually, if wrongly, called "bail"
- 3 = release on own recognizance ("ROR"); this is the (common) situation where a perpetrator is released pre-trial with no financial conditions applicable
- 4 = no contact with child; coding for this will often be aided by use of the specific term "no contact order," a written condition of release
- 1 = treatment program for substance abuse
- 2 = treatment program for sexual abuse
- 8 = other (specify)
- 9 = unknown/missing value

60. GUARDIAN AD LITEM ASSIGNMENT

This responds to the question whether a guardian ad litem (G.A.L.) was assigned to protect the victim's legal interests.

- 1 = G.A.L. assigned
- 2 = no G.A.L. assigned
- 9 = unknown/missing value

61. G.A.L. ASSIGNMENT DATE

This identifies the date on which the G.A.L. was assigned.

Month/Day/Year

99-99-99 = unknown/missing value

62. TYPE OF G.A.L.*

The basic distinction here is on the legal training, if any, of the G.A.L. If you code "non-attorney," note in the margin the specific background of the G.A.L. (e.g., lay volunteer, psychologist, social worker).

- 1 = attorney
- 2 = non-attorney (specify)
- 9 = unknown/missing value

63. VICTIM ASSISTANT ASSIGNMENT*

This responds to the question of whether a victim assistant (V.A.) was assigned to help the victim. A victim assistant is typically a paraprofessional or lay volunteer whose role is to provide support and guidance to the victim. The V.A. can be involved at any point from the disclosure or discovery of the abuse.

- 1 = V.A. assigned
- 2 = no V.A. assigned
- 9 = unknown/missing value

64. VICTIM ASSISTANT ASSIGNMENT DATE

This identifies the date on which the V.A. was assigned.

Month/Day/Year

- 99-99-99 = unknown/missing value

65. TYPE OF VICTIM ASSISTANT

The basic distinction here is the affiliation of the V.A.

- 1 = affiliated with D.A.'s (prosecutor's) office
- 8 = other (specify)
- 9 = unknown/missing value

66. DEFENSE ATTORNEY TYPE

Use the following categories to identify the type of representation. The record should indicate the status of the perpetrator's lawyer. If it is unclear, invariably someone in the D.A.'s office will know the lawyer concerned and his status, so ask! Note the distinction between public defender and court-appointed counsel, a variety of public defense used where no public defender is available, or where the public defender would have a conflict (as in representing co-defendants). Only record "pro se" (i.e., defendant chooses to represent himself) where the documentation clearly indicates this.

- 1 = public defender
- 2 = court-appointed counsel
- 3 = counsel privately retained by perpetrator
- 4 = pro se
- 8 = other (specify)
- 9 = unknown/missing value; type of defense counsel unclear

67. NUMBER OF CHILD-ORIENTED MOTIONS*

Indicate the number of child-oriented motions that were filed (despite the fact that the Case Tracking Form identifies this item as "Number of Pre-trial Motions"). We are only interested in motions that have to do with the victim being a child and the potential influence such motions have on the handling of a case.

00 = no child-oriented motions filed in this case
01-96 = discrete number of child-oriented motions filed
99 = unknown/missing value; some child-oriented motions were obviously filed, but total unclear

68. TYPE OF CHILD-ORIENTED MOTIONS*

Note that only child-oriented motions are coded, not other motions. It is possible that some of the measures that are listed were used without being introduced through motions. If so, please code the item as best you can and indicate in the margin that it was not accomplished through the use of a motion.

This is the first use of a matrix in the coding form. Note that it asks you to "code all that apply." For each type of motion, identify who filed it in the first column pair and the result in the second column pair. The information in column 1 can be found by reviewing the motions filed in the case. The docket can often help flag them. The judge's response is always called the order, regardless of who "wins" the motion.

By way of an arithmetic check, the total number of check-offs in this item should equal the total number of motions in the item above.

69. NUMBER OF CONTINUANCES*

Indicate the number of continuances that were granted, thereby causing a delay in a judicial hearing specifically. This is not just limited to continuances of the trial, although this is a very common type. If you cannot identify the exact number of continuances, specify a range between multiples of 5 (i.e., 0 to 5, 5 to 10, etc.). If there were multiple continuances granted but the number cannot be specified at all, code 99-unknown.

00 = no continuances granted in this case
01-96 = discrete number of continuances granted
99 = unknown/missing value, e.g., some continuances were obviously granted, but total unclear

70. DAYS LOST TO CONTINUANCES*

This will be tedious, if it shows up. We are looking for the total number of days "lost" because of continuances. If continuances have occurred, it will be necessary to subtract, in days, the rescheduled date from the original, accumulating the answer in days for as many continuances as took place. If you cannot identify the exact number of days lost to continuances, specify a range between multiples of 10 (i.e., 0 to 10, 10 to 20, etc.). If there were days lost to continuances but the number cannot be specified at all, code 999-unknown.

001-995 = discrete number of days lost
996 = 996 or more days lost
999 = unknown/missing value; continuance(s) granted, but impact in days not clear

71. REASONS FOR CONTINUANCES

This is also a potential "code all that apply" response. You may need to examine the court docket and/or court record to ascertain the reasons for continuances. Scanning motions and orders will serve as a guide.

1 = scheduling conflict
2 = attorney not ready
3 = awaiting results of medical/psychological exam
4 = cannot locate victim/perpetrator
1 = victim not ready
8 = other (specify)
9 = unknown/missing value

ADULT CRIMINAL COURT EVENTS: KEY DATES*

There are key dates in the processing of a criminal charge, regardless of outcome. For each event that took place in the individual case, record the date on which the event began in the first column. In the second column, check off whether the child was present. In some cases, a perpetrator may plead guilty at one of these court events. If so, code the date and child presence as usual and note in the margin that a guilty plea was made. Note in the margin if it is unknown whether the child was present during the event.

As another example of simple arithmetic, the number you code in response to Item 81 should be the sum total of yeses in Items 72-80, inclusive.

Month/Day/Year

99-99-97 = not applicable; this stage not reached
in this case
99-99-99 = unknown/missing value

- 72. INITIAL APPEARANCE/BAIL HEARING
- 73. PRELIMINARY HEARING
- 74. GRAND JURY
- 75. COMPETENCY EXAM FOR VICTIM
- 76. DEPOSITION OF VICTIM
- 77. TRIAL COURT ARRAIGNMENT
- 78. OTHER PRE-TRIAL PROCEEDING INVOLVING VICTIM (specify event type)
- 79. TRIAL COMMENCEMENT
- 80. SENTENCING
- 81. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT

This is simply a count of the 1's that were circled, indicating that the child was present at the proceeding in question.

BE SURE TO COMPLETE SUPPLEMENT B FOR EACH EVENT INCLUDED IN THIS TOTAL.

TRIAL ACTIVITIES

82. TRIAL TYPE

Distinguish between a jury and a non-jury trial. Do not assume either in the absence of information.

1 = no trial held, i.e., case disposed of pre-trial
2 = trial by judge (also called "bench trial")
3 = trial by jury
9 = unknown/missing value

83. TYPE OF EXPERT WITNESS TESTIMONY*

This is another matrix, and a "code all that apply" response. It recognizes the possibility that either side could call upon one or more type of expert witness. In addition, there is the chance the court could appoint an expert. Be careful not to get lost in the matrix!

Please note briefly in the margin the content of the expert testimony (e.g., testimony that the victim's symptoms were consistent with sexual abuse, testimony that children in general are truthful reporters regarding sexual abuse). Note that research psychologists or other behavioral science professionals could give expert testimony. These should not be coded as 3-mental health professional, but instead as 8-other and specified. Similarly, code medical researchers as 8-other and specify, instead of coding them as medical professionals.

84. TYPE OF HEARSAY EXCEPTION

This item is important in identifying hearsay exceptions which may be permitted in cases involving child victims. Using the following list, identify the particular type of exception, if one was granted. Again, this is a "code all that apply" response, with the special coding.

- 1 = none
- 2 = fresh complaint
- 3 = excited utterance
- 4 = special exception for sexually abused children
- 1 = medical complaint
- 2 = medical diagnosis
- 8 = other (specify)

85. DISPOSITION TYPE

Be careful of this item. It identifies the way in which the charge was dealt with; it is not tied to whether the case reached the trial stage. Whether in the retrospective or prospective sample, cases that have not reached disposition should be treated as "open" cases; do not code 97-not applicable/still pending until you are instructed to terminate the data collection process. Also, be careful to distinguish between a case not yet disposed of and one in which the disposition is not clear--an unlikely but not impossible response.

- 01 = guilty plea pre-trial
- 02 = conviction at trial
- 03 = pre-trial diversion
- 04 = grand jury no-bill (no indictment)
- 05 = nolle pros or other dismissal by prosecutor
- 06 = dismissal by court pre-trial

- 07 = acquittal at trial
- 97 = not applicable, case still pending
- 98 = other trial outcome, e.g., mistrial, hung jury
- 99 = unknown/missing value

86. DIVERSION CONDITIONS*

In the event the record indicates, by use of some term such as "deferred prosecution" or "deferred adjudication," that the case was accepted for pre-trial diversion, note the conditions, if any, attached to that decision. "Treatment program for substance abuse" refers to a program that specializes in substance abuse treatment. This does not refer to a general treatment program or treatment professional simply providing treatment to try to change substance abuse. "Treatment for sexual abuse" refers to specialized treatment for sexual abuse. If there are particular forms of diversion that are peculiar to your site, please let us know and we will design the best rules to handle these situations. If the condition is not on the following list, use the "other" category and specify it briefly. Code as "unknown" where it is clear that some diversion conditions existed but their nature is not clear. This is a "code all that apply" response.

- 1 = no contact with the victim
- 2 = treatment program for substance abuse
- 3 = treatment for sexual abuse
- 4 = general counseling program
- 8 = other (specify)
- 9 = unknown/missing value; diversion conditions unknown

87. NUMBER OF CHARGES CONVICTED

This is a simple total concerning the current activity. It does not distinguish felonies from misdemeanors. But note the possibility that this number could differ from the number of original charges--that is what plea bargaining is all about!

- 01-95 = discrete number of charges
- 96 = 96 or more charges
- 99 = unknown/missing value

88. HIGHEST CHARGE CATEGORY AT CONVICTION (SEX CRIME)

This distinguishes whether the most serious sexual offense convicted was a felony or misdemeanor.

- 1 = felony
- 2 = misdemeanor
- 7 = not applicable,, i.e., no sex crime charge at conviction

89. HIGHEST STATUTORY CHARGE AT CONVICTION (SEX CRIME)

This specifically identifies the statutory subsection for the most serious charge convicted, using the standard state abbreviations provided as an appendix to this manual.

90. HIGHEST CHARGE CATEGORY AT CONVICTION (NON-SEX CRIME)

This distinguishes whether the most serious non-sex crime convicted was a felony or misdemeanor.

- 1 = felony
- 2 = misdemeanor
- 7 = not applicable, i.e., no non-sex crime charge at conviction

91. HIGHEST STATUTORY CHARGE AT CONVICTION (NON-SEX CRIME)

This specifically identifies the statutory subsection for the most serious non-sex crime convicted, again using the standard state abbreviations.

92. WAS SENTENCED IMPOSED?*

The sentence may still be pending at the time you complete the coding sheet. If "no," go to Item 95A (Reasons for Dismissal), not to Item 96 as indicated on the form.

- 1 = yes
- 2 = no

93. VICTIM IMPACT STATEMENT AT SENTENCING

Did the victim make any comments at the sentencing hearing? Such "comments" would usually take the form of delivering some type of victim impact statement. Because such comments are not yet a routine policy, assume that the victim did not make such a statement unless noted in the record. Code as "unknown" only where it is clear that the victim took some part at sentencing but that the exact nature of the participation is unclear.

- 1 = none
- 2 = oral statement
- 3 = written statement
- 9 = unknown/missing value

94. INSTITUTIONAL SENTENCE*

This item requires two steps: first, determine the elements of the sentence and circle the appropriate code(s) in column 1; second, for each element you have circled in column 1, enter the number of months in column 2. This is a "code all that apply"

response, allowing for accurate coding of "split sentences," in which the judge orders both a term of incarceration and a term of probation. (Conditions of probation will be specified in the following item.) It is also possible that all or part of an incarcerative sentence could be suspended.

If the sentencing order provides a range (e.g., 3 to 5 years), always code the minimum. When the offender has been convicted on multiple counts or charges, the sentencing order should indicate whether the terms are to be served consecutively or concurrently. Consecutive terms should be summed before entering the total in column 2. (Remember to convert years to months.) A life sentence should be coded 998. **If there are particular forms of sentencing that are peculiar to your site (e.g., workhouse assignment in St. Paul), please let us know, and we will design the best rules to handle these situations.**

95. CHARACTERISTICS OF NON-INSTITUTIONAL SENTENCE

This is another "code all that apply" response. Where a fine is issued, indicate the amount on the next line, to a maximum of six figures.

- 1 = probation supervision only; no other conditions
- 2 = non-residential sex offender treatment program
- 3 = non-residential substance abuse treatment program
- 4 = restitution
- 1 = community service
- 2 = fine (specify \$_____)
- 3 = no contact order re. child victim
- 7 = not applicable, i.e., non-institutional sentence not imposed
- 8 = other conditions (specify)
- 9 = unknown/missing value; conditions imposed, but nature unclear

95A. REASONS FOR DISMISSAL*

In the event of a response 2-no sentence imposed in Item 92, code the reason(s) from the following list. This is a "code all that apply" situation. If you cannot interpret the terminology, either ask a knowledgeable person in the prosecutor's office, or code it as 8-other (note that this option does not exist on the Case Tracking Form; please write "8" in the margin), provide the information in the margin, and let us figure it out.

If the victim recants his/her report of abuse and declines to prosecute, code both 1-victim declines to prosecute and 4-other victim consideration, and note the recantation in the

margin. Note that the "unknown" response here is where the case was dismissed but no reason was given.

- 1 = victim declines to prosecute
- 2 = victim unavailable
- 3 = victim not qualifiable, i.e., victim not able to be admitted or qualified as a witness
- 4 = other victim consideration (specify)
- 1 = insufficient evidence of crime taking place (the "corpus delicti")
- 2 = no corroboration
- 3 = medical reports negative re. abuse
- 4 = medical/other reports not complete
- 1 = key witness(es) other than victim not available
- 2 = other evidentiary consideration (specify)
- 3 = case transferred to other jurisdiction (includes other county, other state, military court system, federal system, etc.)
- 4 = perpetrator being processed on other charges
- 1 = other prosecutorial consideration (specify)
- 2 = 4th amendment problem, e.g., search and seizure issues
- 3 = 5th amendment problem, e.g., self-incrimination issues
- 4 = 6th amendment problem, e.g., right to counsel issues
- 9 = unknown/missing value, i.e., no reason stated

96. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

Because allegations of child sexual abuse can also be dealt with by way of "abuse and neglect" proceedings against the parent or guardian, it will also be necessary to code for the events in the abuse/neglect route. If you code "no," you have completed data collection for this case. Remember, however, to complete Supplements A and B. If "yes," then it will be necessary to fill out Part III of the Case Tracking Form.

- 1 = yes
- 2 = no

PART III

ABUSE/NEGLECT PROCEEDINGS: KEY EVENTS

There are key dates in the processing of a child abuse and neglect charge, regardless of outcome. For each event that took place in the individual case, identify the date on which the event began in column 1, and indicate whether the child was present, a yes/no question, in column 2.

Month/Day/Year

99-99-97 = not applicable, this stage not reached
99-99-99 = unknown/missing value

- 97. EMERGENCY REMOVAL OR CUSTODY HEARING
- 98. FILING OF ABUSE/NEGLECT PETITION
- 99. PRELIMINARY HEARING
- 100. PRE-TRIAL CONFERENCE
- 101. ADJUDICATORY/FACT-FINDING HEARING
- 102. DISPOSITION HEARING
- 103. REVIEW HEARING (note that we provide for up to three review hearings)
- 104. OTHER HEARING INVOLVING CHILD
- 105. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT

As with the adult court events, this is another example of simple arithmetic; the number you code in response to Item 105 should be the total number of yeses in Items 97-104, inclusive.

SUPPLEMENT B MUST BE COMPLETED FOR EACH PROCEEDING THAT IS INCLUDED IN THIS TOTAL.

FAMILY/JUVENILE COURT PRE-ADJUDICATION ACTIVITY

- 106. ORDER FOR MEDICAL EXAM OF CHILD

This item addresses the question whether the court ordered a

medical exam of the child at any point during the abuse/neglect proceedings.

- 1 = yes
- 2 = no
- 9 = unknown/missing value

107. ORDER FOR PSYCHOLOGICAL EXAM OF CHILD

Paralleling the previous item, this addresses the question whether the court ordered a psychological exam of the child at any point during the abuse/neglect proceedings.

- 1 = yes
- 2 = no
- 9 = unknown/missing value

108. GUARDIAN AD LITEM ASSIGNMENT

As in the section concerning the processing of criminal charges in adult court, this responds to the question whether a guardian ad litem (G.A.L.) was assigned to protect the victim's legal interests.

- 1 = G.A.L. assigned
- 2 = no G.A.L. assigned
- 9 = unknown/missing value

109. G.A.L. ASSIGNMENT DATE

This identifies the date on which a G.A.L. was assigned for the abuse/neglect proceedings.

Month/Day/Year

- 99-99-99 = unknown/missing value

110. TYPE OF G.A.L.

The basic distinction here is on the legal training, if any, of the G.A.L.

- 1 = attorney
- 2 = non-attorney
- 9 = unknown/missing value

111. DEFENSE ATTORNEY TYPE

Use the following categories to identify the type of representation for the person accused of the abuse/neglect. The record will often indicate the status of the defendant's lawyer. If it is unclear, invariably someone in the D.A.'s office will

know the lawyer concerned and his status, so ask! Note the distinction between public defender and court-appointed counsel, a variety of public defense used where no public defender is available, or where the public defender would have a conflict (as in representing co-defendants). Record "pro se" (i.e., perpetrator chooses to represent himself) only where the documentation clearly indicates this.

- 1 = none
- 2 = public defender
- 3 = court-appointed counsel
- 4 = counsel privately retained by perpetrator
- 5 = pro se
- 8 = other (specify)
- 9 = unknown/missing value; type of defense counsel unclear

112. NUMBER OF CHILD-ORIENTED MOTIONS*

Indicate the number of child-oriented motions that were filed in the abuse/neglect proceedings (**despite the fact that the Case Tracking Form identifies this item as "Number of Pre-adjudication Motions"**). We are only interested in motions that have to do with the victim being a child and the potential influence such motions have on the handling of a case.

- 00 = no child-oriented motions filed in the abuse/neglect process
- 01-96 = discrete number of child-oriented motions
- 99 = unknown/missing value; some motions were obviously filed, but total unclear

113. TYPE OF CHILD-ORIENTED MOTIONS*

Note that only child-oriented motions are coded, not other motions. It is possible that some of the measures listed were used without being introduced through motions. If so, please code the item as best you can and indicate in the margin that it was not accomplished through the use of a motion.

This is yet another use of a matrix in the coding form, and, again, a "code all that apply" response. For each type of motion, identify who filed it in the column 1 pair and the result in the column 2 pair. The information in column 1 can be found by reviewing the motions filed in the case. The docket can often help flag them. The judge's response is always called the order, regardless of who "wins" the motion.

By way of an arithmetic check, the total number of check-offs in the filing columns of this item should equal the total number of motions in the item above.

114. NUMBER OF CONTINUANCES

Indicate the number of continuances that were granted, thereby causing a delay in a judicial hearing specifically. This is not just limited to continuances of the adjudication hearing, although this is a very common type.

00 = no continuances granted in this case
01-96 = discrete number of continuances granted
99 = unknown/missing value; some continuances were obviously granted, but total unclear

115. DAYS LOST TO CONTINUANCES

This will be tedious, if it shows up. We are looking for the total number of days "lost" because of continuances. If continuances have occurred, it will be necessary to subtract, in days, the rescheduled date from the original, accumulating the answer in days for as many continuances as took place.

001-995 = discrete number of days lost
996 = 996 or more days
999 = unknown/missing value; continuance(s) granted, but impact in days not clear

116. REASONS FOR CONTINUANCES

This is also a potential "code all that apply" response. You may need to examine the court docket and/or court record to ascertain the reasons for continuances. Scanning motions and orders will serve as a guide.

1 = scheduling conflict
2 = attorney not ready
3 = awaiting results of medical/psychological exam
4 = cannot locate victim/perpetrator
1 = victim not ready
8 = other (specify)
9 = unknown/missing value

117. EMERGENCY COURT ORDER IN THIS CASE?

Here we need to determine whether the family or juvenile court issued an emergency order to protect the child. Code as "unknown" only if there is some indication that emergency protective action was taken but no order appears on the record.

1 = yes
2 = no
9 = unknown/missing value

118. TYPE OF ORDER

This item specifies the nature of the emergency order that was issued. Code all that apply. Code as "unknown" if the order is unclear.

- 1 = placement of child
- 2 = no contact order
- 7 = not applicable, i.e., no emergency order issued
- 8 = other (specify)
- 9 = unknown/missing value; nature of order unclear

119. JUVENILE/FAMILY COURT DISPOSITION*

Once the family or juvenile court intervenes on behalf of a child, the court may retain supervisory authority over the child and family for an extended period. As a result, there may be a series of orders occurring within the time frame of our data collection. In Items 119-122, we are interested in the first formal disposition to arise out of the allegations in the case.

The terms for certain dispositional outcomes may vary from those provided below. "Adjournment/deferred adjudication" refers to an adjournment of the case prior to the adjudicatory hearing or upon fact-finding. The court may defer making a finding of fact if parties consent to a specified court order. The court then imposes conditions which must be met within a specific time. "Suspended judgment" refers to a suspension of judgment after presentation of evidence in an adjudicatory hearing, either before or after the finding of fact. The court orders conditions which must be met within a specific time. If you are unsure how to code a particular dispositional outcome, use "other" and enter the language of the court order.

Also, whether in the retrospective or prospective sample, cases that have not reached first formal disposition should be treated as "open" cases; do not code 7-not applicable/still pending until you are instructed to terminate the data collection process.

- 1 = placement of child
- 2 = adjournment/deferred adjudication
- 3 = suspended judgment
- 4 = probation
- 1 = no contact order
- 2 = dismissal
- 3 = termination of parental rights
- 7 = not applicable (still pending)
- 8 = other (specify)
- 9 = unknown/missing value

120. PLACEMENT OF CHILD*

This recognizes that as a result of the abuse/neglect proceedings, the child may be moved from the pre-adjudication home. Use "other" for any placement not on the list. In cases in which the child has multiple placements, only code the initial placement that resulted from the abuse/neglect proceedings.

- 1 = no placement, i.e., child remains in pre-abuse residence
- 2 = in shelter care
- 3 = in foster care
- 4 = with relative
- 5 = in group home
- 6 = in institutional setting
- 8 = other (specify)
- 9 = unknown/missing value; location of placement unclear

121. SPECIAL CONDITIONS OF DISPOSITION

This is another "code all that apply" response.

- 1 = none
- 2 = counseling for child
- 3 = counseling for parents
- 4 = temporary custody/parental visitation arrangement
- 1 = no contact order between parent/guardian and child
- 2 = specific compliance with treatment or service plan not involving counseling
- 8 = other condition (specify)
- 9 = unknown/missing value; nature of conditions unclear

122. DURATION OF DISPOSITIONAL ORDER*

This is a computation in months. Note that 00 here means that an order was made for the unlikely period of less than one month. Code 98 for an order that is indicated as "until further notice or proceedings." For example, a child may be in a placement for an indefinite period until the family has undergone counseling and is ready to reunite. Note that special codes 97 through 99 are not listed in the Case Tracking Form. You should refer to this manual and still use them if they apply.

- 00 = one month or under
- 01-95 = discrete, finite number of months
- 96 = 96 or more months
- 97 = not applicable, i.e., no dispositional order in this case
- 98 = unlimited time order
- 99 = unknown/missing value; duration of order not stated

SUPPLEMENT A
(Blue)

DETAIL FOR INVESTIGATIVE INTERVIEWS

PLEASE WRITE THE DATE OF THE INTERVIEW IN THE TOP RIGHT-HAND CORNER OF SUPPLEMENT A. NOTE THE APPROXIMATE DATE IF YOU CANNOT BE EXACT.

Complete one supplement sheet for each interview involving the child.

1. TYPE OF VICTIM INTERVIEW

The "type" here refers to the part of the process the case has reached. Where more than one person is involved, code the interview leader, unless it is unclear. If unclear, code 09.

- 01 = law enforcement
- 02 = social services
- 03 = medical
- 04 = mental health
- 05 = prosecutor
- 06 = judge
- 07 = defense attorney or investigator
- 08 = probation officer
- 09 = multiple
- 98 = other (specify)
- 99 = unknown/missing value

2. STYLE OF INTERVIEW

To follow the previous item, this recognizes that an interview can involve more than one interviewer. Code "joint" where it is clear that other agency representatives were present during the interview, even if they did not actually question the child.

- 1 = solo
- 2 = joint
- 9 = unknown/missing value

3. RECORDING OF INTERVIEW

Distinguish carefully between the types of technology used. Do not assume that the interview was recorded.

- 1 = interview not recorded
- 2 = interview audiotaped
- 3 = interview videotaped
- 4 = interview video- and audiotaped
- 9 = unknown/missing value, i.e., unclear whether recorded

4. PRESENCE OF SUPPORT PERSON*

This item is another "code all that apply" response. It refers to the presence of the support person(s) with the child when s/he was being interviewed. (Obviously, exclude the perpetrator.) If the attendee is not on the list, code as other and specify if possible. Where it is clear that someone else was there in a supportive role but that person's relationship is unclear, code as 9-unknown. If you know that a support person accompanied the child to the interview but don't know if s/he was with the child during the interview, code 9 and note this in the margin.

- 1 = no support people in attendance
- 2 = guardian ad litem
- 3 = victim assistant
- 4 = mother/stepmother/adoptive mother
- 1 = father/stepfather/adoptive father
- 2 = sibling
- 3 = other relative (specify)
- 4 = friend
- 1 = teacher/counselor
- 2 = foster parent
- 3 = social worker
- 8 = other non-relative (specify)
- 9 = unknown/missing value

5. CHILD-FRIENDLY TECHNIQUES

This is another "code all that apply" response. Where such techniques were used, the narrative should be quite specific. If not, code 1-none. Code "other" and specify where it is clear that some attempts to make the interview child-friendly were made but do not fall within the categories provided.

- 1 = none
- 2 = anatomical dolls
- 3 = artwork
- 4 = special interviewing room
- 8 = other (specify)

6. PRESENCE OF PERPETRATOR

This item inquires about the perpetrator being at the interview and recognizes that accommodations may be made to avoid face-to-face contact.

- 1 = no, perpetrator not present
- 2 = yes, visible (face-to-face)
- 3 = yes, perpetrator behind screen
- 4 = yes, perpetrator watching via T.V. monitor
- 9 = unknown/missing value

7. LENGTH OF INTERVIEW*

This is a straightforward computation of time, in hours. It refers to the length of the actual interview and cannot be estimated by, for example, the amount of time that a child was at the interviewing site (e.g., hospital).

- 1 = less than 1/2 hour
- 2 = between 1/2 and 1 hour
- 3 = 1 to 2 hours
- 4 = 2 to 4 hours
- 5 = more than 4 hours
- 9 = unknown/missing value; length of interview not clear

8. TIME OF DAY INTERVIEW BEGAN*

Indicate here the time of day the interview began. Use the 12 hour clock (not military time) and note the difference between a.m. and p.m. Where the time of the interview is not clear, code as "unknown." If you can, indicate a.m. or p.m. even if you don't know the exact time the interview began.

12:00 - 11:59 = time of day
99:99 = unknown/missing value

- 1 = a.m.
- 2 = p.m.
- 9 = unknown/missing value; not specified

SUPPLEMENT B
(Green)

DETAIL FOR COURT PROCEEDINGS

PLEASE WRITE THE DATE OF THE COURT PROCEEDING IN THE TOP RIGHT-HAND CORNER OF SUPPLEMENT B. NOTE THE APPROXIMATE DATE IF YOU CANNOT BE EXACT.

1. TYPE OF PROCEEDING:

Adult Criminal Court

- 01 = initial appearance/bail hearing
- 02 = grand jury
- 03 = preliminary hearing
- 04 = competency examination
- 05 = deposition of child victim
- 06 = trial court arraignment
- 07 = other pre-trial proceeding (specify event type)
- 08 = trial
- 09 = sentencing

Abuse/Neglect Proceedings

- 10 = emergency custody/removal hearing
- 11 = filing of abuse/neglect petition
- 12 = preliminary hearing
- 13 = pre-trial conference
- 14 = adjudicatory (fact-finding) hearing
- 15 = dispositional hearing
- 16 = review hearing
- 98 = other hearing (specify)

2. VICTIM TESTIMONY

Did the victim testify at the event? Do not assume that the victim did or did not testify.

- 1 = none
- 2 = yes, live
- 3 = yes, via prior videotape
- 4 = yes, via closed circuit T.V.
- 5 = yes, in judge's chambers
- 9 = unknown/missing value; unclear whether victim testified

3. TIME OF DAY DIRECT TESTIMONY BEGAN*

Indicate here the time of day the direct testimony began. Use the 12 hour clock and note the difference between a.m. and

p.m. Where the time that the direct testimony started is not clear, code as "unknown." If you can, indicate a.m. or p.m. even if you don't know the exact time the direct testimony began.

