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# THE VALUE OF POLYGRAPH TESTING IN SEX OFFENDER MANAGEMENT

## Research Report Submitted to the National Institute of Justice

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# INTRODUCTION

According to a national telephone survey conducted by the Colorado Division of Criminal Justice,<sup>1</sup> 16 percent of probation and parole agencies nationwide used the post-conviction polygraph with adult sex offenders in 1998.<sup>2</sup> Despite the polygraph's relatively limited use, the value of applying polygraph technology to the risk management of adult sex offenders became clear during the course of the research reported here.

This report builds on a previous 1996 study undertaken by the Colorado Division of Criminal Justice for the National Institute of Justice, which indicated that in 1994 fewer than ten percent of probation and parole agencies used the post-conviction polygraph (English, Colling-Chadwick, Pullen, and Jones, 1995; English, Pullen, and Jones, 1996; English, Pullen, and Jones, 1997). The 1996 study focused on describing the most promising case management practices of adult sex offenders on probation and parole nationwide. Findings included a description of policies and practices that effectively contained the risk of sex offenders serving sentences in the community.<sup>3</sup> This collection of selected policies and practices was labeled a "containment approach."<sup>4</sup>

The containment approach is a five-part strategy. Each of the five parts represents a fundamental element in the effective management of adult sex offenders. In the current study, we again found these same elements must be present to maximize the effects of risk management efforts by criminal justice professionals. A comprehensive containment approach to the risk management of adult sex offenders must include the following components:

1. **A clearly articulated community safety/victim-oriented mission** that requires case decisions, individual case practices, and cross-agency policies to be based on methods that prevent harm toward current and potential victims by known sex offenders.

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1 This research was supported by grant number D97LBVX0034 from the National Institute of Justice to the Colorado Division of Criminal Justice. The views expressed here are those of the authors and do not necessarily represent the position of the National Institute of Justice.

2 The 16.1 percent indicates those agencies that reported using the polygraph "often" or "always." Appendix A contains the findings from the 1998 telephone survey.

3 Approximately 60% of convicted sex offenders receive sentences to probation and, of those that go to prison, 98% eventually return to the community (Greenfeld, 1997).

4 Researchers and policy analysts at the Division of Criminal Justice, in the Colorado Department of Public Safety, began studying the management and containment of adult sex offenders in 1993. For the first study, we conducted a national telephone survey of a stratified (by population density and geography) sample of 732 probation and parole supervisors. The telephone survey was part of a two-year investigation that included an extensive literature review on victim trauma and sex offender treatment, and a systematic document review of scores of materials ranging from agency memoranda and protocols to legislation and administrative orders. The study included field research in 13 jurisdictions in six states. During the field research over one hundred interviews were conducted with professionals with expertise in sex crimes, including law enforcement officers, defense and prosecuting attorneys, judges, victim counselors and advocates, child protective workers, probation and parole administrators, supervisors and officers, treatment providers, polygraph examiners, and sex offenders. The findings from the research resulted in a description of a promising approach for managing adult sexual offenders. A description of this *Containment Approach* is available elsewhere (for example, see English, Pullen, & Jones, 1996; English, Pullen and Jones, 1997; and English, 1998).



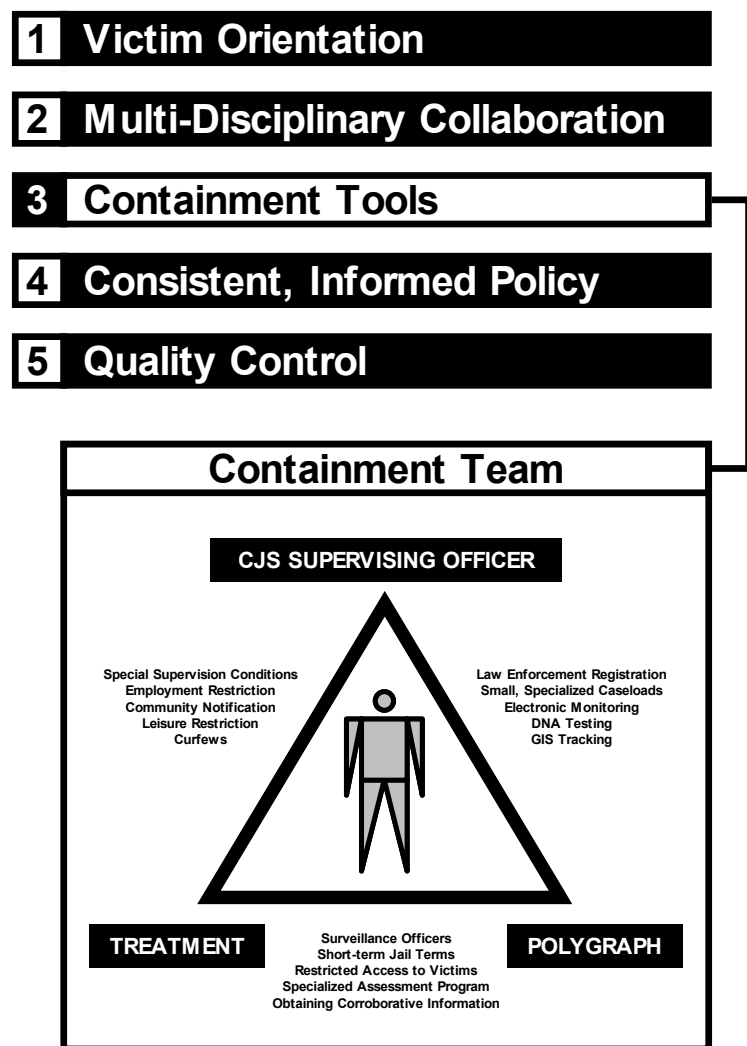
2. **The coordinated activity of many well-informed, multi-disciplinary, intra- and interagency collaborative teams**, with participating agencies committed to developing specialized sex crime units where possible and appropriate. This teaming integrates expertise from the victim community, law enforcement, probation, parole, the treatment community (including prison treatment providers), the court, social services/child protective services, hospital emergency room staff, victim therapists, and the prosecution and defense bars. Various teams form and work together as cases proceed through the criminal justice system (and/or child protection system) and contribute to the development of consistent policies focusing on victim protection and offender accountability. Representatives from these organizations also train staff in other organizations to emphasize the need for an integrated approach. The containment team, highlighted in the next component, is a very specific collaborative grouping, and is at the heart of the containment approach.
3. **The use of a variety of containment strategies**, especially a containment team consisting of the supervising officer, treatment provider and post-conviction polygraph examiner that works closely together to obtain the information needed to manage the offender.<sup>5</sup> Community containment strategies are usually implemented by this 3-member team and include a wide range of risk management tools such as intense surveillance, specialized treatment that incorporates regularly scheduled post-conviction polygraph examinations, law enforcement registration, urinalysis testing, electronic monitoring, curfews, and DNA testing. Effective containment limits access to potential victims by monitoring and restricting work activities, leisure time and internet use, among other things. Containment strategies require the consistent use of an ample array of sanctions for *pre-assaultive (or precursor) behaviors and emotions* that many sex offenders commonly carry out before committing a sexual assault (for example, Pithers, Kashima, Cumming, Beal, and Buell, 1988; Pithers, 1990; Laws, Hudson, and Ward, 2000; Ward and Hudson, 2000).
4. **Consistent, informed public policies** (legislation, judicial, executive, administrative and program policies, for example) that are based on research and best practices. Policies address gaps in risk management activities and empower the supervising officer to respond quickly to offender behaviors that are out of compliance with treatment requirements and supervision conditions.
5. **Resources dedicated to state and local quality control efforts.** Quality control is directed at 1) program monitoring and evaluation activities, and 2) professional standards of practice to ensure that efforts aimed at victim safety

