

APPENDICES

Appendix A. Key Informant Surveys

Appendix B. Methodology: State Recruitment, Key Informant Survey, and Prevalence Study

Appendix C. Guidelines and Procedures for Preparing a Data File for the Prevalence Study

Appendix D. Case Law Summary: Due Process and Data Repositories of Child Maltreatment Perpetrators

Appendix E. State Comparison of Select Due Process Requirements

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APPENDIX A.

Key Informant Surveys

1. Current Legal and Policy Requirements Regarding Sharing Information on Child Maltreatment Perpetrators
2. Current Practices on Sharing Information on Child Maltreatment Perpetrators
3. Technical Information on Data Repositories of Child Maltreatment Perpetrators

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Feasibility Study for a National Registry of Child Maltreatment Perpetrators

CURRENT LEGAL AND POLICY REQUIREMENTS REGARDING SHARING INFORMATION ON CHILD MALTREATMENT PERPETRATORS (to be administered on the Internet)

This survey focuses on the legal and/or written policy requirements regarding maintaining and sharing information on child maltreatment perpetrators and due process protections for such persons.

The term “perpetrator” is used in this study to indicate any person whom the child protective services agency has found to be responsible for child abuse or neglect. The person need not have been charged with either a civil or criminal offense.

In general, the term “repository” applies only to the source or sources of data that are currently used by your State to respond to requests from in-state or out-of-state agencies about perpetrators. In-state or out-of-state requests for data may come from agencies investigating child abuse and neglect or from those screening job applicants.

Some States have more than one repository. If your State has more than one data repository for perpetrators of child abuse and neglect, a separate questionnaire should be completed for each repository. Criminal databases should not be included.

Please provide the following information before beginning the survey.

Name of data repository: _____

Agency/department primarily responsible for the content of the repository: _____

Agency/department primarily responsible for maintaining the repository: _____

A. BACKGROUND

1. Does State law or written policy define and describe the data repository?
 - a. Yes
Please insert text and provide statutory citation(s), policy, or web link to law or policy: _____
 - b. No

2. Does State law or written policy include a definition of a perpetrator of child abuse and neglect?
 - a. Yes
Please insert text and provide statutory citation(s), policy, or web link to law or policy: _____
 - b. No

3. What is the terminology used in your State in making findings regarding allegations of child abuse and neglect? (check all that apply)
 - a. Substantiated or founded
 - b. Indicated or reason to suspect
 - c. Unsubstantiated or unfounded
 - d. Intentionally false allegation
 - e. Closed without a finding
 - f. Assigned to alternative response, no finding
 - g. Other:
Please list: _____

4. What is the standard of proof required by State law or written policy in order to make a finding that a person is a perpetrator of child abuse and neglect?
 - a. Clear and convincing
 - b. Preponderance
 - c. Probable cause
 - d. Some credible evidence
 - e. Reasonable cause
 - f. Material evidence
 - g. Not specified in law or written policy
 - h. Other:
Please specify: _____

5. Does State law or written policy specify the classes of people who can be determined to be a perpetrator of child abuse and neglect?
 - a. Yes
 - b. No (Skip to Q7)
 - c. Don't know (Skip to Q 7)

6. According to State law or written policy, which classes of people can be determined to be perpetrators of abuse and neglect? (check all that apply)
 - a. Parents
 - b. Unmarried partners of parents
 - c. Other relatives in caregiving roles
 - d. Legal guardians
 - e. Minor children in the home
 - f. Foster parents
 - g. Residential facility/group home staff
 - h. Child care providers
 - i. Educational staff/teachers
 - j. Other professionals:
Please list: _____
 - k. Neighbors or friends
 - l. Not defined in law or written policy
 - m. Other:
Please list: _____

7. Does State law or written policy specify which classes of persons, once found to be perpetrators of child abuse and neglect, can be designated as such in the data repository?
 - a. Yes
 - b. No (Skip to Q9)
 - c. Don't know (Skip to Q9)

8. According to State law or written policy, which classes of persons, once found to be perpetrators of child abuse and neglect, are designated as such in the data repository? (check all that apply)

- a. Parents
- b. Unmarried partners of parents
- c. Other relatives in caregiving roles
- d. Legal guardians
- e. Minor children in the home
- f. Foster parents
- g. Residential facility/group home staff
- h. Child care providers
- i. Educational staff/teachers
- j. Other professionals:

Please list: _____

- k. Neighbors or friends
- l. Not defined in law or written policy
- m. Other:

Please list: _____

B. DUE PROCESS CONSIDERATIONS—NOTICE OF INVESTIGATION FINDING

9. Does State law or written policy require that all individuals determined to be perpetrators of child abuse and neglect be notified of the finding?

- a. Yes
- b. Only some are notified:

Please explain: _____

- c. No (Skip to Q12)

10. How are they notified?

- a. By phone
- b. By regular mail
- c. By certified mail
- d. In-person by a child welfare representative with written notice
- e. In-person by a child welfare representative without written notice
- f. Other:

Please specify: _____

11. What information is contained in the notice? (check all that apply)
- a. The fact that the agency has made a determination that the person was found to be a perpetrator of child abuse and neglect
 - b. An explanation regarding any right to challenge the finding that the person is a perpetrator of child abuse and neglect
 - c. The specific type of child abuse and neglect that the perpetrator has committed
 - d. The name(s) of the victim(s)
 - e. The consequences of being determined to be a perpetrator of child abuse and neglect
 - f. The fact that the person will be designated a child maltreatment perpetrator on the data repository
 - g. The consequences of being designated a perpetrator of child abuse and neglect in the data repository
 - h. The right to challenge being designated a child maltreatment perpetrator on the data repository
 - i. The right to challenge being determined to be a perpetrator of child abuse and neglect
 - j. The timeframes for any challenges that can be made
 - k. Other:
Please list: _____

C. DUE PROCESS CONSIDERATIONS—CHALLENGE OF THE INVESTIGATION FINDING

12. If a person challenges the finding that he/she is a perpetrator of child abuse and neglect, what is the first level of review?
- a. Review of written documentation by one or more individuals at the agency at a higher level than the caseworker or supervisor
 - b. Review of written documentation by an administrative body within the agency
 - c. In person hearing before an administrative body within the agency
 - d. In person hearing before an administrative body outside of the agency
 - e. In person hearing before a judicial body or a judge or magistrate
 - f. Other:
Please specify: _____
13. Does State law or written policy specify whether the person can be designated a child maltreatment perpetrator in the data repository while the first level of review is being conducted?
- a. Yes, the person can be designated
 - b. No, the person cannot be designated
 - c. No, the State law or written policy does not specify

14. What standard of proof is required at the first level of review of the challenge to being found a perpetrator of child abuse and neglect?
- a. Clear and convincing
 - b. Preponderance of the evidence
 - c. Probable cause
 - d. Some credible evidence
 - e. Reasonable cause
 - f. Material evidence
 - g. Other:
Please specify: _____
15. Is there a process to appeal the decision made in the first level of review?
- a. Yes
 - b. No (Skip to Q 18)
16. If a person challenges the decision of the first level of review, what second level of review is provided?
- a. In-person hearing before an administrative body within the agency
 - b. In-person hearing before an administrative body outside the agency
 - c. In-person hearing before a judicial body or judge or magistrate
 - d. Other:
Please specify: _____
17. What standard of proof is required at the second level of review?
- a. Clear and convincing
 - b. Preponderance of the evidence
 - c. Probable cause
 - d. Some credible evidence
 - e. Reasonable cause
 - f. Material evidence
 - g. Other
Please specify: _____
18. Does the State law or written policy specify the length of time to complete a first level review?
- a. Yes:
Please specify: _____
 - b. No (Skip to Q 20)

19. If response to Question 18 is yes, how many cases currently exceed this time frame?
- Please estimate number of cases: _____
 - None
 - The agency does not track or collect this information
 - Don't know / Not applicable

D. DUE PROCESS CONSIDERATIONS—NOTICE OF THE DESIGNATION AS A CHILD MALTREATMENT PERPETRATOR IN THE DATA REPOSITORY

20. Does State law or written policy require that all individuals determined to be perpetrators of child abuse and neglect be notified that they are being designated as a child maltreatment perpetrator in the data repository?
- Yes
 - Only some are:
Please explain: _____
 - No
21. Does State law or written policy specify when the person can be designated a child maltreatment perpetrator in the data repository?
- Yes:
Please explain: _____
 - No
22. Is the notice regarding being designated a child maltreatment perpetrator in the data repository included in the notice about being determined a perpetrator of child abuse and neglect (see Part B)?
- Yes (Skip to Q 25)
 - No, the notice is provided separately
 - No, no notice is sent (skip to Q 25)
23. How is the person notified?
- By phone
 - By regular mail
 - By certified mail
 - In person by a child welfare representative with written notice
 - In person by a child welfare representative without written notice
 - Other:
Please specify: _____