12:00 - 11:59 = time of day
99:99 = unknown/missing value; time not specified

1 = a.m.
2 = p.m.
9 = unknown/missing value

4. LENGTH OF DIRECT EXAMINATION

This is a straightforward computation of time, in hours.

1 = less than 1/2 hour
2 = between 1/2 and 1 hour
3 = 1 to 2 hours
4 = 2 to 4 hours
5 = more than 4 hours
9 = unknown/missing value; length of child's testimony not clear

5. CROSS-EXAMINATION

Having testified, was the victim cross-examined? Do not assume that the victim was or was not cross-examined.

1 = no
2 = yes, live
3 = yes, via prior videotape
4 = yes, via closed circuit T.V.
5 = yes, in judge's chambers
9 = unknown/missing value; unclear whether child was cross-examined

6. TIME OF DAY CROSS-EXAMINATION BEGAN*

This refers to the time of day the cross examination began. If you can, indicate a.m. or p.m. even if you don't know the exact time the cross-examination began.

12:00 - 11:59 = time of day
99:99 = unknown/missing value

1 = a.m.
2 = p.m.
9 = unknown/missing value

7. LENGTH OF CROSS-EXAMINATION

This is the same straightforward computation of time as in previous items.

- 1 = less than 1/2 hour
- 2 = between 1/2 and 1 hour
- 3 = 1 to 2 hours
- 4 = 2 to 4 hours
- 5 = more than 4 hours
- 9 = unknown/missing value; length unclear

8. PRESENCE OF SUPPORT PERSON

This is another "code all that apply" response. (Obviously, exclude the perpetrator.) If the attendee is not on the list, code "other" and specify if possible. Where it is clear that someone else was there in a supportive role but that person's relationship is unclear, code as 9-unknown.

- 1 = no support people in attendance
- 2 = guardian ad litem
- 3 = victim assistant
- 4 = mother/stepmother/adoptive mother
- 1 = father/stepfather/adoptive father
- 2 = sibling
- 3 = other relative (specify)
- 4 = friend
- 1 = teacher/counselor
- 2 = foster parent
- 3 = social worker
- 4 = counselor/therapist
- 8 = other non-relative(specify)
- 9 = unknown/missing value

9. CHILD-FRIENDLY TECHNIQUES

This is another "code all that apply" response. Where such techniques were used, the narrative should be quite specific. If not, code 1-none.

- 1 = none
- 2 = anatomical dolls
- 3 = artwork
- 4 = modification of courtroom environment
- 8 = other (specify)

10. PRESENCE OF PERPETRATOR

This item inquires about the perpetrator being at the proceeding and recognizes that accommodations may be made to avoid face-to-face contact.

- 1 = no, perpetrator not present
- 2 = yes, visible (face-to-face)
- 3 = yes, perpetrator behind screen
- 4 = yes, perpetrator watching via T.V. monitor
- 9 = unknown/missing value; perpetrator was present but it is unclear whether accommodations were made

SUPPLEMENT C*
(Pink)

ADDITIONAL CASE RECORD DATA

1. VICTIM'S DATE OF BIRTH

Provide month/day/year for each case.

99-99-99 = unknown/missing value

2. LEGAL STATUS OF PERPETRATOR

This item is designed to capture whether the perpetrator was an illegal alien. In most cases, citizenship of the perpetrator will not be explicitly stated anywhere; if so, code 1-not stated. Note that the sentence given a perpetrator may help clarify his/her citizenship (e.g., if s/he is deported). If the perpetrator is an alien but you do not know if his/her status is legal or illegal, code 5-alien, legal status unclear. If the available information on legal status is conflicting or confusing, code 9-unclear.

- 1 = not stated
- 2 = U.S. citizen
- 3 = legal alien
- 4 = illegal alien
- 5 = alien, legal status unclear
- 8 = other (specify)
- 9 = unclear

3. OCCUPATION PERPETRATOR ORDINARILY PURSUES

This and the next item were included to provide better information for the determination of perpetrators' socioeconomic status, and to disentangle the variables of employment status and usual occupation. Write in the occupation on the lines provided. If the perpetrator is unemployed, laid off, retired or otherwise not working, write in the occupation they ordinarily pursue or pursued when employed.

4. EMPLOYMENT STATUS

This items records employment status separately from occupation. If the perpetrator has some marginal employment but is otherwise unemployed, (e.g., perpetrator helps out at the gas station occasionally while looking for a job), code 2 - unemployed/laid off. If you are unsure, do not code, but instead provide relevant information in a margin note.

employed.....	01
unemployed/laid off.....	02
student.....	03
homemaker.....	04
retired.....	05
other(specify)_____	08
<hr/>	
unknown.....	99

5. PERPETRATOR'S HANDICAPS

Code this if 1) a professional (social worker, police officer, prosecutor, attorney, mental health professional, etc.) states that the perpetrator has a handicap; 2) the perpetrator has made use of special services related to the handicap (e.g., perpetrator participates in a rehabilitation program, uses prostheses, etc.); or 3) there is clear evidence of a handicap that affects functioning (e.g., the perpetrator has an IQ below 70). If you have more specific information that clarifies the nature of the handicap or are unsure about your code, please make a note in the margin. Please code all that apply.

- 01 = none apparent
- 02 = learning disabled: Refers to disorders involving basic psychological processes that manifest themselves in problems with listening, speaking, reading, writing, and other academic skills. This includes such conditions as specific learning disabilities, perceptual handicaps, brain injury, minimal brain dysfunction, and dyslexia. If there is illiteracy without evidence of a learning disability, code 8-other and specify.
- 03 = developmental: Refers to mental retardation, which is diagnosed when intellectual functioning is significantly sub-average and a person's adaptive behavior is impaired.
- 04 = emotional: Refers to emotional disturbances that severely affect judgment and/or are identified by mental health professionals as impairing functioning. These include but are not limited to the following conditions: dangerously aggressive toward others, self-destructive, severely withdrawn and non-communicative, hyperactive to the extent that it affects adaptive behavior, severely anxious, depressed or phobic, psychotic or autistic, schizophrenic. Do not include psychiatric disorders that do not have a severe impact on functioning (e.g., general anxiety, minor depression). Because this may be a difficult category to code, please include specific information in the margin.

- 05 = orthopedic: Refers to physical conditions that impair gross and fine motor abilities (e.g., cerebral palsy, muscular dystrophy, etc.). The physical conditions are due to congenital anomalies, accidents, or disease. Do not specify.
- 06 = speech: Refers to speech and language disorders that include receptive or expressive language impairment and other voice and articulation problems.
- 07 = hearing: Includes both hearing impairment and deafness.
- 08 = sight: Includes both blindness and other visual impairments of a severe nature.
- 98 = other (specify): May include chronic medical conditions that impair functioning, such as diabetes or cardiac conditions, as well as other handicaps.
- 99 = unclear or missing data

6. CIRCUMSTANCES LEADING TO DISCLOSURE/DISCOVERY [ADDITIONAL]

This is essentially a clearer version of Items 31 (Disclosure Circumstances) and 32 (Prompting Circumstances If Disclosant Other Than Child) on the Case Tracking Form, which you should still code as well as this item. Code all that apply to the disclosure or discovery of abuse. Make sure you code circumstances that led to disclosure or discovery; do not code those that followed from disclosure or discovery.

- 1 = child disclosed or revealed abuse
- 2 = child, in confidence, told someone who then revealed it (specify who)
- 3 = child displayed behavioral symptoms of abuse
- 4 = child displayed medical symptoms of abuse
- 5 = sexual abuse was witnessed by another person
- 8 = other (specify)
- 9 = unknown/missing value

7. FIRST PERSON TO LEARN ABOUT THE SEXUAL ABUSE

Note that for many cases, this person is different from the first person/agency notified (Item 33 on the Case Tracking Form). The first person to learn about the sexual abuse may have done so either because the child told him/her or because s/he obtained information that made him/her conclude that abuse had occurred. If the child disclosed the abuse (Item 31 coded 1), then the person/agency that received the disclosure is also the first person/agency notified (Item 33) and the first person to learn about the sexual abuse (Item 5, above). If someone other than the child disclosed the abuse (Item 31 coded 2), then the first person/ agency notified (Item 33) is not the first person to learn about the sexual abuse (Item 5, above). For any broad category (e.g., legal representative, social worker), please specify the person's role in a margin note.

- 01 = mother
- 02 = adoptive mother/stepmother
- 03 = other female relative (specify)
- 04 = father
- 05 = adoptive father/stepfather
- 06 = other male relative (specify)
- 07 = friend
- 08 = teacher/day care provider
- 09 = clergy
- 10 = hot line
- 11 = social worker (specify)
- 12 = mental health professional
- 13 = health care provider (specify)
- 14 = rape crisis center/victim services
- 15 = law enforcement professional (specify)
- 16 = legal representative (specify)
- 98 = other (specify)
- 99 = unknown/missing value

8. INITIAL ACTION BY FIRST PERSON TO LEARN OF ABUSE

This refers to how the person noted in Item 5 (above) first responded when s/he learned of the abuse.

- 01-04 = took no action because:
 - 01 = person did not believe child
 - 02 = person did not know what to do
 - 03 = person was scared
 - 04 = other reason (specify)
- 05 = tried to correct situation without official involvement
- 06 = notified the child protective services agency
- 07 = notified a law enforcement agency
- 08 = brought the matter to the attention of some other person or agency (specify)
- 98 = other (specify)
- 99 = unknown/missing value

9. PERSON WHO MADE THE OFFICIAL REPORT

This refers to the person who first notified the government agency coded in Item 34 (First Government Agency Notified) of the Case Tracking Form. Make sure that supplemental Items 5, 6, and 7 are coded logically and consistently. Item 7 should be identical to Item 5 if the first person to learn about the sexual abuse (Item 5) called a child protective services or law enforcement agency (Item 6 coded 6 or 7, respectively). For any broad category (e.g., legal representative, social worker), please specify the person's role in a margin note.

- 01 = mother
- 02 = adoptive mother/stepmother
- 03 = other female relative (specify)
- 04 = father
- 05 = adoptive father/stepfather
- 06 = other male relative (specify)
- 07 = friend
- 08 = teacher/day care provider
- 09 = clergy
- 10 = hot line
- 11 = social worker (specify)
- 12 = mental health professional
- 13 = health care provider (specify)
- 14 = rape crisis center/victim services
- 15 = law enforcement professional (specify)
- 16 = legal representative (specify)
- 98 = other (specify)
- 99 = unknown/missing value

10. PERPETRATOR'S COERCION OF CHILD

This refers to the methods by which the perpetrator tried to achieve control of the child. Please code all that apply.

- 01 = deception
- 02 = bribery/enticement
- 03 = used his/her authority as an adult
- 04 = verbally threatened the child
- 05 = verbally threatened someone else
- 06 = threatened use of force on the child
- 07 = threatened use of force on someone else
- 08 = threatened use of weapon(s) on the child
- 09 = threatened use of weapon(s) on someone else
- 10 = incapacitated the child with drugs or alcohol
- 11 = physically overpowered/restrained the child
- 12 = physically assaulted the child with weapon(s)
- 98 = other (specify)
- 99 = unknown/missing value

11. PERPETRATOR'S RECORD OF PRIOR CRIMINAL CHARGES

This refers to the perpetrator's record of charges, regardless of whether s/he was convicted of these charges. This information should be available from the perpetrator's criminal record.

- 00 = no prior criminal charges
- 01-95 = discrete number of prior criminal charges
- 99 = unknown/missing value

12. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES

This refers to the perpetrator's record of sex crime charges, regardless of whether s/he was convicted of these charges. This information should be available from the perpetrator's criminal record.

- 00 = no prior sex crime charges
- 01-95 = discrete number of prior sex crime charges
- 99 = unknown/missing value

13. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES WITH SAME VICTIM

This refers to the perpetrator's record of sex crime charges with the same victim, regardless of whether s/he was convicted of these charges. This information should be available from the perpetrator's criminal record.

- 00 = no prior sex crime charges with same victim
- 01-95 = discrete number of prior sex crime charges with same victim
- 99 = unknown/missing value

14. SOURCES OF INFORMATION

This item is for documenting the sources of information you used to code a case. "Police records" refers to written information from the police that is not contained in the police report.

- 01 = record of child interview
- 02 = prosecutor's case file
- 03 = criminal court records
- 04 = case transcripts
- 05 = police records
- 06 = social/protective services records
- 07 = juvenile/family court records
- 08 = criminal history records
- 09 = probation records
- 10 = victim assistant/guardian ad litem records

- 11-17 = interview/discussion with:
 - 11 = prosecutor
 - 12 = other prosecution staff
 - 13 = other attorneys (specify)
 - 14 = police officer
 - 15 = other police staff
 - 16 = social/protective services worker
 - 17 = mental health worker
- 18 = courtroom observation
- 98 = other (specify)

APPENDIX

Changes in Coding Instructions

8/89

Below are listed actual changes made to instructions in the original Coding Manual (including instructions listed on the Case Tracking Form). Note that in the revised manual, there are many other items for which new instructions have been added, but these instructions represent elaborations of old instructions rather than actual changes. More detailed versions of these revised instructions are contained in the manual.

ITEM	OLD INSTRUCTIONS	NEW INSTRUCTIONS
CASE TRACKING FORM		
3. <i>Race</i> (of victim)	Code one.	If victim is <i>both</i> black and Hispanic, code 8-other and specify this.
5. <i>Handicaps</i>	Code one.	If victim has multiple handicaps, code 09-multiple and circle each handicap as well.
10. <i>Race</i> (of perpetrator)	Code one.	If perpetrator is <i>both</i> black and Hispanic, code 8-other and specify this.
13. <i>Education</i> (of perpetrator)	No parallel instructions	If you code 1—less than 9 years, specify in the margin as best you can whether the perpetrator reached seventh grade.
17. <i>Alcohol/Drug Dependency</i>	No parallel instructions.	If there is information about alcohol or drug use but you cannot code one of the first four categories, code 9-unknown and note in the margins the information you have.

APPENDIX (continued)

ITEM	OLD INSTRUCTIONS	NEW INSTRUCTIONS
19. <i>Nature of Abuse</i>	No parallel instructions.	If particular forms of abuse were <i>attempted</i> but not carried out, circle the appropriate categories and write "attempted" in the margin next to them.
22. <i>Number of Reported Incidents</i>	If a specific number of incidents under 96 cannot be determined, code 98-multiple but unspecified.	If a specific number of incidents under 96 cannot be determined, specify a range between multiples of 10 if possible; otherwise, code 98-multiple but unspecified.
23. <i>Time-Span of Abuse</i>	If a specific time-span cannot be determined, code 98-ongoing abuse but unspecified.	If a specific time-span cannot be determined, specify a range of months between multiples of 10 if possible; otherwise, code 98-multiple but unspecified.
24. <i>Location of Abuse</i>	Code one.	If there were multiple locations, code all that apply. If victim and perpetrator share a home, circle 1 and 2 and note in the margin.
25. <i>Alcohol Use During Incident</i>	No parallel instructions.	If there is information about alcohol use but you cannot code one of the first four categories, code 9-unknown and note in the margin the information you have.
26. <i>Drug Use During Incident</i>	No parallel instructions.	If there is information about drug use, but you cannot code one of the first four categories, code 9-unknown and note in the margin the information you have.
27. <i>Number of Victims</i>	The victim in your sample should <i>not</i> be included in this number.	This <i>includes</i> the victim in your sample.
28. <i>Number of Perpetrators</i>	The perpetrator in your sample should <i>not</i> be included in this number.	This <i>includes</i> the perpetrator in your sample.

APPENDIX (continued)

ITEM	OLD INSTRUCTIONS	NEW INSTRUCTIONS
31. <i>Disclosure Circumstances</i>	No parallel instructions.	Note "unwitting disclosures" in the margin.
33. <i>First Person/Agency Notified</i>	No parallel instructions.	For any broad category, specify role.
43. <i>Nature of Prosecution Case</i>	To distinguish between medical and psychological evidence, examine the credentials and affiliations of the authors(s) of the appropriate reports.	Credentials and affiliations are not the only clues for coding this item.
44. <i>Number and Type of Victim Interviews</i>	No parallel instructions.	Note joint interviews in margin.
56. <i>Perpetrator's Pre-trial Liberty Status</i>	If code = 2 or 9, go to Item 59.	Always code Items 57 and 58 if applicable.
57. <i>Date of Arrest</i>	Skip if Item 56 = 2 or 9.	Always code if applicable.
58. <i>Date of Pre-trial Release</i>	Skip if Item 56 = 2 or 9.	Always code if applicable.
62. <i>Type of G.A.L.</i>	No parallel instructions.	If you code "non-attorney," note in the margin the specific background of the G.A.L.
68. <i>Type of Child-Oriented Motions (Criminal Court)</i>	No parallel instructions.	It is possible that some of the measures listed were used without being introduced as motions. If so, code this as best you can and indicate in margin that a motion was not used.
69. <i>Number of Continuances</i>	If some continuances were granted but the total is unclear, code 99-missing value.	If you cannot specify the exact number of continuances, specify a range between multiples of 5 if possible; otherwise, code 99-missing value.

APPENDIX (continued)

ITEM	OLD INSTRUCTIONS	NEW INSTRUCTIONS
70. <i>Days Lost to Continuances</i>	If continuances were granted but the impact in days is not clear, code 999.	If you cannot specify the exact number of days lost to continuances, specify a range between multiples of 10; otherwise, code 999.
83. <i>Type of Expert Witness Testimony</i>	No parallel instructions.	Please note briefly in margin the content of the expert testimony.
92. <i>Was Sentence Imposed?</i>	If "no," go to Item 96.	If "no," go to Item 95A.
95A. <i>Reasons for Dismissal</i>	No instructions.	Note addition of instructions.
113. <i>Type of Child-Oriented Motions (Juvenile/Family Court)</i>	No parallel instructions.	It is possible that some of the measures listed were used without being introduced as motions. If so, code this as best you can and indicate in margin that a motion was not used.
119. <i>Juvenile/Family Court Disposition</i>	Cases that have not reached <i>final</i> disposition should be treated as "open" cases.	Cases that have not reached <i>first formal</i> disposition should be treated as "open" cases.
SUPPLEMENT A		
<i>Date of Interview</i>	No parallel instructions.	Write the date of the interview in the top right-hand corner; note approximate date if necessary.
4. <i>Presence of Support Person</i>	Code all persons who accompanied the child to the interview (except the perpetrator).	This refers to the presence of support persons with the child when s/he was being interviewed.
8. <i>Time of Day Interview Began</i>	No parallel instructions.	If exact time not known, indicate a.m. or p.m. if possible.

APPENDIX (continued)

ITEM	OLD INSTRUCTIONS	NEW INSTRUCTIONS
SUPPLEMENT B		
<i>Date of Court Proceeding</i>	No parallel instructions.	Write the date of the court proceeding in the top right-hand corner; note approximate date if necessary.
3. <i>Time of Day Direct Testimony Began</i>	No parallel instructions.	If exact time not known, indicate a.m. or p.m. if possible.
6. <i>Time of Day Cross-Examination Began</i>	No parallel instructions.	If exact time not known, indicate a.m. or p.m. if possible.

Handling Cases with
Multiple Victims and/or Perpetrators
10/90

Often a case will involve multiple victims, perpetrators or both. Neither our original case abstraction procedure nor our sampling and data analytic strategies can handle these cases in a straightforward manner. In addition, they raise a host of methodological issues. Nevertheless, they represent a substantial minority of cases in the sites, and are important to understand in their own right.

The case abstractors procedures manual initially instructed abstractors to select victims and defendants at random if there were multiples of either. This solved the practical problem but potentially exacerbates methodological problems. For example, a perpetrator who was less involved in the abuse might be randomly selected with a victim who was seriously traumatized by multiple perpetrators. This would then decrease the validity of our analysis of the relationship between the abuse and child trauma.

We are now asking you to abstract all cases with multiple victims, multiple perpetrators or both. For these cases, you will complete a separate, special booklet for each victim and for each perpetrator. Four types of special booklets with reduced numbers of items have been adapted from the original case tracking form. Items from Supplement C have also been included in the new booklets. Booklets for multiple victim/single perpetrator cases have a red cover and booklets for single victim/multiple perpetrator cases have a blue cover. Regardless of color, victim booklets are labelled with the letter V and perpetrator booklets with the letter P. A gold Case Cover Folder with summary information is also completed on each multiples case.

If a case has multiple victims and multiple perpetrators (this is rare), you need to use both red and blue booklets: code each perpetrator in a blue P book and each victim in a red V book. The booklets were not designed for cases with both multiple victims and multiple perpetrators, so there may be some awkwardness in recording this information. Please do the best you can, and clarify any possible confusion with margin notes.

In summary, here is what you complete for each type of case:

I. MULTIPLE VICTIM, SINGLE PERPETRATOR

- o Gold Case Cover Folder
- o Red V book for each victim, with Supplement A's and B's
- o Red P book for the perpetrator

II. MULTIPLE PERPETRATOR, SINGLE VICTIM

- o Gold Case Cover Folder
- o Blue V book for the victim, with Supplement A's and B's
- o Blue P books for each perpetrator

III. MULTIPLE PERPETRATORS, MULTIPLE VICTIMS

- o Gold Case Cover Folder
- o Red V books for each victim
- o Blue P books for each perpetrator

Supplements A and B are handled much the same as before, except that you must complete them for each victim, and you will label each Supplement A and B with a victim number in multiple victim cases.

To abstract a multiple case, you simply need to code the items in the correct booklets for each perpetrator and each victim.

There is a significant departure from previous procedures in choosing subjects. Some of the multiple victims and perpetrators may not meet our criteria for eligibility for the sample, even though at least one of each needs to. For example, one of the victims may be 8 years old and eligible, but another may be 2 and not eligible. Similarly, one perp may be an adult and another a juvenile. If at least one victim and one perpetrator is eligible for the study, code all the victims and perpetrators, even if they would not be eligible for the study on their own. Only in this way can we be sure to capture the totality of a case.

To help guide you through this process, information is enclosed on two fictitious cases, one involving multiple victims and a single perp; another involving a single victim and multiple perps. Case descriptions are included, along with tables illustrating how these cases would be coded for a selection of items.

We know this process may be complicated and overwhelming at first. Please feel free to call us (Ted or Nancy) for consultation at any time.

Enclosed in your packet are:

- 1) ## gold Case Cover Folders
- 2) ## red (multiple victims/single perp) V booklets
- 3) ## red (multiple victims/single perp) P booklets
- 4) ## blue (single victims/multiple perp) V booklets
- 5) ## blue (single victims/multiple perp) P booklets

Instructions

- Fill out a Case Cover Folder for each case, listing the child(ren) and perpetrator(s) involved, along with the required information on the sheet for each. Note that there are 'Victim' or 'Perpetrator' numbers (e.g. #1, #2, etc.) listed to the left of the spaces provided for the names. These are the numbers that will be used to identify which one of the multiple victims or perpetrators a book or form is referring to. You will use these numbers on the cover of the multiple V or P books, and also use this number on each supplement A or B that you fill out for any given victim.
- Provide as much of the identifying information requested on the Case Cover Folder as you can. If there is missing information (e.g., you may have no Date of Birth), or even if you don't have the child or perp's name, put whatever identifying information you do have, e.g. "12 year old boy", "40 year old man", or even "girl".
- In a few cases, it may be difficult to determine whether a particular person should be included as one of the victims or perpetrators. The criterion should be: 1) whether it was alleged that the person perpetrated or was a victim of acts listed in item 19 (nature of abuse); 2) the allegations were investigated by an official agency (e.g. protective services or law enforcement agency). Feel free to consult us about your decisions regarding who to include as victims or perpetrators.
- Complete the appropriate booklet for each victim and for each perpetrator involved in the case. Code only the items on the white background. Do not code items on grey background.
- Always make sure to use the correct color booklet as well as the correct letter label (V or P). A red V booklet is not the same as a blue V booklet.
- As noted above, code a book for every victim and for every perpetrator, even if they would not be eligible for the study on their own. This includes perpetrators who have not been charged with a crime.
- If you have almost no information about one or more victims or perps, always include them on the list on the case cover sheet, but use your judgement about whether to abstract a particular victim or perpetrator with considerable missing information. Err on the side of including them. If you do not abstract a book for a

victim or perpetrator due to missing information, please note this on the cover.

- All the items in a booklet should pertain to the same victim or perpetrator. Thus, for example, if there are two victims, Annie and Betty, and Annie is interviewed by a judge but Betty isn't, the judge's interview should be coded in Item 44 in Annie's booklet but not Betty's.
- Sometimes it may be impossible to determine to which person certain information pertains. For example, you may discover that a victim impact statement was filed, but not be able to determine which victim filed it. If you cannot specify which person a certain piece of information applies to, then code it in all the multiple booklets and note this in the margin of each book.
- Some items in the V booklets may seem to be more connected to the perpetrator while some items in the P booklets may seem to be more connected to the victim. The point is to code these items to reflect the interrelationship between the particular victim and perp coded in that booklet. For example, in multiple victim/single perp cases, the highest charge category (i.e., felony or misdemeanor) is actually coded in the V book. You will code the highest charge category for the crimes perpetrated against the particular victim you are coding.
- Complete Supplement A's and B's for every interview and court proceeding that each victim underwent. Enclose these in the appropriate victim booklet. In the upper right corner, underneath the date, write "Victim [#]", corresponding to the Victim Number on the Case Cover Folder. This is to insure that we know which victims experienced which interviews and court proceedings.
- **Do not fill out Supplement C's for these books, as Supplement C is now embedded in the text of the new booklets (between Parts I and II).**
- When you have finished abstracting information on a victim or perpetrator, check the box provided on the Case Cover Folder. (If you do not code a book for a particular victim or perp because of missing information, note this on the Case Cover Folder).
- Make sure that you complete the Sources of Information item on the inside of the Case Cover Folder.
- Enclose the books in their Case Cover Folder and mail to EDC.