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<sup>5</sup> The containment team should expand as needed to include, for example, child protection services, or the victim's therapist. Although the well-being of current and potential victims is paramount in guiding the decisions of the team, (see component #1), the victim is not expected to participate directly in a containment team. It is not the victim's responsibility to manage the behavior of the offender.

and the humane treatment of offenders are not compromised.

FIGURE I. THE CONTAINMENT APPROACH HAS FIVE COMPONENTS



## The Post-Conviction Polygraph as a Containment Tool

Our recommendation to use the post-conviction polygraph examination as a component of a containment approach was among the most controversial findings of the 1996 study. After all, the polygraph has a controversial history in criminal justice. When criminal justice professionals hear discussions of the polygraph, we often think of its failure to hold up to evidentiary standards in court (Pullen, Olsen, Brown and Amich, 1996).<sup>6</sup> Also, stories of its use on crime suspects who have “fooled”

<sup>6</sup> See the discussion on admissibility on page 22 of this report.

the machine have led the general public and many criminal justice professionals to distrust this tool.

These concerns about the polygraph can distract criminal justice professionals from a fundamental issue in sex offender management: the need for complete and accurate information to (a) determine risk to the public and (b) develop a treatment plan that reflects the offender's needs. The expectation that the sex offender will be honest and forthright, as a condition of community supervision, can often be lost in debates about the post-conviction polygraph. Complete information about the scope and frequency of a sex offender's deviant activities is available only from the offender, yet most sex offenders have made secrecy and dishonesty a part of their lifestyle.

In fact, most sex offenders have deceived many people, often for many years,<sup>7</sup> and few containment professionals believe that sex offenders will suddenly begin telling the truth when they are placed under correctional supervision (Pullen et al., 1996). The skill that has allowed these offenders to manipulate many victims allows them to manipulate criminal justice system officials as well (see Strate et al., 1996, for a discussion of criminal justice policies that reinforce this type of manipulation). This lack of disclosure by sex offenders led the international Association for the Treatment of Sexual Abusers (ATSA, 1993) to state, in its *Practitioner's Handbook*, that therapists should not rely solely on offenders' self reports. Rather, to determine compliance with treatment requirements, ATSA made recommendations for the use of the polygraph to validate the offender's self-report. Using polygraphy—formally known as the psycho-physiological detection of deception (PDD)—with sex offenders is akin to using urinalysis testing with drug offenders. It is a method of monitoring very specific behaviors.

Indeed, the research literature reflects the inadequacy of official record data to describe an offender's sexual assault activity. Ahlmeyer et al. (2000) used the post-conviction polygraph to encourage disclosures for treatment and found that, for a sample of sex offenders in prison, fewer than one percent of victims were identified using official record data. In fact, some research on sex offenders reveals an astonishing level of secret sexual abuse activity. Abel and Rouleau (1990) studied 561 sex offenders who responded to an ad in the paper or voluntarily sought treatment from two community-based clinics. According to the self-report data, the researchers found that half of the sample engaged in sexual abuse before the age of 18. This "early onset" group had committed, on average, 380 sex crimes by age 18. Ahlmeyer et al. (2000) found in their sample of prisoners in treatment that each had committed, on average, 528 sex offenses in their lifetime against 184 victims.<sup>8</sup> With this high level of activity by sex offenders, it is easy to understand Kilpatrick et al.'s (1992) estimate, based on victimization surveys, that 13 percent of women will experience a forcible rape in their lifetime.

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<sup>7</sup> Sex offenders report the time between their first sex crime and their first arrest to be, on average, 13 to 16 years (Abel et al., 1987 and Ahlmeyer et al., 2000, respectively).

<sup>8</sup> Abel et al. (1990) and Ahlmeyer et al. (2000) include both hands-on and hands-off offenses. Ahlmeyer et al. report a median of 95 sex offenses against a median of 26 victims.