24. What information is contained in the separate notice of the fact that they will be designated a child maltreatment perpetrator on the data repository? (check all that apply)
- a. The fact that the agency has made a determination that the person was found to be a perpetrator of child abuse and neglect
 - b. An explanation regarding any right to challenge the finding that the person is a perpetrator of child abuse and neglect
 - c. The specific type of child abuse and neglect that the perpetrator is responsible for having committed
 - d. The name(s) of the victim(s)
 - e. The consequences of being determined to be a perpetrator of abuse and neglect
 - f. The consequences of being designated a perpetrator on the data repository
 - g. An explanation regarding any right to challenge being designated a child maltreatment perpetrator on the data repository
 - h. The timeframes for any challenges that can be made
 - i. Other:
Please specify: _____

E. DUE PROCESS CONSIDERATIONS—CHALLENGES TO BEING DESIGNATED A CHILD MALTREATMENT PERPETRATOR IN THE DATA REPOSITORY

25. What is the first level of review for a challenge to being designated a child maltreatment perpetrator in the data repository?
- a. Review of written documentation by one or more individuals within the agency at a higher level than the caseworker or supervisor
 - b. Review of written documentation by an administrative body within the agency
 - c. In-person hearing before an administrative body within the agency
 - d. In-person hearing before an administrative body outside of the agency
 - e. In-person hearing before a judicial body or a judge or magistrate
 - f. Other:
Please specify: _____
26. Does State law or written policy specify whether the person can be designated a child maltreatment perpetrator in the data repository while the first level of review of this challenge is being conducted?
- a. Yes, the person can be designated
 - b. No, the person cannot be designated
 - c. No, the State law or written policy does not specify

27. What standard of proof is required at the first level of challenge to being designated a child maltreatment perpetrator in the data repository?

- a. Clear and convincing
- b. Preponderance of the evidence
- c. Probable cause
- d. Some credible evidence
- e. Reasonable cause
- f. Material evidence
- g. Other:

Please specify: _____

28. Is there a process for appealing the decision made in the first level of review of the challenge to being designated a child maltreatment perpetrator in the data repository?

- a. Yes
- b. No (Skip to Q 31)

29. If a person challenges the decision of the first level of review, what level of review is provided?

- a. In-person hearing before an administrative body within the agency
- b. In-person hearing before an administrative body outside the agency
- c. In-person hearing before a judicial body, judge, or magistrate
- d. Other

Please specify: _____

30. What standard of proof is required at the second level of review?

- a. Clear and convincing
- b. Preponderance of the evidence
- c. Probable cause
- d. Some credible evidence
- e. Reasonable cause
- f. Material evidence
- g. Other:

Please specify: _____

31. Does State law or written policy specify the time within which the first level of review must be completed?

- a. Yes
- b. No (Skip to Q 34)

32. If the response to the question above is yes, how many cases currently exceed this timeframe?

- a. Please estimate the number of cases: _____
- b. None (Skip to Q34)
- c. The agency does not track or collect the information (Skip to Q34)
- d. Not applicable (Skip to Q34)

33. What is the average length of delay in responding to these cases?

F. EXPUNGEMENT—REMOVING INFORMATION FROM THE DATA REPOSITORY

34. Does State law or written policy specify the conditions under which the designation of the person as a perpetrator of child maltreatment may be expunged from the data repository?

- a. Yes
- b. No (Skip to Q 36)

35. Which conditions for expungement are specified in State law or written policy? (check all that apply)

- a. Successful challenge to being determined to be a perpetrator of child maltreatment
- b. Successful challenge to being designated as a perpetrator of child maltreatment in the data reports
- c. Passage of a certain amount of time since the person was determined to be a perpetrator of abuse and neglect:
Indicate number of years: _____
- d. All children involved in the abuse and neglect incident reach a certain age:
Indicate age: _____
- e. All children in the home are 18 years of age or older
- f. Perpetrator of child abuse and neglect was acquitted of criminal charges related to the abuse and neglect
- g. Death of the perpetrator
- h. Other:

Please specify: _____

G. ACCESS TO CHILD MALTREATMENT PERPETRATOR INFORMATION IN THE DATA REPOSITORY BY OUT-OF-STATE ENTITIES

36. According to State law or written policy, which out-of-state entities can receive information about child maltreatment perpetrators in the data repository? (check all that apply)

- a. Public child welfare agencies
- b. Employers of school personnel
- c. Employers of child care personnel
- d. Employers of personnel working with children (not child care for education)
- e. Police or law enforcement
- f. Citizen review boards
- g. State law or policy does not specify
- h. Other:

Please specify: _____

37. According to State law or written policy, for what purposes can information on child maltreatment perpetrators be released from the data repository? (check all that apply)

- a. As part of an abuse and neglect investigation
- b. As part of a criminal investigation
- c. As part of a background check to become a foster or adoptive parent
- d. As part of a background check for employment or licensing in child care, residential care, or other direct child services
- e. State law or policy does not specify
- f. Other:

Please specify: _____

H. OTHER LEGAL AND POLICY ISSUES

38. Are there any pending legislative or policy changes regarding the definition of a perpetrator of child abuse and neglect?

- a. Yes

Please explain: _____

- b. No
- c. Don't know

39. Are there any pending legislative or policy changes regarding designating a person as a perpetrator of child maltreatment in this data repository and maintaining such information?

a. Yes

Please explain: _____

b. No

c. Don't know

I. FUTURE NATIONAL REGISTRY OF CHILD MALTREATMENT PERPETRATORS

There is discussion of creating a National Registry of Child Maltreatment Perpetrators. It is anticipated that if such a registry were created, States would provide only limited information on child maltreatment perpetrators. The data under discussion currently include only the name and State of the person. Please consider the following questions with regard to using such a registry.

40. Would State law or written policy prohibit your State from providing information to a National Registry of Child Maltreatment Perpetrators from the data repository?

a. Yes

Please explain: _____

b. Maybe

Please explain: _____

c. No, under State law we would use another data repository to provide information

Please explain: _____

d. No, under State law we could not provide any data from any source

41. Would State law or written policy prohibit your State from obtaining information from a National Registry of Child Maltreatment Perpetrators?

a. Yes

Please explain: _____

b. Maybe

Please explain: _____

c. No

Please explain: _____

42. Are there any additional barriers to participating in a future National Registry of Child Maltreatment Perpetrators?

43. What might be the benefits to participating in a future National Registry of Child Maltreatment Perpetrators?

44. Would the potential benefits of participating in a National Registry of Child Maltreatment Perpetrators outweigh the potential problems?
- a. Yes
 - b. No
 - c. Don't know
45. Please provide any additional feedback regarding the establishment of a National Registry of Child Maltreatment Perpetrators.

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Feasibility Study for a National Registry of Child Maltreatment Perpetrators

CURRENT PRACTICES ON SHARING INFORMATION ON CHILD MALTREATMENT PERPETRATORS (to be administered on the Internet)

This questionnaire focuses on how your agency currently shares information on child maltreatment perpetrators, and how it requests such information from other States.

The term “perpetrator” is used in this study to indicate any person whom the child protective services agency has found to be responsible for child abuse or neglect. The person need not have been charged with either a civil or criminal offense.

In general, the term “repository” applies only to the source or sources of data that are currently used by your State to respond to requests from in-state or out-of-state agencies about perpetrators. In-state or out-of-state requests for data may come from agencies investigating child abuse and neglect or from those screening job applicants.

Some States have more than one repository. If your State has more than one data repository for perpetrators of child abuse and neglect, a separate questionnaire should be completed for each repository. Criminal databases should not be included.

Please provide the following information before beginning the survey.