COVER SHEET

EDC Control # _____ - _____

Prosecutor's Case Number _____

Child's Name _____

Perpetrator's Name _____

Criminal Court Docket Number _____

Juvenile/Family Court Docket Number _____

Number of Supplement A _____

Number of Supplement B _____

Control # - Coder# _____

3-4/
5-9/

PART 1

VICTIM CHARACTERISTICS

1. SEX (code one)
male1 10/
female2
unknown9

2. AGE _____ years
unknown99 11-12/

3. RACE (code one)
white1 13/
Black2
Hispanic.....3
native American.....4
Asian.....5
oriental6
other (specify)_____ 8
unknown9 14/

4. RESIDENCE (code one)
same county as D.A.'s office.....1 15/
same state as D.A.'s office.....2
out of state.....3
out of country.....4
unknown9

5. HANDICAPS (code one)

none	01	16-17/
learning disabled	02	
developmental	03	
emotional	04	
orthopedic	05	
speech	06	
hearing	07	
sight	08	
multiple	09	
other (specify) _____	98	
<hr/>		
unknown	99	18/

6. PRETRIAL LOCATION (code all that apply)

pre-abuse residence	1	19/
relative home 1	2	20/
relative home 2	3	21/
relative home 3	4	22/
foster home 1	1	23/
foster home 2	2	24/
foster home 3	3	25/
institution (specify) _____	4	26/
<hr/>		
hospital	1	27/
other (specify) _____	8	28/
_____	8	29/
_____	8	30/
unknown	9	31/

7. RETURN TO PRE-ABUSE RESIDENCE IF REMOVED PRE-TRIAL (code one)

yes	1	32/
no	2	
not applicable (not removed)	7	
unknown	9	

PERPETRATOR CHARACTERISTICS

8. SEX (code one)

male	1	33/
female	2	
unknown	9	

9. AGE _____ years 34-35/

unknown	99
---------------	----

10. RACE (code one)

white	1	36/
black.....	2	
Hispanic.....	3	
native american	4	
Asian.....	5	
oriental	6	
other (specify) _____	8	37/
unknown	9	

11. RESIDENCE (code one)

same county as D.A.'s office.....	1	38/
same state as D.A.'s office.....	2	
out of state.....	3	
out of country.....	4	
unknown.....	9	

12. OCCUPATION (code one)

unemployed	01	39-40/
student.....	02	
homemaker.....	03	
military personnel	04	
service occupation	05	
skilled production worker	06	
unskilled production worker	07	
farm worker	08	
clerical/administrative.....	09	
managerial/administrative.....	10	
professional specialty	11	
other (specify) _____	98	41/
unknown	99	

13. EDUCATION (code highest level)

less than 9 years.....	1	42/
9-11 years.....	2	
high school degree	3	
some college /vocational training.....	4	
college degree.....	5	
post-graduate work/or degree	6	
unknown	9	

14. PRIOR CRIMINAL RECORD (if none enter 00)

number of convictions _____		43-44/
unknown	99	

15. PRIOR RECORD OF SEX CRIMES (if none, enter 00)
- | | | |
|-----------------------|-------|--------|
| number of convictions | _____ | 45-46/ |
| unknown | 99 | |
16. PRIOR RECORD OF SEX CRIMES WITH SAME VICTIM
- | | | |
|-----------------------|-------|--------|
| number of convictions | _____ | 47-48/ |
| unknown | 99 | |
17. ALCOHOL/DRUG DEPENDENCY (code one)
- | | | |
|----------------------|---|-----|
| none | 1 | 49/ |
| alcohol..... | 2 | |
| drug (specify) _____ | 3 | 50/ |
| <hr/> | | |
| both | 4 | |
| unknown | 9 | |
18. RELATIONSHIP TO CHILD (code one)
- | | | |
|------------------------------------|----|--------|
| sibling..... | 01 | 51-52/ |
| step-sibling..... | 02 | |
| biological parent..... | 03 | |
| adoptive parent..... | 04 | |
| step-parent..... | 05 | |
| grandparent..... | 06 | |
| resident friend of parent..... | 07 | |
| other relative (specify) _____ | 08 | 53/ |
| <hr/> | | |
| nonfamilial caretaker | 09 | |
| group leader | 10 | |
| acquaintance | 11 | |
| stranger..... | 12 | |
| other non-relative (specify) _____ | 98 | 54/ |
| <hr/> | | |
| unknown | 99 | |
19. NATURE OF ABUSE (code all that apply)
- | | | |
|------------------------------------|---|-----|
| penile-vaginal penetration..... | 1 | 55/ |
| penile-anal penetration..... | 2 | 56/ |
| digital penetration of vagina..... | 3 | 57/ |
| digital penetration of anus..... | 4 | 58/ |
| oral-genital contact | 1 | 59/ |
| fondling/kissing..... | 2 | 60/ |
| genital exposure | 3 | 61/ |
| other (specify) _____ | 8 | 62/ |
| _____ | 8 | 63/ |
| unknown | 9 | 64/ |

20. USE OF FORCE (code one)
- | | | |
|--|---|-----|
| no threat or use of force..... | 1 | 65/ |
| threat of physical force..... | 2 | |
| mild/moderate physical force (pushed, pulled, held) | 3 | |
| violent physical force (hit, kicked, burned, etc.)..... | 4 | |
| force used, but degree unspecified..... | 8 | |
| unknown..... | 9 | |
21. USE OF WEAPON (code one)
- | | | |
|-----------------------|---|-----|
| no use of weapon..... | 1 | 66/ |
| use of weapon..... | 2 | |
| unknown..... | 9 | |
22. NUMBER OF REPORTED INCIDENTS _____ 67-68/
- | | | |
|-------------------------------|----|--|
| multiple but unspecified..... | 98 | |
| unknown..... | 99 | |
23. TIME-SPAN OF ABUSE (in months) _____ 69-70/
- | | | |
|------------------------------------|----|--|
| not applicable (one event)..... | 97 | |
| ongoing abuse but unspecified..... | 98 | |
| unknown..... | 99 | |
24. LOCATION OF ABUSE (code one)
- | | | |
|--------------------------------|---|-----|
| victim's home..... | 1 | 71/ |
| defendant's home..... | 2 | |
| school/day care..... | 3 | |
| relative's home..... | 4 | |
| other location (specify) _____ | 8 | |
| <hr/> | | |
| multiple..... | 5 | 72/ |
| unknown..... | 9 | |
25. ALCOHOL USE DURING INCIDENT (code one)
- | | | |
|-------------------|---|-----|
| by victim..... | 1 | 73/ |
| by defendant..... | 2 | |
| by both..... | 3 | |
| by neither..... | 4 | |
| unknown..... | 9 | |

26. DRUG USE DURING INCIDENT (code one)
- | | | |
|--------------------|---|-----|
| by victim..... | 1 | 74/ |
| by defendant | 2 | |
| by both..... | 3 | |
| by neither | 4 | |
| unknown | 9 | |
27. NUMBER OF VICTIMS _____ 75-76/
- unknown99
28. NUMBER OF DEFENDANTS _____ 77-78/
- unknown99

Card 02 1--2/02

CASE REPORTING AND SUBSTANTIATION

29. DATE OF MOST RECENT REPORTED INCIDENT
- _____ / _____ / _____ 3-8/
MM / DD / YY
30. DATE OF REPORT TO AUTHORITIES
- _____ / _____ / _____ 9-14/
MM / DD / YY
31. DISCLOSURE CIRCUMSTANCES (code one)
- | | | |
|-----------------------------|---|-----|
| child disclosed | 1 | 15/ |
| someone else disclosed..... | 2 | |
| unknown | 9 | |
32. PROMPTING CIRCUMSTANCES IF DISCLOSANT OTHER THAN CHILD
(code all that apply)
- | | | |
|-------------------------------------|---|-----|
| medical findings | 1 | 16/ |
| behavioral clues | 2 | 17/ |
| direct knowledge by disclosant..... | 3 | 18/ |
| other (specify) _____ | 8 | 19/ |
| _____ | 8 | 20/ |
| not applicable..... | 7 | 21/ |
| unknown | 9 | 22/ |

33. FIRST PERSON NOTIFIED (code one)

mother.....	01	23-24/
adoptive mother/stepmother.....	02	
other female relative(specify) _____	03	25/
<hr/>		
father.....	04	
adoptive father/stepfather.....	05	
other male relative(specify) _____	06	26/
<hr/>		
friend.....	07	
teacher/day care provider.....	08	
clergy	09	
hot line	10	
social worker	11	
mental health professional	12	
health care provider.....	13	
rape crisis center/victim services.....	14	
law enforcement professional.....	15	
legal representative.....	16	
other (specify) _____	98	27/
<hr/>		
unknown	99	

34. FIRST GOVERNMENT AGENCY NOTIFIED (code one)

social services/child protection.....	1	28/
law enforcement.....	2	
prosecutor.....	3	
other(specify) _____	8	29/
<hr/>		
unknown	9	

35. AGENCY REFERRING CASE TO PROSECUTION (code one)

law enforcement.....	1	30/
social services.....	2	
other.(specify) _____	8	31/
<hr/>		
unknown	9	

36. LAW ENFORCEMENT AGENCY ORIGIN (code one)

major city police in D.A.'s county.....	1	32/
other city police in D.A.'s county (specify) _____	2	33/
<hr/>		
sheriff in D.A.'s county.....	3	
state police in D.A.'s state	4	
military police.....	5	
federal law enforcement.....	6	
other (specify) _____	8	34/
<hr/>		
not applicable.....	7	
unknown.....	9	

37. DATE OF POLICE REFERRAL TO PROSECUTION

MM / DD / YY 35-40/

38. DATE OF SOCIAL SERVICE REFERRAL TO PROSECUTION

MM / DD / YY 41-46/

39. LOCATION OF MEDICAL EXAM OF CHILD (code all that apply)

no exam conducted.....	1	47/
victim's home	2	48/
doctor's office	3	49/
school	4	50/
hospital inpatient.....	1	51/
hospital outpatient.....	2	52/
other (specify) _____	6	53/
_____	8	54/
unknown	9	55/

40. LOCATION OF PSYCHOLOGICAL EXAM (code all that apply)

no exam conducted.....	1	56/
victim's home	2	57/
doctor's office	3	58/
school	4	59/
hospital inpatient.....	1	60/
hospital outpatient.....	2	61/
other (specify) _____	8	62/
_____	8	63/
unknown	9	64/

41. IDENTIFICATION OF PERPETRATOR BY VICTIM (code all that apply)

none used.....	1	65/
live line-up	2	66/
photo display ("mug-shots").....	3	67/
other I.D.(specify) _____	8	68/
_____	8	69/
unknown	9	70/

PRETRIAL SCREENING

42. DATE PROSECUTOR FILE OPENED

____/____/____
MM DD YY

71-76/

Card 03
1--2/03

43. NATURE OF PROSECUTION CASE (code all that apply)

physical evidence.....	1	3/
medical evidence.....	2	4/
psychological evidence.....	3	5/
fresh complaint/excited utterance.....	4	6/
other eyewitnesses.....	1	7/
confession by perpetrator.....	2	8/
other (specify) _____	8	9/
_____	8	10/
_____	8	11/
unknown.....	9	12/

44. NUMBER AND TYPE OF VICTIM INTERVIEWS (code all that apply)

		NUMBER	
none.....	1	13/	N/A
law enforcement.....	2	14/	15-16/
social services.....	3	17/	18-19/
medical.....	4	20/	21-22/
mental health.....	1	23/	24-25/
prosecutor.....	2	26/	27-28/
judge.....	3	29/	30-31/
defense attorney or			
investigator.....	4	32/	33-34/
probation officer.....	1	35/	36-37/
other (specify) _____	8	38/	39-40/
_____	8	41/	42-43/
_____	8	44/	45-46/
unknown.....	9	47/	48-49/

COMPLETE SUPPLEMENT A FOR EACH INTERVIEW

45. CASE ACCEPTED/REJECTED FOR PROSECUTION

case accepted.....	1	50/	→	GO TO PART II
case declined.....	2			

46. REASONS FOR DECLINATION (code all that apply)

victim declines to prosecute.....	1	51/
victim unavailable.....	2	52/
victim not qualifiable.....	3	53/
other victim consideration(specify)_____	4	54/
<hr/>		
insufficient evidence of crime.....	1	55/
no corroboration.....	2	56/
medical reports negative re. abuse.....	3	57/
medical/other reports not complete.....	4	58/
key witness(es) other than victim not available.....	1	59/
other evidentiary consideration (specify) _____	2	60/
<hr/>		
case transferred to other jurisdiction.....	3	61/
perpetrator being processed on other charges.....	4	62/
other prosecutorial consideration (specify) _____	1	63/
<hr/>		
4th amendment problem with case.....	2	64/
5th amendment problem with case.....	3	65/
6th amendment problem with case.....	4	66/
Unknown/missing value.....	9	67/

46A. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes.....	1	71/	→	GO TO PART III
no.....	2		→	STOP HERE AND COMPLETE SUPPLEMENT A FOR EACH INVESTIGATIVE INTERVIEW

Control # -
 Coder#: _____

3-4/

5-9/

PART II

PROSECUTION CHARACTERISTICS

47. TYPE OF PROSECUTORIAL UNIT (code one)

special unit for child victims.....	1	10/
other special crimes unit (specify) _____	2	
<hr/>		
general unit.....	3	11/
other (specify) _____	8	
<hr/>		
		12/

48. TYPE OF CHARGING DOCUMENT (code one)

indictment.....	1	13/
information.....	2	
unknown.....	9	

49. INDICTMENT/INFORMATION DATE

____ / ____ / ____ 14-19/
 MM DD YY

50. TOTAL NUMBER OF CHARGES FILED BY PROSECUTOR

_____ 20-21/
 unknown99

51. TOTAL NUMBER OF COUNTS FILED BY PROSECUTOR

_____ 22-23/
 unknown99

52. HIGHEST CHARGE CATEGORY (SEX CRIME)

felony.....1 24/
misdemeanor.....2

53. HIGHEST STATUTORY CHARGE (SEX CRIME)

_____ 25-34/

54. HIGHEST CHARGE CATEGORY (NON-SEX CRIME)

felony.....1 35/
misdemeanor.....2
not applicable.....7

55. HIGHEST STATUTORY CHARGE (NON-SEX CRIME)

_____ 36-45/

not applicable.....9999999997

56. DEFENDANT'S PRETRIAL LIBERTY STATUS

detained.....1 46/
not detained.....2 → GO TO ITEM 59
unknown.....9 → GO TO ITEM 59

57. DATE OF ARREST

___/___/___ 47-52/
MM DD YY

58. DATE OF PRETRIAL RELEASE

___/___/___ 53-58/
MM DD YY

59. RELEASE CONDITIONS (code all that apply)

in jail, never released.....1 59/
financial (i.e. bail).....2 60/
own recognizance.....3 61/
no contact with child.....4 62/
treatment program for
substance abuse.....1 63/
treatment program for
sexual abuse.....2 64/
other (specify) _____ 8 65/
_____ 8 66/
_____ 8 67/
unknown.....9 68/

60. GUARDIAN AD LITEM ASSIGNMENT

69/

- yes.....1
- no.....2 → GO TO ITEM 63
- unknown.....9 → GO TO ITEM 63

61. DATE OF ASSIGNMENT

MM / DD / YY 70-75/

62. TYPE OF G.A.L. (code one)

- attorney.....1 76/
- non-attorney.....2
- unknown.....9

63. VICTIM ASSISTANT ASSIGNMENT

77/

- yes.....1
- no.....2 → GO TO ITEM 66
- unknown.....9 → GO TO ITEM 66

Card 05
1--2/05

64. DATE OF ASSIGNMENT

MM / DD / YY 3-8/

65. TYPE OF VICTIM ASSISTANT (code one)

- prosecutor-affiliated.....1 9/
- other (specify) _____ 8 10/
- unknown.....9

66. DEFENSE ATTORNEY TYPE (code one)

- public defender.....1 11/
- court appointed.....2
- privately retained.....3
- pro se.....4
- other (specify) _____ 8 12/
- unknown.....9

67. NUMBER OF PRETRIAL MOTIONS _____ ^{3-14/} → IF NONE,
GO TO ITEM 69

unknown.....99

68. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	15-16/	1	2	17/
use of expert witnesses	2	2	18-19/	1	2	20/
limited audience	3	3	21-22/	1	2	23/
use of video-testimony in lieu of live testimony	4	4	24-25/	1	2	26/
use of closed-circuit TV	1	1	27-28/	1	2	29/
media coverage restriction	2	2	30-31/	1	2	32/
court room accommodations	3	3	33-34/	1	2	35/
other (specify) _____	8	8	36-37/	1	2	36/
_____	8	8	39-40/	1	2	41/
_____	8	8	42-43/	1	2	44/

69. NUMBER OF CONTINUANCES _____ ^{45-46/} → IF NONE,
GO TO ITEM 72

unknown.....99

70. DAYS LOST TO CONTINUANCES _____ ^{47-49/}

unknown.....999

71. REASONS FOR CONTINUANCES (code all that apply)

scheduling conflict	1	50/
attorney not ready	2	51/
awaiting results of med/psych exam.....	3	52/
cannot locate victim/defendant.....	4	53/
victim not ready	1	54/
other (specify) _____	8	55/
_____	8	56/
_____	8	57/
unknown	9	58/

ADULT CRIMINAL COURT EVENTS

	DATE	CHILD PRESENT			
		Yes	No		
72. INITIAL APPEARANCE/BAIL HEARING	___/___/___ MM DD YY	59-64/	1	2	65/
73. PRELIMINARY HEARING	___/___/___	66-71/	1	2	72/
74. GRAND JURY	___/___/___	73-78/	1	2	79/
Card 06 1--2/06					
75. COMPETENCY EXAM FOR VICTIM	___/___/___	3-8/	1	2	9/
76. DEPOSITION OF VICTIM	___/___/___	10-15/	1	2	16/
77. TRIAL COURT ARRAIGNMENT	___/___/___	17-22/	1	2	23/
78. OTHER PRETRIAL PROCEEDING INVOLVING VICTIM (specify event type)	___/___/___	24-29/	1	2	30/
_____	___/___/___	31-36/	1	2	37/
_____	___/___/___	38-43/	1	2	44/
79. TRIAL COMMENCEMENT	___/___/___	45-50/	1	2	51/
80. SENTENCING	___/___/___	52-57/	1	2	58/
81. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT					_____ 59-60/

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

TRIAL ACTIVITIES

82. TRIAL TYPE (code one)

61/

no trial held1----->GO TO ITEM 85
 bench.....2
 jury.....3
 unknown.....9----->GO TO ITEM 85

83. TYPE OF EXPERT WITNESS TESTIMONY (code all that apply)

Card 07
1--2/07

	PROS	CALLED BY		COURT APPT.	
		DEF			
none	1 62/	1	69/	1	3/
medical professional	2 63/	2	70/	2	4/
mental health professional	3 64/	3	71/	3	5/
social worker	4 65/	4	72/	4	6/
other (specify) _____	8 66/	8	73/	8	7/
_____	8 67/	8	74/	8	8/
_____	8 68/	8	75/	8	9/

84. TYPE OF HEARSAY EXCEPTION (code all that apply)

none1 10/
 fresh complaint.....2 11/
 excited utterance3 12/
 special exception for sexually
 abused children4 13/
 medical complaint.....1 14/
 medical diagnosis.....2 15/
 other (specify) _____ 3 16/
 _____ 8 17/
 _____ 8 18/

85. DISPOSITION TYPE (code one)

19-20/

guilty plea pre-trial.....01----->GO TO ITEM 87
 conviction at trial.....02----->GO TO ITEM 87
 pre-trial diversion.....03----->GO TO ITEM 86
 no-bill by grand jury.....04-----
 nolle pros or dismissal by pros05----->GO TO ITEM 95A
 dismissal by court pre-trial.....06-----
 acquittal at trial.....07-----
 other trial outcome (specify) _____ 98----->GO TO ITEM 96
 _____ 21/
 not applicable (still pending).....97-----
 unknown.....99-----

86. DIVERSION CONDITIONS (code all that apply)

no contact with child	1	22/
treatment program for substance abuse	2	23/
treatment for sexual abuse	3	24/
general counselling program	4	25/
other (specify) _____	8	26/
_____	8	27/
_____	8	28/
unknown	9	29/

87. NUMBER OF CHARGES CONVICTED _____ 30-31/

unknown99

88. HIGHEST CHARGE CATEGORY AT CONVICTION (SEX-CRIME)

felony	1	32/
misdemeanor	2	
not applicable	7	

89. HIGHEST STATUTORY CHARGE AT CONVICTION (SEX-CRIME)

_____ 33-42/
not applicable.....999999997

90. HIGHEST CHARGE CATEGORY AT CONVICTION (NON-SEX CRIME)

felony	1	43/
misdemeanor	2	
not applicable	7	

91. HIGHEST STATUTORY CHARGE AT CONVICTION (NON-SEX CRIME)

_____ 44-53/
not applicable.....999999997

92. WAS SENTENCE IMPOSED?

yes	1	54/
no	2	→ GO TO ITEM 96

93. VICTIM IMPACT STATEMENT AT SENTENCING

none	1	55/
oral	2	
written	3	
unknown	9	

94. INSTITUTIONAL SENTENCE

(Code all that apply. For each item circled in column 1, enter number of months in column 2)

	TYPE OF SENTENCE	NUMBER OF MONTHS
none	1 56/	<u>N/A</u>
incarceration	2 57/	<u>58-60/</u>
residential sex offender program	3 61/	<u>62-64/</u>
residential substance abuse program	4 65/	<u>66-68/</u>
other residential program	1 69/	<u>70-72/</u>
probation	2 73/	<u>74-76/</u>
suspended	3 77/	<u>78-80/</u>

Card 08 1--2/08

95. CHARACTERISTICS OF NON-INSTITUTIONAL SENTENCE
(code all that apply)

supervision only	1	3/
non-residential sex offender program	2	4/
non-residential substance abuse program	3	5/
restitution	4	6/
community service	1	7/
fine (specify) \$	2	8/
no contact order re. child victim	3	9/
other (specify)	8	10/
.....	8	11/
.....	8	12/
not applicable	7	13/
unknown	9	14/

95A. REASONS FOR DISMISSAL (code all that apply)

victim declines to prosecute	1	15/
victim unavailable.....	2	16/
victim not qualifiable.....	3	17/
other victim consideration(specify) _____	4	18/
<hr/>		
insufficient evidence of crime	1	19/
no corroboration.....	2	20/
medical reports negative re. abuse	3	21/
medical/other reports not complete	4	22/
key witness(es) other than victim not available	1	23/
other evidentiary consideration (specify) _____	2	24/
<hr/>		
case transferred to other jurisdiction	3	25/
perpetrator being processed on other charges.....	4	26/
other prosecutorial consideration (specify) _____	1	27/
<hr/>		
4th amendment problem with case	2	28/
5th amendment problem with case	3	29/
6th amendment problem with case	4	30/
Unknown/missing value.....	9	31/

96. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes.....	1	—————>	35/	GO TO PART III
no	2	—————>		STOP HERE

**COMPLETE SUPPLEMENTS
A AND B**

Control # - 5-9/

PART III

ABUSE/NEGLECT PROCEEDINGS

	DATE	CHILD PRESENT		
		Yes	No	
97. EMERGENCY REMOVAL OR CUSTODY HEARING	___ / ___ / ___ MM DD YY	10-15/ 1	2	16/
98. FILING OF ABUSE/NEGLECT PETITION	___ / ___ / ___	17-22/ 1	2	23/
99. PRELIMINARY HEARING	___ / ___ / ___	24-29/ 1	2	30/
100. PRE-TRIAL CONFERENCE	___ / ___ / ___	31-36/ 1	2	37/
101. ADJUDICATORY/FACT-FINDING HEARING	___ / ___ / ___	38-43/ 1	2	44/
102. DISPOSITION HEARING	___ / ___ / ___	45-50/ 1	2	51/
103. REVIEW HEARING	1. ___ / ___ / ___	52-57/ 1	2	58/
	2. ___ / ___ / ___	59-64/ 1	2	65/
	3. ___ / ___ / ___	66-71/ 1	2	72/

104.. OTHER HEARING INVOLVING CHILD (specify)	___ / ___ / ___	3-8/ 1	2	9/
_____	___ / ___ / ___	10-15/ 1	2	16/
_____	___ / ___ / ___	17-22/ 1	2	23/

105. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT _____ 24-25/

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

FAMILY/JUVENILE COURT PRE-ADJUDICATION ACTIVITY

106. ORDER FOR MEDICAL EXAM OF CHILD

yes.....1 26/
 no.....2
 unknown.....9

107. ORDER FOR PSYCHOLOGICAL EXAM OF CHILD

yes.....1 27/
 no.....2
 unknown.....9

108. ASSIGNMENT OF GUARDIAN AD LITEM

yes.....1 28/
 no.....2 → GO TO ITEM 111
 unknown.....9 → GO TO ITEM 111

109. DATE OF ASSIGNMENT

____ / ____ / ____ 29-34/
 MM DD YY

110. TYPE OF GUARDIAN AD LITEM (code one)

attorney.....1 35/
 non-attorney.....2
 unknown.....9

111. DEFENSE ATTORNEY TYPE (code one)

none.....1 36/
 public defender.....2
 court appointed.....3
 privately retained.....4
 pro se.....5
 other (specify) _____ 8
 _____ 37/
 unknown.....9

112. NUMBER OF PRE-ADJUDICATION MOTIONS _____

38-40/

→ IF NONE, GO TO ITEM 114

unknown.....999

113. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	41-42/	1	2	43/
use of expert witnesses	2	2	44-45/	1	2	46/
limited audience	3	3	47-48/	1	2	49/
use of video-tape in lieu of live testimony	4	4	50-51/	1	2	52/
use of closed-circuit TV	1	1	53-54/	1	2	55/
media coverage restriction	2	2	56-57/	1	2	58/
court room accommodations	3	3	59-60/	1	2	61/
other (specify) _____	8	8	62-63/	1	2	64/
_____	8	8	65-66/	1	2	67/
_____	8	8	68-69/	1	2	70/

114. NUMBER OF CONTINUANCES _____

71-72/

IF NONE, GO TO
ITEM 117

unknown99

115. DAYS LOST TO CONTINUANCES _____

73-75/

unknown 999

Card 11
1--2/11

116. REASONS FOR CONTINUANCES (code all that apply)

scheduling conflict	1	3/
attorney not ready	2	4/
awaiting results of med/psych exam	3	5/
cannot locate victim/defendant	4	6/
victim not ready	1	7/
other (specify) _____	8	8/
_____	8	9/
_____	8	10/
unknown	9	11/

117. EMERGENCY COURT ORDER IN THIS CASE?

yes	1	12/
no	2	
unknown	9	

118. TYPE OF ORDER (code all that apply)

placement of child	1	13/
no contact order	2	14/
other (specify) _____	8	15/
_____	8	16/
_____	8	17/
not applicable.....	7	18/
unknown	9	19/

119. JUVENILE/FAMILY COURT DISPOSITION (code all that apply)

placement of child	1	20/
adjournment/deferred adjudication.....	2	21/
suspended judgment.....	3	22/
probation.....	4	23/
no contact order.....	1	24/
dismissal.....	2	25/
termination of parental rights	3	26/
not applicable (still pending).....	7	27/
other (specify) _____	8	28/
_____	8	29/
unknown	9	30/

120. PLACEMENT OF CHILD (code one)

no placement, child remains in preabuse residence.....	1	31/
in shelter care.....	2	
in foster care	3	
with relative.....	4	
in group home.....	5	
institutional setting	6	
other (specify) _____	8	32/

unknown	9	

121. SPECIAL CONDITIONS (code all that apply)

none	1	33/
counseling for child	2	34/
counseling for parents.....	3	35/
temporary custody/visitation arrangement.....	4	36/
no contact with child	1	37/
comply with treatment service plan (other than counseling).....	2	38/
other (specify) _____	8	39/
_____	8	40/
_____	8	41/
unknown	9	42/

122. DURATION OF DISPOSITIONAL ORDER (in months)_____ 43-44/

Control # -

Coder # _____

3-4/

5-9/

DETAIL FOR INVESTIGATIVE INTERVIEWS

COMPLETE FOR EACH INVESTIGATIVE INTERVIEW WITH THE CHILD

1. TYPE OF VICTIM INTERVIEW (code one)

- law enforcement.....01 10-11/
- social services.....02
- medical.....03
- mental health.....04
- prosecutor.....05
- judge.....06
- defense attorney
or investigator.....07
- probation officer.....08
- multiple.....09
- other (specify) _____ 98
- unknown.....99 12/

2. STYLE OF INTERVIEW (code one)

- solo.....1 13/
- joint.....2
- unknown.....9

3. RECORDING OF INTERVIEW (code one)

- interview not recorded.....1 14/
- audiotaped.....2
- videotaped.....3
- both.....4
- unknown.....9

4. PRESENCE OF SUPPORT PERSON (code all that apply)

no support people in attendance.....	1	15/
guardian ad litem.....	2	16/
victim assistant.....	3	17/
mother/stepmother/adoptive mother.....	4	18/
father/stepfather/adoptive father.....	1	19/
sibling.....	2	20/
other relative (specify) _____	3	21/
<hr/>		
friend.....	4	22/
teacher/counselor.....	1	23/
foster parent.....	2	24/
social worker.....	3	25/
other non-relative (specify) _____	8	26/
unknown.....	9	27/

5. CHILD-FRIENDLY TECHNIQUES (code all that apply)

none.....	1	28/
anatomical dolls.....	2	29/
artwork.....	3	30/
special interviewing room.....	4	31/
other (specify) _____	8	32/
_____	8	33/
_____	8	34/

6. PRESENCE OF PERPETRATOR

no.....	1	35/
yes, visible.....	2	
yes, behind screen.....	3	
yes, via T.V. monitor.....	4	
unknown.....	9	

7. LENGTH OF INTERVIEW

less than half hour.....	1	36/
≥ 1/2 < 1 hour.....	2	
≥ 1 < 2 hours.....	3	
≥ 2 < 4 hours.....	4	
≥ 4 hours.....	5	
unknown.....	9	

8. TIME OF DAY INTERVIEW BEGAN _____ : _____ 37-40/

SPECIFY:

a.m.....	1	41/
p.m.....	2	
unknown.....	9	

Card 13
1--2/13

SUPPLEMENT B

Control # -
Coder # _____

3-4/

5-9/

DETAIL FOR COURT PROCEEDINGS

COMPLETE FOR EACH PROCEEDING IN WHICH CHILD WAS PRESENT

1. TYPE OF PROCEEDING:

Criminal Court

initial appearance (bail hearing).....	01	10-11/
grand jury.....	02	
preliminary hearing.....	03	
competency examination.....	04	
deposition.....	05	
trial court arraignment.....	06	
other pretrial proceeding (specify) _____	07	
<hr/>		
trial.....	08	12/
sentencing.....	09	

Juvenile/Family Court

emergency custody/removal hearing.....	10	
abuse/neglect petition.....	11	
preliminary hearing.....	12	
pretrial conference.....	13	
adjudicatory (fact-finding) hearing.....	14	
dispositional hearing.....	15	
review hearing.....	16	
other (specify) _____	98	
<hr/>		
		13/

2. VICTIM TESTIMONY (code one)

none.....	1	14/	→ STOP HERE
yes, live.....	2		
yes, via prior videotape.....	3		
yes, via closed circuit TV.....	4		
yes, in chambers.....	5		
unknown.....	9		→ STOP HERE

3. TIME OF DAY DIRECT TESTIMONY BEGAN _____ : _____ 15-18/

SPECIFY:

a.m.....	1	19/
p.m.....	2	
unknown.....	9	

4. LENGTH OF DIRECT EXAMINATION

less than half hour	1	20/
≥ 1/2 < 1 hour	2	
≥ 1 < 2 hours	3	
≥ 2 < 4 hours	4	
≥ 4 hours	5	
unknown	9	

5. CROSS-EXAMINATION (code one)

		21/	
none	1	—————	→GO TO ITEM 8
yes, live	2		
yes, via prior videotape	3		
yes, via closed circuit television	4		
yes, in chambers	5		
unknown	9	—————	→GO TO ITEM 8

6. TIME OF DAY CROSS-EXAMINATION BEGAN _____ : _____ 22-25/

SPECIFY:

a.m.	1	26/
p.m.	2	
unknown.	9	

7. LENGTH OF CROSS EXAMINATION

less than half hour	1	27/
≥ 1/2 < 1 hour	2	
≥ 1 < 2 hours	3	
≥ 2 < 4 hours	4	
≥ 4 hours	5	
unknown	9	

8. PRESENCE OF SUPPORT PERSON (code all that apply)

no support people in attendance	1	28/
guardian ad litem	2	29/
victim assistant	3	30/
mother/stepmother/adoptive mother	4	31/
father/stepfather/adoptive father	1	32/
sibling	2	33/
other relative (specify) _____	3	34/
<hr/>		
friend	4	35/
teacher/counselor	1	36/
foster parent	2	37/
social worker	3	38/
counselor/therapist	4	39/
other non-relative (specify) _____	8	40/
<hr/>		
unknown	9	41/