Given the need for accurate information on individual sex offenders and the growing use nationwide of the post-conviction polygraph exam, we undertook this study to address some basic questions regarding the use of the polygraph with sex offenders: **How is the polygraph used in a sex offender containment approach? Is it reliable? Is its use with convicted sex offenders legal and ethical? Is the information admissible in court? Is its use really necessary? What does its use add to the management of sex offenders?**

To address the questions above, we conducted a national telephone survey of over 700 probation and parole supervisors, observed post-conviction polygraph examinations, undertook literature reviews on sex offender treatment and victim trauma, reviewed unpublished documents, examined relevant case law, and engaged in field research in 17 jurisdictions in seven states (New York, Massachusetts, Texas, Wisconsin, Colorado, Oregon, and California).<sup>9</sup> Sites were selected based on the length of time the post-conviction polygraph was in use (or not), the extent to which containment activities were integrated (or not), and the role of the polygraph examiner (most examiners were in private practice, and one was a member of the state police). We conducted unstructured interviews with treatment providers, prosecution and defense attorneys, sex offenders, criminal justice officials, probation and parole officers and their colleagues and supervisors, and specially trained post-conviction polygraph examiners.<sup>10</sup> We collected data directly from the case files of 232 convicted sex offenders who were under community supervision in four states. We attended national meetings sponsored by the American Polygraph Association, the Association for the Treatment of Sexual Abusers, and interviewed more than two dozen examiners from across the nation, including those working for the Department of Defense Polygraph Institute. Here is some of what we learned.

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9 In prior years we also traveled to Texas, Oregon, Louisiana, Colorado, Ohio, and Arizona to study sex offender management practices in a variety of jurisdictions. Please see Appendix A for a complete description of the methods used to conduct this study.

10 We asked professionals questions about risk assessment strategies, treatment and supervision tools, policies regarding the use of information generated from the polygraph examination, their perception of gaps in the containment of these offenders in their jurisdictions, barriers to closing the gaps, and program implementation issues. We asked many questions about the extent to which they interacted with other professionals engaged in this work (especially other containment team members), their expectations of offenders and team members, and how the additional information obtained from sex offenders via the polygraph exam affected them personally. We asked offenders about their experiences with the polygraph test and the examiner, the supervising officer, and their treatment provider. Interviewees in jurisdictions not using the post-conviction polygraph examination were asked about their perceptions of the use of the polygraph exam for this purpose, implementation issues, and other containment strategies.



## BACKGROUND

### How Is the Polygraph Used in a Sex Offender Containment Approach?

The post-conviction polygraph examination is used to obtain information about the offender that he or she would otherwise likely keep secret. Preparation for the polygraph actually begins when the treatment provider and the supervising officer emphasize the need for complete truth as a first step toward offender responsibility, accountability, and community safety. Offenders are encouraged to disclose complete and accurate information so that a viable treatment plan can be developed. Age of onset of sexually abusive behaviors, scope and frequency of deviant activity, the offender's thinking and assault planning strategies—all these pieces of information are necessary to assess each individual's risk and treatment needs. Effective treatment and surveillance activities require interventions that are relevant to each offender's patterns of assaultive behavior, or *modus operandi*.

*Therapists evaluating and/or treating sexual assaulters need valid, reliable information from the sex offender. Without this, the therapist is less able to identify the precise treatment needs of the patient, to evaluate precisely the impact of treatment interventions, and to quantify treatment's long-term effects. Since much valuable information is frequently unobservable by the therapist, steps must be taken to insure valid, reliable offender reports (Abel and Rouleau, 1990:10).*

The polygraph exam is integrated into these treatment and supervision practices to verify that the offender is being truthful about his or her past and present harmful behaviors. This research identified three types of polygraph examinations that are most commonly used to obtain information on offender behaviors and verification of offender truthfulness:

1. **Sexual history disclosure polygraph exams.** Sexual history disclosure polygraph examinations are used to verify the accuracy and completeness of the sexual history information a sex offender provides during treatment. This information is obtained using a very specific treatment tool: sexual history documentation. This treatment task requires the offender to record the gender, age, and method of assault for every past victim. The sex history document—to be completed within six months of commencing treatment—is then provided to the polygraph examiner who, after reading it carefully along with other case file information, asks the offender very specific questions about the accuracy of parts of his or her sex history. In most cases, the completed sex history document is long, with disclosures of many prior assaults and attempted assaults, and many different types of assaults as well. The clear expectation that the offender will be

accurate and truthful on the sex history assignment, coupled with the ability to verify truthfulness through polygraph exams, increases the offender's incentive to disclose this potentially embarrassing and illegal information to the treatment provider.<sup>11</sup>

2. **Denial and other specific-issue exams.** Denial exams verify the details of the conviction offense. These tests are usually given when the offender's version of the crime varies from the victim's version, or the offender continues to deny committing the crime of conviction. Specific-issue exams are also used to address a single concern or suspicion that arises during an offender's probation or parole, such as suspected contact with children. Specific-issue tests are also recommended as a follow-up to deceptive results on previous exams to clarify the nature of the deception.
3. **Maintenance or monitoring exams.** Maintenance or monitoring exams are used to verify whether a probationer or parolee is complying with the terms and conditions of community supervision and cooperating with treatment expectations. These exams require the polygraph examiner, the treatment provider, and the supervising officer to work together to identify questions that target high-risk behavior related to the assault patterns described in the offender's sexual history document.

Table 1 presents the proportion of probation and parole supervisors who responded to the national telephone survey and indicated that their officers regularly used the post-conviction polygraph examination for each of the three purposes described above. Please see Appendix A for a summary of findings from the telephone survey.