Name of Data Repository: _____

Agency/department primarily responsible for the content of the repository: _____

Agency/department primarily responsible for maintaining the repository: _____

A. RESPONDING TO OUT-OF-STATE INQUIRIES ABOUT CHILD MALTREATMENT PERPETRATORS

1. Who or what entity is responsible for responding to out-of-state inquiries?
 - a. Central office of State child welfare agency
 - b. Local child welfare agency
 - c. Other agency that maintains the repository
 - d. Other:
Please specify: _____

2. How are out-of-state inquiries received? (check all that apply)
 - a. Phone
 - b. Paper (letter, form, fax)
 - c. Electronically (i.e., e-mail)
 - d. Don't know
 - e. Other:
Please specify: _____

3. Once a request has been made, does the agency verify the identity or credentials of the requesting entity?
 - a. Yes:
Please describe the process: _____
 - b. No
 - c. Don't know

4. What is the average length of time that it takes to respond to an out-of-state inquiry?
 - a. Within one business day
 - b. 1–5 business days
 - c. 6–10 business days
 - d. More than 10 business days
 - e. The agency does not track or collect this information
 - f. Don't know

5. What information about child maltreatment perpetrators is routinely provided when responding to out-of-state inquiries? (check all that apply)
- a. Name of child maltreatment perpetrator
 - b. Alternative names
 - c. Last known address
 - d. Date of birth or age
 - e. Sex/gender
 - f. Race/ethnicity
 - g. SSN
 - h. Date of incident
 - i. Type of substantiated maltreatment
 - j. Date(s) of disposition
 - k. Relationship to child victim(s)
 - l. Status of any legal proceedings
 - m. Zip code of last known address
 - n. County of last known address
 - o. Don't know
 - p. Other:
Please list: _____
6. What information is routinely provided about the child victim when responding to out-of-state inquiries? (check all that apply)
- a. Name of victim child
 - b. Alternative names
 - c. Last known address
 - d. Date of birth or age
 - e. Sex/gender
 - f. Race/ethnicity
 - g. Date of incident
 - h. Type of maltreatment
 - i. Date(s) of disposition
 - j. Relationship of perpetrator to child victim(s)
 - k. Name of the worker who conducted the investigation
 - l. Whether the child was placed in foster care as a result of the maltreatment
 - m. Status of any legal proceedings
 - n. Don't know
 - o. Other:
Please list: _____

7. What is the charge for processing a request for information from out-of-state?
- a. No charge
 - b. Less than 10 dollars
 - c. 10–49 dollars
 - d. 50 dollars or more
 - e. Don't know
 - f. Varies depending on request:
Please explain: _____
8. Approximately how many out-of-state inquiries about child maltreatment perpetrators were responded to in the last 12 months?
- a. None
 - b. Less than 50
 - c. 50–99
 - d. 100–499
 - e. 500–999
 - f. 1,000–1,999
 - g. 2,000–4,999
 - h. 5,000 or more
 - i. This information is not collected or tracked
 - j. Don't know

B. MAKING OUT-OF-STATE INQUIRIES

9. Who may contact another State to inquire if a person has been determined to be a child maltreatment perpetrator? (check all that apply)
- a. Central office staff of the State child welfare agency
 - b. Local child welfare agency staff
 - c. Don't know
 - d. Other:
Please list: _____

10. Indicate for what reasons staff may request information from an out-of-state data repository? (check all that apply)
- a. Person is under investigation for alleged child abuse
 - b. Person has been found to have abused or neglected a child
 - c. Person is facing civil action which would remove his/her child and place the child in out-of-home care
 - d. Person has applied to be a foster parent
 - e. Person has applied to be an adoptive parent
 - f. Person has applied to be a worker in your agency
 - g. Person has applied to be staff in one of our licensed providers
 - h. Don't know
 - i. Other:
Please list: _____
11. How do staff determine which States should receive an inquiry? (check all that apply)
- a. Rely on the person of interest to disclose where he/she has lived
 - b. Rely on any information indicating that the person of interest has resided in that State
 - c. First check appropriate national databases (e.g., national criminal records database (NCIC)) and then check with States in which they may have had a previous record
 - d. Contact neighboring States
 - e. Don't know
 - f. Other:
Please specify: _____
12. How is the inquiry usually made? (check all that apply)
- a. By phone
 - b. Paper (letter, form or fax)
 - c. Electronic
 - d. Don't know
 - e. Other:
Please specify: _____
13. What is the average length of time it takes to receive a response from another State?
- a. Within one business day
 - b. 1–5 business days
 - c. 6–10 business days
 - d. More than 10 business days
 - e. This information is not collected or tracked
 - f. Don't know

14. Is it common practice to inquire as to the definitions of maltreatment in the State to which the inquiry is being made?
- Yes
 - No
 - Don't know
15. Is it common practice to inquire as to the standard of proof for substantiating abuse and neglect in the State to which the inquiry is being made?
- Yes
 - No
 - Don't know
16. If a State has a standard of proof that is less than your State's standard of proof for substantiating maltreatment, how does this affect the use of the information received regarding child maltreatment perpetrators?
Please describe:
17. Approximately how many requests for information about child maltreatment perpetrators has your State made to other States during the past 12 months? (Note: If most requests are made by county level investigators and the number is not known, answer "Don't know.")
- Less than 50
 - 50–99
 - 100–499
 - 500–999
 - 1,000–1,999
 - 2,000–4,999
 - 5,000 or more
 - Don't know

C. A FUTURE NATIONAL REGISTRY OF CHILD MALTREATMENT PERPETRATORS

There is discussion of creating a National Registry of Child Maltreatment Perpetrators. It is anticipated that if such a registry were created, States would provide only limited information on child maltreatment perpetrators. The data under discussion currently only include the name and State of the person. Please consider the following questions with regards to using such a registry.

18. What might be the barriers related to participating in a National Registry of Child Maltreatment Perpetrators?

19. What might be the benefits of participating in a National Registry of Child Maltreatment Perpetrators?

20. Would the potential benefits of participating in a National Registry of Child Maltreatment Perpetrators outweigh the potential problems?
 - d. Yes
 - e. No
 - f. Don't know

21. Please provide additional feedback regarding the establishment of a National Registry of Child Maltreatment Perpetrators.

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Feasibility Study for a National Registry of Child Maltreatment Perpetrators

TECHNICAL INFORMATION ON DATA REPOSITORIES OF CHILD MALTREATMENT PERPETRATORS (to be administered on the Internet)

This questionnaire focuses on how your agency currently gathers, stores, and shares information on child maltreatment perpetrators.

The term “perpetrator” is used in this study to indicate any person whom the child protective services agency has found to be responsible for child abuse or neglect. The person need not have been charged with either a civil or criminal offense.

In general, the term “repository” applies only to the source or sources of data that are currently used by your State to respond to requests from in-state or out-of-state agencies about perpetrators. In-state or out-of-state requests for data may come from agencies investigating child abuse and neglect or from those screening job applicants.

Some States have more than one repository. If your State has more than one data repository for perpetrators of child abuse and neglect, a separate questionnaire should be completed for each repository. Criminal databases should not be included.

Please provide the following information before beginning the survey.

Name of Data Repository: _____

Agency/department primarily responsible for the content of the repository: _____

Agency/department primarily responsible for maintaining the repository: _____

A. PRELIMINARY QUESTIONS

1. Is the repository: (choose one)
 - a. Part of a statewide child welfare information system?
 - b. A stand-alone statewide information system on child maltreatment perpetrators?
 - c. Don't know
 - d. Other:

Please specify: _____

2. Is this repository used for:
 - a. Answering out-of-state inquiries about child maltreatment perpetrators?
___ Yes ___ No ___ Don't know
 - b. Providing non-identifiable information on child maltreatment perpetrators (e.g. National Child Abuse And Neglect Data System (NCANDS) or other reporting)
___ Yes ___ No ___ Don't know

3. If your State were to participate in a National Registry of Child Maltreatment Perpetrators, would this repository be the source of the data?
 - a. Yes
 - b. No:

Please provide the name and contact information for the repository that would be the source of data for a national repository:

- c. Don't know

___ To continue with the survey, please confirm that your repository is used for the following stated functions:

- 1) The above repository is used either as part of a statewide child welfare information system or stand-alone statewide information system on child maltreatment perpetrators;
- 2) The repository is used for answering out-of-state inquiries and/or providing non-identifiable information on child maltreatment perpetrators; and,
- 3) If your state were to participate in a National Registry of Child Maltreatment Perpetrators, this repository would be the source of data.

___ If **ALL** answers to the three previous questions are **NO**, please indicate here and do not complete the remainder of the survey.