9. CHILD-FRIENDLY TECHNIQUES (code all that apply)

none	1	42/
anatomical dolls	2	43/
artwork	3	44/
courtroom modification	4	45/
other (specify) _____	8	46/
_____	8	47/
_____	8	48/

10. PRESENCE OF PERPETRATOR

no	1	49/
yes, visible	2	
yes, behind screen	3	
yes, via T.V. monitor	4	
unknown	9	

ADDITIONAL CASE RECORD DATA
COMPLETE FOR ALL CASES

1. VICTIM'S DATE OF BIRTH

____/____/____
MM DD YY

2. LEGAL STATUS OF PERPETRATOR (code one)

- not stated.....1
 - U.S. citizen.....2
 - legal alien.....3
 - illegal alien.....4
 - alien, legal status unclear.....5
 - other (specify)_____8
-
- unclear.....9

3. OCCUPATION PERPETRATOR ORDINARILY PURSUES (fill in)

4. PERPETRATOR'S EMPLOYMENT STATUS AT TIME OF ABUSE

- employed.....01
 - unemployed/laid off.....02
 - student.....03
 - homemaker.....04
 - retired.....05
 - other (specify)_____08
-
- unknown.....99

5. PERPETRATOR HANDICAPS (code all that apply)

- none apparent.....01
- learning disabled.....02
- developmental.....03
- emotional.....04
- orthopedic.....05
- speech.....06
- hearing.....07

sight.....08
other (specify)_____98

unclear or missing data.....99

6. CIRCUMSTANCES LEADING TO DISCLOSURE/DISCOVERY
[ADDITIONAL] (code all that apply)

child disclosed or revealed abuse.....1
child, in confidence, told someone who then
revealed it (specify who)_____2

child displayed behavioral symptoms of abuse.....3
child displayed medical symptoms of abuse.....4
sexual abuse was witnessed by another person.....5
other (specify)_____8

unknown.....9

7. FIRST PERSON TO LEARN ABOUT THE SEXUAL ABUSE (code one)

mother.....01
adoptive mother/stepmother.....02
other female relative (specify)_____03

father.....04
adoptive father/stepfather.....05
other male relative (specify)_____06

friend.....07
teacher/day care provider.....08
clergy.....09
hot line.....10
social worker (specify)_____11

mental health professional.....12
health care provider (specify)_____13

rape crisis center/victim services.....14
law enforcement professional (specify)_____15

legal representative (specify)_____16

other (specify)_____98

unknown.....99

8. INITIAL ACTION BY FIRST PERSON TO LEARN OF ABUSE (code one)

took no action because:
person did not believe child.....01
person did not know what to do.....02
person was scared.....03

other reason (specify) _____	04
<hr/>	
tried to correct situation without official involvement (specify how) _____	05
<hr/>	
notified the child protective services agency...	06
notified a law enforcement agency.....	07
brought the matter to the attention of some other person or agency (specify) _____	08
<hr/>	
other (specify).....	98
unknown.....	99

9. PERSON WHO MADE THE OFFICIAL REPORT (code one)

mother.....	01
adoptive mother/stepmother.....	02
other female relative (specify) _____	03
<hr/>	
father.....	04
adoptive father/stepfather.....	05
other male relative (specify) _____	06
<hr/>	
friend.....	07
teacher/day care provider.....	08
clergy.....	09
hot line.....	10
social worker (specify) _____	11
<hr/>	
mental health professional.....	12
health care provider (specify) _____	13
<hr/>	
rape crisis center/victim services.....	14
law enforcement professional (specify) _____	15
<hr/>	
legal representative (specify) _____	16
<hr/>	
other (specify) _____	98
<hr/>	
unknown.....	99

10. PERPETRATOR'S COERCION OF CHILD (code all that apply)

deception.....	01
bribery/enticement.....	02
used his/her authority as an adult.....	03
verbally threatened the child.....	04
verbally threatened someone else.....	05
threatened use of force on the child.....	06
threatened use of force on someone else.....	07
threatened use of weapon(s) on the child.....	08
threatened use of weapon(s) on someone else.....	09

incapacitated the child with drugs or alcohol...10
 physically overpowered/restrained the child....11
 physically assaulted the child with weapon(s)...12
 other (specify) _____ 98

unknown.....99

11. PERPETRATOR'S RECORD OF PRIOR CRIMINAL CHARGES

number of charges.....
 unknown.....99

12. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES

number of charges.....
 unknown.....99

13. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES
 WITH SAME VICTIM

number of charges.....
 unknown.....99

14. SOURCES OF INFORMATION (code all that apply)

record of child interview.....01
 prosecutor's case file.....02
 criminal court records.....03
 case transcripts.....04
 police records.....05
 social/protective services records.....06
 juvenile/family court records.....07
 criminal history records.....08
 probation records.....09
 victim assistant/guardian ad litem records.....10
 interview/discussion with:
 prosecutor.....11
 other prosecution staff.....12
 other attorneys (specify) _____ 13

 police officer.....14
 other police staff.....15
 social/protective services worker.....16
 mental health worker.....17
 courtroom observation.....18
 other (specify) _____ 98

CASE COVER SHEET

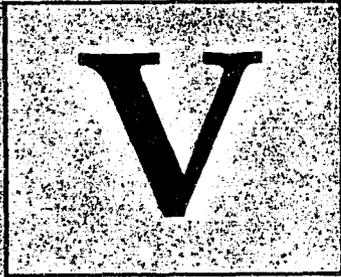
EDC Control # _____

Book Done	Victim Number	Child Name	DOB	Juvenile Court Docket Number
()	1	_____	_____	_____
()	2	_____	_____	_____
()	3	_____	_____	_____
()	4	_____	_____	_____
()	5	_____	_____	_____
()	6	_____	_____	_____
()	7	_____	_____	_____
()	8	_____	_____	_____

Book Done	Perpetrator Number	Perpetrator Name	Prosecutor Case Number	Criminal Court Docket Number
()	1	_____	_____	_____
()	2	_____	_____	_____
()	3	_____	_____	_____
()	4	_____	_____	_____
()	5	_____	_____	_____
()	6	_____	_____	_____
()	7	_____	_____	_____
()	8	_____	_____	_____

SOURCES OF INFORMATION (code all that apply)

record of child interview.....	01
prosecutor's case file	02
criminal court records	03
case transcripts.....	04
police records.....	05
social/protective services records	06
juvenile/family court records	07
criminal history records	08
probation records	09
victim assistant/guardian ad litem records.....	10
interview/discussion with:	
prosecutor.....	11
other prosecution staff.....	12
other attorneys (specify).....	13
<hr/>	
police officer.....	14
other police staff	15
social/protective services worker.....	16
mental health worker.....	17
courtroom observation.....	18
other (specify).....	98
<hr/>	



EDC Control # _____

Prosecutor's Case Number _____

Victim # _____

Child's Name _____ Child's DOB _____

Perpetrator's Name _____

Criminal Court Docket Number _____

Juvenile/Family Court Docket Number _____

Number of Supplement A _____

Number of Supplement B _____

MULTIPLE VICTIMS/SINGLE PERPETRATOR

CODE WHITE AREAS
DO NOT CODE GRAY AREAS

5. HANDICAPS (code one)

none	01	16-17/
learning disabled	02	
developmental	03	
emotional	04	
orthopedic	05	
speech	06	
hearing	07	
sight	08	
multiple	09	
other (specify) _____	98	
<hr/>		
unknown	99	18/

6. PRETRIAL LOCATION (code all that apply)

pre-abuse residence	1	19/
relative home 1	2	20/
relative home 2	3	21/
relative home 3	4	22/
foster home 1	1	23/
foster home 2	2	24/
foster home 3	3	25/
institution (specify) _____	4	26/
<hr/>		
hospital	1	27/
other (specify) _____	8	28/
<hr/>		
unknown	8	29/
<hr/>		
unknown	9	30/
<hr/>		
unknown	9	31/

7. RETURN TO PRE-ABUSE RESIDENCE IF REMOVED PRE-TRIAL
(code one)

yes	1	32/
no	2	
not applicable (not removed)	7	
unknown	9	

OMIT QUESTIONS 8-14

15. PRIOR RECORD OF SEX CRIMES (if none, enter 00)

number of convictions _____ 45-46/
 unknown 99

16. PRIOR RECORD OF SEX CRIMES WITH SAME VICTIM

number of convictions _____ 47-48/
 unknown 99

17. ALCOHOL/DRUG DEPENDENCY (code one)

none 1 49/
 alcohol 2
 drug (specify) _____ 3
 _____ 50/
 both 4
 unknown 9

18. RELATIONSHIP TO CHILD (code one)

sibling 01 51-52/
 step-sibling 02
 biological parent 03
 adoptive parent 04
 step-parent 05
 grandparent 06
 resident friend of parent 07
 other relative (specify) _____ 08
 _____ 53/
 nonfamilial caretaker 09
 group leader 10
 acquaintance 11
 stranger 12
 other non-relative (specify) _____ 98
 _____ 54/
 unknown 99

19. NATURE OF ABUSE (code all that apply)

penile-vaginal penetration 1 55/
 penile-anal penetration 2 56/
 digital penetration of vagina 3 57/
 digital penetration of anus 4 58/
 oral-genital contact 1 59/
 fondling/kissing 2 60/
 genital exposure 3 61/
 other (specify) _____ 8 62/
 _____ 8 63/
 unknown 9 64/

MULTIPLE VICTIMS/SINGLE PERPETRATOR

20. USE OF FORCE (code one)

no threat or use of force	1	65/
threat of physical force.	2	
mild/moderate physical force (pushed, pulled, held)	3	
violent physical force (hit, kicked, burned, etc.)	4	
force used, but degree unspecified	8	
unknown	9	

21. USE OF WEAPON (code one)

no use of weapon	1	66/
use of weapon	2	
unknown	9	

22. NUMBER OF REPORTED INCIDENTS _____

67-68/

multiple but unspecified	98
unknown	99

23. TIME-SPAN OF ABUSE (in months) _____

69-70/

not applicable (one event)	97
ongoing abuse but unspecified	98
unknown	99

24. LOCATION OF ABUSE (code one)

victim's home	1	71/
defendant's home	2	
school/day care	3	
relative's home	4	
other location (specify) _____	8	
multiple	5	72/
unknown	9	

25. ALCOHOL USE DURING INCIDENT (code one)

by victim	1	73/
by defendant	2	
by both	3	
by neither	4	
unknown	9	

26. DRUG USE DURING INCIDENT (code one)

- by victim1 74/
- by defendant2
- by both3
- by neither4
- unknown9

27. NUMBER OF VICTIMS _____ 75-76/

CODE!

- unknown99

28. NUMBER OF DEFENDANTS _____ 77-78/

- unknown99

Card 02
1--2/02

CASE REPORTING AND SUBSTANTIATION

29. DATE OF MOST RECENT REPORTED INCIDENT

____/____/____ 3-8/
MM DD YY

30. DATE OF REPORT TO AUTHORITIES

____/____/____ 9-14/
MM DD YY

31. DISCLOSURE CIRCUMSTANCES (code one)

- child disclosed1 15/
- someone else disclosed2
- unknown9

32. PROMPTING CIRCUMSTANCES IF DISCLOSANT OTHER THAN CHILD
(code all that apply)

- medical findings1 16/
- behavioral clues2 17/
- direct knowledge by disclosant3 18/
- other (specify) _____ 8 19/
- _____ 8 20/
- not applicable7 21/
- unknown9 22/

MULTIPLE VICTIMS/SINGLE PERPETRATOR

33. FIRST PERSON NOTIFIED (code one)

mother	01	23-24/
adoptive mother/stepmother	02	
other female relative(specify) _____	03	25/
<hr/>		
father	04	
adoptive father/stepfather	05	
other male relative(specify) _____	06	26/
<hr/>		
friend	07	
teacher/day care provider	08	
clergy	09	
hot line	10	
social worker	11	
mental health professional	12	
health care provider	13	
rape crisis center/victim services	14	
law enforcement professional	15	
legal representative	16	
other (specify) _____	98	27/
<hr/>		
unknown	99	

34. FIRST GOVERNMENT AGENCY NOTIFIED (code one)

social services/child protection	1	28/
law enforcement	2	
prosecutor	3	
other(specify) _____	8	29/
<hr/>		
unknown	9	

35. AGENCY REFERRING CASE TO PROSECUTION (code one)

law enforcement	1	30/
social services	2	
other.(specify) _____	8	31/
<hr/>		
unknown	9	

36. LAW ENFORCEMENT AGENCY ORIGIN (code one)

major city police in D.A.'s county	1	32/
other city police in D.A.'s county (specify) _____	2	33/
<hr/>		
sheriff in D.A.'s county	3	
state police in D.A.'s state	4	
military police	5	
federal law enforcement	6	
other (specify) _____	8	34/
<hr/>		
not applicable	7	
unknown	9	

37. DATE OF POLICE REFERRAL TO PROSECUTION

MM / DD / YY

35-40/

38. DATE OF SOCIAL SERVICE REFERRAL TO PROSECUTION

MM / DD / YY

41-46/

39. LOCATION OF MEDICAL EXAM OF CHILD (code all that apply)

- no exam conducted 1 47/
- victim's home 2 48/
- doctor's office 3 49/
- school 4 50/
- hospital inpatient 1 51/
- hospital outpatient 2 52/
- other (specify) _____ 8 53/
- _____ 8 54/
- unknown 9 55/

40. LOCATION OF PSYCHOLOGICAL EXAM (code all that apply)

- no exam conducted 1 56/
- victim's home 2 57/
- doctor's office 3 58/
- school 4 59/
- hospital inpatient 1 60/
- hospital outpatient 2 61/
- other (specify) _____ 8 62/
- _____ 8 63/
- unknown 9 64/

41. IDENTIFICATION OF PERPETRATOR BY VICTIM (code all that apply)

- none used 1 65/
- live line-up 2 66/
- photo display ("mug-shots") 3 67/
- other I.D.(specify) _____ 8 68/
- _____ 8 69/
- unknown 9 70/

MULTIPLE VICTIMS/SINGLE PERPETRATOR

PRETRIAL SCREENING

42. DATE PROSECUTOR FILE OPENED

CODE!

MM / DD / YY

71-76/

Card 03
1--2/03

43. NATURE OF PROSECUTION CASE (code all that apply)

- physical evidence1 3/
- medical evidence2 4/
- psychological evidence3 5/
- fresh complaint/excited utterance4 6/
- other eyewitnesses1 7/
- confession by perpetrator2 8/
- other (specify) _____ 8 9/
- _____ 8 10/
- _____ 8 11/
- unknown9 12/

44. NUMBER AND TYPE OF VICTIM INTERVIEWS (code all that apply)

- | | | NUMBER | |
|--------------------------|-----|--------|--------|
| none1 | 13/ | N/A | |
| law enforcement2 | 14/ | _____ | 15-16/ |
| social services3 | 17/ | _____ | 18-19/ |
| medical4 | 20/ | _____ | 21-22/ |
| mental health1 | 23/ | _____ | 24-25/ |
| prosecutor2 | 26/ | _____ | 27-28/ |
| judge3 | 29/ | _____ | 30-31/ |
| defense attorney or | | | |
| investigator4 | 32/ | _____ | 33-34/ |
| probation officer1 | 35/ | _____ | 36-37/ |
| other (specify) _____ 8 | 38/ | _____ | 39-40/ |
| _____ 8 | 41/ | _____ | 42-43/ |
| _____ 8 | 44/ | _____ | 45-46/ |
| unknown9 | 47/ | _____ | 48-49/ |

COMPLETE SUPPLEMENT A FOR EACH INTERVIEW

45. CASE ACCEPTED/REJECTED FOR PROSECUTION

- case accepted1 50/ → GO TO PART III
- case declined2

46. REASONS FOR DECLINATION (code all that apply)

victim declines to prosecute	1	51/
victim unavailable	2	52/
victim not qualifiable	3	53/
other victim consideration(specify) _____	4	54/
		55/
insufficient evidence of crime	1	56/
no corroboration	2	57/
medical reports negative re. abuse	3	58/
medical/other reports not complete	4	59/
key witness(es) other than victim not available	1	60/
other evidentiary consideration (specify) _____	2	61/
		62/
case transferred to other jurisdiction	3	63/
perpetrator being processed on other charges	4	64/
other prosecutorial consideration (specify) _____	1	65/
		66/
4th amendment problem with case	2	67/
5th amendment problem with case	3	68/
6th amendment problem with case	4	69/
Unknown/missing value	9	70/

46A. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes	1	71/	→	GO TO PART III
no	2		→	STOP HERE AND COMPLETE SUPPLEMENT A FOR EACH INVESTIGATIVE INTERVIEW

MULTIPLE VICTIMS/SINGLE PERPETRATOR

SUPPLEMENT C

Coder # _____

Control # -

**ADDITIONAL CASE RECORD DATA
COMPLETE FOR ALL CASES**

OMIT QUESTIONS 1-4

**5. CIRCUMSTANCES LEADING TO DISCLOSURE/DISCOVERY [ADDITIONAL]
(code all that apply)**

- child disclosed or revealed abuse 1
- child, in confidence, told someone who then
revealed it (specify who) _____ 2
- child displayed behavioral symptoms of abuse 3
- child displayed medical symptoms of abuse. 4
- sexual abuse was witnessed by another person 5
- other (specify) _____ 8
- unknown 9

6. FIRST PERSON TO LEARN ABOUT THE SEXUAL ABUSE (code one)

- mother 01
- adoptive mother/stepmother 02
- other female relative (specify) _____ 03
- father 04
- adoptive father/stepfather 05
- other male relative (specify) 06
- friend 07
- teacher/day care provider 08
- clergy 09
- hot line 10
- social worker (specify) _____ 11
- mental health professional 12
- health care provider (specify) _____ 13
- rape crisis center/victim services 14
- law enforcement professional (specify) _____ 15
- legal representative (specify) _____ 16
- other (specify) _____ 98
- unknown 99

MULTIPLE VICTIMS/SINGLE PERPETRATOR

7. INITIAL ACTION BY FIRST PERSON TO LEARN OF ABUSE (code one)

took no action because:

- person did not believe child 01
- person did not know what to do 02
- person was scared 03
- other reason (specify) _____ 04

tried to correct situation without official involvement (specify how) _____ 05

- notified the child protective services agency 06
- notified a law enforcement agency 07
- brought the matter to the attention of some other person or agency (specify) _____ 08

- other (specify) _____ 98
- unknown 99

8. PERSON WHO MADE THE OFFICIAL REPORT (code one)

- mother 01
- adoptive mother/stepmother 02
- other female relative (specify) _____ 03

- father 04
- adoptive father/stepfather 05
- other male relative (specify) _____ 06

- friend 07
- teacher/day care provider. 08
- clergy 09
- hot line 10
- social worker (specify) _____ 11

- mental health professional 12
- health care provider (specify) _____ 13

- rape crisis center/victim services 14
- law enforcement professional (specify) _____ 15

legal representative (specify) _____ 16

other (specify) _____ 98

unknown 99

9. PERPETRATOR'S COERCION OF CHILD (code all that apply)

- deception 01
- bribery/enticement 02
- used his/her authority as an adult 03
- verbally threatened the child 04
- verbally threatened someone else 05
- threatened use of force on the child 06
- threatened use of force on someone else 07
- threatened use of weapon(s) on the child 08
- threatened use of weapon(s) on someone else 09
- incapacitated the child with drugs or alcohol 10
- physically overpowered/restrained the child 11
- physically assaulted the child with weapon(s) 12
- other (specify) _____ 98
- unknown..... 99

10. PERPETRATOR'S RECORD OF PRIOR CRIMINAL CHARGES

- number of charges _____
- unknown..... 99

11. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES

- number of charges _____
- unknown..... 99

12. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES WITH SAME VICTIM

- number of charges _____
- unknown..... 99

MULTIPLE VICTIMS/SINGLE PERPETRATOR

Coder#: _____

3-4/

Control # —

5-9/

PART II

PROSECUTION CHARACTERISTICS

47. TYPE OF PROSECUTORIAL UNIT (code one)

special unit for child victims	1	10/
other special crimes unit (specify) _____	2	
_____		11/
general unit	3	
other (specify) _____	8	
_____		12/

48. TYPE OF CHARGING DOCUMENT (code one)

indictment	1	13/
information	2	
unknown	9	

49. INDICTMENT/INFORMATION DATE

_____ / _____ / _____	14-19/
MM DD YY	

50. TOTAL NUMBER OF CHARGES FILED BY PROSECUTOR

_____	20-21/
unknown	99

51. TOTAL NUMBER OF COUNTS FILED BY PROSECUTOR

_____	22-23/
unknown	99

52. HIGHEST CHARGE CATEGORY (SEX CRIME)

felony	1	24/
misdemeanor	2	

53. HIGHEST STATUTORY CHARGE (SEX CRIME)

_____ 25-34/

54. HIGHEST CHARGE CATEGORY (NON-SEX CRIME)

felony	1	35/
misdemeanor	2	
not applicable	7	

55. HIGHEST STATUTORY CHARGE (NON-SEX CRIME)

_____ 36-45/

not applicable9999999997

56. DEFENDANT'S PRETRIAL LIBERTY STATUS

detained	1	46/
not detained	2	→ GO TO ITEM 59
unknown	9	→ GO TO ITEM 59

57. DATE OF ARREST

____ / ____ / ____ 47-52/
MM DD YY

58. DATE OF PRETRIAL RELEASE

____ / ____ / ____ 53-58/
MM DD YY

59. RELEASE CONDITIONS (code all that apply)

in jail, never released	1	59/
financial (i.e. bail)	2	60/
own recognizance	3	61/
no contact with child	4	62/
treatment program for substance abuse	1	63/
treatment program for sexual abuse	2	64/
other (specify) _____	8	65/
_____	8	66/
_____	8	67/
unknown	9	68/

60. GUARDIAN AD LITEM ASSIGNMENT

69/

- yes 1
- no 2 → GO TO ITEM 63
- unknown 9 → GO TO ITEM 63

61. DATE OF ASSIGNMENT

MM / DD / YY 70-75/

62. TYPE OF G.A.L. (code one)

- attorney 1 76/
- non-attorney 2
- unknown 9

63. VICTIM ASSISTANT ASSIGNMENT

77/

- yes 1
- no 2 → GO TO ITEM 66
- unknown 9 → GO TO ITEM 66

Card 05
1--2/05

64. DATE OF ASSIGNMENT

MM / DD / YY 3-8/

65. TYPE OF VICTIM ASSISTANT (code one)

- prosecutor-affiliated 1 9/
- other (specify) _____ 8 10/
- unknown 9

66. DEFENSE ATTORNEY TYPE (code one)

- public defender 1 11/
- court appointed 2
- privately retained 3
- pro se 4
- other (specify) _____ 8 12/
- unknown 9

67. NUMBER OF PRETRIAL MOTIONS

3-14/

IF NONE,
GO TO ITEM 69

unknown 99

68. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	15-16/	1	2	17/
use of expert witnesses	2	2	18-19/	1	2	20/
limited audience	3	3	21-22/	1	2	23/
use of video-testimony in lieu of live testimony	4	4	24-25/	1	2	26/
use of closed-circuit TV	1	1	27-28/	1	2	29/
media coverage restriction	2	2	30-31/	1	2	32/
court room accommodations	3	3	33-34/	1	2	35/
other (specify)						
_____	8	8	36-37/	1	2	38/
_____	8	8	39-40/	1	2	41/
_____	8	8	42-43/	1	2	44/

69. NUMBER OF CONTINUANCES

45-46/

IF NONE,
GO TO ITEM 72

unknown 99

70. DAYS LOST TO CONTINUANCES

47-49/

unknown 999

71. REASONS FOR CONTINUANCES (code all that apply)

scheduling conflict	1	50/
attorney not ready	2	51/
awaiting results of med/psych exam	3	52/
cannot locate victim/defendant	4	53/
victim not ready	1	54/
other (specify) _____	8	55/
_____	8	56/
_____	8	57/
unknown	9	58/

MULTIPLE VICTIMS/SINGLE PERPETRATOR

ADULT CRIMINAL COURT EVENTS

	DATE	CHILD PRESENT			
		Yes	No		
72. INITIAL APPEARANCE/BAIL HEARING	___/___/___ MM DD YY	59-64/	1	2	65/
73. PRELIMINARY HEARING	___/___/___	66-71/	1	2	72/
74. GRAND JURY	___/___/___	73-78/	1	2	79/
Card 06 1--2/06					
75. COMPETENCY EXAM FOR VICTIM	___/___/___	3-8/	1	2	9/
76. DEPOSITION OF VICTIM	___/___/___	10-15/	1	2	16/
77. TRIAL COURT ARRAIGNMENT	___/___/___	17-22/	1	2	23/
78. OTHER PRETRIAL PROCEEDING INVOLVING VICTIM (specify event type)					
_____	___/___/___	24-29/	1	2	30/
_____	___/___/___	31-36/	1	2	37/
_____	___/___/___	38-43/	1	2	44/
79. TRIAL COMMENCEMENT	___/___/___	45-50/	1	2	51/
80. SENTENCING	___/___/___	52-57/	1	2	58/
81. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT					_____ 59-60/

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

TRIAL ACTIVITIES

82. TRIAL TYPE (code one)

- no trial held 1 61/ → GO TO ITEM 85
- bench 2
- jury 3
- unknown 9 → GO TO ITEM 85

Card 07
1--2/07

83. TYPE OF EXPERT WITNESS TESTIMONY (code all that apply)

	PROS	CALLED BY		COURT APPT.	
		DEF			
none	1 62/	1	69/	1	3/
medical professional	2 63/	2	70/	2	4/
mental health professional	3 64/	3	71/	3	5/
social worker	4 65/	4	72/	4	6/
other (specify) _____	8 66/	8	73/	8	7/
_____	8 67/	8	74/	8	8/
_____	8 68/	8	75/	8	9/

84. TYPE OF HEARSAY EXCEPTION (code all that apply)

- none 1 10/
- fresh complaint 2 11/
- excited utterance 3 12/
- special exception for sexually
abused children 4 13/
- medical complaint 1 14/
- medical diagnosis 2 15/
- other (specify) _____ 8 16/
- _____ 8 17/
- _____ 8 18/

OMIT QUESTIONS 85-92

MULTIPLE VICTIMS/SINGLE PERPETRATOR

93. VICTIM IMPACT STATEMENT AT SENTENCING

none	1	55/
oral	2	
written	3	
unknown	9	

OMIT QUESTIONS 93 -95A

96. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes	1	→	GO TO PART III
no	2	→	STOP HERE

COMPLETE SUPPLEMENTS
A AND B

Card 09
1--2/10

Coder# _____

3-4/

Control # -

5-9/

PART III

ABUSE/NEGLECT PROCEEDINGS

	DATE	CHILD PRESENT			
		Yes	No		
97. EMERGENCY REMOVAL OR CUSTODY HEARING	___/___/___ MM DD YY	10-15/	1	2	16/
98. FILING OF ABUSE/NEGLECT PETITION	___/___/___	17-22/	1	2	23/
99. PRELIMINARY HEARING	___/___/___	24-29/	1	2	30/
100. PRE-TRIAL CONFERENCE	___/___/___	31-36/	1	2	37/
101. ADJUDICATORY/FACT-FINDING HEARING	___/___/___	38-43/	1	2	44/
102. DISPOSITION HEARING	___/___/___	45-50/	1	2	51/
103. REVIEW HEARING	1. ___/___/___	52-57/	1	2	58/
	2. ___/___/___	59-64/	1	2	65/
	3. ___/___/___	66-71/	1	2	72/

Card 10
1--2/10

104.. OTHER HEARING INVOLVING CHILD (specify)

___/___/___	3-8/	1	2	9/
___/___/___	10-15/	1	2	16/
___/___/___	17-22/	1	2	23/

105. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT _____ 24-25/

MULTIPLE VICTIMS/SINGLE PERPETRATOR

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

113. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	41-42/	1	2	43/
use of expert witnesses	2	2	44-45/	1	2	46/
limited audience	3	3	47-48/	1	2	49/
use of video-tape in lieu of live testimony	4	4	50-51/	1	2	52/
use of closed-circuit TV	1	1	53-54/	1	2	55/
media coverage restriction	2	2	56-57/	1	2	58/
court room accommodations	3	3	59-60/	1	2	61/
other (specify) _____	8	8	62-63/	1	2	64/
_____	8	8	65-66/	1	2	67/
_____	8	8	68-69/	1	2	70/

114. NUMBER OF CONTINUANCES _____ ^{71-72/} → IF NONE, GO TO ITEM 117

unknown 99

115. DAYS LOST TO CONTINUANCES _____ ^{73-75/}

unknown..... 999

116. REASONS FOR CONTINUANCES (code all that apply)

scheduling conflict	1	3/
attorney not ready	2	4/
awaiting results of med/psych exam	3	5/
cannot locate victim/defendant	4	6/
victim not ready	1	7/
other (specify) _____	8	8/
_____	8	9/
_____	8	10/
unknown	9	11/

117. EMERGENCY COURT ORDER IN THIS CASE?

yes	1	12/
no	2	
unknown	9	

118. TYPE OF ORDER (code all that apply)

placement of child	1	13/
no contact order	2	14/
other (specify) _____	8	15/
_____	8	16/
_____	8	17/
not applicable	7	18/
unknown	9	19/