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<sup>11</sup> Because the information is usually incriminating, agreements regarding prosecution for past crimes, or instances of limited immunity, are discussed. Most commonly, the prosecution makes the decision to prosecute past crimes on a case-by-case basis, and frequently there is insufficient information to prosecute. Victim's organizations must make recommendations about the value of contacting past and recent victims, from whom there has been no outcry, and offering services, weighing privacy rights against the value of intervention.



**TABLE 1. HOW IS THE POST-CONVICTION POLYGRAPH EXAMINATION REGULARLY USED?** (n=155)<sup>12</sup>

OBTAIN SEXUAL HISTORY INFORMATION	52.2%
OBTAIN SPECIFIC-ISSUE INFORMATION ABOUT THE CURRENT CRIME, AN ALLEGATION OF A NEW CRIME, OR TO ASSIST THE OFFENDER BREAK THROUGH DENIAL	45.8%
MONITOR THE OFFENDER FOR COMPLIANCE WITH TREATMENT/SUPERVISION	63.9%

The information gained from post-conviction polygraphs—whether sex history, denial, or maintenance exams—is then used to develop or modify treatment and supervision plans so that these are congruent with the offender’s risk and need areas. These examinations, however, do not stand alone in a sex offender management program. Rather, the use of the polygraph occurs in the context of a very important synergistic process that results from close, consistent collaboration among the polygraph examiner, the treatment provider and the supervising officer. The three professionals, and the activities they undertake, are interdependent in fully functioning containment teams, with each professional reinforcing the work of the other. When this interdependency does not occur, as we observed in some jurisdictions, the team suffers from diminished capacity.<sup>13</sup>

The telephone survey also confirmed that other containment strategies accompany the use of the post-conviction polygraph in most jurisdictions. Agencies that incorporated the post-conviction polygraph in the management of sex offenders, according to phone survey respondents, were significantly ( $p < .05$ ) more likely to have specialized sex offender caseloads (79 percent<sup>14</sup> compared to 46 percent). These agencies were also more likely ( $p < .05$ ) to use a risk assessment instrument for sex offenders under supervision (39 percent compared to 19 percent). All agencies using the post-conviction polygraph with sex offenders required offenders to undergo

<sup>12</sup> The sampling frame of 732 for the 1998 study represents the total number of probation and parole agencies participating in a telephone survey conducted by the Colorado Division of Criminal Justice in 1994. The intent was to re-contact all 1994 survey participants, focusing on a number of questions related specifically to the use of the polygraph with sex offenders. The 1994 sample was designed to represent probation and parole agencies across the nation and was stratified based on geographic location and population density. Specifically, each state was divided into four (generally equal) geographic quadrants and, using population figures from the 1990 census, one respondent was selected for every 500,000 or fewer people in each quadrant. In 1998, 146 parole and probation agencies responded that their office used the post-conviction polygraph with convicted sex offenders “sometimes,” “often,” or “always.” These surveys were weighted to reflect offices that had consolidated resulting in a weighted n of 155.

<sup>13</sup> Evidence of diminished capacity included the following: infrequent communication and sharing of information among team members; significant delays in scheduling the polygraph examination; lack of adequate preparation of the offender for the examination; insufficient contact and planning by team members before the examination; and team members who felt frustrated with each other or whose relationship with the offender was stronger than with each other.

<sup>14</sup> In the 1994 study, we found that 30 percent of probation agencies surveyed and 32 percent of parole agencies surveyed had specialized caseloads. Agencies with specialized sex offender caseloads were significantly ( $p < .05$ ) more likely to report the use of policies, practices or procedures that included the use of polygraph data, special supervision conditions (i.e., no contact with victim or children was a condition in 81 percent of probation offices and 77 percent of parole offices), an approved list of treatment providers, emphasized after-hours monitoring of offenders and included the use of jail as an intermediate sanction. Agencies with specialized caseloads in 1994 were also more likely to have received officer training on sex offender management within the last year (English, Colling-Chadwick, Pullen, Jones, 1995).

mental health treatment, compared to 93 percent of agencies that did not use the polygraph (this difference, while small proportionally, was statistically significant).

Almost half (45 percent) of the respondents using the polygraph reported using it for five or more years: 28 percent of respondents reported using the polygraph for five to nine years, and 17 percent of respondents had been using the polygraph for more than nine years.

## Is the Polygraph's Use with Convicted Sex Offenders Legal and Ethical?<sup>15</sup>

Legal and ethical concerns about the polygraph center on issues of self-incrimination, invasion of privacy, questions about the accuracy and reliability of polygraphs, and the admissibility of polygraph evidence in court. Officials using sex offense-specific treatment and the post-conviction polygraph must formally address, in particular, how to handle evidence or confessions of prior sex offenses. These decisions are at the heart of the legal and ethical considerations surrounding use of the polygraph in community-based sex offender management. Legal and ethical issues varied by geographic region, according to telephone survey results (see *Ethical/Legal Considerations* section of Table 2 below).

**TABLE 2. BARRIERS TO USING THE POLYGRAPH BY GEOGRAPHIC REGION<sup>16</sup>**

REGION (b)	LACK OF RESOURCES			NO POLYGRAPH EXAMINERS (a)			ETHICAL/LEGAL CONSIDERATIONS (a)			OTHER CONSIDERATIONS
	% YES	% NO	TOTAL	% YES	% NO	TOTAL	% YES	% NO	TOTAL	% YES
Northeast	46.0%	54.0%	100%	22.1%	77.9%	100%	24.5%	75.5%	100%	18.4%
South	41.1%	58.9%	100%	15.5%	84.5%	100%	10.1%	89.9%	100%	28.7%
Central	51.5%	48.5%	100%	27.2%	72.8%	100%	21.4%	78.6%	100%	35.9%
West	43.0%	57.0%	100%	10.7%	89.3%	100%	16.1%	83.9%	100%	36.9%

(a) Chi-Square table significant at  $< .05$ .