B. REPOSITORY ENVIRONMENT

4. What type of agency or department has technical responsibility for the data repository? (i.e., controls the storage of data in the repository)
- State umbrella social services agency
 - State stand-alone child welfare agency
 - State department of justice
 - State department of information technology (outside of any of the above)
 - Don't know
 - Other:
Please specify: _____
5. What type of agency or department has business control over the data in the repository (i.e., controls the data contained in the repository)?
- State umbrella social services agency
 - State stand-alone child welfare agency
 - State department of justice
 - State department of information technology (outside of any of the above)
 - Don't know
 - Multiple agencies:
Please specify: _____
6. Please identify the types of agencies that directly provide data to the repository. (check all that apply)
- Public child welfare agencies (State and county)
 - Tribal child welfare agencies
 - Private children's services agencies in the State
 - State and local law enforcement (police, sheriffs' offices)
 - District Attorneys
 - Courts
 - Don't know
 - Others:
Please specify: _____
7. Are repository data stored in a relational database?
- Yes
 - No
 - Don't know

8. Please identify the agencies that have direct electronic access to the data files stored in this repository. (check all that apply)
- a. Public child welfare agencies (State and county)
 - b. Tribal child welfare agencies
 - c. Private children's services agencies in the State
 - d. State and local law enforcement (police, sheriff' offices)
 - e. District Attorneys
 - f. Courts
 - g. Don't know
 - h. Others:
Please specify: _____
9. How are data in the repository electronically accessed?
- a. Through a private network
 - b. Through the Internet
 - c. Both
 - d. Neither
 - e. Don't know

C. CONTENTS OF THE DATA REPOSITORY

10. Are the data in this repository statewide (including all counties and jurisdictions)?
- a. Yes
 - b. No:
Please explain: _____
 - c. Don't know
11. What is the scope of the data in this data repository? (check all that apply)
- a. All child welfare automated case information
 - b. Child maltreatment perpetrators regardless of legal action
 - c. Child maltreatment perpetrators who have been convicted of civil offenses
 - d. Child maltreatment perpetrators who have been convicted of criminal offenses
 - e. Alleged child maltreatment perpetrators
 - f. Don't know
 - g. Other:
Please specify: _____
12. How many years of data does this repository have on child maltreatment perpetrators?
- a. Less than one year
 - b. 1-4 years
 - c. 5-9 years
 - d. 10-14 years
 - e. 15 or more years

13. Are data included from Native American or Alaska Native tribes in the State?
- a. Yes, all tribes
Please specify: _____
 - b. Yes, certain tribes only
Please specify: _____
 - c. No
 - d. There are no tribal governments or jurisdictions in my State
 - e. Don't Know
14. What proportion of all persons determined to be child maltreatment perpetrators would you estimate are in this repository?
- a. All or nearly all
 - b. Most
 - c. About half
 - d. Less than half
 - e. Don't know
15. Which of the following data elements does this repository include for all child maltreatment perpetrators? (check all that apply)
- a. Name of child maltreatment perpetrator
 - b. Alternative perpetrator names
 - c. Unique perpetrator identifier
 - d. Last known address
 - e. Date of birth
 - f. Age
 - g. Sex/gender
 - h. Race/ethnicity
 - i. SSN
 - j. Type of substantiated maltreatment
 - k. Date(s) of disposition
 - l. Relationship to child victim
 - m. Status of any legal proceedings
 - n. Zip code of last known address
 - o. County of last known address
 - p. Other:
Please specify: _____

16. Of the data elements identified above, how accurate would you estimate the data are on all child maltreatment perpetrators in this repository? (This question is not asking about missing information but is asking how accurate are the data contained in the data repository.)
- Very accurate (better than 95 percent)
 - Somewhat accurate (90 to 95 percent)
 - Somewhat inaccurate (70 to 89 percent)
 - Very inaccurate (less than 70 percent)
 - Don't know
17. Of the data elements identified above, what percent of data on the child maltreatment perpetrators in the repository would you estimate are missing?
- Less than 5 percent
 - 5–9 percent
 - 10–14 percent
 - 15–19 percent
 - 20 or more percent
 - Don't know
18. Which of the following data elements does the repository maintain on all victims of child maltreatment? (check all that apply)
- Name of victim child
 - Alternative names (aliases)
 - Last known address
 - Date of birth or age
 - Sex/gender
 - Race/ethnicity
 - Date of incident
 - Type of maltreatment
 - Date(s) of disposition
 - Relationship of perpetrator to child victim(s)
 - Information regarding the assigned agency/worker
 - Whether the child was placed in foster care as a result of the maltreatment
 - Status of any legal proceedings
 - Unique child identifier
 - Don't know
 - Other:
Please specify: _____

19. Of the data elements identified above, how accurate would you estimate the data are on child victims in this repository? (This question is not asking about missing information but is asking how accurate is the data contained in the data repository.)
- Very accurate (better than 95 percent)
 - Somewhat accurate (90 to 95 percent)
 - Somewhat inaccurate (70 to 89 percent)
 - Very inaccurate (less than 70 percent)
 - Don't know
20. Does the repository include any of the following additional information? (check all that apply)
- Name and contact information of agency or individual that made the initial report of alleged maltreatment
 - Name and contact information of the person who conducted the child protective services investigation
 - Name and contact information of the agency that submitted the data to the repository, if different from person listed above
 - None of the above
 - Don't know
 - Other:
Please specify: _____

D. MAINTAINING DATA ON THE REPOSITORY

21. How often are data submitted to this data repository?
- As created (real-time)
 - Daily
 - Weekly
 - Monthly
 - Less than once a month
 - Don't know
22. Have data submitted to the repository been validated?
- Yes
 - No (Skip to Q25)
 - Don't know (Skip to Q25)

23. Are submitting agencies notified of invalid or incomplete submissions and asked to resubmit corrected data?

- a. Yes
- b. No
- c. Don't know
- d. Not applicable

Please explain: _____

24. Do you expunge or purge data regularly?

- a. Yes
- b. No (Skip to Q27)
- c. Don't know (Skip to Q27)

25. What is the length of time after the maltreatment date or disposition date that data are expunged or purged?

- a. Less than 5 years
- b. Between 5 and 10 years
- c. Between 11 and 20 years
- d. More than 20 years

26. Under what conditions are data expunged or purged from the data repository? (check all that apply)

- a. Successful challenge to being determined a perpetrator of child maltreatment
- b. Successful challenge to being designated as a perpetrator of child abuse and neglect on the repository
- c. Passage of a certain amount of time since the person was determined to be a perpetrator of abuse and neglect
- d. All children involved in the abuse and neglect incident have reached a certain age
Indicate age: _____
- e. All children in the home are 18 years of age or older
- f. Perpetrator of child abuse and neglect was acquitted of criminal charges related to abuse and neglect
- g. Death of the perpetrator
- h. Other:

Please list: _____

E. FUTURE NATIONAL REGISTRY OF CHILD MALTREATMENT PERPETRATORS

There is discussion of creating a National Registry of Child Maltreatment Perpetrators. It is anticipated that if such a registry were created, States would provide only limited information on substantiated child maltreatment perpetrators. The data under discussion currently include only the name and State of the person. Please consider the following questions with regard to using such a registry. Your answers to the following questions will be reported in the aggregate. No State-specific data will be reported.

27. If your State were to participate in a National Registry of Child Maltreatment Perpetrators, which data source would your State use?

- a. Statewide child welfare information system
- b. Not applicable
- c. Don't know
- d. Other:

Please specify: _____

28. Which of the following data elements do you anticipate your State would be able to provide if the State decided to participate? (check all that apply)

- g. Name of child maltreatment perpetrator
- h. Alternative names (e.g. married names, aliases)
- i. Last known address
- j. Date of birth or age
- k. Sex/gender
- l. Race/ethnicity
- m. Type(s) of substantiated maltreatment
- n. Date(s) of disposition
- o. Relationship to child victim(s)
- p. Status of any legal proceedings
- q. Don't know
- r. Other:

Please specify: _____

29. If a National Registry of Child Maltreatment Perpetrators was created, the following persons could be included. Please indicate if your State has the technical capacity to submit data following the criteria below.

	Yes	No	Don't know
a. Child maltreatment perpetrators who have been found by the CPS agency to have been responsible for child abuse or neglect	—	—	—
b. Child maltreatment perpetrators who have been found to be responsible at the highest level of child maltreatment finding under State law	—	—	—
c. Child maltreatment perpetrators who are 18 years or older at the time of the reported incident	—	—	—
d. Child maltreatment perpetrators who have been notified per State law or policy of the designation of being a perpetrator in the data repository	—	—	—
e. Child maltreatment perpetrators whose findings are not under appeal or review	—	—	—

30. From an operational perspective, how often could your State submit data to a National Registry of Child Maltreatment Perpetrators?

- a. Once a year
- b. Twice a year
- c. More frequently than twice a year
- d. As often as requested
- e. Don't know

31. Would it be easier to:

- a. Submit unduplicated data with minimal information per child maltreatment perpetrator
- b. Submit one record on each child maltreatment perpetrator for each finding of having maltreated a child (duplicated information)
- c. Either is fine
- d. Don't know

32. Would it be easier to:

- a. Submit only updates to existing data, including additions and deletions
- b. Resubmit the whole file with a number of years of data
- c. Either is fine
- d. Don't know

33. What might be the barriers to participating in a future National Registry of Child Maltreatment Perpetrators?

34. What might be the benefits to participating in a future National Registry Child Maltreatment Perpetrators?

35. Would the potential benefits of participating in a National Registry of Child Maltreatment Perpetrators outweigh the potential problems?
 - a. Yes
 - b. No
 - c. Don't know

Please provide any additional feedback regarding the establishment of a National Registry of Child Maltreatment Perpetrators.