MULTIPLE VICTIMS/SINGLE PERPETRATOR

JUVENILE/FAMILY COURT DISPOSITION

119. JUVENILE/FAMILY COURT DISPOSITION (code all that apply)

placement of child	1	20/
adjournment/deferred adjudication	2	21/
suspended judgment	3	22/
probation	4	23/
no contact order	1	24/
dismissal	2	25/
termination of parental rights	3	26/
not applicable (still pending)	7	27/
other (specify) _____	8	28/
_____	8	29/
unknown	9	30/

120. PLACEMENT OF CHILD (code one)

no placement, child remains in preabuse residence	1	31/
in shelter care	2	
in foster care	3	
with relative	4	
in group home	5	
institutional setting	6	
other (specify) _____	8	
_____		32/
unknown	9	

121. SPECIAL CONDITIONS (code all that apply)

none	1	33/
counseling for child	2	34/
counseling for parents	3	35/
temporary custody/visitation arrangement	4	36/
no contact with child	1	37/
comply with treatment service plan (other than counseling)	2	38/
other (specify) _____	8	39/
_____	8	40/
_____	8	41/
unknown	9	42/

P

MULTIPLE VICTIMS/SINGLE PERPETRATOR

EDC Control # _____

Prosecutor's Case Number _____

Perpetrator's Name _____

Criminal Court Docket Number _____

CODE WHITE AREAS

DO NOT CODE GRAY AREAS

Control # -
Coder# _____

3-4/

5-9/

PART 1

OMIT QUESTIONS 1-7

PERPETRATOR CHARACTERISTICS

8. SEX (code one)

- male 1 33/
- female 2
- unknown 9

9. AGE _____ years 34-35/

- unknown 99

10. RACE (code one)

- white 1 36/
- black 2
- Hispanic 3
- native american 4
- Asian 5
- oriental 6
- other (specify) _____ 8
- unknown 9 37/

11. RESIDENCE (code one)

- same county as D.A.'s office 1 38/
- same state as D.A.'s office 2
- out of state 3
- out of country 4
- unknown 9

MULTIPLE VICTIMS/SINGLE PERPETRATOR

12. OCCUPATION (code one)

unemployed	01	39-40/
student	02	
homemaker	03	
military personnel	04	
service occupation	05	
skilled production worker	06	
unskilled production worker	07	
farm worker	08	
clerical/administrative	09	
managerial/administrative	10	
professional specialty	11	
other (specify _____)	98	
<hr/>		
unknown	99	41/

13. EDUCATION (code highest level)

less than 9 years	1	42/
9-11 years	2	
high school degree	3	
some college /vocational training	4	
college degree	5	
post-graduate work/or degree	6	
unknown	9	

14. PRIOR CRIMINAL RECORD (if none enter 00)

number of convictions _____	43-44/
unknown	99

15. PRIOR RECORD OF SEX CRIMES (if none, enter 00)

number of convictions _____	45-46/
unknown	99

16. PRIOR RECORD OF SEX CRIMES WITH SAME VICTIM

CODE!

number of convictions _____	47-48/
unknown	99

17. ALCOHOL/DRUG DEPENDENCY (code one)

none	1	49/
alcohol	2	
drug (specify _____)	3	
<hr/>		
both	4	50/
unknown	9	

OMIT QUESTIONS 18-41

PRETRIAL SCREENING

OMIT QUESTIONS 42-44

45. CASE ACCEPTED/REJECTED FOR PROSECUTION

case accepted	1	50/	→	GO TO PART II
case declined	2			

46. REASONS FOR DECLINATION (code all that apply)

victim declines to prosecute	1	51/
victim unavailable	2	52/
victim not qualifiable	3	53/
other victim consideration(specify) _____	4	54/
_____		55/
insufficient evidence of crime	1	56/
no corroboration	2	57/
medical reports negative re. abuse	3	58/
medical/other reports not complete	4	59/
key witness(es) other than victim not available	1	60/
other evidentiary consideration (specify) _____	2	61/
_____		62/
case transferred to other jurisdiction	3	63/
perpetrator being processed on other charges	4	64/
other prosecutorial consideration (specify) _____	1	65/
_____		66/
4th amendment problem with case	2	67/
5th amendment problem with case	3	68/
6th amendment problem with case	4	69/
Unknown/missing value	9	70/

46A. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes	1	71/	→	GO TO PART III
no	2		→	STOP HERE AND COMPLETE SUPPLEMENT A FOR EACH INVESTIGATIVE INTERVIEW

MULTIPLE VICTIMS/SINGLE PERPETRATOR

SUPPLEMENT C

Coder # _____

Control # -

**ADDITIONAL CASE RECORD DATA
COMPLETE FOR ALL CASES**

1. LEGAL STATUS OF PERPETRATOR (code one)

- not stated 1
- U.S. citizen 2
- legal alien 3
- illegal alien 4
- alien, legal status unclear 5
- other (specify) _____ 8

- unclear 9

2. OCCUPATION PERPETRATOR ORDINARILY PURSUES (fill in)

3. PERPETRATOR'S EMPLOYMENT STATUS AT TIME OF ABUSE

- employed 01
- unemployed/laid of 02
- student 03
- homemaker 04
- retired 05
- other(specify) _____ 08

- unknown 99

4. PERPETRATOR HANDICAPS (code all that apply)

- none apparent 01
- learning disabled 02
- developmental 03
- emotional 04
- orthopedic 05
- speech 06
- hearing 07
- sight 08
- other (specify) _____ 98

- unclear or missing data 99

MULTIPLE VICTIMS/SINGLE PERPETRATOR

OMIT QUESTIONS 5-8

9. PERPETRATOR'S COERCION OF CHILD (code all that apply)

- deception 01
- bribery/enticement 02
- used his/her authority as an adult 03
- verbally threatened the child 04
- verbally threatened someone else 05
- threatened use of force on the child 06
- threatened use of force on someone else 07
- threatened use of weapon(s) on the child 08
- threatened use of weapon(s) on someone else 09
- incapacitated the child with drugs or alcohol 10
- physically overpowered/restrained the child 11
- physically assaulted the child with weapon(s) 12
- other (specify) _____ 98

- unknown 99

10. PERPETRATOR'S RECORD OF PRIOR CRIMINAL CHARGES

- number of charges _____
- unknown 99

11. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES

- number of charges _____
- unknown 99

12. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES WITH SAME VICTIM

- number of charges _____
- unknown 99

CODE!

Coder#: _____
Control # -

3-4/

5-9/

PART II

PROSECUTION CHARACTERISTICS

47. TYPE OF PROSECUTORIAL UNIT (code one)

special unit for child victims1 10/
other special crimes unit (specify) _____ 2 11/
_____ 3
general unit3
other (specify) _____ 8 12/

48. TYPE OF CHARGING DOCUMENT (code one)

indictment1 13/
information2
unknown9

49. INDICTMENT/INFORMATION DATE

____ / ____ / ____ 14-19/
MM DD YY

50. TOTAL NUMBER OF CHARGES FILED BY PROSECUTOR

_____ 20-21/
unknown99

51. TOTAL NUMBER OF COUNTS FILED BY PROSECUTOR

_____ 22-23/
unknown99

52. HIGHEST CHARGE CATEGORY (SEX CRIME)

felony 1 24/
 misdemeanor 2

53. HIGHEST STATUTORY CHARGE (SEX CRIME)

_____ 25-34/

54. HIGHEST CHARGE CATEGORY (NON-SEX CRIME)

felony 1 35/
 misdemeanor 2
 not applicable 7

55. HIGHEST STATUTORY CHARGE (NON-SEX CRIME)

_____ 36-45/

not applicable 9999999997

56. DEFENDANT'S PRETRIAL LIBERTY STATUS 46/

detailed 1
 not detailed 2 → GO TO ITEM 59
 unknown 9 → GO TO ITEM 59

57. DATE OF ARREST 47-52/

____/____/____
 MM DD YY

58. DATE OF PRETRIAL RELEASE 53-58/

____/____/____
 MM DD YY

59. RELEASE CONDITIONS (code all that apply)

in jail, never released 1 59/
 financial (i.e. bail) 2 60/
 own recognizance 3 61/
 no contact with child 4 62/
 treatment program for
 substance abuse 1 63/
 treatment program for
 sexual abuse 2 64/
 other (specify) _____ 8 65/
 _____ 8 66/
 _____ 8 67/
 unknown 9 68/

OMIT QUESTIONS 60-65

66. DEFENSE ATTORNEY TYPE (code one)

- public defender 1 11/
- court appointed 2
- privately retained 3
- pro se 4
- other (specify) _____ 8
- _____ 12/
- unknown 9

67. NUMBER OF PRETRIAL MOTIONS _____

3-14/

→ IF NONE,
GO TO ITEM 69

unknown 99

OMIT QUESTION 68

69. NUMBER OF CONTINUANCES _____

45-46/

→ IF NONE,
GO TO ITEM 72

unknown 99

70. DAYS LOST TO CONTINUANCES _____

47-49/

unknown 999

71. REASONS FOR CONTINUANCES (code all that apply)

- scheduling conflict 1 50/
- attorney not ready 2 51/
- awaiting results of med/psych exam 3 52/
- cannot locate victim/defendant 4 53/
- victim not ready 1 54/
- other (specify) _____ 6 55/
- _____ 8 56/
- _____ 8 57/
- unknown 9 58/

ADULT CRIMINAL COURT EVENTS

	DATE	CHILD PRESENT			
		Yes	No		
72. INITIAL APPEARANCE/BAIL HEARING	___ / ___ / ___ MM DD YY	59-64/	1	2	65/
73. PRELIMINARY HEARING	___ / ___ / ___	66-71/	1	2	72/
74. GRAND JURY	___ / ___ / ___	73-78/	1	2	79/
75. COMPETENCY EXAM FOR VICTIM	___ / ___ / ___	3-8/	1	2	9/
76. DEPOSITION OF VICTIM	___ / ___ / ___	10-15/	1	2	16/
77. TRIAL COURT ARRAIGNMENT	___ / ___ / ___	17-22/	1	2	23/
78. OTHER PRETRIAL PROCEEDING INVOLVING VICTIM (specify event type)					
_____	___ / ___ / ___	24-29/	1	2	30/
_____	___ / ___ / ___	31-36/	1	2	37/
_____	___ / ___ / ___	38-43/	1	2	44/
79. TRIAL COMMENCEMENT	___ / ___ / ___	45-50/	1	2	51/
80. SENTENCING	___ / ___ / ___	52-57/	1	2	58/
81. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT					___ 59-60/

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

MULTIPLE VICTIMS/SINGLE PERPETRATOR

TRIAL ACTIVITIES

82. TRIAL TYPE (code one)

61/

no trial held1----->GO TO ITEM 85
 bench2
 jury3
 unknown9----->GO TO ITEM 85

83. TYPE OF EXPERT WITNESS TESTIMONY (code all that apply)

	PROS	CALLED BY DEF	COURT APPT.
none.....1	62/	1 69/	1 3/
medical professional2	63/	2 70/	2 4/
mental health professional3	64/	3 71/	3 5/
social worker4	65/	4 72/	4 6/
other (specify) _____			
_____ 8	66/	8 73/	8 7/
_____ 8	67/	8 74/	8 8/
_____ 8	68/	8 75/	8 9/

84. TYPE OF HEARSAY EXCEPTION (code all that apply)

none1 10/
 fresh complaint2 11/
 excited utterance3 12/
 special exception for sexually
 abused children4 13/
 medical complaint1 14/
 medical diagnosis2 15/
 other (specify) _____ 8 16/
 _____ 8 17/
 _____ 8 18/

85. DISPOSITION TYPE (code one)

19-20/

guilty plea pre-trial01----->GO TO ITEM 87
 conviction at trial02----->GO TO ITEM 87

pre-trial diversion03----->GO TO ITEM 86

no-bill by grand jury04
 nolle pros or dismissal by pros05 ----->GO TO ITEM 95A
 dismissal by court pre-trial06

acquittal at trial07
 other trial outcome (specify) _____ 98 ----->GO TO ITEM 96
 _____ 21/
 not applicable (still pending97
 unknown99

86. DIVERSION CONDITIONS (code all that apply)

- no contact with child 1 22/
- treatment program for substance abuse 2 23/
- treatment for sexual abuse 3 24/
- general counselling program 4 25/
- other (specify) _____ 8 26/
- _____ 8 27/
- _____ 8 28/
- unknown 9 29/

87. NUMBER OF CHARGES CONVICTED _____ 30-31/

- unknown 99

88. HIGHEST CHARGE CATEGORY AT CONVICTION (SEX-CRIME)

- felony 1 32/
- misdemeanor 2
- not applicable 7

89. HIGHEST STATUTORY CHARGE AT CONVICTION (SEX-CRIME)

- _____ 33-42/
- not applicable 9999999997

90. HIGHEST CHARGE CATEGORY AT CONVICTION (NON-SEX CRIME)

- felony 1 43/
- misdemeanor 2
- not applicable 7

91. HIGHEST STATUTORY CHARGE AT CONVICTION (NON-SEX CRIME)

- _____ 44-53/
- not applicable 9999999997

92. WAS SENTENCE IMPOSED?

- yes 1 54/
- no 2 → GO TO ITEM 96

MULTIPLE VICTIMS/SINGLE PERPETRATOR

93. VICTIM IMPACT STATEMENT AT SENTENCING

none	1	55/
oral	2	
written	3	
unknown	9	

94. INSTITUTIONAL SENTENCE

(Code all that apply. For each item circled in column 1, enter number of months in column 2)

	TYPE OF SENTENCE		NUMBER OF MONTHS
none	1	56/	<u>N/A</u>
incarceration	2	57/	<u>58-60/</u>
residential sex offender program	3	61/	<u>62-64/</u>
residential substance abuse program	4	65/	<u>66-68/</u>
other residential program	1	69/	<u>70-72/</u>
probation	2	73/	<u>74-76/</u>
suspended	3	77/	<u>78-80/</u>

95. CHARACTERISTICS OF NON-INSTITUTIONAL SENTENCE

(code all that apply)

supervision only	1	3/
non-residential sex offender program	2	4/
non-residential substance abuse program	3	5/
restitution	4	6/
community service	1	7/
fine (specify) \$ _____	2	8/
no contact order re. child victim	3	9/
other (specify) _____	8	10/
_____	8	11/
_____	8	12/
not applicable	7	13/
unknown	9	14/

95A. REASONS FOR DISMISSAL (code all that apply)

victim declines to prosecute	1	15/
victim unavailable	2	16/
victim not qualifiable	3	17/
other victim consideration(specify) _____	4	18/
<hr/>		
insufficient evidence of crime	1	20/
no corroboration	2	21/
medical reports negative re. abuse	3	22/
medical/other reports not complete	4	23/
key witness(es) other than victim not available	1	24/
other evidentiary consideration (specify) _____	2	25/
<hr/>		
case transferred to other jurisdiction	3	27/
perpetrator being processed on other charges	4	28/
other prosecutorial consideration (specify) _____	1	29/
<hr/>		
4th amendment problem with case	2	31/
5th amendment problem with case	3	32/
6th amendment problem with case	4	33/
Unknown/missing value	9	34/

96. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes	1	35/	→	GO TO PART III
no	2		→	STOP HERE

COMPLETE SUPPLEMENTS
A AND B

PART III OMITTED IN THIS BOOK

MULTIPLE VICTIMS/SINGLE PERPETRATOR

CASE COVER SHEET

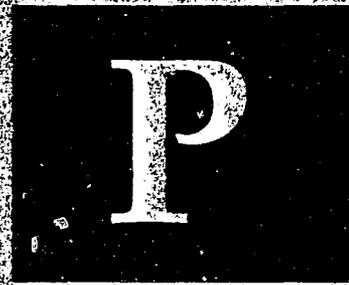
EDC Control # _____

Book Done	Victim Number	Child Name	DOB	Juvenile Court Docket Number
()	1	_____	_____	_____
()	2	_____	_____	_____
()	3	_____	_____	_____
()	4	_____	_____	_____
()	5	_____	_____	_____
()	6	_____	_____	_____
()	7	_____	_____	_____
()	8	_____	_____	_____

Book Done	Perpetrator Number	Perpetrator Name	Prosecutor Case Number	Criminal Court Docket Number
()	1	_____	_____	_____
()	2	_____	_____	_____
()	3	_____	_____	_____
()	4	_____	_____	_____
()	5	_____	_____	_____
()	6	_____	_____	_____
()	7	_____	_____	_____
()	8	_____	_____	_____

SOURCES OF INFORMATION (code all that apply)

record of child interview.....	01
prosecutor's case file	02
criminal court records	03
case transcripts.....	04
police records.....	05
social/protective services records	06
juvenile/family court records	07
criminal history records.....	08
probation records	09
victim assistant/guardian ad litem records.....	10
interview/discussion with:	
prosecutor.....	11
other prosecution staff.....	12
other attorneys (specify) _____	13
<hr/>	
police officer.....	14
other police staff.....	15
social/protective services worker.....	16
mental health worker.....	17
courtroom observation.....	18
other (specify) _____	98
<hr/>	



EDC Control # _____

Prosecutor's Case Number _____

Perpetrator Number _____

Child's Name _____

Perpetrator's Name _____

Criminal Court Docket Number _____

Number of Supplement B _____

SINGLE VICTIM/MULTIPLE PERPETRATORS

CODE WHITE AREAS
DO NOT CODE GRAY AREAS

12. OCCUPATION (code one)

unemployed	01	39-40/
student	02	
homemaker	03	
military personnel	04	
service occupation	05	
skilled production worker	06	
unskilled production worker	07	
farm worker	08	
clerical/administrative	09	
managerial/administrative	10	
professional specialty	11	
other (specify) _____	98	
<hr/>		
unknown	99	41/

13. EDUCATION (code highest level)

less than 9 years	1	42/
9-11 years	2	
high school degree	3	
some college /vocational training	4	
college degree	5	
post-graduate work/or degree	6	
unknown	9	

14. PRIOR CRIMINAL RECORD (if none enter 00)

number of convictions _____	43-44/
unknown	99

15. PRIOR RECORD OF SEX CRIMES (if none, enter 00)

number of convictions _____	45-46/
unknown	99

16. PRIOR RECORD OF SEX CRIMES WITH SAME VICTIM

number of convictions _____	47-48/
unknown	99

17. ALCOHOL/DRUG DEPENDENCY (code one)

none	1	49/
alcohol	2	
drug (specify) _____	3	
<hr/>		
both	4	50/
unknown	9	

18. RELATIONSHIP TO CHILD (code one)

sibling	01	51-52/
step-sibling	02	
biological parent	03	
adoptive parent	04	
step-parent	05	
grandparent	06	
resident friend of parent	07	
other relative (specify) _____	08	
<hr/>		
nonfamilial caretaker	09	53/
group leader	10	
acquaintance	11	
stranger	12	
other non-relative (specify) _____	98	
<hr/>		
unknown	99	54/

19. NATURE OF ABUSE (code all that apply)

penile-vaginal penetration	1	55/
penile-anal penetration	2	56/
digital penetration of vagina	3	57/
digital penetration of anus	4	58/
oral-genital contact	1	59/
fondling/kissing	2	60/
genital exposure	3	61/
other (specify) _____	8	62/
_____	8	63/
unknown	9	64/

20. USE OF FORCE (code one)

no threat or use of force	1	65/
threat of physical force	2	
mild/moderate physical force (pushed, pulled, held)	3	
violent physical force (hit, kicked, burned, etc.)	4	
force used, but degree unspecified	8	
unknown	9	

21. USE OF WEAPON (code one)

no use of weapon	1	66/
use of weapon	2	
unknown	9	

22. NUMBER OF REPORTED INCIDENTS _____

multiple but unspecified	98	67-68/
unknown	99	

23. TIME-SPAN OF ABUSE (in months) _____ 69-70/

- not applicable (one event)97
- ongoing abuse but unspecified98
- unknown99

24. LOCATION OF ABUSE (code one)

- victim's home1 71/
- defendant's home2
- school/day care3
- relative's home4
- other location (specify) _____8 72/
- multiple5
- unknown9

25. ALCOHOL USE DURING INCIDENT (code one)

- by victim1 73/
- by defendant2
- by both3
- by neither4
- unknown9

26. DRUG USE DURING INCIDENT (code one)

- by victim1 74/
- by defendant2
- by both3
- by neither4
- unknown9

27. NUMBER OF VICTIMS _____ 75-76/

- unknown99

28. NUMBER OF DEFENDANTS _____ 77-78/

- unknown99

CASE REPORTING AND SUBSTANTIATION

29. DATE OF MOST RECENT REPORTED INCIDENT

____/____/____ 3-8/
MM DD YY

30. DATE OF REPORT TO AUTHORITIES

MM / DD / YY

9-14/

OMIT QUESTIONS 31-33

34. FIRST GOVERNMENT AGENCY NOTIFIED (code one)

- social services/child protection 1 28/
- law enforcement 2
- prosecutor 3
- other(specify) _____ 8
- _____ 29/
- unknown 9

35. AGENCY REFERRING CASE TO PROSECUTION (code one)

- law enforcement 1 30/
- social services 2
- other.(specify) _____ 8
- _____ 31/
- unknown 9

36. LAW ENFORCEMENT AGENCY ORIGIN (code one)

- major city police in D.A.'s county 1 32/
- other city police in D.A.'s county (specify) _____ 2
- _____ 33/
- sheriff in D.A.'s county 3
- state police in D.A.'s state 4
- military police 5
- federal law enforcement 6
- other (specify) _____ 8
- _____ 34/
- not applicable 7
- unknown. 9

37. DATE OF POLICE REFERRAL TO PROSECUTION

MM / DD / YY

35-40/

38. DATE OF SOCIAL SERVICE REFERRAL TO PROSECUTION

MM / DD / YY

41-46/

SINGLE VICTIM/MULTIPLE PERPETRATORS

46. REASONS FOR DECLINATION (code all that apply)

victim declines to prosecute	1	51/
victim unavailable	2	52/
victim not qualifiable	3	53/
other victim consideration(specify) _____	4	54/
		55/
insufficient evidence of crime	1	56/
no corroboration	2	57/
medical reports negative re. abuse	3	58/
medical/other reports not complete	4	59/
key witness(es) other than victim not available	1	60/
other evidentiary consideration (specify) _____	2	61/
		62/
case transferred to other jurisdiction	3	63/
perpetrator being processed on other charges	4	64/
other prosecutorial consideration (specify) _____	1	65/
		66/
4th amendment problem with case	2	67/
5th amendment problem with case	3	68/
6th amendment problem with case	4	69/
Unknown/missing value	9	70/

46A. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes	1	71/	→	GO TO PART III
no	2		→	STOP HERE AND
				COMPLETE SUPPLEMENT A FOR
				EACH INVESTIGATIVE INTERVIEW

SINGLE VICTIM/MULTIPLE PERPETRATORS

SUPPLEMENT C

Coder # _____

Control # -

**ADDITIONAL CASE RECORD DATA
COMPLETE FOR ALL CASES**

1. LEGAL STATUS OF PERPETRATOR (code one)

- not stated 1
- U.S. citizen 2
- legal alien 3
- illegal alien 4
- alien, legal status unclear 5
- other (specify) _____ 8

- unclear 9

2. OCCUPATION PERPETRATOR ORDINARILY PURSUES (fill in)

3. PERPETRATOR'S EMPLOYMENT STATUS AT TIME OF ABUSE

- employed 01
- unemployed/laid off 02
- student 03
- homemaker 04
- retired 05
- other(specify) _____ 08

- unknown 99

4. PERPETRATOR HANDICAPS (code all that apply)

- none apparent 01
- learning disabled 02
- developmental 03
- emotional 04
- orthopedic 05
- speech 06
- hearing 07
- sight 08
- other (specify) _____ 98

- unclear or missing data 99

5. CIRCUMSTANCES LEADING TO DISCLOSURE/DISCOVERY [ADDITIONAL]
(code all that apply)

- child disclosed or revealed abuse1
- child, in confidence, told someone who then
revealed it (specify who) _____2

- child displayed behavioral symptoms of abuse3
- child displayed medical symptoms of abuse.4
- sexual abuse was witnessed by another person5
- other (specify) _____8

- unknown9

6. FIRST PERSON TO LEARN ABOUT THE SEXUAL ABUSE (code one)

- mother01
- adoptive mother/stepmother02
- other female relative (specify) _____03

- father04
- adoptive father/stepfather05
- other male relative (specify)06

- friend07
- teacher/day care provider08
- clergy09
- hot line10
- social worker (specify) _____11

- mental health professional12
- health care provider (specify) _____13

- rape crisis center/victim services14
- law enforcement professional (specify) _____15

- legal representative (specify) _____16

- other (specify) _____98

- unknown99

SINGLE VICTIM/MULTIPLE PERPETRATORS

7. INITIAL ACTION BY FIRST PERSON TO LEARN OF ABUSE (code one)

took no action because:

person did not believe child 01
person did not know what to do 02
person was scared 03
other reason (specify) _____ 04

tried to correct situation without official
involvement (specify how) _____ 05

notified the child protective services agency 06
notified a law enforcement agency 07
brought the matter to the attention of some
other person or agency (specify) _____ 08

other (specify) _____ 98
unknown 99

8. PERSON WHO MADE THE OFFICIAL REPORT (code one)

mother 01
adoptive mother/stepmother 02
other female relative (specify) _____ 03

father 04
adoptive father/stepfather 05
other male relative (specify) _____ 06

friend 07
teacher/day care provider. 08
clergy 09
hot line 10
social worker (specify) _____ 11

mental health professional 12
health care provider (specify) _____ 13

rape crisis center/victim services 14
law enforcement professional (specify) _____ 15

legal representative (specify) _____ 16

other (specify) _____ 98

unknown 99

9. PERPETRATOR'S COERCION OF CHILD (code all that apply)

deception	01
bribery/enticement	02
used his/her authority as an adult	03
verbally threatened the child	04
verbally threatened someone else	05
threatened use of force on the child	06
threatened use of force on someone else	07
threatened use of weapon(s) on the child	08
threatened use of weapon(s) on someone else	09
incapacitated the child with drugs or alcohol	10
physically overpowered/restrained the child	11
physically assaulted the child with weapon(s)	12
other (specify) _____	98
<hr/>	
unknown	99

10. PERPETRATOR'S RECORD OF PRIOR CRIMINAL CHARGES

number of charges _____	
unknown	99

11. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES

number of charges _____	
unknown	99

12. PERPETRATOR'S RECORD OF PRIOR SEX CRIME CHARGES WITH SAME VICTIM

number of charges _____	
unknown	99

SINGLE VICTIM/MULTIPLE PERPETRATORS

Control # -
Coder#: _____

3-4/
5-9/

PART II

PROSECUTION CHARACTERISTICS

47. TYPE OF PROSECUTORIAL UNIT (code one)

- special unit for child victims1 10/
- other special crimes unit (specify) _____ 2 11/
- _____ 11/
- general unit3
- other (specify) _____ 8 12/
- _____ 12/

48. TYPE OF CHARGING DOCUMENT (code one)

- indictment1 13/
- information2
- unknown9

49. INDICTMENT/INFORMATION DATE

____ / ____ / ____ 14-19/
MM DD YY

50. TOTAL NUMBER OF CHARGES FILED BY PROSECUTOR

- _____ 20-21/
- unknown99

51. TOTAL NUMBER OF COUNTS FILED BY PROSECUTOR

- _____ 22-23/
- unknown99

52. HIGHEST CHARGE CATEGORY (SEX CRIME)

felony1 24/
 misdemeanor.....2

53. HIGHEST STATUTORY CHARGE (SEX CRIME)

_____ 25-34/

54. HIGHEST CHARGE CATEGORY (NON-SEX CRIME)

felony1 35/
 misdemeanor.....2
 not applicable7

55. HIGHEST STATUTORY CHARGE (NON-SEX CRIME)

_____ 36-45/

not applicable999999997

56. DEFENDANT'S PRETRIAL LIBERTY STATUS

detained1 46/
 not detained.....2 → GO TO ITEM 59
 unknown9 → GO TO ITEM 59

57. DATE OF ARREST

____/____/____ 47-52/
 MM DD YY

58. DATE OF PRETRIAL RELEASE

____/____/____ 53-58/
 MM DD YY

59. RELEASE CONDITIONS (code all that apply)

in jail, never released.....1 59/
 financial (i.e. bail)2 60/
 own recognizance3 61/
 no contact with child4 62/
 treatment program for
 substance abuse1 63/
 treatment program for
 sexual abuse2 64/
 other (specify) _____8 65/
 _____8 66/
 _____8 67/
 unknown9 68/

60. GUARDIAN AD LITEM ASSIGNMENT

69/

- yes 1
- no 2 → GO TO ITEM 63
- unknown 9 → GO TO ITEM 63

61. DATE OF ASSIGNMENT

MM / DD / YY 70-75/

62. TYPE OF G.A.L. (code one)

- attorney 1 76/
- non-attorney 2
- unknown 9

63. VICTIM ASSISTANT ASSIGNMENT

77/

- yes 1
- no 2 → GO TO ITEM 66
- unknown 9 → GO TO ITEM 66

64. DATE OF ASSIGNMENT

MM / DD / YY 3-8/

65. TYPE OF VICTIM ASSISTANT (code one)

- prosecutor-affiliated 1 9/
- other (specify) _____ 8 10/
- unknown 9

66. DEFENSE ATTORNEY TYPE (code one)

- public defender 1 11/
- court appointed 2
- privately retained 3
- pro se 4
- other (specify) _____ 8 12/
- unknown 9