(b) Percentages for each region based on the following *weighted n*: Northeast 163, South 129, Central 103, West 149.

(c) Other Considerations (*e.g., lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues*)

15 Almost one in five (18.2 percent) survey respondents replied that barriers to using the polygraph included legal and ethical issues. Significantly more respondents from the Northeast (24.5 percent) and Central (21.4 percent) sections of the country identified this concern as a barrier to implementing the post-conviction polygraph. According to survey respondents, a lack of resources was most frequently reported as a barrier to using the polygraph with sex offenders.

16 Northeast (CT,DC,DE,MA,MD,ME,NH,NJ,NY,OH,PA,RI,VT); South (AL,AR,FL,GA,KY,LA,MS,NC,SC,TN,VA,WV); Central (IA,IL,IN,KS,MI,MN,MO,ND,NE,WI); West (AK,AZ,CA,CO,HI,MT,NM,NV,OK,TX,UT,WY)

The Northeast and Central regions were more likely to report ethical and legal considerations as barriers to implementation, according to telephone survey results.

## SELF-INCRIMINATION ISSUES

The Fifth Amendment of the U.S. Constitution protects citizens against compelled or forced self-incrimination. The issue is important in the context of post-conviction polygraphs because of the expectation and requirement that the offender will waive confidentiality and make a full disclosure of his or her sexual history, including prior victims. The question about self-incrimination thus arises because an offender who discloses prior (or current) victims may be at risk of further prosecution or revocation.

Case law has established many of the conditions for claiming one's Fifth Amendment rights. Generally, Fifth Amendment rights are automatic when a person is in custody and temporarily deprived of liberty (hence the Miranda warning). If a person is not in custody, courts have generally found that he or she must actively invoke his or her Fifth Amendment rights. In *Marcum v. State*, 983 S.W.2d 762 (Tex. App. 14<sup>th</sup> Dist., Sept. 17, 1998), the court found that a polygraph examination administered as part of a court-ordered condition of probation is not considered an in-custody interrogation for purposes of triggering the need to give a Miranda warning. The court ruled that a parolee's confession to additional crimes during a polygraph post-examination interview was admissible in a parole revocation hearing.

In *Minnesota v. Murphy*, 465 U.S. 420 (1983), the court found no Fifth Amendment violation in questioning sex offenders on probation. However, statements made cannot be compelled. Compulsion pertains to the consequences to an offender for failure to admit responsibility for undetected sex crimes, and if these constitute substantial penalties that are too coercive. A complete review of court decisions reflects the need for local officials to include the polygraph examination as a documented supervision condition. Since the polygraph and sex offender treatment are intertwined, we recommend its use as a treatment tool be clearly stated.

Obtaining additional information about past victims and about a sex offender's pattern of offending is of significant value to many criminal justice officials we interviewed in the field, who believe that this knowledge protects victims by increasing the likelihood of managing sex offenders safely in the community. Therefore, policy makers in many jurisdictions have found a variety of ways to respond to this sensitive information. We documented the following three "solutions" in our field research:

### 1. Limited Immunity for Prior Crimes

In some jurisdictions that use post-conviction polygraphs, prosecutors provide limited or even full immunity from prosecution for *prior* crimes uncovered as a result of the treatment/polygraph process.<sup>17</sup> Usually, an offender

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<sup>17</sup> When an offender reports or is suspected of a new crime while under probation or parole supervision, the issues are very different. In this case, the offender's Fifth Amendment rights may be in effect, or may be invoked if a new case is under investigation. When disclosure occurs as a result of the treatment/polygraph process, the supervising officer or

is given immunity from prosecution for specific types of crimes, for example, only for crimes similar to the crime of conviction. Typically, limited immunity agreements stay in effect only as long as the offender complies with treatment and supervision conditions and does not reoffend. Of course, immunity agreements do not cover any new crimes committed while the offender is under probation or parole supervision.

Officials who support granting limited immunity argue that learning about prior victims is more important for treatment and public safety than prosecuting individual offenders for prior crimes that, without this containment strategy, would never be known. According to many probation and parole officers we interviewed, when sex offenders have limited immunity, they are more likely to disclose prior victims and assault activity. Officials in some jurisdictions also believe that identifying prior victims allows these victims to be contacted and offered services.

Understandably, many prosecutors are reluctant to go on record as supporting limited immunity agreements. Nonetheless, some prosecuting attorneys we interviewed supported the concept of immunity agreements because they believe that the information about additional victims that is gained through the treatment/polygraph process is, in effect, coerced and therefore could not be used to prosecute the offender. Others said that, with or without immunity agreements, an offender's disclosure of prior criminal sexual behavior does not mean there will be sufficient evidence to prosecute a case. In Jackson County, Oregon, the prosecutor agreed to grant immunity for prior crimes of a similar nature: "Although not all prosecutors would agree, our community has concluded that to prosecute all reported offenses would infringe on the offender's Fifth Amendment rights and thus would prohibit the therapeutic use of the polygraph" (Knapp, 1996:13-9).

## **2. Individual Case Review**

On the other hand, some prosecutors consider it professionally unpalatable and politically unwise to extend any immunity from prosecution for past crimes to sex offenders. These attorneys worry about uncovering a prior heinous sexual crime that will elude prosecution as a result of limited immunity agreements. In such jurisdictions, there may instead be a formal (or informal) agreement between the prosecutor's office and the probation/parole agency to make decisions on a case-by-case basis. In these jurisdictions, the prosecutor exercises his or her broad statutory discretion about whether to initiate further investigation and file a criminal case on prior sexual crimes. Often, the offender's compliance with treatment and supervision requirements is likely to have an effect on such decisions.