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APPENDIX B.
**Methodology: State Recruitment,
Key Informant Survey, and Prevalence Study**

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APPENDIX B. METHODOLOGY: STATE RECRUITMENT, KEY INFORMANT SURVEY, AND PREVALENCE STUDY

RECRUITMENT OF THE STATES

WRMA engaged in a single recruitment effort for both the Key Informant Survey and the Prevalence Study, approaching all 50 States, the District of Columbia, and Puerto Rico.¹ Primary contacts in each State, usually State child welfare directors, were sent recruitment packets, including letters describing the purpose of the study, the nature of the data requested, and the estimated time required to respond. Copies of the surveys were also provided in the recruitment packet. Trained staff followed up with a telephone call approximately 1 week later to confirm receipt of the packet, to make an appointment to discuss the project, and to seek each State's participation.

Primary contacts who agreed to have their State participate supplied the names and contact information for respondents for each of the surveys and the prevalence study. These respondents were contacted by email with a packet of information about the data they were asked to supply and a timeframe for their response (2 weeks for the surveys, 1 month for the prevalence study data). Detailed instructions for accessing and completing the online KIS surveys or preparing and submitting prevalence data, as appropriate, were also supplied.

Verbal and written reminders were sent to all contacts shortly before their data were due. Additional reminders were sent after the initial due date to those who had not completed their data submission. A total of 38 States (including Puerto Rico) completed one or more of the three KIS surveys, with 36 States completing each of the surveys. Twenty-two States provided data for the prevalence study.²

KEY INFORMANT SURVEY

For the Key Informant Survey, three stand-alone online questionnaires were fielded: (1) Current Legal and Policy Requirements Regarding Sharing Information on Child Maltreatment Perpetrators (Legal/Policy Questionnaire), (2) Current Practices on Sharing Information on Child Maltreatment Perpetrators (Current Practices Questionnaire), and (3) Technical Information on Data Repositories of Child Maltreatment Perpetrators (Technical Questionnaire). Each of the questionnaires was self-administered online by State respondents using Survey Monkey.™ In a small number of States, more than one respondent filled out separate versions of the same

¹ Puerto Rico was not recruited for the Prevalence Study due to a lack of Census migration data between it and the 51 States (including the District of Columbia) necessary to model national estimates.

² New Mexico supplied data for an earlier pilot of the prevalence study, but was unable to participate in the actual study. The pilot data were used in analyses to identify perpetrators who had moved to other States, but no 2009 data were available to estimate interstate perpetrators in New Mexico itself. That estimate was modeled as for nonparticipating States.

questionnaire. In such cases, the answers were reviewed and consolidated into a single set of answers by WRMA staff. In the few instances in which answers differed, respondents were contacted to resolve the inconsistencies prior to consolidation.

A review of current State law in the States that did not participate in the Legal/Policy Questionnaire was conducted to provide a more comprehensive status of State law. Eleven questions were identified for follow-up based on the likelihood that State law would address the issue. These included questions 1, 5, 6, 9, 13, 20, 26, 34, 35, 36, and 37. In addition, information for question 4 was obtained from Child Maltreatment 2009.³ States for which responses were added included Alaska, California, District of Columbia, Hawaii, Idaho, Iowa, Kentucky, Massachusetts, Mississippi, Montana, Pennsylvania, Utah, Vermont, Washington, West Virginia, and Wisconsin.

Data were downloaded into SPSS for data checking and analysis. Unless otherwise indicated in text or tables, all percentages were calculated based on 36 States. For some of the tables, the percentages were calculated based on 52 States, and this is noted. These are tables for which additional data were obtained for nonparticipating States, based on a review of existing State law.

PREVALENCE STUDY: CREATING NATIONAL ESTIMATES

Overview

WRMA's core data set for creating national estimates of interstate perpetrators of child maltreatment consists of individual perpetrator and child data extracted from the 2005-2009 NCANDS microdata child files, supplemented with name and date of birth information for each substantiated perpetrator to facilitate interstate matching. Last names were encoded to protect confidentiality and to facilitate matching. Perpetrators ages 18 and older at the time of the report were included. The ultimate goal was to model a national estimate of the number of substantiated perpetrators in 2009 that had prior substantiations in other States within the previous 5 years, providing an estimate of the number of matches that might be expected over the course of a year from a fully functioning national registry of substantiated maltreatment perpetrators.

Twenty-two States supplied encoded name and date of birth data for the prevalence study, covering 54 percent of the U.S. population. For each participating State, the number of matches found with records from other participating States was adjusted upwards to account for interstate perpetrators from nonparticipating States based on 5-year interstate migration rates from the 2000 Decennial Census. For non-participating States, WRMA modeled estimates of interstate perpetrators using State aggregate totals of unique substantiated perpetrators, applying an interstate perpetration rate derived from the prevalence data, and adjusted for each State using interstate migration rates from the 2000 Census. Finally, when estimates had been produced for all 50 States and the District of Columbia using these methods, a national estimate was produced.

³ U.S. Department of Health and Human Services, Administration on Children, Youth, and Families, Children's Bureau. (2010). *Child Maltreatment 2009* Available from <http://www.acf.hhs.gov/programs/cb/pubs/cm09/cm09.pdf>.

The Prevalence Database

The prevalence database was created to facilitate the matching of perpetrator records across States, and to support analysis of selected interstate perpetrators' characteristics. Individual records were produced for each substantiated perpetrator age 18 and older based on NCANDS child/perpetrator records for 2005–2009. Each record contains the encrypted CaseID, selected demographic characteristics of the perpetrator, as well as maltreatment type and date of birth for each child related to that CaseID.

NCANDS data are necessary but not sufficient to support matching of perpetrators across States. WRMA approached all States for additional information on substantiated perpetrators that would allow it to make a reasonable match across States. A major constraint was that States, for reasons of confidentiality, would likely not provide information such as a social security number or complete names that would allow for the unique identification of perpetrators. Instead, WRMA asked States for the date of birth, an encoded version of the perpetrator's last name, and first initial of the first name. This information, combined with the data extracted from the NCANDS records, WRMA felt would support a high probability match while maintaining confidentiality.

The Interstate Record Matching Process

To determine the optimal matching algorithm, a progressively restrictive set of matching criteria was estimated. The first algorithm relied only on matching the encoded last name and first initial of each perpetrator. This is the only algorithm that would be possible under the current law, which allows only name and maltreatment type case-record information. This resulted in one or more interstate matches for 88.6 percent of all perpetrators in 2009 among participating States. Of those that matched, matches were found in three or more States in 85.1 percent of the cases. (See table 23 and 24 in Section II of this report.)

The addition of the sex of the perpetrator to the algorithm reduced the percentage of perpetrators with one or more interstate matches only slightly to 83.4 percent. Adding the perpetrator's date of birth to their sex and name information produced an overall match rate of 0.7 percent, or 2,022 matches among the participating States. Of those, only 44, or 2.2 percent, found matches in more than one State. (See table 25 in Section II of this report.)

The algorithm using encoded last name, first initial, sex, and date of birth produced a reasonable match rate that eliminated nearly all matches to more than one State. Further, it is based on very complete data, with 97.9 percent of all perpetrator records containing valid data for all three characteristics. Further, if one assumes that about 16.7⁴ percent of all substantiated perpetrators will reoffend within 5 years, and that they move between States at a rate similar to the general population in 2000 (8.9 percent),⁵ then one might expect an interstate match rate of about 1.5

⁴ This is based on a finding that 16.7 percent of child victims of maltreatment had been revictimized within 5 years. Cited in U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation. (2009). *Interim Report to the Congress on the Feasibility of a National Child Abuse Registry*. Washington, D.C. p. 16.

⁵ Molloy, R., Smith, C., Wozniak, A. (2011). *Internal Migration in the United States*. Table 1. Finance and Economic Discussion Series, Divisions of Research and Statistics and Monetary Affairs, Federal Reserve Board, Washington, D.C. paper 2011–30.

percent. When the 0.7 percent match rate among participating States is inflated to account for data from nonparticipating States, the rate doubles to roughly 1.5 percent.

One additional check on the final algorithm was performed, examining the percentage of those matches in which the birth date of at least one of the children that could be connected to the perpetrator in the 2009 reports matched the birth date of children in the matching report. The result was a match rate of 27 percent, or about one-quarter of the records that matched using the perpetrator's name, sex, and date of birth alone. There are a number of reasons why one would not find a match on children's dates of birth, even when it is, in fact, the same perpetrator. First, it is not uncommon for birth dates to be inaccurate. In addition, fewer than one-half the States regularly include all children in the household in a maltreatment report. So, while the true match rate is probably substantially higher than 27 percent, this nevertheless indicates that the algorithm using only the perpetrator's name, sex, and date of birth included a significant proportion of false positives, and should be treated as an upper-end estimate.