67. NUMBER OF PRETRIAL MOTIONS _____

3-14/

IF NONE,
GO TO ITEM 69

unknown99

68. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	15-16/	1	2	17/
use of expert witnesses	2	2	18-19/	1	2	20/
limited audience	3	3	21-22/	1	2	23/
use of video-testimony in lieu of live testimony	4	4	24-25/	1	2	26/
use of closed-circuit TV	1	1	27-28/	1	2	29/
media coverage restriction	2	2	30-31/	1	2	32/
court room accommodations	3	3	33-34/	1	2	35/
other (specify)	8	8	36-37/	1	2	38/
_____	8	8	39-40/	1	2	41/
_____	8	8	42-43/	1	2	44/

69. NUMBER OF CONTINUANCES _____

45-46/

IF NONE,
GO TO ITEM 72

unknown99

70. DAYS LOST TO CONTINUANCES _____

47-49/

unknown999

71. REASONS FOR CONTINUANCES (code all that apply)

scheduling conflict	1	50/
attorney not ready	2	51/
awaiting results of med/psych exam	3	52/
cannot locate victim/defendant	4	53/
victim not ready	1	54/
other (specify) _____	8	55/
_____	8	56/
_____	8	57/
unknown	9	58/

SINGLE VICTIM/MULTIPLE PERPETRATORS

ADULT CRIMINAL COURT EVENTS

	DATE	CHILD PRESENT		
		Yes	No	
72. INITIAL APPEARANCE/BAIL HEARING	___/___/___ MM DD YY	59-64/	1 2	65/
73. PRELIMINARY HEARING	___/___/___	66-71/	1 2	72/
74. GRAND JURY	___/___/___	73-78/	1 2	79/
75. COMPETENCY EXAM FOR VICTIM	___/___/___	3-8/	1 2	9/
76. DEPOSITION OF VICTIM	___/___/___	10-15/	1 2	16/
77. TRIAL COURT ARRAIGNMENT	___/___/___	17-22/	1 2	23/
78. OTHER PRETRIAL PROCEEDING INVOLVING VICTIM (specify event type)				
_____	___/___/___	24-29/	1 2	30/
_____	___/___/___	31-36/	1 2	37/
_____	___/___/___	38-43/	1 2	44/
79. TRIAL COMMENCEMENT	___/___/___	45-50/	1 2	51/
80. SENTENCING	___/___/___	52-57/	1 2	58/
81. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT				___ 59-60/

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

TRIAL ACTIVITIES

82. TRIAL TYPE (code one)

no trial held	1	61/	→ GO TO ITEM 85
bench	2		
jury	3		
unknown	9		→ GO TO ITEM 85

83. TYPE OF EXPERT WITNESS TESTIMONY (code all that apply)

	PROS	CALLED BY DEF	COURT APPT.
none	1 62/	1 69/	1 3/
medical professional	2 63/	2 70/	2 4/
mental health professional	3 64/	3 71/	3 5/
social worker	4 65/	4 72/	4 6/
other (specify) _____	8 66/	8 73/	8 7/
_____	8 67/	8 74/	8 8/
_____	8 68/	8 75/	8 9/

84. TYPE OF HEARSAY EXCEPTION (code all that apply)

none	1	10/
fresh complaint	2	11/
excited utterance	3	12/
special exception for sexually abused children	4	13/
medical complaint	1	14/
medical diagnosis	2	15/
other (specify) _____	8	16/
_____	8	17/
_____	8	18/

85. DISPOSITION TYPE (code one)

guilty plea pre-trial	01	19-20/	→ GO TO ITEM 87
conviction at trial	02		→ GO TO ITEM 87
pre-trial diversion	03		→ GO TO ITEM 86
no-bill by grand jury	04		→ GO TO ITEM 95A
nolle pros or dismissal by pros	05		
dismissal by court pre-trial	06		
acquittal at trial	07		→ GO TO ITEM 96
other trial outcome (specify) _____	98	21/	
_____	97		
not applicable (still pending)	97		
unknown	99		

SINGLE VICTIM/MULTIPLE PERPETRATORS

86. DIVERSION CONDITIONS (code all that apply)

no contact with child	1	22/
treatment program for substance abuse	2	23/
treatment for sexual abuse	3	24/
general counselling program	4	25/
other (specify) _____	8	26/
_____	8	27/
_____	8	28/
unknown	9	29/

87. NUMBER OF CHARGES CONVICTED _____ 30-31/

unknown99

88. HIGHEST CHARGE CATEGORY AT CONVICTION (SEX-CRIME)

felony	1	32/
misdemeanor	2	
not applicable	7	

89. HIGHEST STATUTORY CHARGE AT CONVICTION (SEX-CRIME)

_____ 33-42/
not applicable999999997

90. HIGHEST CHARGE CATEGORY AT CONVICTION (NON-SEX CRIME)

felony	1	43/
misdemeanor	2	
not applicable	7	

91. HIGHEST STATUTORY CHARGE AT CONVICTION (NON-SEX CRIME)

_____ 44-53/
not applicable999999997

92. WAS SENTENCE IMPOSED?

yes	1	54/
no	2	

→ GO TO ITEM 96

93. VICTIM IMPACT STATEMENT AT SENTENCING

none	1	55/
oral	2	
written	3	
unknown	9	

94. INSTITUTIONAL SENTENCE

(Code all that apply. For each item circled in column 1, enter number of months in column 2)

	TYPE OF SENTENCE	NUMBER OF MONTHS
none	1	<u>N/A</u>
incarceration	2	<u>58-60/</u>
residential sex offender program	3	<u>62-64/</u>
residential substance abuse program	4	<u>66-68/</u>
other residential program	1	<u>70-72/</u>
probation	2	<u>74-76/</u>
suspended	3	<u>78-80/</u>

95. CHARACTERISTICS OF NON-INSTITUTIONAL SENTENCE

(code all that apply)

supervision only	1	3/
non-residential sex offender program	2	4/
non-residential substance abuse program	3	5/
restitution	4	6/
community service	1	7/
fine (specify) \$ _____	2	8/
no contact order re. child victim	3	9/
other (specify) _____	8	10/
_____	8	11/
_____	8	12/
not applicable	7	13/
unknown	9	14/

SINGLE VICTIM/MULTIPLE PERPETRATORS

95A. REASONS FOR DISMISSAL (code all that apply)

victim declines to prosecute	1	15/
victim unavailable	2	16/
victim not qualifiable	3	17/
other victim consideration(specify) _____	4	18/
<hr/>		
insufficient evidence of crime	1	19/
no corroboration	2	20/
medical reports negative re. abuse	3	21/
medical/other reports not complete	4	22/
key witness(es) other than victim not available	1	23/
other evidentiary consideration (specify) _____	2	24/
<hr/>		
case transferred to other jurisdiction _____	3	25/
perpetrator being processed on other charges	4	26/
other prosecutorial consideration (specify) _____	1	27/
<hr/>		
4th amendment problem with case	2	28/
5th amendment problem with case	3	29/
6th amendment problem with case	4	30/
Unknown/missing value	9	31/
		32/
		33/
		34/

96. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes 1 35/ → GO TO PART III
 no 2 → STOP HERE

COMPLETE SUPPLEMENTS
A AND B

PART III IS OMITTED FROM THIS BOOK



EDC Control # _____

Prosecutor's Case Number _____

Child's Name _____ Child's DOB _____

Juvenile/Family Court Docket Number _____

Number of Supplement A _____

SINGLE VICTIM/MULTIPLE PERPETRATORS

CODE WHITE AREAS
DO NOT CODE GRAY AREAS

Control # - Coder# _____

3-4/

5-9/

PART 1

VICTIM CHARACTERISTICS

1. SEX (code one)

male 1 10/
female 2
unknown 9

2. AGE DOB _____ years

unknown 99 11-12/

3. RACE (code one)

white 1 13/
Black 2
Hispanic 3
native American 4
Asian 5
oriental 6
other (specify) _____ 8 14/
unknown 9

4. RESIDENCE (code one)

same county as D.A.'s office 1 15/
same state as D.A.'s office 2
out of state 3
out of country 4
unknown 9

SINGLE VICTIM/MULTIPLE PERPETRATORS

5. HANDICAPS (code one)

none	01	16-17/
learning disabled	02	
developmental	03	
emotional	04	
orthopedic	05	
speech	06	
hearing	07	
sight	08	
multiple	09	
other (specify) _____	98	18/
<hr/>		
unknown	99	

6. PRETRIAL LOCATION (code all that apply)

pre-abuse residence	1	19/
relative home 1	2	20/
relative home 2	3	21/
relative home 3	4	22/
foster home 1	1	23/
foster home 2	2	24/
foster home 3	3	25/
institution (specify) _____	4	26/
<hr/>		
hospital	1	27/
other (specify) _____	8	28/
<hr/>		
unknown	8	29/
<hr/>		
unknown	9	30/
<hr/>		
unknown	9	31/

7. RETURN TO PRE-ABUSE RESIDENCE IF REMOVED PRE-TRIAL (code one)

yes	1	32/
no	2	
not applicable (not removed)	7	
unknown	9	

PERPETRATOR CHARACTERISTICS

OMIT QUESTIONS 8-25

26. DRUG USE DURING INCIDENT (code one)		
by victim	1	74/
by defendant	2	
by both	3	
by neither	4	
unknown	9	
27. NUMBER OF VICTIMS	_____	75-76/
unknown	99	
28. NUMBER OF DEFENDANTS	_____	77-78/
unknown	99	

Card 02
1--2/02

CASE REPORTING AND SUBSTANTIATION

OMIT QUESTIONS 29-37

37. DATE OF POLICE REFERRAL TO PROSECUTION		
	____ / ____ / ____	35-40/
	MM DD YY	
38. DATE OF SOCIAL SERVICE REFERRAL TO PROSECUTION		
	____ / ____ / ____	41-46/
	MM DD YY	

SINGLE VICTIM/MULTIPLE PERPETRATORS

39. LOCATION OF MEDICAL EXAM OF CHILD (code all that apply)

no exam conducted	1	47/
victim's home	2	48/
doctor's office	3	49/
school	4	50/
hospital inpatient	1	51/
hospital outpatient	2	52/
other (specify) _____	8	53/
_____	8	54/
unknown	9	55/

40. LOCATION OF PSYCHOLOGICAL EXAM (code all that apply)

no exam conducted	1	56/
victim's home	2	57/
doctor's office	3	58/
school	4	59/
hospital inpatient	1	60/
hospital outpatient	2	61/
other (specify) _____	8	62/
_____	8	63/
unknown	9	64/

41. IDENTIFICATION OF PERPETRATOR BY VICTIM (code all that apply)

none used	1	65/
live line-up	2	66/
photo display ("mug-shots")	3	67/
other I.D.(specify) _____	8	68/
_____	8	69/
unknown	9	70/

PRETRIAL SCREENING

42. DATE PROSECUTOR FILE OPENED

MM / DD / YY 71-76/

Card 03
1--2/03

43. NATURE OF PROSECUTION CASE (code all that apply)

- physical evidence 1 3/
- medical evidence 2 4/
- psychological evidence 3 5/
- fresh complaint/excited utterance 4 6/
- other eyewitnesses 1 7/
- confession by perpetrator 2 8/
- other (specify) _____ 8 9/
- _____ 8 10/
- _____ 8 11/
- unknown 9 12/

44. NUMBER AND TYPE OF VICTIM INTERVIEWS (code all that apply)

- | | | NUMBER | |
|---------------------------|-----|--------|--------|
| none 1 | 13/ | NA | |
| law enforcement 2 | 14/ | _____ | 15-16/ |
| social services 3 | 17/ | _____ | 18-19/ |
| medical 4 | 20/ | _____ | 21-22/ |
| mental health 1 | 23/ | _____ | 24-25/ |
| prosecutor 2 | 26/ | _____ | 27-28/ |
| judge 3 | 29/ | _____ | 30-31/ |
| defense attorney or | | | |
| investigator 4 | 32/ | _____ | 33-34/ |
| probation officer 1 | 35/ | _____ | 36-37/ |
| other (specify) _____ 8 | 38/ | _____ | 39-40/ |
| _____ 8 | 41/ | _____ | 42-43/ |
| _____ 8 | 44/ | _____ | 45-46/ |
| unknown 9 | 47/ | _____ | 48-49/ |

COMPLETE SUPPLEMENT A FOR EACH INTERVIEW

45. CASE ACCEPTED/REJECTED FOR PROSECUTION

- case accepted 1 50/ → **GO TO PART II**
- case declined 2

SINGLE VICTIM/MULTIPLE PERPETRATORS

46. REASONS FOR DECLINATION (code all that apply)

victim declines to prosecute	1	51/
victim unavailable	2	52/
victim not qualifiable	3	53/
other victim consideration(specify) _____	4	54/
		55/
insufficient evidence of crime	1	56/
no corroboration	2	57/
medical reports negative re. abuse	3	58/
medical/other reports not complete	4	59/
key witness(es) other than victim not available	1	60/
other evidentiary consideration (specify) _____	2	61/
		62/
case transferred to other jurisdiction	3	63/
perpetrator being processed on other charges	4	64/
other prosecutorial consideration (specify) _____	1	65/
		66/
4th amendment problem with case	2	67/
5th amendment problem with case	3	68/
6th amendment problem with case	4	69/
Unknown/missing value	9	70/

46A. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

		71/	
yes	1	→	GO TO PART III
no	2	→	STOP HERE AND COMPLETE SUPPLEMENT A FOR EACH INVESTIGATIVE INTERVIEW

Coder#: _____

3-4/

Control # -

5-9/

PART II

PROSECUTION CHARACTERISTICS

OMIT QUESTIONS 47-59

60. GUARDIAN AD LITEM ASSIGNMENT

69/

yes	1	
no	2	→ GO TO ITEM 63
unknown	9	→ GO TO ITEM 63

61. DATE OF ASSIGNMENT

____ / ____ / ____ 70-75/
MM DD YY

62. TYPE OF G.A.L. (code one)

attorney	1	76/
non-attorney	2	
unknown	9	

63. VICTIM ASSISTANT ASSIGNMENT

77/

yes	1	
no	2	→ GO TO ITEM 66
unknown	9	→ GO TO ITEM 66

64. DATE OF ASSIGNMENT

____ / ____ / ____ 3-8/
MM DD YY

SINGLE VICTIM/MULTIPLE PERPETRATORS

65. TYPE OF VICTIM ASSISTANT (code one)

prosecutor-affiliated 1 9/
 other (specify) _____ 8 10/

 unknown 9

66. DEFENSE ATTORNEY TYPE (code one)

public defender 1 11/
 court appointed 2
 privately retained 3
 pro se 4
 other (specify) _____ 8 12/

 unknown 9

67. NUMBER OF PRETRIAL MOTIONS 3-14/ → IF NONE, GO TO ITEM 69

unknown 99

Card 05
1--2/05

68. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	15-16/	1	2	17/
use of expert witnesses	2	2	18-19/	1	2	20/
limited audience	3	3	21-22/	1	2	23/
use of video-testimony in lieu of live testimony	4	4	24-25/	1	2	26/
use of closed-circuit TV	1	1	27-28/	1	2	29/
media coverage restriction	2	2	30-31/	1	2	32/
court room accommodations	3	3	33-34/	1	2	35/
other (specify)	8	8	36-37/	1	2	38/
_____	8	8	39-40/	1	2	41/
_____	8	8	42-43/	1	2	44/

OMIT QUESTIONS 69-81

TRIAL ACTIVITIES

OMIT QUESTIONS 82-83

84. TYPE OF HEARSAY EXCEPTION (code all that apply)

none	1	10/
fresh complaint	2	11/
excited utterance	3	12/
special exception for sexually abused children	4	13/
medical complaint	1	14/
medical diagnosis	2	15/
other (specify) _____	8	16/
_____	8	17/
_____	8	18/

OMIT QUESTIONS 85-92

93. VICTIM IMPACT STATEMENT AT SENTENCING

none	1	55/
oral	2	
written	3	
unknown	9	

OMIT QUESTIONS 94-95A

96. CHILD INVOLVEMENT IN ABUSE/NEGLECT PROCEEDINGS

yes	1	35/	→	GO TO PART III
no	2		→	STOP HERE

**COMPLETE SUPPLEMENTS
A AND B**

SINGLE VICTIM/MULTIPLE PERPETRATORS

Card 09
1--2/10
3-4/

Coder# _____

Control # —

5-9/

PART III

ABUSE/NEGLECT PROCEEDINGS

	DATE	CHILD PRESENT			
		Yes	No		
97. EMERGENCY REMOVAL OR CUSTODY HEARING	___/___/___ MM DD YY	10-15/	1	2	16/
98. FILING OF ABUSE/NEGLECT PETITION	___/___/___	17-22/	1	2	23/
99. PRELIMINARY HEARING	___/___/___	24-29/	1	2	30/
100. PRE-TRIAL CONFERENCE	___/___/___	31-36/	1	2	37/
101. ADJUDICATORY/FACT-FINDING HEARING	___/___/___	38-43/	1	2	44/
102. DISPOSITION HEARING	___/___/___	45-50/	1	2	51/
103. REVIEW HEARING	1. ___/___/___	52-57/	1	2	58/
	2. ___/___/___	59-64/	1	2	65/
	3. ___/___/___	66-71/	1	2	72/

Card 10
1--2/10

104.. OTHER HEARING INVOLVING CHILD (specify)

___/___/___	3-8/	1	2	9/
___/___/___	10-15/	1	2	16/
___/___/___	17-22/	1	2	23/

105. TOTAL NUMBER OF PROCEEDINGS WHERE CHILD IS PRESENT _____ 24-25/

COMPLETE SUPPLEMENT B FOR EACH PROCEEDING WHERE CHILD IS PRESENT

FAMILY/JUVENILE COURT PRE-ADJUDICATION ACTIVITY

106. ORDER FOR MEDICAL EXAM OF CHILD

yes 1 26/
 no 2
 unknown 9

107. ORDER FOR PSYCHOLOGICAL EXAM OF CHILD

yes 1 27/
 no 2
 unknown 9

108. ASSIGNMENT OF GUARDIAN AD LITEM

yes 1 28/ → GO TO ITEM 111
 no 2 → GO TO ITEM 111
 unknown 9 → GO TO ITEM 111

109. DATE OF ASSIGNMENT

____/____/____ 29-34/
 MM DD YY

110. TYPE OF GUARDIAN AD LITEM (code one)

attorney 1 35/
 non-attorney 2
 unknown 9

111. DEFENSE ATTORNEY TYPE (code one)

none 1 36/
 public defender 2
 court appointed 3
 privately retained 4
 pro se 5
 other (specify) _____ 8
 _____ 37/
 unknown 9

112. NUMBER OF PRE-ADJUDICATION MOTIONS _____ 38-40/ → IF NONE, GO TO ITEM 114

unknown 999

SINGLE VICTIM/MULTIPLE PERPETRATORS

113. TYPE OF CHILD-ORIENTED MOTIONS (code all that apply)

	FILED BY			GRANTED		
	PROS	DEF		YES	NO	
hearsay exceptions	1	1	41-42/	1	2	43/
use of expert witnesses	2	2	44-45/	1	2	46/
limited audience	3	3	47-48/	1	2	49/
use of video-tape in lieu of live testimony	4	4	50-51/	1	2	52/
use of closed-circuit TV	1	1	53-54/	1	2	55/
media coverage restriction	2	2	56-57/	1	2	58/
court room accommodations	3	3	59-60/	1	2	61/
other (specify) _____	8	8	62-63/	1	2	64/
_____	8	8	65-66/	1	2	67/
_____	8	8	68-69/	1	2	70/

114. NUMBER OF CONTINUANCES _____ ^{71-72/} → IF NONE, GO TO ITEM 117

unknown 99

115. DAYS LOST TO CONTINUANCES _____ 73-75/

unknown..... 999

116. REASONS FOR CONTINUANCES (code all that apply)

scheduling conflict	1	3/
attorney not ready	2	4/
awaiting results of med/psych exam	3	5/
cannot locate victim/defendant	4	6/
victim not ready	1	7/
other (specify) _____	8	8/
_____	8	9/
_____	8	10/
unknown	9	11/

117. EMERGENCY COURT ORDER IN THIS CASE?

yes	1	12/
no	2	
unknown	9	

118. TYPE OF ORDER (code all that apply)

placement of child	1	13/
no contact order	2	14/
other (specify) _____	8	15/
_____	8	16/
_____	8	17/
not applicable	7	18/
unknown	9	19/

JUVENILE/FAMILY COURT DISPOSITION

119. JUVENILE/FAMILY COURT DISPOSITION (code all that apply)

placement of child	1	20/
adjournment/deferred adjudication	2	21/
suspended judgment	3	22/
probation	4	23/
no contact order	1	24/
dismissal	2	25/
termination of parental rights	3	26/
not applicable (still pending)	7	27/
other (specify) _____	8	28/
_____	8	29/
unknown	9	30/

120. PLACEMENT OF CHILD (code one)

no placement, child remains in preabuse residence	1	31/
in shelter care	2	
in foster care	3	
with relative	4	
in group home	5	
institutional setting	6	
other (specify) _____	8	
_____		32/
unknown	9	

121. SPECIAL CONDITIONS (code all that apply)

none	1	33/
counseling for child	2	34/
counseling for parents	3	35/
temporary custody/visitation arrangement	4	36/
no contact with child	1	37/
comply with treatment service plan (other than counseling)	2	38/
other (specify) _____	8	39/
_____	8	40/
_____	8	41/
unknown	9	42/

122. DURATION OF DISPOSITIONAL ORDER (in months) _____ 43-44/

SINGLE VICTIM/MULTIPLE PERPETRATORS

ERIE COUNTY SURVEY

Spring/Summer 1990

Please return by June 18

I. PERSONAL BACKGROUND INFORMATION

Please complete the following so that we have a bit of information about your background and experience:

1. Gender

[F] Female [M] Male

2. Age _____ years

3. Race

[1] Asian [2] African-American [3] Native American
[4] White [5] Other (specify) _____

4. Hispanic? [1] No [2] Yes

5. Please indicate the highest grade or degree that you have completed:

[1] Less than High School [5] Bachelors Degree (4-Year)
[2] High School Diploma or GED [6] Some graduate work, but no degree
[3] Some college, but no degree [7] Masters Degree (specify) _____
[4] Associates Degree (2-Year) [8] Doctoral or Law Degree (specify) _____

6. Which of the following county organizations concerned with sexual abuse are you employed by or a member of? (CHECK ALL THAT APPLY)

[1] CPS [6] Crisis Services
[2] Buffalo Police Dept. [7] Children's Hospital
[3] County Sheriff's Dept. [8] Erie County Medical Ctr.
[4] District Atty.'s Office [9] Other(specify) _____
[5] Child and Adolescent
Psychiatric Services

7. Which of the following best describes the nature of your professional involvement with sexual abuse?

- [1] Social Service Investigations
- [2] Law Enforcement
- [3] Prosecution
- [4] Victim Advocacy
- [5] Psychotherapeutic Services
- [6] Medical Services
- [7] Other(specify) _____

8. What percent of your time do you spend in the following professional activities?

- [1] Administration/Supervision _____ %
 - [2] Case-specific work _____ %
 - [3] Other (specify) _____ %
- _____ Total: 100%

9. What percent of your work is related to sexually abused children or their families?

approx. _____ %

10. How many years have you worked in the area of sexual abuse?

_____ years

11. How many sexual abuse cases have you worked on?

- [1] None
- [2] 01 - 24
- [3] 25 - 49
- [4] 50 - 99
- [5] 100 - 199
- [6] 200 +

12. How many years have you worked in this county?

_____ years

13. How many years have you worked in your current agency/organizational setting?

_____ years

Now we would like you to consider the different agencies/organizations in your county that are involved with child sexual abuse cases. In the section that follows please indicate your opinion concerning:

- Has the agency's performance deteriorated or improved in the past year? [1=deteriorated a lot improved a lot = 5]
- How much does the agency need to improve? [1=not at all a lot = 5]
- How willing is the agency to change? [1=not at all very willing = 5]

(Please check the numbered box that most closely corresponds to your opinion.)

AGENCY/ ORGANIZATION	CHANGE IN PAST YEAR					NEED TO IMPROVE					WILLING TO CHANGE				
	Deteriorated a lot			Improved a lot		not at all			a lot		not at all			very willing	
27. Child Protective Services (Social Services)	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
28. Police Department(s)	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
29. Sheriff's Department(s)	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
30. Prosecutor's Office	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
31. Mental Health Services	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
32. Health Care Providers	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
33. Court	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
34. School System	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]
35. Overall Response of County Agencies	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]	[1]	[2]	[3]	[4]	[5]

III. SUPPLEMENTARY QUESTIONS *(Please attach additional sheets as needed)*

1. What are the three most important actions your county should take to improve its response to sexually abused children?

2. What does your county need (in addition to greater funds) to carry out these actions?

3. Any additional comments?

The Child Victim as Witness Research and Development Project

CHILD DATA COORDINATOR PROCEDURES MANUAL

1988-1989

The Department of Social Medicine
The University of North Carolina
School of Medicine
Chapel Hill, NC 27599
(919) 962-1136

The School and Society Program
The Education Development Center, Inc
55 Chapel Street
Newton, Massachusetts 02160
(617) 969-7100

National Center For The
Prosecution of Child Abuse
1033 N. Fairfax St., Suite 200
Alexandria, VA 22314
(703) 739-0321

EDC The Child Victim as Witness Project

MEMORANDUM

To: Lesley Abelsohn, Janny Brust, Barbara Fox,
Sharon Graham

From: Wanda Hunter, Mark Everson *Wanda*

Re: Administering and Scoring the CAS

Date: October 13, 1988

Now that we have begun child data collection, we are noticing that some of the CAS items are presenting problems, either in administration or scoring.

We would like to offer some general comments on introducing the CAS and probing, followed by instructions on some specific CAS items. Please review these comments carefully and make notes on your CAS Guidelines for future reference.

Remember the 5-step protocol for introducing the interview (p. 4, Guidelines). The purpose of the interview is "to get to know you better and find out how you're doing right now." At follow-up, the purpose is "to see how you're doing now and how things may have changed for you since the last time we were together."

There have been some questions about probing. First of all, be sure that probes are neutral. E.g., if child is hesitating in response to "How do you get along with your mother?", a positively-worded probe like "Do you get along OK?" will most often elicit agreement. "It seems like it's not that easy to say" or something like that, is a more accurate reflection of child's non-response and will more likely prompt an accurate description.

In general, you should limit probes to making sure the child understands the question, or to clarifying the child's response. Be careful not to probe in order to coax an answer - especially on items that are scored "yes" if the child fails to give a response (e.g. 1, 12, 24, 47, 50, 68, 71, 85, 94, 117, 121, 205).

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55 CHAPEL STREET
NEWTON, MA 02160
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PROSECUTION OF CHILD ABUSE
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October 13, 1988

Following are comments on administering or scoring specific CAS items.

- Item 1 Child does not need to name a subject area here. Recess, friends, teachers, etc. are all acceptable. Only dislike is scored yes.
-
- 2 If the child does not report a "best liked activity" for item 1, skip this item and score as "X".
-
- 4 Try to become familiar with your area's grading system. Focus on recent test grades, as well as the grades or marks received on the child's last 2 progress reports (report cards).
-
- 13/14 If 13 is scored Y (i.e. no best friend), 15 also must be Y (no best friend of same age).
-
- 17 This question is somewhat awkwardly worded in 2 parts. It sometimes doesn't work well to use the child's answer to previous question as the first part. You may simply read only the second question about being with friends, or say, "Do you like doing stuff with your friends as much as you used to?"
-
- 24 This question unfortunately does not say "on your own," but that's what we want to find out. If child talks again about activities with friends, you may have to probe "on your own" or "when you're by yourself."
-
- 25 Skip this item and score as "X," if the child reports no sparetime activity (or only TV) in the prior item.
-
- 27/28 It is possible that both conditions might make child uncomfortable when alone. If child gives one reason, then ask if there are any other reasons that s/he doesn't like to be alone.
-
- 29 Try to find out as much as you can about household composition before the interview. It will facilitate your understanding of household relationships in this section.

In general, you should inquire about child's relationship with all parents or parent-figures (including non-custodial parents and step-parents). If child's response indicates that s/he has had so little contact with parent, such that a psychological relationship (whether positive or negative), is non-existent, then you may discontinue questioning on that parent.

Do not inquire about relationship with a deceased parent, unless the parent died sometime in the last 6 months. Then you may gently ask about what the relationship was like.

Remember, if these questions, or any questions, are upsetting to the child, you should empathetically acknowledge that these questions are sometimes upsetting or difficult for kids, and that it would be OK to skip them and talk about something else.

29A Score Y if biological parents are separated or divorced. "Extent of contact" probe will help you know whether to ask about a non-custodial parent in following questions.

35-52 Score a parent's cohabiting paramour under step-parent category.

Even with the new probes for problems with parents, a bit of additional probing might be necessary if the child states a problem. E.g., common parent/child conflicts over material items, "going out," or doing chores may be significant or they may not. When you get such a response, you can ask: how often this occurs, and/or how much it bothers child, and/or does child think parent is being unreasonable or unfair, etc. to try to determine significance.

85 Child may describe a "worry" here. Because there is no denial, you would still score N.

119 If child says both, or could be either, score N; that is a healthy response. Only score Y if child says "usually his/her fault."