If a prosecutor determines that enough evidence exists to prosecute a case, but the offender is complying with treatment and supervision requirements, the

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local law enforcement officials must further investigate the suspicion or allegation. Coordination with local law enforcement should precede any additional polygraph testing, so that a post-conviction polygraph does not inadvertently interfere with a law enforcement investigation of the alleged new crime.

attorney may request a sentence that allows the offender to remain in the community, perhaps extending the probation or parole period. This option may work best in jurisdictions that are small enough to maintain consistent informal agreements.

### 3. Don't Ask, Don't Tell (Names, That Is)

In the absence of formal or informal immunity agreements with the prosecutor's office, the containment team at several sites noted that they manage information on past victims by asking the sex offender to omit identifying names or other information when disclosing prior sexual victims. For example, instead of using a victim's name, the offender might list Victim #1, Victim #2, etc., when he or she reports sexual history information. Using this approach minimizes or eliminates the risk for the offender of being prosecuted for past sexual crimes.

If this technique of non-identification of the victim name is used, both treatment providers and criminal justice supervisors should take extra precautions to ensure that the unidentified victims are not relatives or acquaintances with whom the offender may currently be having contact. Because most victims know or are acquainted with their offender (Kilpatrick et al., 1992), care must be taken to be sure that a current or recent victim is not missed as a result of an offender's non-disclosure of names.

Opinions are mixed on the "don't ask, don't tell" approach to handling criminal sexual history information. In some jurisdictions, the containment team believes that using this policy is the only way to ensure that sex offenders will provide information. To some professionals we interviewed, however, concealing specific victim information was seen as unacceptable, as it undermines the philosophy and the practice of full disclosure, reinforces the idea that certain secrets are required, and continues the offender's objectification of victims. On the other hand, many jurisdictions that require full identification of prior victims have not found a clear way to approach identified victims, or their parents, from whom there has been no outcry.<sup>18</sup>

Whatever the policy regarding prosecution of new crimes, nothing eliminates the legal responsibility of treatment providers and others in most states to report child abuse when they learn of it. However, reports of prior victims made to child protection agencies often result in minimal consequences to the offender. The small amount of information generally available, the lack of knowledge about a victim's current location, the lack of outcry by the victim or family, and the high caseloads common to most child protection agencies combine to make it unlikely that these cases will receive much priority in the system. Resolving these concerns in a manner that is congruent with local community values has generated useful discussions and conversations among prosecutors, victim organizations, supervising agencies,

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<sup>18</sup> One exception to this is Ontario, Oregon, where Jan Hindmann and her colleagues at *It's About Childhood* work to ensure that victims identified by sex offenders in treatment receive services.

treatment providers, and other stakeholders. In fact, it is a necessary activity in the planning phase of polygraph implementation.

## PRIVACY CONCERNS

Privacy concerns surrounding the use of post-conviction polygraphs are an important part of a broader philosophical discussion about the role of government and the justice system in our lives. Some people are disturbed by the expectation that an offender will be coerced into sharing his or her entire sexual history as well as current deviant criminal and non-criminal behaviors and fantasies during the treatment/polygraph process. Indeed, sex offenders taking post-conviction polygraph examinations are subject to practices that considerably reduce their privacy rights. Sex offenders are required to waive confidentiality, and treatment contracts and conditions of probation or parole set the expectation for an offender's full disclosure of his or her sexual history, at-risk behaviors, and new crime information.

Further, current theories about the role secrecy plays in the lives of sex offenders and the power and control issues that appear to plague most offenders' lives have led risk-focused professionals to believe that it is therapeutic—rather than unethical—to encourage sex offenders to give up all secrets related to sexual deviance. Some sex offenders display characteristics of antisocial personality disorder and/or psychopathy. According to Harris, Rice, and Quinsey, “Because pathological lying and use of deceit are among the distinguishing characteristics of antisocial personality disorder and psychopathy, great care will have to be taken by those charged with supervision to ensure that conditions of supervision are being followed” (Harris, Rice and Quinsey, 1998:104). When the offender does not disclose every sexual assault, then he or she remains in control of what the treatment provider and other containment professionals know. Allowing this control impedes the therapeutic process.

Most convicted sex offenders have organized their lives around deception, since their crimes are committed in secret. Past and present offenses are not easily detected, and sex offenders are certainly not forthcoming with shameful information about illegal acts (Carnes, 1983). Information about past and present deviant behavior—information that is essential to assessing risk and treatment needs—is extremely difficult to obtain.<sup>19</sup> Offending patterns are thought to be ingrained, compulsive, and lifelong (Marshall, 1990; Prentky et al., 1997). According to practitioners, sex offenders are often highly functioning people who use their social skills to gain access to victims. Prentky et al. (1990:62) assert that, for many sex offenders, “the victims are their social and sexual companions; the offenses are their social and sexual life.”

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<sup>19</sup> Sex offenders rarely get caught because the likelihood of victims reporting this crime is quite low. Kilpatrick et al. (1992) found only 16% of female victims reported the rape to law enforcement. Dupre et al. (1993) estimated that fewer than 10% of rapes are reported. Finkelhor et al. (1990) studied rape victims and found 33% of women and 42% of men never disclosed the rape to anyone until the researcher asked about it. Russell (1984) found fewer than 5% of sex crimes were reported to the police. Not surprisingly, the American Medical Association (1995) called sexual abuse the “violent silent epidemic.” Secrecy is essential to this level of sexual assault activity.

Another question related to the issue of privacy is whether the polygraph examination is more intrusive than other forms of community supervision of convicted offenders. For example, conditions of probation or parole commonly restrict associations (e.g., with other felons) and often require drug tests or prohibit the use of drugs and alcohol. Frequently, conditions of community supervision prohibit sex offenders from having unsupervised contact with children, even the offender's own children. In addition, the supervision contract (conditions of probation or parole) presumes that the offender will honestly answer questions posed by the supervising officer. The focus on sex, arousal, and assault patterns in sex offender management seems consistent with the focus on drugs and alcohol for substance abusing offenders, or on lifestyle and medication management for mentally ill offenders.