CREATING ESTIMATES FOR PARTICIPATING STATES

The number of matches identified for each participating State in the prevalence study included only those perpetrators from other States also participating in the prevalence study. An adjustment to that number was required to account for interstate perpetrators coming from nonparticipating States. This adjustment was derived from 5-year interstate migration rates taken from the 2000 Decennial Census. In 2000, respondents were asked where household members lived 5 years before, in 1995. From these data the U.S. Census Bureau produced counts of interstate migration flows from each State to every other State for all persons ages 5–64 in 2000. Using these data, for each State, WRMA calculated the percentage of all Census interstate migrants who originated in States represented in the prevalence study. This percentage was used to create an inflation factor, which was then applied to the number of interstate perpetrators calculated through the matching process, to produce an estimate of the total number of interstate perpetrators coming from all 50 States and the District of Columbia.

For example, say that the matching process identifies 450 interstate perpetrators in State X. Examining the census migration data reveals that 60 percent of all migrants into State X in 2000 came from one of the States that participated in the prevalence study. By taking the inverse of that 60 percent ($1.0/0.60 = 1.66$) one can estimate the total number of interstate perpetrators for State X to be $450 * 1.66 = 747$.

This estimation was produced for each of the participating States in the prevalence study.

CREATING ESTIMATES FOR NONPARTICIPATING STATES

Estimates for nonparticipating States must, of course, be modeled differently due to the lack of any actual data on interstate child maltreatment perpetrators. One begins by calculating the average interstate perpetration rate among the participating States (IAPR). This is accomplished by summing the total number of interstate child maltreatment perpetrators calculated in the

matching process, and dividing it by the total number of substantiated child maltreatment perpetrators for the most recent year.

Next, this average rate for each State was adjusted to reflect the fact that States can have very different rates of persons migrating to them from other States. Some popular destination States such as Arizona have relatively high rates while others, such as Michigan, have lower rates.

Individual States' immigration rates can differ substantially. Using the Census data described above, a Census interstate migration rate was calculated for each nonparticipating State (SCIMR) and divided by the overall national census immigration rate (NCIMR), which is just the percentage of all persons in the U.S. ages 5 to 64 who lived in a different State 5 years before. The $SCIMR/NCIMR = SMA$, or the State migration adjustment. For example, if a State's immigration rate is 5 percent and the national rate is 4 percent, the $SMA = 5/4 = 1.25$. The SMA is applied to the IAPR in order produce an adjusted interstate perpetration (AIP) rate for each nonparticipating State: $SMA * IAPR = AIP$.

Finally, the total number of unique substantiated child maltreatment perpetrators in each nonparticipating State (taken from the most recent year of NCANDS data) was multiplied by the AIP to produce the estimated number of interstate child maltreatment perpetrators for each nonparticipating State. It must be noted that unique child maltreatment perpetrator counts were not available from any source for North Dakota, Oregon, and Georgia. NCANDS aggregate duplicated counts of substantiated maltreatment victims were available for these States. To develop an estimate of unique perpetrators for these States, the ratio of unique perpetrators to duplicate victims for all reporting States within NCANDS was calculated and multiplied by the duplicated victim count for each of the three States (North Dakota, Oregon, and Georgia) to estimate the number of unique perpetrators in each State.

Creating the National Estimate

The final step in the process of creating national estimates was straightforward. The estimated number of substantiated child maltreatment perpetrators for each of the 50 States and the District of Columbia, participating and nonparticipating, were summed to produce a national estimate for the total number of substantiated child maltreatment perpetrators. To produce a national rate, that total was divided by the total number of child maltreatment perpetrators across the 50 States and the District of Columbia. These numbers are all reported in the body of the report.

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APPENDIX C.
Guidelines and Procedures
For Preparing a Data File for the Prevalence Study

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According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0990-0366. The time required to complete this prevalence study request is estimated to average 39 hours per response, including the time to review instructions, search existing data resources, gather the data needed and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Health & Human Services, OS/OCIO/PRA, 200 Independence Ave., S.W., Suite 537-H, Washington, D.C. 20201 Attention: PRA Reports Clearance Officer.

Feasibility Study for a
National Registry of Child Maltreatment Perpetrators

**Guidelines and Procedures
for Preparing a Data File for the Prevalence Study**

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TABLE OF CONTENTS

1.0 BACKGROUND 1

2.0 DATA SUBMISSION OVERVIEW 1

3.0 DOWNLOADING THE PERP FILE AND THE PENCODER SOFTWARE APPLICATION..... 3

4.0 SPECIFICATION FOR CREATING THE DATA FILES 4

4.1 Perpetrator Extract File (PErp File)..... 4

4.2 Unencoded Perpetrator State Dataset (UPSD) File 4

4.3 Perpetrator Encoding (Pencoder) Software Application 6

4.4 Perpetrator State Dataset (PSD) File 7

5.0 USING THE PENCODER SOFTWARE APPLICATION 8

5.1 System Requirements 8

5.2 Installing the Pencoder on a Local Computer..... 8

5.4 Launching the Pencoder..... 9

5.5 Location of Input and Output Files..... 9

6.0 SUBMITTING FILES TO THE REGISTRY PREVALENCE STUDY..... 9

APPENDIX A. LOCATING PERPETRATORS IN THE STATE SYSTEM 11

1.0 BACKGROUND

The Office of the Assistant Secretary for Planning and Evaluation (ASPE), US Department of Health and Human Services is conducting a study to assess the feasibility of developing and maintaining a National Registry of Child Maltreatment Perpetrators as mandated under the Adam Walsh Child Protection and Safety Act of 2006. Walter R. McDonald & Associates Inc (WRMA) has been contracted to conduct the study. The study has two parts: a Key Informants Survey and a Prevalence Study.

The purpose of the Prevalence Study is to estimate how frequently child maltreatment perpetrators have substantiated investigations in multiple States. In order to make these estimates possible, States are asked to provide date of birth and encoded (and therefore not identifiable) names for all persons found to be substantiated perpetrators during the previous 5 years (FFY 2005-2009). The Federal fiscal year (FFY) begins October 1st and ends on September 30th of the next calendar year. The States are asked to provide information on substantiated perpetrators during October 1st 2004 and September 30th 2009.

The States will be assisted in this task in many ways. Each State will be assigned a prevalence study technical team liaison who will provide technical assistance throughout the data preparation and submission process.

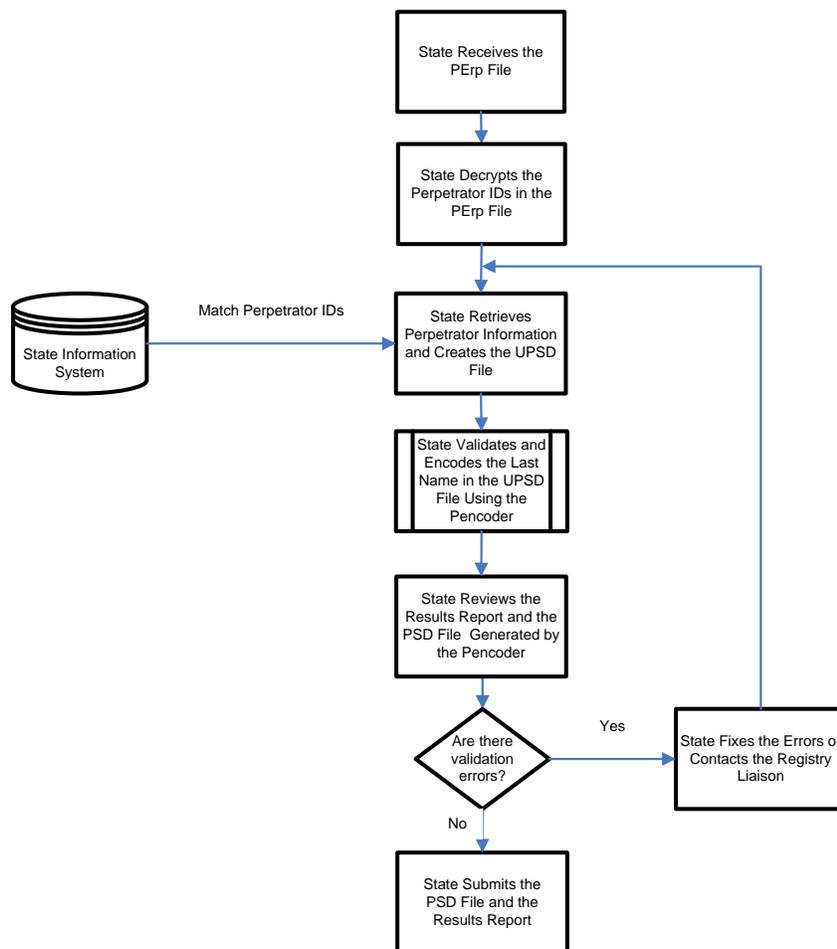
This document provides a description of the process for preparing and submitting data for the prevalence study.