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- 134 If child sometimes cries more than 3x week (in last 6 months) this should be Y. It is not necessary that he/she always cry more than 3x/wk.
- 159 If child professes good appetite/enjoys food, you may ask if child thinks s/he eats too much.
-
- 160 If there is loss or gain, gently probe for current weight and amount lost or gained. ~~We are changing scoring criterion here for pubertal and pre-pubertal children. We have been advised that for these kids any weight loss is significant.~~
-
- 165-166 Explanation that the interview is designed for kids of all ages should come in the introduction, not here. If you need to here, you can acknowledge that some of these questions are embarrassing. Refer to scoring guidelines.
- 193 If 192 is N, then 193 it also N, because thoughts are not recurrent. 193 could even be skipped in this case, even though we didn't set it up that way.
- 199 If child cannot think of any positive outcome, i.e. if child responds no to this question or mentions a negative outcome, item is scored Y.
- 210 If child says "I don't know" in response to question, 210 is scored Y.

Onset and Duration questions should be open-ended. Do not read the response set as a multiple choice. Only use response set items if you need to clarify a response.

WH:eeh

POLICY REGARDING HOME VISITS

It is not unusual for families of sexually abused children to be difficult to contact, or once contacted, to be reluctant to participate in voluntary interviews such as ours. Some families may be willing to participate in the project, but cannot travel to the interview location due to lack of private or public transportation or to physical handicaps that limit their mobility. Under such circumstances, it may be appropriate to offer to conduct the interviews at the child's home.

The decision to conduct a home visit is entirely within the discretion of the child data coordinator. Nonetheless, every effort should be made to bring the child and parent to the standard interview location or to identify an alternative neutral location for the interview before offering to make a home visit.

As an extra precaution, you should be accompanied during home visits whenever possible. The project will pay your companion \$20 per home visit. During the interview, your companion could wait in an area adjacent to the interview so that he or she might hear the conversation but not be visible to the child. Alternatively, she could administer the parent instruments while you conduct the child interview.

If, in your professional judgment, a situation arises during the interview that places you, your companion, the child, or the parent at risk of physical or emotional harm, the interview should be terminated immediately. The following steps should be taken:

- (1) In a calm and professional manner, inform the child and parent that in your judgment, it is best to terminate the interview at the present time, and that you will contact them later about next steps. Leave the home as soon as it is safe and convenient to do so.
- (2) Call your local supervisor, the UNC project coordinator, and (if appropriate) the child protection or law enforcement agency to apprise them of the situation.
- (3) Prepare a written report, documenting the nature of the incident, who was involved, and what actions were taken by you and your companion. Send copies of this report to the UNC project coordinator and the EDC project director.
- (4) Approximately one week later, follow up with the parent.

-- If you believe it is reasonable to reschedule the interview, contact the parent by telephone and

make every effort to conduct the interview in a neutral location.

- If you believe that interviewing the child is no longer feasible, write a letter to the parent and child, gracefully excusing them from further participation in the project.

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PROJECT OVERVIEW AND STATEMENT OF CONFIDENTIALITY

Background

The influx of child sexual abuse cases in the criminal courts has raised a host of unsettling issues. Among those issues is the dilemma of placing a child in the disturbing position of both victim and key witness for the prosecution. In addition to the inherent problem of being a child in a singularly adult environment (the court), child victims of sexual abuse--particularly intrafamilial abuse--are thrust into a complex system that may compound their trauma in the attempt to protect them from continued abuse.

The Child Victim As a Witness Research and Development Program has been funded by the Office of Juvenile Justice and Delinquency Prevention (OJJDP). The purpose of the project is to expand and improve our understanding of the effects of court policies and procedures on child sexual abuse victims who must often serve as witnesses, and to examine the impact of new techniques on victim trauma and case outcomes.

The research project is being conducted by three collaborating organizations:

- Education Development Center (EDC), a nonprofit organization dedicated to human development through education, which is located in Newton, Massachusetts
- The American Prosecutor's Research Institute, located in Washington, D.C., which houses the National Center for the Prosecution of Child Abuse
- The University of North Carolina at Chapel Hill, Department of Social Medicine

Each organization has designated staff who will provide technical assistance to participating communities and oversee the research effort.

Four jurisdictions are participating in the project:

- Polk County (Des Moines), Iowa
- San Diego County, California
- Ramsey County (St. Paul), Minnesota
- Erie County (Buffalo), New York

Each jurisdiction has assembled a program team, composed of representatives of law enforcement agencies, social service agencies, medical and mental health providers, prosecutors, and the courts. Each program team has agreed to assess local needs, select innovative strategies to be tested, design and implement

intervention plans, and participate in the research activities required by the project. Among the strategies to be tested are:

- avoid direct confrontation between child victim witnesses and defendants, e.g., by permitting the child to testify over closed-circuit television, through videotaped depositions or statements, in the judge's chambers, or behind a one-way mirror
- streamlining the justice process by expediting cases or reducing the number of interviews with the child
- permitting special exceptions to the traditional hearsay restrictions for sexually abused children
- eliminating or modifying competency criteria for child victim witnesses
- using child victim advocates and guardians ad litem
- using expert witnesses
- excluding spectators from the courtroom audience

Objectives and Expected Benefits

The project is designed to strengthen the prosecution of child abuse cases in each of the participating jurisdictions, while at the same time minimizing the trauma experienced by the child victim. The research team will:

- help participating communities identify strengths and weaknesses in existing policies and procedures, including areas where greater coordination may be needed across agencies
- provide information about various innovative strategies that have been used effectively in other jurisdictions
- provide training and technical assistance to help each community implement those strategies they feel are needed to improve case processing
- provide feedback on the effectiveness of the new strategies that helps staff understand what procedures work well with what types of children under what circumstances

In addition to improving local handling of these cases, the project will also strengthen the prosecution of these cases nationally. Data from all four communities will be synthesized and the results will be disseminated widely. Thus, other jurisdictions will be in a better position to adopt and implement promising approaches in cases involving child sexual abuse victims.

Research/Data Collection Plan

In order to compare case processing before and after the introduction of innovative strategies, the research plan calls for gathering data on two samples of child victims:

- A baseline sample of child victims who entered the system before the new strategies were introduced. For ease of data collection, we intend to sample 200 cases from each site from those filed between July 1, 1986 and June 30, 1987.
- An intervention sample of child victims whose cases were initiated after the innovative strategies were put in place. We expect to draw approximately 200 cases in this sample prospectively, beginning with cases filed in May 1988 at each site.

Only child victims whose cases have been substantiated will be included in our sample. The specific sampling procedures to be used will be tailored to each jurisdiction's caseload. We hope to gather data on a wide variety of cases, including those that are accepted for prosecution and those that are not.

For both the baseline and intervention samples, we will gather data on the nature of the case, the way in which it is processed through the system, and the way in which it is disposed. Data on each case will be collected through two primary data sources:

- Case Records. Wherever possible, we will attempt to gather data on the case by examining case records available in juvenile court, criminal court, social service agencies, and the like. Such records are very helpful in providing information on whether the case was processed in juvenile and/or criminal court, what charges were filed against the perpetrator, whether various court proceedings were held, and how the case was disposed. We will train local data collectors to abstract such information from the case files, using a standardized case record form to guide the coding process.
- Interviews/Self-Administered Questionnaires. Some information can only be gathered from individuals who are familiar with the case--details of the offense, the treatment services provided to the child and his/her family, whether the child was present at various court proceedings and how the child's testimony was handled, whether the parents are supportive of the child, etc. We will request such information from individuals familiar with the case--social workers, victim service representatives, guardians ad litem, juvenile court officers, etc.

Confidentiality Procedures

Research with human subjects plays a vital part in expanding our knowledge about how to combat criminal behavior. It is essential, however, that research be performed without needless risk of distress and with the willing and informed cooperation of research subjects.

Research or statistical information identifiable to a participant in OJJDP-sponsored research is protected by statute from being used in legal proceedings.

[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings.
(42 United States Code 3789g)

As part of our application process, the collaborating researchers were asked to file a Privacy Certificate which describes how we intend to assure privacy/confidentiality of all data collected under this grant. The certificate covers such topics as restricting access to members of the research team, removing identifiable names from analytic data files, securing data files from outside access, using the data for research purposes only, etc.

CHILD DATA COORDINATOR RESPONSIBILITIES

As a local child data coordinator for the Child Victim As Witness Project, your responsibilities are distinguished from the local case abstractor who will be collecting data from record review. You will be collecting data directly from the child and other family members. Following is a list of your specific responsibilities and the page number on which you can find each responsibility more fully described.

	<u>PAGE</u>
(1) work with the local referral agency to identify potential subjects for study	7
(2) inform potential subjects about the project, invite participation, and schedule appointments (re-scheduling when necessary)	8-9
(3) perform approximately 20 interviews per month, carefully following the protocol set forth in this manual	10-17
(4) mail completed data packages to UNC, according to protocol	19
(5) maintain a file folder for each subject which includes ID, Family Information form, consent forms, and any other information pertinent to contacting and scheduling	
(6) maintain referral log, and data collection log	7-8 16
(7) participate in a regular biweekly consultation call with UNC coordinator	19,21
(8) mail letter to each family 4 weeks after interview	17
(9) schedule a follow-up appointment to occur 9 months after the initial interview (detailed protocol for follow-up will be provided at a later date)	
(10) Videotape 3 of your first 10 CAS interviews for circulation among the other child data collectors	20

Recruitment of Subjects

REFERRAL PROCESS:

In each site, the sample will be drawn directly from the prosecutor's files, as soon as a case is opened for investigation and possible criminal action. Our goal is to examine, from each site, 100 cases referred, but not accepted for prosecution, and 100 cases accepted for prosecution. The case abstractor in each site will have the responsibility of making the referrals to the child data coordinator. Before referrals are given to you, the case abstractor will mail each identified family a letter that describes the project and states that the family may get a call from you requesting participation. This letter will bear your return address, so if it is not deliverable it will be returned to you.

The following criteria will be used to determine sample eligibility.

- (1) Child sexual abuse case referred to prosecutor's office for screening and possible prosecution in adult criminal court (although the offender may be a juvenile)
- (2) Child's age 4 - 17; San Diego (4-14)
- (3) Child speaks English
- (4) Child is developmentally able to participate in interview
- (5) Only one victim/defendant will be selected per case filed

RECEIVING REFERRALS:

On a weekly basis, the case abstractor will send you referral forms on ten or fewer new cases. If you receive five or fewer cases, you should make as many attempts as possible during the week to contact these families and set up appointments for interview. If you receive more than five cases, you will also receive a list delineating the order in which families should be contacted. You should attempt to contact the first five names on your list as soon as possible. If a family cannot be reached after 3 telephone calls (including one evening call) over 2 days, you should begin trying to contact the 6th name on the list, then the 7th, and so on. You may also move on to a new name on the list (in the order given), if a family is contacted but will not participate in the interview for any reason. The goal is to interview 5 children and their families per week or about 20 per month. If cases are left over from a given week's batch of referrals, those cases may be carried over to the next week only, and used as extra cases (again in the order given) if the number of appointments from that week are fewer than 5.

Families who fail to keep an appointment for interview, should be pursued to reschedule for a two-week period. If attempts to contact during this period are unsuccessful, or if the family reschedules but again fails to keep the appointment, the family should be dropped and the reason for participation ('REPEAT NO-SHOW') recorded on your appointment log.

Once a family's status in the project has been finally determined (i.e. non-participation or completed interview) you should complete the bottom of the referral form and return it to the case abstractor.

IDs

The case abstractor will assign each child a 5-part identification number or control code, as follows: part #1 will be the first letter of county name, part #2 will be either an R or P, designating whether retrospective or prospective sample, and parts #3-5 will be consecutive numerals beginning in each site with 001. Child data coordinators are dealing only with the prospective sample, therefore it is not necessary to include the P in the IDs on our forms. You should record the 4-place ID on every form for every case. On your referral log, it is only necessary to record the IDs of families you actually try to contact.

SCHEDULING APPOINTMENTS:

Logbook. An Appointment Log should be maintained charting your progress in the recruitment of eligible subjects. Attempts to reach families should be recorded with dates. Remember that it is highly desirable to have a parent (preferably the mother) accompany the child to the appointment, to complete the parent-report instruments. If potential subjects decline to participate, or for other reasons, do not participate, record the reason for non-participation in this log. Only families that you attempt to contact should be recorded in the log.

Inviting the family to participate

- (1) Family should have received a letter describing project from the child case abstractor. Letters that cannot be delivered will be returned to you.
- (2) Introduce yourself by name and affiliation with the CVAW Research Project. Refer to letter. They may or may not remember receiving. As needed, give a brief description of the research (e.g. important national study; want to determine how best to help children reported as victims; children aged 4-17 eligible to be included; we plan to talk to around 800 children and their families because only by talking directly to those involved can we know what kinds of things help children or hurt them more).
- (3) Invite family to participate. Following is a suggested "script" which you may use as a guide.

"We would like to invite (child) and you to participate in our research. What that means is (child) and you coming for an interview that will last about (time varies by age). I will talk to you both together for a short time, and then I'll interview (child) alone while you fill out some forms about how (child) behaves at home. Is there any reason that your child would have difficulty participating in an interview? *

We will not be asking child or you to tell us about the sexual abuse that was reported. What we want to know is how child is doing and feeling now. Then we'll talk about the same things again in 9 months to see if there have been any changes.

At the end of the 9-month interview, we will give you \$30[#] to reimburse you for the time you have given us. The federal government has given us this money to pay you because they think this is an important study. Do you think you and child would like to be part of it?"

IF YES OR MAYBE: Make appointment for interview or further discussion.

IF NO: Are there any questions I could answer for you before you definitely decide not to?

IF STILL NO: I am supposed to write down reasons that people have for choosing not to participate. Do you mind telling me your reason?

* If child is essentially non-verbal due to age or developmental disability, the interview will likely be unsuccessful.

If it is already known, at the time of the initial interview, that a child (because of inability to complete the first interview) or a parent (because of temporary parent status) will not be invited back for a second interview, you may assure the family that we will arrange payment (\$15) for the one visit. This payment will entail special arrangements and will need to be mailed to the family some time after the first appointment.

Interview Protocol

BEFORE THE INTERVIEW

- (1) Have private space reserved for examiner-administered questionnaires, and a space where parent can go to complete parent-report instruments.
- (2) Gather all needed forms/instruments, including the letter (describing project) and the Family Information sheet.
- (3) If possible, have some play or drawing materials available for subject child or any other child who may accompany family to interview
- (4) Food or drink, if available, might help family members feel welcome or more relaxed

DURING THE INTERVIEW

- (1) Consent procedure

Use the letter as a guide to be sure that parent/guardian is well-informed about the project. Offer a copy to keep, noting telephone numbers for questions. Be sure that parent understands the contents of the letter and has had an opportunity to ask questions before proffering the consent form. If the child is over 12, ascertain his/her understanding of the procedures and ask if he/she is willing to participate. You need the parent/guardian's CONSENT and the child over 12's ASSENT before proceeding with the interview.

If the parent or child does not want the CAS interview to be taped, just strike out that section of the consent form before asking for signature.

The Authorization for Information Release only needs to be signed if someone other than a DSS protective services worker is the best informant for the Background Summary (see section on Background Summary.)

In the case of the child in protective custody of DSS, the case worker should sign as proxy for the guardian agency. However, it is still desirable, if possible, to have the parent's consent, also.

(2) Parents at the interview

If 2 parents come to the interview, both can be included in consent procedure. We will only use one parent report (the mother's, unless there is a compelling reason not to). The mother should be interviewed alone for the Preschool Behavior Checklist (again unless there is a compelling reason not to).

(3) Questions about results

a. Parents, or children, may ask if they'll be informed about the results of the study. You can tell them that it will be 1991 before we know the results, but we will send them a summary at that time, if they call and give us their current address.

b. Parents, or children, may ask if they'll be given results, scores, feedback, etc. about the interview questionnaires. You can tell them that you only administer the questionnaires and that you are not qualified to interpret the answers; the forms are sent to the UNC for scoring and are then compiled with the responses of all the other children and parents. We do not develop individual profiles on the children.

(4) Parent reading level

If you have reason to believe, following the consent procedure, that the parent may have trouble reading the CBCL and SBI, you can administer them yourself following the child interview, if time allows. You may not discover reading difficulty until later when you begin to go over the forms with the parent. If time permits, you can then check each item with the parent. The parent may read, but have had trouble with particular words, terms or items. You may ask if there was anything that was not clear and even key in on some of the more difficult items.

(5) Order of test administration

Table 1 displays the instruments to be administered at each age level and the suggested order of administration. This order should be followed, unless time constraints somehow prevent the administration of all the measures. In this case the PPVT-R is the least valuable, and the Nowicki-Strickland the second least valuable. The CAS is crucial; and Harter's Perceived Competency scales are important because we have them at each age level. The most desirable alternative if time is a problem, is to have the family return to complete the interview, if at all possible.

For the longer interviews, we have scheduled a break during the process (see Table 1). It is good research practice to have the order of test administration, including breaks, standardized. Though it may be necessary to modify the procedure at time, strive to keep modifications to a minimum.

Table 1

DATA COLLECTION INSTRUMENTS AT TIME I
(in suggested order of administration)

PRESCHOOL-K (1 hour)

- (1) Examiner/Child/Parent:
Consent Form
Record Release *
Family Information Sheet
- (2a) Parent alone:
CBCL
SBI
- (2b) Examiner to child:
Pictorial Scale (Form PK)
PPVT-R
- (3) Examiner to parent:
Review CBCL, SBI
Preschool Behavior Checklist

GRADES 1-2 (1 hour)

- (1) Examiner/Child/Parent:
Consent Form
Record Release *
Family Information Sheet
- (2a) Parent alone:
CBCL
SBI
- (2b) Examiner to child:
Pictorial Scale (Form 1-2)
PPVT-R (break)
Nowicki-Strickland (1-6)
- (3) Examiner to parent:
Review CBCL, SBI

* The Authorization for Information Release only needs to be signed when someone other than the child's social worker is the best informant for the Background Summary.

GRADES 3-6 (1 1/2 - 2 hours)

(1) Examiner/Child/Parent:
Consent Form
Record Release *
Family Information Sheet

(2a) Parent alone:
CBCL
SBI

(2b) Examiner to child:
CAS (break)
PFVT-R
Nowicki-Strickland (1-6)
What I Am Like (3-6)

(3) Examiner to parent:
Review CBCL, SBI

GRADES 7-12 (1 1/2 - 2 hours)

(1) Examiner/Child/Parent:
Consent Form
Record Release *
Family Information Sheet

(2a) Parent alone:
CBCL

(2b) Examiner to Child:
CAS (break)
PFVT-R
Nowicki-Strickland (7-12)
What I Am Like (7-12)

(3) Examiner to parent:
Review CBCL

KEY TO ABBREVIATIONS

CBCL = Child Behavior Checklist (Achenbach)

SBI = Sexual Behavior Inventory (Friedrich)

Pictorial Scale of Perceived Competence (Harter)

PPVT-R = Peabody Picture Vocabulary Test - Revised

Nowicki-Strickland Locus of Control Scales

CAS = Child Assessment Schedule - Revised (Hodges, Everson)

What I Am Like - Perceived Competence Scales (Harter)

(6) Administering the questionnaire items

- a. Become thoroughly familiar with guidelines for the CAS and the PFVT-R, and follow them. With the CAS, be sure you know what you need to find out to score a response.
- b. Be so familiar with the questionnaires that you are able to read them easily and in a conversational tone.
- c. With the exception of the CAS, always read items as they are written; do not rephrase in your own words. If respondent does not seem to understand the question, read it again more slowly. If necessary, you may define an unfamiliar word, but do not rephrase the question. For CAS, see Guidelines for probes or acceptable rephrasings.
- d. With the exception of the PFVT-R, there are no right and wrong answers to the items that comprise this evaluation. You may want to stress this often, especially if respondent seems to be trying to give the most socially acceptable answers.
- e. You may also want to remind the child or parent frequently of the time frame we're interested in -- generally the last 6 months. Stress that we don't want to know how child usually feels, but how things have been for the last 6 months.
- f. Always remain neutral in reaction to respondent's answers. You may unintentionally bias future responses by emotionally reacting to a subject's answer.
- g. Ask every question. Sometimes you will realize that in the course of answering a previous question, the respondent has already addressed the question you are about to ask. Nevertheless, you must still ask the question. Show that you were listening earlier by saying, "You've already said something about this, but..."
- h. If child or parent complains that a question is very much like one (or several) asked before, say something like, "You're right, it does seem very similar and I'm sorry about that. It wasn't that I wasn't listening before. It's just my job to ask all these questions and I can't leave one out. Do you mind answering it again?" (Then repeat question, if necessary.)

(7) The examiner/parent session

Following the child interview, the examiner needs a short session with the parent to review the parent-report instruments. It is generally preferable for this session to occur outside of the child's presence. If possible, leave the child in an area that can be monitored by you (or another) with some play or drawing materials, explaining where you'll be and for how long. The session with preschoolers' parents will be longer, because of the required administration of the Preschool Behavior Inventory. Because of the young age of the child and the length of the examiner-parent interview, it may be preferable in this case to have the child playing within the same room as examiner and parent.

(8) Closing the interview

At the end of the child and the parent interview session, offer the opportunity for questions or any reaction to the interview process. Debrief on sensitive areas, if needed. Offer thanks for time and patience given to the interview. Say you look forward to seeing family again in 9 months and that you will be in touch to remind about follow-up. Ask that you be informed if there are any changes in address and phone. Be sure your name and number is on the information sheet.

After the family leaves:

- (1) Note and record the length of the interview and any unusual characteristics of the session (e.g. lack of privacy, interruptions, time constraints, etc.)
- (2) Complete the CAS Behavioral Summary
- (3) Review each form for completeness and clarity. Be sure every item is scored with one and only one response. If a parent or social worker leave an item blank or scores an item with more than one response, and it is impossible for you to clarify the response with the respondent, then note the problem for the programmer who will treat all such items in a consistent manner.
- (4) Score the PPVT-R.
- (5) Be sure audiotape (or videotape) is labeled with date and subject's ID number.
- (6) Record the completed interview in your logbook.

POST INTERVIEW

- (1) After checking instruments again for ID# and completeness, return forms to packet and indicate on packet checklist which instruments are included. If a required form is not included, please note with explanation.
- (2) At around 4 weeks post-interview, mail the thank you/reminder letter to family.
- (3) Collect the Background Summary from the best informant following the procedure described below.

BACKGROUND SUMMARIES

The Background Summary, comprised of sections on Family Demographics/History, Description of the Alleged Events, and Family Reaction, is the only instrument which will not be administered to the child or parent. We need to collect these data from the professional in the system who is best informed about the family and the disclosure circumstances. In intrafamilial cases, this person will most likely be the Protective Services caseworker. In extrafamilial cases, this person may be a victim advocate, mental health professional, family physician, guidance counselor, or someone else.

At the completion of each child interview, you should mail the Background Summary along with a preprinted cover letter and a self-addressed stamped envelope to the child's caseworker, or other "best informant."

Caseworkers or their supervisors should be acquainted with the project and will be expecting these forms. They have been given permission to release data on these children to Project staff members. No special consent form should be required.

If the child doesn't have a caseworker and you are not sure who the best informant might be, you may ask the parent, at the interview, if they have received any type of professional help in connection with the disclosure. In order to collect the Background Summary from anyone other than a DSS caseworker, you will need the parent to sign the Authorization for Release of Information, with the specific agency/professional designated on the release form. In these cases, you should mail the Background Summary with a copy of the authorization for release to the designated individual, again with a self-addressed, stamped envelope. You may include the cover letter or you may herald the materials with a personal phone call.

If a caseworker or other best informant does not return the completed form within 2 weeks, you should telephone a reminder. Be prepared to administer the questionnaire by phone at this time, if the "best informant" is willing. The Background Summary does not need to accompany the return packet of other evaluation instruments on the child, but you should take time to track the status of outstanding Background Summaries at least once a week. Enclose newly-collected ones with your next shipment of packets.

If a "best informant" simply cannot be determined for an extrafamilial case, please indicate this on your logs and send us similar documentation of missing data, with explanation.

TRANSFERRING DATA TO UNC

For the first five interviews, please forward completed instruments and audiotape as soon as possible following the interview. The UNC team will attempt to give prompt feedback on the quality of the interview. Thereafter, completed interview packets can be mailed in batches of 10. Record in your data collection log the date that questionnaires are mailed out. UNC will then verify, with date, the receipt of data. Two selected audiotapes of the CAS administration should be included in each batch. The UNC Research Coordinator will phone biweekly at a convenient time for you, to monitor your progress, answer questions, make future plans, etc. At this time, she will also indicate which two audiotapes to send in your next batch.

PROCEDURES FOR ASSURING CONFIDENTIALITY

We have assured OJJDP and certain state and local governmental agencies that all members of the Research Team-- which includes case abstractors and child data coordinators--will take adequate precautions to ensure administrative and physical security of identifiable data, as follows:

- (i) Cases will be assigned a unique ID number once they have been selected for the sample. Once instruments containing case information have been coded, identifying information must be removed and all subsequent reference to the questionnaire must be by unique ID number only.

NOTE: The PPVT-R and the CBCL include blanks for child's name. Record only the child's first name or initials.

- (ii) Master lists linking the ID number to the identifying information must be stored in locked files to which only project staff have access. This includes sampling logs, referral forms, and cover sheets to the Case Abstraction Form.
- (iii) The physical security of all instruments and interview reports before they have been logged must be assured by keeping them in a locked file.

VIDEOTAPING THE CAS FOR INTERRATER RELIABILITY

As we discussed during the training session at UNC, formal interrater reliability for the CAS will be calculated using videotapes of CAS interviews. Each interviewer is asked to videotape 3 of the first 10 CAS interviews conducted. Ideally, at least one child above and below age 10 should be included. We will provide individual feedback to you on how the interview was conducted and will arrange to send copies of the tapes to the three other examiners for independent scoring. In this way, you will each score the same 12 children (3 in "live" interviews and 9 from videotapes).

You must procure permission, on the separate consent form provided, for videotaping the CAS. Remind the child that you will use only his/her first name, or a fake name, during the taped interview. As you make each tape, mail it directly to UNC where we will review it and send it to another examiner for scoring.

COMMUNICATION AND EXPENSES

UNC has primary responsibility for selecting, training, and supervising the child data coordinators. Questions and comments about job responsibilities, data collection and subcontract should be directed to the UNC staff. Subcontract and salary questions may be redirected to EDC, but it is important that UNC be the intermediary.

Telephone

The UNC project coordinator, Wanda Hunter, will phone you biweekly at an established time to consult about any new developments or problems, and to indicate which audiotapes should accompany your next shipment of data. Please try to save questions for this consultation call. If you have an important concern that needs to be addressed more immediately, you may call Wanda, Mark, or Des, collect, at (919) 962-1136.

The large majority of your phone calls to subjects will be toll-free. However you may, on occasion be required to use a long distance exchange to contact a subject. Please record these calls (with date and purpose) for your employing subcontracted agency. The agency, in turn, can submit the long distance charges to EDC for reimbursement.

Mail

Likewise, your employing subcontracted agency, can bill your mailing expenses to EDC.

Attachment 1
Privacy Certificate

Privacy Certification

- (1) The Contractor will not use or reveal data identifiable to a private person, except as authorized under 28 CFR 22.21 and 23 CFR 22.22.
- (2) Access to data will be limited to those employees having a need therefore, and such persons shall be advised of and agree in writing to comply with these regulations. The Contractor will employ the following procedures to notify staff of the above requirements and to obtain their agreement in writing.
 - i) The Contractor will give each employee needing access to data this written form to sign before his or her access to data is permitted.

"I agree to treat as confidential any identifying information I receive by examining case records or through administration of questionnaires or other standardized instruments described under data collection procedure of this grant. I further agree to keep confidential any data in identifiable form that may be obtained through interviews."

- (3) The Contractor shall advise to the extent required by 28 CFR 22.27, any private persons from whom identifiable data are collected or obtained either orally or by means of a written questionnaire, that the data are intended for research or statistical purposes, and that participation in the project

is voluntary and may be terminated at any time. At the same time, individuals will be apprised of risks of project participation.

- (4) The Contractor will take adequate precautions to ensure administrative and physical security of identifiable data.
 - i) Cases will be assigned a unique ID number once they have been selected for the sample. Once instruments containing case information have been coded, identifying information will be removed and all subsequent reference to the questionnaire will be by unique ID number only.
 - ii) Master lists linking the ID number to the identifying information will be stored in locked files to which only project staff have access.
 - iii) The physical security of all instruments and interview reports before they have been logged will be assured by keeping them in a locked file.

Attachment 2
Forms and Logs

STRICTLY CONFIDENTIAL: MUST BE KEPT UNDER STRICTEST SECURITY
REFERRAL FORM

E.D.C. CONTROL NO. _|--|_|_|_|

CHILD'S NAME _____ AGE _____

ADDRESS _____

_____ SEX _____

SUPPORTIVE PARENT'S NAME _____ REL. _____

ADDRESS _____

_____ PHONE _____

ABUSE TYPE _____

ALLEGED PERPETRATOR'S NAME _____ REL. _____

ALLEGED PERPETRATOR AT SAME PLACE AS VICTIM? _____

INTERVIEW SCHEDULED? YES ___ NO ___ REASON FOR NO _____

_____ POLICE REPORT COMPLETED? YES ___ NO ___

Time I (Initial) Data Collection Log

ID									
Age/Grade	/			/			/		
Instruments	C	M	R	C	M	R	C	M	R
Consent Form									
Records Release									
Family Information									
Background Summary									
PPVT-R									
CAS-R									
Perceived Competency									
Nowicki-Strickland									
CECL									
Preschool Behavior									
Sexual Behavior									

ABBREVIATIONS:

C=Date Completed
M=Date Mailed
R=Date Received at UNC

PPVT-R=Peabody PVT-R
CAS-R=Child Assessment Schedule
CBCL=Child Behavior Checklist

Note. Each log page should describe data collection on 3 subjects. If possible, order subjects by ID number for quick reference. Each child should have a date recorded for Consent Form. All other forms administered on the same date can be simply checked (✓). If not administered, fill the corresponding block with a dash (-). If administered on a different date, record the date. Every block should be filled in.