In sum, the post-conviction polygraph exam is to sex offenders what the urinalysis test is to drug offenders: a verification of information the offender self-reports to the treatment provider and supervising officer. The post-conviction polygraph, like the UA, is a case management tool that targets the high-risk lifestyle associated with this crime type. The post-conviction polygraph emphasizes the need for sex offenders to be honest about the parts of their lives that have been secretive and dangerous to others. The polygraph's use should be combined with many other tools that encourage supervision compliance (such as urinalysis, electronic monitoring, curfews, and employment and leisure time restrictions).

## ACCURACY AND RELIABILITY OF THE POLYGRAPH

One of the ethical considerations in the use of the polygraph exam with convicted sex offenders is the degree to which it is accurate and reliable in its findings. The research team spent considerable effort understanding the strengths and weaknesses of the research on polygraph accuracy and reliability. Research after 1980 is particularly valuable because it reflects advances in the technology, such as numerical scoring and development of more refined control question methods.

The most recent published review of polygraph reliability and validity studies was conducted by Forensic Research, Inc., of Severna Park, Maryland for the American Polygraph Association in 1997.<sup>20</sup> Reviews of field studies<sup>21</sup> indicate that between 96 and 98 percent of exams correctly identified deception. The test-retest reliability of field examination charts has averaged 92 percent; reliability of lab studies<sup>22</sup> has averaged 81 percent. Using studies of mock crimes conducted in laboratory settings, 82 percent of exams resulted in correctly identifying deception.

Note a few cautions when considering accuracy rates: 1) for nearly all studies, inconclusive results—meaning insufficient information was available to score the

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20 Copies of this paper may be purchased from the American Polygraph Association National Office, 951 Eastgate Loop, Suite 800, Chattanooga, Tennessee, 37411-5608.

21 Field studies involve determining accuracy by following up on real cases where the examination results were confirmed by confession.

22 Lab studies are mock crime scenarios. Critics of mock crime research say that detecting deception is difficult because the polygraph client has nothing significant at stake, and physiological measures are less reactive because fear of detection is difficult to manufacture. Hence, the error rate will be higher in these studies compared to field studies.

exam—are excluded from the averages, and this may overstate accuracy rates; however, calculating these inconclusive findings as deceptive would understate accuracy rates; 2) studies that *did not* use numerical scoring (mostly before 1980) have somewhat subjective findings.<sup>23</sup>

One of the challenges to polygraph research is that many variables can affect the accuracy of polygraph examinations. To conduct a valid examination, a polygraph examiner must use an accepted testing procedure and scoring system (Ansley, 1997). Examiners must also follow established practices to maximize accuracy and reliability. The American Polygraph Association has published standards of practice for examiners conducting post-conviction sex offender examinations, and these standards are intended to limit variation in practice across examiners (Dutton, 2000).

A valid exam also requires that the relevant test questions be clear to the examinee and narrow in scope. In addition, accuracy depends in part on the extent to which the examiner prepares for the examination. This means that the treatment provider and the supervising officer must work with the examiner prior to the exam. A thorough review of written case material is required to maximize accuracy. Without sufficient knowledge of the case, examiners might unknowingly develop questions that tap into outside issues, evoking a physiological response that is unrelated to the exam topic. Lack of preparation may result in the examiner letting the offender’s story dictate the examination questions. The problem is confounded if a deceptive examinee gains confidence (and worries less) because he or she believes the examiner has insufficient knowledge about the case. On the other hand, a non-deceptive examinee will worry more if the examiner appears unprepared.<sup>24</sup>

### ADMISSIBILITY OF POLYGRAPH EVIDENCE IN COURT

Often during the exam process—or during a treatment session prior to the exam—the offender will reveal that he or she has recently engaged in high-risk behavior. Such behavior reflects a lack of internal control on the offender’s part, and so external controls (i.e., sanctions that restrict activity) must be applied. When polygraph exams reveal a *prior* crime, courts vary in their willingness to accept this information as sufficient for revocation—whether the offender has confessed to a new crime or fails a question targeting a new crime. Since the standard of proof is “a preponderance of the evidence” in revocation hearings, rather than “beyond a reasonable doubt” required at a criminal trial, and since probation and parole are usually considered privileges, not rights, polygraph information is sometimes provided to the court or parole authorities. In general, it appears that written conditions of supervision that require a post-conviction polygraph examination offer criminal justice officials the greatest range of responses.

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<sup>23</sup> For more information on concerns about polygraph accuracy and the quality of polygraph research, see Lykken’s *Tremor in the Blood* (1998).

<sup>24</sup> One study found that the accuracy of the test score may decrease by up to 8 to 10 percent if the examiner does not have a sufficient understanding of the case facts (Blackwell, 1994).



Concerns about the use of polygraph information in court typically pertain to explicit standards governing evidence presented in criminal or civil proceedings. State statutes vary regarding the admissibility of polygraph information as evidence in a court of law.<sup>25</sup> These concerns tend to fall into the following categories:

1. The lack of agreement about whether polygraphy is a scientifically valid technique;
2. The lack of a known (certain) error rate;
3. The lack of *controlling* standards of practice in the polygraph professions; and
4. Questions about juries giving polygraph findings excessive weight in the decision- making process and weakening their role as determiners of truth.