2.0 DATA SUBMISSION OVERVIEW

States participating in the study are requested to provide date of birth and encoded (and therefore not identifiable) names for all persons found to be substantiated perpetrators during the previous 5 years (FFY 2005-2009). *Exhibit 2-1, Data Preparation and Submission Process*, graphically depicts the activities that comprise the data collection processes. As can be seen in the diagram, States will be assisted in several ways to reduce the effort in participating.

States will *receive* from the study contractor, WRMA, the Perpetrator Extract File (PERp File). This file contains all perpetrator IDs (associated with substantiated maltreatments) for the State, for the last five years, which have been submitted to NCANDS. The perpetrator IDs are unduplicated within year. The data will be extracted from the NCANDS Child Files. Section 3.0, *Downloading the PERp File and the Pencoder Application*, provides step-by-step instructions for downloading the PERp file for your State.

Exhibit 2-1, Data Preparation and Submission Process



The PERp file that the State receives (in TXT format) will consist of records with the State abbreviation, submission year, perpetrator ID, report date and the county of report. Refer specification in *Exhibit 4.1.1 Data File Specification for the PERp File*. The perpetrator IDs are unduplicated within each submission year, but are not unduplicated across the 5 years. If a perpetrator has abused more than one child or has more than one report associated with him/her the latest report date during the reporting period is used for the PERp file.

Upon receiving the PERp File, State decrypts each perpetrator ID and identifies the corresponding perpetrator in the State information system. Once the perpetrator is identified, the State encrypted perpetrator ID, first initial, last name, and the date of birth are appended to the PERp file to create a new file. This file is called the Unencoded Perpetrator State Dataset (UPSD) file. Refer specifications in *Exhibit 4.2.1 Data File Specification for the UPSD File*. The last name of the perpetrator in the UPSD file is not encoded. The UPSD file is the input for the encoding software. Appendix A provides examples of how perpetrators can be located in the State system using the PERp file.

In order to provide a file without the true name of the perpetrator, the State will also receive encoding software application called the Pencoder. The State uses the UPSD file in conjunction with the Pencoder. The Pencoder will encode the last name of each perpetrator in the UPSD file using the New York State Identification and Intelligence System (NYIIS) algorithm. The Pencoder will also validate the input file to make sure that all fields confirm to the specifications. Section 3.0, *Downloading the PErp File and the Pencoder Application*, provides step-by-step instructions for downloading the Pencoder software application for your State.

The Pencoder software application creates two output files, the Perpetrator State Dataset (PSD) file and the Results Report file. The PSD file contains all information in the UPSD file, however, with the last names encoded. Refer specifications in *Exhibit 4.4.1 Data File Specification for the PSD File*. The Results Report file contains the results of the validation of the data for conformity with the PSD file specifications. Both the files should be submitted to the study team through the secure web site described in section 5.0. The perpetrator information in the PSD file will be used to link to the existing NCANDS Child Files, to create the database for the prevalence study.

3.0 DOWNLOADING THE PERP FILE AND THE PENCODER SOFTWARE APPLICATION

The PErp file and the Pencoder software application will be available for States to download on a secure website called the Collaborator. Each State will have its own work area on the Collaborator and will not have access to other States information. The State user can download the compressed (zip) PErp file and the Pencoder package from the Collaborator as follows:

1. Go to www.wrma.com
2. Click on “Extranet” on the top menu. A new page for the Collaborator will open.
3. Enter the login information provided to you. Contact your registry technical team liaison if you have not received this information.
4. Click on Registry_<State Name>
5. Click on “Documents”
6. Click on “Registry”
7. The “<State Name> PErp File.zip” is the PErp file. Select “Download Document” from the dropdown list on the right and save the file into the **C:\Registry** folder on the State computer.
8. The “Registry Pencoder <Date>.zip” is the entire Pencoder package. Select “Download Document” from the dropdown list on the right and save the file into the **C:\Registry** folder on the State computer.

4.0 SPECIFICATION FOR CREATING THE DATA FILES

This section provides greater detail as to how the State creates the Perpetrator State Dataset (PSD) file. This includes describing the structure of the file, the data records in the file, the data elements in the records, and the procedures used for constructing the data file. Each State receives the PERp file and submits the Perpetrator State Dataset file.

4.1 Perpetrator Extract File (PERp File)

This file contains all perpetrator IDs (associated with substantiated maltreatments) for a State for the last five years (FFY 2005 - 2009). The Federal fiscal year begins October 1st and ends on September 30th of the next calendar year. The data have been extracted from the NCANDS Child Files. The perpetrator IDs have been unduplicated within each submission year. A single record consists of the State abbreviation, submission year, perpetrator ID, most recent report date, and the most recent report county. This file is submitted to the State in text format (TXT). The file is compressed (zip) to enable faster download.

Exhibit 4.1.1 Data File Specification for the PERp File

FIELD # (POSITION)	LONG NAME (SHORT NAME)	FIELD TYPE & CODES (Example)	FIELD LENGTH
1 (1-2)	STATE/TERRITORY (STATEAB)	ALPHABETIC (CT)	2
2 (3-6)	SUBMISSION YEAR (SUBYR)	NUMERIC (2007)	4
3 (7-18)	NCANDS PERPETRATOR ID (NPERPID)	ALPHANUMERIC (00004356ABDF)	12
4 (19-26)	REPORT DATE (RPTDT)	NUMERIC [mmdyyy] (12052008)	8
5 (27-29)	REPORT COUNTY (RPTCNTY)	NUMERIC (040)	3

Record Example:

CT200700004356ABDF12052008040 12051990

4.2 Unencoded Perpetrator State Dataset (UPSD) File

Upon receiving the PERp File, the State decrypts each perpetrator ID and identifies the corresponding perpetrator in the State information system. Once the perpetrator is identified, the State encrypted perpetrator ID, first initial, last name, and the date of birth are appended to the PERp file to create a new file. This file is called the Unencoded Perpetrator State Dataset (UPSD) file. The State encrypted perpetrator ID (STPERPID) is the encrypted version of the ID of the perpetrator in the State information system. In most cases this is the same as the perpetrator ID in

the PERp file. The State encrypted perpetrator ID will be used to unduplicate perpetrators across all 5 years. The last name of the perpetrator in the UPSD file is not encoded. The UPSD file is the input for the encoding software application. This file is in text format (TXT).

Exhibit 4.2.1 Data File Specification for the UPSD File

FIELD # (POSITION)	LONG NAME (SHORT NAME)	FIELD TYPE & CODES (Example)	FIELD LENGTH
1 (1-2)	STATE/TERRITORY (STATEAB)	ALPHABETIC (CT)	2
2 (3-6)	SUBMISSION YEAR (SUBYR)	NUMERIC (2007)	4
3 (7-18)	NCANDS PERPETRATOR ID (NPERPID)	ALPHANUMERIC (00004356ABDF)	12
4 (19-26)	REPORT DATE (RPTDT)	NUMERIC [mmddyyyy] (12052008)	8
5 (27-29)	REPORT COUNTY (RPTCNTY)	NUMERIC (040)	3
6 (30-41)	STATE ENCRYPTED PEPETRATOR ID (STPERPID)	ALPHANUMERIC (00004356ABDF)	12
7 (42)	UNENCODED FIRST INITIAL (FIRSTINI)	ALPHABETIC (D)	1
8 (43-92)	UNENCODED LAST NAME (LASTNM)	ALPHABETIC (SMITH, smith, Smith)	50
9 (93-100)	PERPETRATOR DATE OF BIRTH (PERPDOB)	NUMERIC [mmddyyyy] (12051990)	8

Record Example:

CT200700004356ABDF1205200804000004356ABDFDSMITH 12051990

Special Instructions:

1. The State encrypted perpetrator ID should be left-filled with zeroes, as needed to the 12 character length. For example, a perpetrator ID of “4356ABDF” is invalid. It should be reported as “00004356ABDF”.
2. The report date and the perpetrator date of birth must be in month-day-year (mmddyyyy) format.
3. The unencoded first initial should be in caps. Ex: D for David.
4. The unencoded last name should be right-filled with spaces, as needed, to the 50 character length.

5. If data for a field are unavailable, the field should be filled with blank spaces in accordance with the field length.
6. Do not provide information on unknown, anonymous, and dummy perpetrators. In such cases the first initial (FIRSTINI), last name (LASTNM), and the date of birth (PERPDOB) fields should be blank spaces in accordance with the field length.
7. If a perpetrator cannot be located in the State system the State perpetrator ID (STPERPID), first initial (FIRSTINI), last name (LASTNM), and the date of birth (PERPDOB) fields should be blank spaces in accordance with the field length. Example: The perpetrator substantiation may have been overturned.