NEW YORK STATE

DEPARTMENT OF SOCIAL SERVICES

40 NORTH PEARL STREET, ALBANY, NEW YORK 12243 - 0001

CESAR A. PERALES
Commissioner



April 20, 1988

Ms. Debra Whitcomb
Project Director
Education Development
Center, Inc.
55 Chapel Street
Newton, MA 02160

Dear Ms. Whitcomb:

Thank you for your letter of April 15, 1988 in which you enclosed a package of materials that outlines your procedures for assuring confidentiality.

I am pleased to inform you that after a review of the materials submitted this Department is granting you permission to begin the data collection phase of your project.

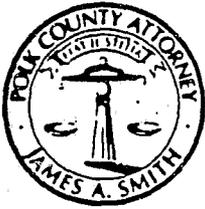
Good luck with your project and I look forward to receiving a report of your findings.

Sincerely,

A handwritten signature in cursive script, appearing to read "William J. Phillips".

William J. Phillips
Director, Bureau of
Program Development
and Demonstration

SG



POLK COUNTY ATTORNEY
JAMES A. SMITH

February 15, 1988

Debra Whitcomb, Project Director
Educational Development Center, Inc
55 Chapel Street
Newton, MA 02160

RE: Request for approval to access case records

Dear Debra:

I have reviewed your project overview and statement of confidentiality for the Child Victim as Witness Research and Development Program. The data collection plan is acceptable to us as long as the data collection staff is available to review the files during normal working hours in our office. Regarding the staff interviews that will be required, we are willing to cooperate as you have outlined, with the understanding that we will have to work around existing schedules. I assume the staff interviews will be negotiated by the data collection staff at times that are convenient for the person being interviewed. Given already demanding schedules of prosecution staff, I would hope that interview times could be used to address more than one case at a time.

Please let me know if there are any other issues that need to be addressed at this time.

Sincerely,



JAMES A. SMITH
POLK COUNTY ATTORNEY

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without the express, written permission of the Presiding Judge of the Juvenile Court.

DATED: January 22, 1988



SHERIDAN REED, Presiding Judge
San Diego Juvenile Court



County of San Diego

RICHARD W. JACOBSEN
DIRECTOR

(619) 495-5065

DEPARTMENT OF SOCIAL SERVICES

7949 MISSION CENTER COURT, SAN DIEGO, CALIFORNIA 92108

January 20, 1988

Ms. Debra Whitcomb
Project Director
Education Development Center, Inc.
55 Chapel Street
Newton, MA 02160

Dear Ms. Whitcomb:

This letter approves your request for access to our case records and to a sample of child victims subject to the following conditions:

1. Compliance with the procedures you outline for assuring confidentiality of data.
2. Coordination and agreement with Michael Weinrick of my staff in the sample selection process and in implementation of that process.
3. Initial contact of selected parents/children by my staff to solicit their participation. This will probably take the form of a letter or phone call from the assigned social worker requesting authorization to give their names, addresses, and telephone numbers to you.

I trust these conditions are acceptable and that this approval is sufficient for your purposes. If there are questions, please contact:

Arnold Zimmermann, Chief
Family Services Division
Childrens Services Bureau
5454 Ruffin Road
San Diego, CA 92123-1313

Sincerely,

LANA WILLINGHAM
Deputy Director

LW:dk



County of San Diego

ROBERT D. ZUMWALT
County Clerk, Ex Officio Clerk of Superior Court

County Courthouse, 220 West Broadway
P.O. Box 128, San Diego, California 92112-4104

~~(619) 218-3288~~
(619) 531-3160



February 23, 1988

Debra Whitcomb
Project Director
The Child Victim as Witness Project
Education Development Center, Inc.
55 Chapel Street
Newton, MA 02160

Dear Ms. Whitcomb:

Receipt of your letter and request dated February 19, 1988 is acknowledged.

There will be no problem in your staff reviewing adult case records of the San Diego Superior Court since they are public records. However, since all juvenile court records are confidential, permission of the Supervising Judge of the Juvenile Court will need to be obtained.

I am sending her a copy of this response and the information you submitted to me. I suggest that you immediately contact the juvenile court for her response.

Sincerely,

ROBERT D. ZUMWALT, County Clerk
and Ex-Officio Clerk of the
Superior Court

Frank N. Lundry
by: Frank N. Lundry
Chief Deputy

FNL:ap

cc: The Honorable Sheridan Reed
Judge of the Superior Court
San Diego Juvenile Court
2851 Meadowlark Drive
San Diego, CA 92123

OFFICE OF
THE DISTRICT ATTORNEY
COUNTY OF SAN DIEGO
EDWIN L. MILLER, JR.
DISTRICT ATTORNEY

COUNTY COURTHOUSE
SAN DIEGO, CA 92101
(619) 236-2329

March 7, 1988

EDC
The Child Victim as Witness Project
Debra Whitcomb, Project Director
55 Chapel Street
Newton, Massachusetts 02160

Dear Ms. Whitcomb,

I apologize for the long delay in responding to your letter. Caseloads and other "small fires" kept interfering.

I have had a chance to meet with all of the local project team members. We are eagerly looking forward to the start-up of this project. All of us agree that this project will have access to all necessary files and records.

Our office, in particular, as well as other members of the project team, feel confident that EDC can maintain the necessary confidentiality as well as protect the needs and concerns of those persons who are the subject of the study.

Our office approves of this grant and it's methods. You have our authorization and support to review case records and begin to collect a sample of child victims.

If I, or any member of my staff, or any member of the project team, can be of further assistance, feel free to contact me. I again apologize for the delay.

Sincerely,


HARRY M. ELIAS
Deputy District Attorney
Chief, Child Abuse Division

HME:dk

cc: Edwin L. Miller, Jr.
Desmond K. Runyan
Patricia A. Toth

Appendix

Chapter 4: The Impact of the Courts on Children

The Intervention Stressors Inventory

We developed the Intervention Stressors Inventory (ISI) as a measure of the level of stress children experience as a result of investigatory, adjudicatory, and social services intervention. The ISI was used to record and quantify the number of stressful events the child experiences (e.g. interview with law enforcement officers, medical exam, court testimony, cross-examination) so that the experiences of children could be compared both within and across jurisdictions.

In order to obtain estimates of the relative stressfulness of common events in the system's response to child sexual abuse victims, we surveyed 220 professionals in the field of child sexual abuse/assault, representing all 50 states. The professionals were identified from a mailing list from the American Professional Society on the Abuse of Children and included professionals from social services, mental health, law enforcement, and prosecutor's offices. They were asked to rate the stressfulness of a series of typical events in the investigation or adjudication process in relation to the stressfulness of an interview with a law enforcement officer which was used as an anchor and given an arbitrary weight of 50 points. Half of the professionals were asked to rate the event as if experienced by an 8 year old female victim and half for a similar 14 year old victim.

98 professionals returned completed surveys for a return rate of 44%. These raters were 79% female, 90.5% white and 64% identified themselves as social workers. 49% described their primary role in sexual abuse/assault cases as investigatory, 42% as primarily treatment, 5% as a combination of both, and 2% as involving prosecution. Standard "stress" weights for each event were calculated using geometric means of the ratings. Geometric means have the advantage of being less sensitive to extreme scores than arithmetic means, without discounting extreme values as medians do.

The ratings were not found to differ significantly by age of the child victim (8 vs. 14 years old), or by the gender or type of job experience of the rater so the ratings were combined into one set of scores for each event.

Table 1 provides a summary of the average stressfulness rating for major events in the investigatory process as well as ratings of factors which were judged to modify (i.e. increase or decrease) the degree of stressfulness associated with each event. A polygraph of the victim was judged to be the most stressful event and assigned a weight of 38 points higher than the law enforcement interviewer anchor. Among possible modifying factors, the presence of the alleged perpetrator was seen to substantially increase the stressfulness of the event (+108 points) while careful preparation of the child for the event was judged to decrease the stressfulness moderately (-20 points).

Table 2 summarizes the results for the adjudicatory process. Testifying in a criminal court hearing where the alleged perpetrator's guilt is determined was seen as the most stressful event (111 points) of the seven events considered. Lengthy or harsh cross examination was rated as adding substantially to the child's stress (+88 points each).

Table 3 summarizes the ratings for several social services interventions and possible modifying factors. Removing the alleged perpetrator from the child's home was assigned a rating of 45 points while allowing the alleged perpetrator's return to the child's home was judged to be highly stressful (+149 points). Among modifying factors, preparing the child for the event and an active support person were associated with a moderate reduction in the stress level (-21 and -27 respectively).

In conclusion, we found the ISI to be very useful in the CVAW project as a method for recording and quantifying the degree of stressfulness of legal and social services responses to child victims of sexual abuse. It is also apparent from an examination of the pattern of ratings that within the court environment there are significant opportunities to modify the levels of stress child victims experience.

Table 1

Ratings for *Investigative* Events and Modifying Factors

Events

Polygraph (victim)	88 points
Lineup	82 points
Defense interview	83 points
Joint interview	75 points
Pretrial deposition	74 points
Medical exam	71 points
Law officer interview	50 points (anchor)
Prosecutor interview	49 points
Social worker interview	35 points

Modifying Factors

Presence of perpetrator during above	+108
Presence of unsupportive parent	+ 53
Child videotaped during above	+ 10
Anatomical dolls used during above	- 8
Guardian ad litem present	- 11
Presence of supportive parent	- 14
Child debriefed following event	- 16
Child-oriented setting used	- 16
Child prepared well for event	- 20

Table 2

Ratings for *Adjudicative* Events and Modifying FactorsEvents

Testimony in criminal court	111 points
News media reveals family name	104 points
Testimony before grand jury hearing	94 points
Testimony at preliminary hearing	86 points
Testimony at child protection hearing	81 points
Presence at disposition or sentencing	69 points
Competency examination	58 points

Modifying Factors

Cross-examination for more than 1 hour	+88
Harsh questioning of the child	+88
Perpetrator present and visible during testimony	+77
Unsupportive non-offending parent present	+47
Perpetrator present but shielded	+35
Moderate questioning-difficult to follow	+21
Proceedings videotaped	+ 7
Proceedings in closed court	+ 0
Anatomical dolls used to demonstrate	- 9
Court proceedings over closed circuit TV	-11
Bench trial only	-12
Child debriefed following event	-17
Judge sets clear rules for interrogation	-18
GAL or victim advocate present	-18
Mild cross-examination with no confusion	-22
Other support person present	-21
Child well prepared for event	-23
Proceeding occurred in judge's chamber	-25
Presence of supportive non-offending parent	-29

Table 3

Ratings for Social Services Interventions and Modifying Factors

Events

Perpetrator returns to child's home	149 points
Child receives inpatient psychiatric care	120 points
Child placed in shelter care	113 points
Child placed in group home	114 points
Child placed in foster care	100 points
Child removed from home to live with relatives	65 points
Perpetrator is removed from child's home	45 points

Modifying Factors

Child must change schools	+41
Child is well prepared for event	-21
Child has active support person	-27

INTERVENTION STRESSORS INVENTORY

Instructions for scoring

The following items represent events experienced by some sexually-abused children that might be considered stressful. The events are grouped into three areas: (I) Investigation, (II) Adjudication, and (III) Child Protection Efforts. Following each group is a list of factors that may modify the stress of the preceding events. You, as an expert in this field, are asked to rate the events as to their relative degrees of stressfulness. Following the rating of events in a group, you are then asked to assign a value to each modifying factor indicating the extent to which the factor might increase (+) or decrease (-) the stressfulness value.

1. Please read over all the items and modifying factors in each section.
2. Assume that each event or experience is being conducted in a normal or average manner by experienced professionals, and is not a "worst case" example.
3. The mechanics of rating are these: The "interview with law enforcement officer" has been given an arbitrary value of 500. Please score the other events after deciding, "Is this event more or less stressful than an interview with a law enforcement officer?" If you decide that the stress generated typically would be more intense or protracted, then choose a proportionately larger number and place it in the corresponding "VALUE" column. For example, an event that is twice as stressful would be scored as 1000. If the event represents less stress, then indicate how much less by placing a proportionately smaller number in the opposite blank. If the event is equal in stressfulness to interview with a law enforcement officer, record the number 500 in the "VALUE" column.
4. Following each section you are asked to indicate how specific factors may modify the stressfulness of events in that group. You may assume in scoring the main event that none of the modifying factors are present. This section provides the opportunity to estimate how much the stressfulness of the event will increase or decrease with the presence of each factor. Specific combinations may not be logical; please score the modifying factors in terms of your feeling about their general contribution to the category above (investigation, adjudication, etc.).
5. Obviously there may be wide variation in any specified event. Strive to give your opinion of the average degree of stressfulness experienced by the average victim in the typical case. If you have no experience with a specific type of potential stressor, you may skip it.
6. Please put your scored inventory in the enclosed envelope and return it to:

The Child Victim as Witness Research and Development Program
c/o The Department of Social Medicine, Medical School
Campus Box #7240
University of North Carolina at Chapel Hill
Chapel Hill, NC 27599

Note: This method for estimating the stressfulness of an event and the instructions provided for raters are adapted from Holmes and Rahe, Social Readjustment Rating Scale, J of Psychosomatic Res. 11, 213-218, (1967).

(C) CHILD VICTIM AS WITNESS RESEARCH AND DEVELOPMENT PROGRAM, 1987

RATE FOR
8 Y.O. FEMALE INCEST VICTIM

I. INVESTIGATION

A. EVENT

VALUE

- | | |
|---|------------|
| 1. Interview with law enforcement officer | 500 points |
| 2. Informational interview with a prosecutor | _____ |
| 3. Interview with a social worker, medical personnel, or mental health professional | _____ |
| 4. Medical exam (related to disclosure) | _____ |
| 5. Joint interview with multiple interviewers | _____ |
| 6. Pre-trial deposition | _____ |
| 7. Other defense interview with child | _____ |
| 8. Polygraph of child | _____ |
| 9. Lineup | _____ |

B. MODIFYING FACTORS

No Change	Number of points stress is INCREASED DECREASED
--------------	---

- | | | |
|---|-----|-----------------|
| 1. Takes place in child-oriented setting | () | + _____ - _____ |
| 2. Presence of <u>supportive</u> non-offending parent | () | + _____ - _____ |
| 3. Presence of <u>unsupportive</u> non-offending parent | () | + _____ - _____ |
| 4. Presence of perpetrator | () | + _____ - _____ |
| 5. Presence of guardian ad litem or other professional support person | () | + _____ - _____ |
| 6. Anatomical dolls used as a demonstration aid | () | + _____ - _____ |
| 7. Event videotaped with child's awareness | () | + _____ - _____ |
| 8. Child prepared well for event | () | + _____ - _____ |
| 9. Child debriefed following event | () | + _____ - _____ |

B. MODIFYING FACTORS CONTINUED

	No Change	Number of points stress is INCREASED DECREASED	
12. Ground rules set by judge for interrogation of child (e.g., minimum distance between attorney and child, acceptable voice level, frequency of breaks, manner of raising objections, etc.)	()	+ _____	- _____
13. Cross-examination (in juvenile or criminal setting, including preliminary hearing) consists of:			
a. Gentle, benign questioning, (treats child with respect; asks age-appropriate questions; no attempts to confuse, intimidate, or humiliate child)	()	+ _____	- _____
b. Moderate questioning (no attempt to confuse, intimidate, or humiliate child, but difficult for child to follow questioning because of age-inappropriate vocabulary and/or concepts)	()	+ _____	- _____
c. Harsh questioning (attempts to confuse, humiliate, or intimidate child)	()	+ _____	- _____
14. Cross-examination lasts more than one hour	()	+ _____	- _____

III. CHILD PROTECTION EFFORTS

A. EVENT

VALUE

1. Child is removed from home to live with relative(s)	_____
2. Child is placed in foster care	_____
3. Child is placed in shelter care	_____
4. Child is placed in a group home	_____
5. Child receives inpatient psychiatric care	_____
6. Perpetrator is removed from home where child resides	_____
7. Perpetrator returns to the home where child resides	_____

B. MODIFYING FACTORS

	No Change	Number of points stress is INCREASED DECREASED	
1. Child is prepared well for event	()	+ _____	- _____
2. Child has active support person	()	+ _____	- _____
3. The event requires the child change schools	()	+ _____	- _____

APPENDIX B

**Poster Presentation at the Convention of
the American Psychological Association
August 1990**

**THE PROSECUTION OF CHILD SEXUAL ABUSE:
CASE CHARACTERISTICS AND FACTORS ASSOCIATED
WITH ACCEPTANCE FOR PROSECUTION**

Theodore Cross, Ph.D.
Edward De Vos, Ed.D.

Exhibits

Presented at the American Psychological Association Annual
Meeting, Boston, MA, August 10, 1990

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**THE PROSECUTION OF CHILD SEXUAL ABUSE:
CASE CHARACTERISTICS AND FACTORS ASSOCIATED
WITH ACCEPTANCE FOR PROSECUTION**

**Theodore Cross, Ph.D. Edward De Vos, Ed.D.
Education Development Center, Inc., Newton, MA**

Abstract

National outrage over child sexual abuse has encouraged criminal prosecution of offenders, including even intrafamilial cases. There is little empirical data, however, on the nature of the cases being accepted for prosecution and the factors associated with accepting versus declining cases. As part of a large, ongoing study, the Child Victim as Witness (CVAW) project abstracted data on a sample of 291 single perpetrator/single victim cases of sexual abuse of children and adolescents (ages 4 to 18) referred to prosecutors' offices over a one year period (during 1986-1987) in four urban jurisdictions nationwide. This analysis examines case characteristics and factors associated with acceptance for prosecution versus declination.

The most important characteristic of these cases is that most victims in the sample suffered severe abuse, as measured by the type of abusive acts, number of incidents and duration of abuse. Indices of severity of abuse were significantly related to increased odds of acceptance for prosecution versus declination.

While oral-genital contact and vaginal manipulation were both significantly related to greater odds of acceptance, penetration was not significantly related to acceptance. Both reported substance abuse and reported alcohol use during incidents were related to significantly greater odds of acceptance for prosecution.

Perpetrator confession was highly related to acceptance for prosecution, while there was a smaller but still significant increase in the odds of acceptance when medical evidence was present. On the other hand, if the case depended on the interview with the victim, the odds of acceptance were significantly lower. Other categories of evidence, including psychological evidence, bore little relationship to whether a case was accepted for prosecution.

These data suggest some of the continuing difficulties prosecutors face in bringing child sexual abuse offenders to justice. The lack of effect of penetration on the probability of acceptance for prosecution may reflect prosecutors' expectation that juries would not believe allegations of penetration without medical evidence, which is usually lacking. Juries may not have such expectations about oral-genital contact and vaginal manipulation.

The relationship between substance abuse and acceptance for prosecution is difficult to interpret. It may mean that substance abuse potentiates more severe victimization, which in turn, increases the probability of prosecution. Alternatively, offenders facing prosecution may claim substance abuse as a defense.

The relationship between confessions and acceptance is to be expected, given that guilty pleas are obtained in a high proportion of cases, as is true of most criminal cases. The finding that cases relying on victim interviews were more likely to be declined may be explained, in part, because these cases also tend to have the least additional evidence available, and, as such are the weaker cases. However, this finding also suggests that, despite recent evidence that children are more credible witnesses than previously believed, cases that depend on children's testimony may still be especially difficult to prosecute.

CHILD VICTIM AS WITNESS (CVAW) RESEARCH PROJECT

Initial Questions:

What are the characteristics of sexual abuse cases referred to district attorneys for prosecution in terms of:

- victim characteristics
- perpetrator characteristics
- nature of victimization
- case reporting & substantiation?

What factors relate to the decision to accept or decline a case for prosecution?

Methods:

- Identify all cases of sexual abuse referred to the prosecutors' office in 4 cities during a one year period (1986-1987).
- Abstract data through a thorough review of prosecutor, law enforcement, social service, court, and other available records.

Sample:

All cases of sexual abuse referred to four county prosecutors' offices; cases were identified through record review.

Baseline sampling window: July 1, 1986 - June 30, 1987
(n=423)

This Subsample: Single victim/single perpetrator (n=291)

Single Victim/Single Perpetrator	69%
Multiple Victims/Single Perpetrator	27%
Single Victim/Multiple Perpetrators	3%
Multiple Victims/Multiple Perpetrators	1%
	<u>100%</u>

PROSECUTION STATUS

	<u>Accepted</u>	<u>Declined</u>
BUFFALO	47	(Note)
ST. PAUL	57	(Note)
DES MOINES	35	45
SAN DIEGO	66	41

Note: during the baseline period, these communities did not maintain systematic records of declined cases.

CVAW PROJECT: PRELIMINARY RESULTS

(Population-based sample)

VICTIM CHARACTERISTICS

GENDER	84% Female
AGE @ TIME OF REFERRAL (Median)	9.0 Years
RACE/ETHNICITY	73% White 12% African American 12% Hispanic 3% Other
HANDICAPS	11%

PERPETRATOR CHARACTERISTICS

GENDER	99% Male
AGE (Median)	32 Years
RACE/ETHNICITY	76% White 11% African American 10% Hispanic 3% Other
OCCUPATION	57% Non-professional 21% Unemployed 14% Professional/Managerial 5% Retired 3% Other
EDUCATION	41% More than High School 30% High School 29% Less than High School
CRIMINAL RECORD	34% w/any priors 8% w/sex crime priors

SUBSTANCE ABUSE

65% None
19% Alcohol
6% Drugs
10% Both

RELATIONSHIP TO VICTIM

67% Intrafamilial
33% Extrafamilial

Detailed breakdown

19.8% Biological Parent
2.7% Adoptive Parent
16.0% Step Parent
15.0% Mother's Boyfriend
5.9% Uncle
5.9% Grandparent
0.5% Sibling
1.6% Other Relative
21.9% Acquaintance
8.0% Caregiver
2.1% Stranger
0.5% Victim's Boyfriend

NATURE OF VICTIMIZATION

TYPES OF ABUSE

(all that apply)

26% Penetration
(excl'd Dig-Vag)
28% Oral-Genital
39% Vaginal Manipulation
87% Other (fondling, etc)

MOST SEVERE ABUSE

26% Penetration
18% Oral-Genital
18% Vaginal Manipulation
38% Other

USE OF FORCE

52% None
7% Threat of Force
36% Mild Force
5% Violent Force

NUMBER OF INCIDENTS

35% Single Incidents
65% Multiple Incidents

DURATION OF ABUSE

40% One Month or Less
18% 2-6 Months
7% 7-12 Months
30% More than 1 Year
5% Unspecified

ALCOHOL DURING INCIDENT

23% Cases

DRUG USE DURING INCIDENT

11% Cases

CASE REPORTING AND SUBSTANTIATION

CHILD DISCLOSED	86% Cases
FIRST PERSON NOTIFIED (regardless of who disclosed)	56% Family 16% Friend/Acquaintance 28% Inst/Agency
FIRST GOVERNMENT AGENCY NOTIFIED	51% Social Service 49% Law Enforcement
TIME FROM LAST INCIDENT UNTIL REPORT (Median = 25.5 days)	(CUM. %) 38% 38% w/in 1 wk 15% 53% w/in 1 mo 13% 66% w/in 2 mos 6% 72% w/in 3 mos 7% 79% w/in 6 mos 8% 87% w/in 1 yr 13% 100% > 1 yr
AGENCY REFERRING CASE TO PROSECUTION	98% Law Enforce. 2% Social Services
TIME FROM REPORT TO AUTHORITIES UNTIL DA REFERRAL (Median = 9.0 days)	(CUM. %) 47% 47% w/in 1 wk 30% 77% w/in 1 mo 10% 87% w/in 2 mos 6% 93% w/in 3 mos 5% 98% w/in 6 mos 2% 100% w/in 1 yr
MEDICAL EXAM	63% Cases
TIME FROM DA REFERRAL UNTIL DA FILE OPENED (Median = 0 days)	(CUM.%) 80% 80% w/in 1 wk 14% 94% w/in 1 mo 1% 95% w/in 2 mos 2% 97% w/in 3 mos 3% >99% w/in 6 mos <1% 100% w/in 1 yr

NATURE OF PROSECUTION CASE

9% Physical Evidence
37% Medical Evidence
11% Psychological Evidence
46% Fresh Complaint/
Excited Utterance
10% Other Eyewitness
44% Confession by perp
25% Victim's Interview

PROSECUTORS' DECISION

54% Accepted
46% Declined

ACCEPTED AND DECLINED CASES: COMPARISON

VICTIM CHARACTERISTICS

No observed differences

PERPETRATOR

CHARACTERISTICS

Odds of Acceptance for Prosecution

	<u>Present</u>	<u>Absent</u>	<u>Odds Ratio</u>
Priors (any crime)	1.85 : 1	1.00 : 1	1.85 ⁺
Priors (sex crime)	2.50 : 1	1.11 : 1	2.26
Substance Abuse	2.25 : 1	0.85 : 1	2.65*

NATURE OF VICTIMIZATION

Multiple Incidents (vs. single)	1.47 : 1	0.76 : 1	1.93*
> 1 Mo. Duration (vs. ≤ 1 mo.)	1.78 : 1	0.88 : 1	2.04*

TYPES OF ABUSE PERPETRATED

Penetration (excl. dig.-vag.)	1.53 : 1	1.07 : 1	1.42
Oral-Genital Contact	3.08 : 1	0.84 : 1	3.68***
Vaginal Manipulation	1.77 : 1	0.42 : 1	1.93*

MOST SEVERE TYPE OF ABUSE***

Penetration (excl. dig.-vag.)	1.53 : 1
Oral-Genital Contact	3.13 : 1
Vaginal Manipulation	1.36 : 1
Other	0.50 : 1

USE OF FORCE (ns)

Violent Force	3.50 : 1
Mild Force	1.00 : 1
Threat of Force	1.00 : 1
No Force	1.26 : 1

+ p < .10

* p < .05

** p < .01

*** p < .001

ALCOHOL USE DURING INCIDENT

Odds of Acceptance for Prosecution

<u>Present</u>	<u>Absent</u>	<u>Odds Ratio</u>
3.00 : 1	0.89 : 1	3.69**

DRUG USE DURING INCIDENT

4.00 : 1	0.04 : 1	3.86
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CASE REPORTING AND SUBSTANTIATION

<u>MEDICAL EXAM</u>	1.46 : 1	0.82 : 1	1.79
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NATURE OF PROSECUTION CASE

Physical Evidence	1.43 : 1	1.14 : 1	1.25
Medical Evidence	1.72 : 1	0.93 : 1	1.84*
Psychological Evidence	2.00 : 1	1.09 : 1	1.84
Fresh Complaint/ Excited Utterance	1.24 : 1	1.10 : 1	1.12
Other Eyewitness	1.71 : 1	1.11 : 1	1.54
Confession by Perp	7.10 : 1	0.38 : 1	18.61***
Victim Interview	0.10 : 1	2.18 : 1	0.04***

+ p < .10

* p < .05

** p < .01

*** p < .001

TIME INTERVALS (median values)

	<u>ACCEPTED</u>	<u>DECLINED</u>
Onset of Abuse		
to	12.0 mos.	6.0 mos.
Termination of Abuse		
to	19.5 days	38.0 days
Official Report		
to	7.0 days	11.0 days
Referral to DA		
to	0.0 days	0.0 days
DA File Opened		

REASONS FOR DECLINATION (% of all cases) *(all that apply)*

VICTIM CONSIDERATIONS.....57%

Victim not qualifiable	24%
Victim credibility	21%
Victim declines to prosecute	19%
Victim unavailable	8%
Other victim considerations	3%

EVIDENTIARY CONSIDERATIONS.....50%

Insufficient evidence of crime	29%
No corroboration	10%
Medical reports negative	9%
Medical/Other reports incomplete	5%
Other key witnesses not available	2%
Other evidentiary consideration	7%

PROSECUTORIAL CONSIDERATIONS.....38%

Stale case/old incident	7%
Perpetrator not available	6%
Perpetrator processed on other charges	6%
Case transferred to another jurisdiction	1%
Other prosecutorial consideration	23%

MAJOR CONCLUSIONS

In general, the abuse suffered by victims was severe

- A majority of cases involved penetration and/or oral-genital contact
- Perpetrators used force in over 40% of cases
- About two-thirds of cases involved multiple incidents
- 30% of the abuse lasted more than one year

Several indices of severity predicted acceptance for prosecution, including...

- Severity of the abusive acts
- Multiple incidents
- Longer duration

Oral-genital contact and vaginal manipulation were associated with increased probability of acceptance for prosecution.

Penetration was not associated with increased probability of acceptance for prosecution. This may reflect prosecutors' judgment that juries will not believe that penetration has occurred unless there is compelling medical evidence, which is lacking in most cases.

Having a substance abuse problem and alcohol use during incidents were significantly associated with acceptance for prosecution. This may mean that substance abuse potentiates more severe victimization, that perpetrators claim substance abuse as a defense, or both.

Of all types of evidence, only medical evidence and perpetrator confessions were associated with increased probability of acceptance for prosecution.

Cases that relied on victim interviews as evidence were much more likely to be declined for prosecution than accepted, suggesting that prosecutors consider child victim's testimony problematic for winning a case.