4.3 Perpetrator Encoding (Pencoder) Software Application

The last name information in the UPSD file is encoded by the Pencoder software application. The output file from the Pencoder will be similar in format as the input file. However, the last name information will be encoded using the NYSIIS algorithm. The Pencoder software is provided to the State along with the PErp file.

The Pencoder will also validate the input file to make sure that all fields confirm to the specifications. The validation rules enforced in the Pencoder are as follows:

1. A valid State code should be entered in the State abbreviation (STATEAB) field. If invalid data are found, the entire record is removed.
2. The report date (RPTDT) field should have valid month, day and year values. If invalid data are found, the RPTDT field is blanked.
3. The report county (RPTCNTY) field should be three characters in length. Ex: 029, 001. If invalid data are found, the RPTCNTY field is blanked.
4. The NCANDS perpetrator ID (NPERPID) cannot be blank. If the field is blank, the entire record is removed.
5. The NCANDS perpetrator ID (NPERPID) field should be alphanumeric and 12 characters in length. If invalid data are found, the entire record is removed.
6. The State perpetrator ID (STPERPID) field should be alphanumeric and 12 characters in length. If invalid data are found, the entire record is removed. The STPERID field can be blank.
7. The first initial (FIRSTINI) field should be alphabetic. If invalid data are found, the FIRSTINI field is blanked.
8. The last name (LASTNM) field should be alphabetic. The only special characters allowed are the hyphen and the apostrophe. If invalid data are found, the entire record is removed.
9. The perpetrator date of birth (PERPDOB) field should have valid month, day and year values. If invalid data are found, the PERPDOB field is blanked.

The errors, if any, found during the validation and encoding process are reported in Results <date time>.txt file. This file is also an output of the Pencoder. States are requested to review this document, fix the errors, if any, in the UPSD file, and run it through the Pencoder again. The registry technical team liaison will be available to provide technical assistance.

More information about using the Pencoder software application is under section 5.0 *Using the Pencoder Software Application*.

4.4 Perpetrator State Dataset (PSD) File

This file is the output of the Pencoder software and is automatically generated after encoding the last names in the UPSD file. This file should be submitted to the prevalence study. This file is in text format (TXT).

Exhibit 4.4.1 Data File Specification for the PSD File

FIELD # (POSITION)	LONG NAME (SHORT NAME)	FIELD TYPE & CODES (Example)	FIELD LENGTH
1 (1-2)	STATE/TERRITORY (STATEAB)	ALPHABETIC (CT)	2
2 (3-6)	SUBMISSION YEAR (SUBYR)	NUMERIC (2007)	4
3 (7-18)	NCANDS PERPETRATOR ID (NPERPID)	ALPHANUMERIC (00004356ABDF)	12
4 (19-26)	REPORT DATE (RPTDT)	NUMERIC [mmddyyyy] (12052008)	8
5 (27-29)	REPORT COUNTY (RPTCNTY)	NUMERIC (040)	3
6 (30-41)	STATE ENCRYPTED PEPETRATOR ID (STPERPID)	ALPHANUMERIC (00004356ABDF)	12
7 (42)	UNENCODED FIRST INITIAL (FIRSTINI)	ALPHABETIC (D)	1
8 (43-92)	ENCODED LAST NAME (LASTNM)	ALPHABETIC (SRRRIA)	50
9 (93-100)	PERPETRATOR DATE OF BIRTH (PERPDOB)	NUMERIC [mmddyyyy] (12051990)	8

Record Example:

CT200700004356ABDF1220200704000004356ABDFDSRRRIA 12051990

5.0 USING THE PENCODER SOFTWARE APPLICATION

The State will receive encoding software application called the Pencoder. The UPSD file is the input to the Pencoder. The Pencoder will encode the last names of the perpetrators in the UPSD file using the New York State Identification and Intelligence System (NYIIS) algorithm. The Pencoder will also validate the input file to make sure that all fields confirm to the specifications.

5.1 System Requirements

The Pencoder is implemented as a relational database application in Microsoft Access 2003. Users must have Access 2003 or later installed on their computer. The Pencoder application operates in both Microsoft Windows XP/Vista/7 environments. A single Pencoder Access database file contains all of the system data, programming modules, tables, queries, forms, and reports necessary for the operation of the application. The input to the Pencoder is the State Unencoded State Dataset (UPSD) File. The output from Pencoder is the PSD File along with a report with results from the validation and encoding processing. All intermediate data sets created during the processing are contained within the Pencoder Access database. The Pencoder is distributed as a compiled Access file (MDE) along with essential documentation, including this Guidelines document. The distributed size of the Access file is about 8mb.

The hardware needed to run Pencoder includes: processor speed of 2.0 GHz, 1-2 GB of RAM and sufficient hard drive space to dedicate a gigabyte to the Pencoder database file (smaller datasets would need less hard drive space).

5.2 Installing the Pencoder on a Local Computer

The Pencoder is installed by unzipping and extracting the compressed (zip) Perpetrator package file:

C:\Registry\ Registry Pencoder <Date>.zip

into the user's C:\Registry folder. When the extraction occurs, a file structure will be created under the C:\Registry\ folder with the following folder structure and file contents being populated:

- C:\Registry\Pencoder\Input\BMRegistry.txt (BM test file);
- C:\Registry\Pencoder\Output\Log.txt (Test file);
- C:\Registry\Pencoder\Registry Pencoder.mde

5.4 Launching the Pencoder

The Pencoder is launched by double clicking on the Access file located at:

C:\Registry\Pencoder\Registry Pencoder.mde.

5.5 Location of Input and Output Files

The UPSD input file is typically stored in the C:\Registry\Pencoder\Input\ folder. The Pencoder places the encoded PSD File in the C:\Registry\Pencoder\Output\ folder. The filename of the output PSD File is of the format: <State>_yyyymmdd_hhmmss.txt, where the date and time in the file name is set to the time the file was opened for writing. The Results Report created by Pencoder is placed in the same folder with the filename format of Results<State>_yyyymmdd_hhmmss.txt.

6.0 SUBMITTING FILES TO THE REGISTRY PREVALENCE STUDY

A State submits the Perpetrator State Dataset (PSD) file and the Result Report file. The files are submitted to and from the States on the Collaborator.

The State user can upload the files to the Collaborator as follows:

1. Go to www.wrma.com
2. Click on “Extranet” on the top menu. A new page for the Collaborator will open.
3. Enter the login information provided to you.
4. Click on Registry_<State Name>.
5. Click on “Documents”.
6. Click on “Registry”.
7. Click on “Add Document” link on the top of the page.
8. On the “Add Document” page, scroll to the bottom of the page and click on the “Add” button.
9. On the “Open Document” dialog screen, browse and select the PSD file. Click on “Open”.
10. Click on “Add Document” link on the top of the page.
11. On the “Add Document” page, scroll to the bottom of the page and click on the “Add” button.
12. On the “Open Document” dialog screen, browse and select the Results Report file. Click on “Open”.
13. Click on the “Submit” button to submit your file.

14. The registry technical team liaison for your State will review the files you submitted and will contact you with any questions or concerns.

Thank you for your participation in the Prevalence Study. If you have any questions please contact the prevalence study liaison assigned to your State. Please contact Brett Brown at bbrown@wrma.com or 301-881-2590 if you do not have the contact information of the liaison.

APPENDIX A. LOCATING PERPETRATORS IN THE STATE SYSTEM

The PERp file contains all perpetrator IDs (associated with substantiated maltreatments) for a State for the last five years. The data have been extracted from the NCANDS Child Files. The perpetrator IDs have been unduplicated within each submission year. A single record consists of the State abbreviation, year, perpetrator ID, most recent report date, and the most recent report county. This file is provided to the State in text format (TXT).

There are a number of ways to locate perpetrators in the State system using the information in the Perp file. The typical way is to load the data in the PERp file into a database table in the State system. Since the Perp file is available in TXT format and has only 5 fields the extract, transform, and load process into the database should be straightforward. Once loaded the perpetrator ID can be used to match across the database table(s) with the perpetrator information.

If the encrypted perpetrator ID (submitted for NCANDS) is not stored in the State system then the PERp file needs to be processed to obtain the unencrypted perpetrator ID. Once the unencrypted perpetrator ID is obtained the entire PERp file with the unencrypted perpetrator ID can be loaded into a database table and matches using the perpetrator ID can be made as mentioned above.

Another way to locate perpetrators is to extract the required information for all perpetrators for the last five years from the State system. This extract file can be used to match against the PERp file. The UPSD file can be created by combining certain fields from both the files. The matching process might be inefficient as the perpetrator extract from the State system may be large. The use of a Database Management System (DBMS) is preferred.

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