Most case law pertains to the admission of polygraph evidence for a determination of guilt or innocence. For 70 years, federal and state courts were uniform in ruling polygraph evidence to be inadmissible under the criteria for scientific evidence described in the 1923 case *Frye v. United States* (293 F. 1013, CDAC 1923). *Frye* held that scientific evidence, to be admissible in court, must be based on scientific methods that have the general acceptance of the relevant expert community. In 1993, the Supreme Court held that certain Federal Rules of Evidence should govern the admissibility of scientific evidence and required the judge to make a preliminary assessment of the relevance and reliability<sup>26</sup> of the evidence (*Daubert v. Merrell Dow Pharmaceuticals, Inc.* [509 U.S. 579, 1993]).

The *Daubert* case opened the door for the admissibility of polygraph data in post-conviction sex offender management in part because it gives district courts the authority to determine if evidence is relevant and reliable. In *Kansas v. Lumley* (WL 218704, 1999), for example, the defendant appealed a prison sentence that resulted from his untruthful answer to a polygraph question regarding contact with a child. Upon appeal, the judge found that polygraph reliability was sufficiently robust to be acceptable for a parole or probation revocation hearing that requires a lesser standard of proof than a finding of guilt. Further, the judge indicated that without the polygraph examinations and the admission of the results of the examination *as a condition of probation*,<sup>27</sup> the sex offender community supervision program could not be maintained.

In *State v. Travis* (125 Idaho 1, 867 P.2d 234, 1994), the court found that, while the defendant's agreement to a probation condition requiring him to submit to a polygraph examination did not establish admissibility of the results, Travis was uncooperative and resisted supervision. His probation was revoked. But *Patton v.*

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<sup>25</sup> Most commonly, states consider polygraph evidence *per se* inadmissible in courts of law. A few states admit polygraph evidence in some limited circumstances, by stipulation of both parties. A recent challenge to the *per se* inadmissibility statutes of many states was not held up by the Supreme Court case *United State v. Scheffer*, WL141151, 1998.

<sup>26</sup> In the context of the admissibility of evidence, reliability means scientific validity.

<sup>27</sup> As a condition of the defendant=s 60 month probation sentence, the district judge stated, AMr. Lumley will submit to a polygraph examination not less often than every six months at his expense@ (*Polygraph 29*, 117: 2000).

*State* (580 NE.2d 693, Ind. App. 1992) found “...the rehabilitative benefits of the polygraph examination condition must be obtained without the examination results being admissible in any subsequent court proceeding” (*Polygraph 29*, 121:2000).

Additionally, our field research found that polygraph information is best used to inform treatment and enhance risk-focused supervision of offenders in the community. As one containment professional noted, “We never use the P-word in court.” From the telephone survey we learned from over half (56.1 percent) of the respondents<sup>28</sup> that probation and parole officers increased surveillance when violations of supervision were disclosed during a polygraph exam. One in four respondents said that a deceptive finding on a polygraph test could result in treatment termination.

Indeed, a deceptive polygraph exam should result in significantly increased surveillance along with other efforts to obtain additional information about the offender, including interviews with potential victims, the victim’s therapist, employers, and discussions with law enforcement officers. At a minimum, a deceptive finding on the examination reflects the offender’s lack of cooperation with the containment approach and his or her lack of commitment to the honesty necessary to make the life changes expected by the containment team.

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<sup>28</sup> This is the percentage of the weighted (n=155) agencies that used the polygraph at least sometimes.

## METHODS

### The Sample

The following findings resulted from the analysis of the case file review of a sample of 232 adult sex offenders being supervised in the community at the time of the study. We collected data to compare the amount of information available to the containment team before and after polygraph testing (this is discussed in greater detail below). The sample was selected from four states to specifically include varying levels of post-conviction polygraph implementation. In two states (A and B) the post-conviction polygraph had been implemented for a number of years as part of the sex offender treatment program. In state C, polygraph testing was newly implemented. In this state, half of the sex offenders had received at least one post-conviction polygraph examination, and half had not. The latter cases were considered to be "under the threat" of the polygraph test; these offenders knew that polygraph exams would eventually be administered to them as part of their treatment and supervision programs. Because the polygraph was eminent and offenders in the sample were in group therapy with those who had taken the polygraph test, these cases were also included in the analyses of the impact of the post-conviction polygraph. In state D, the post-conviction polygraph had not yet been introduced.<sup>29</sup> (See Appendix B for a description of other state differences.)

**TABLE 3. SAMPLE SIZES FOR THE CASE FILE REVIEWS**

STATE AND STAGE OF POLYGRAPH IMPLEMENTATION	n	USED IN BEFORE AND AFTER COMPARISONS
State A - the post-conviction polygraph used for a number of years.	62	Yes
State B - the post-conviction polygraph used for a number of years.	57	Yes
State C - the post-conviction polygraph was new implemented (31 cases received at least one polygraph; 30 cases were "under the threat" of the polygraph).	61	Yes
TOTAL CASES INCLUDED IN BEFORE AND AFTER ANALYSES	180	
State D - the post-conviction polygraph was not yet implemented.	52	No
TOTAL CASES	232	

<sup>29</sup> This state had not yet implemented the post-conviction polygraph. Data for this state included what was learned through the Abel Screen (questionnaire only) and self-reported, written sex histories. Data from the state were excluded from analyses requiring polygraph data.

## Data Collection

A complex data collection instrument was designed to gather demographics, criminal history, current crime, placements and sentencing information, victim information (number, age group, gender, and relationship to offender), type and frequency of paraphilia and/or risk behavior, a profile of perpetrator early behaviors, and information regarding polygraph tests. The data collection tool is available in Appendix C, and definitions of behaviors and relationships are included in Appendix D.

For this study, a “victim” was defined as someone who was sexually assaulted without their consent or knowledge (e.g., they were asleep). For minors, the definition of a victim required a four-year age difference between the age of the perpetrator and the victim, force, or the perpetrator was an adult and the minor victim had not reached the age of consent in that state.<sup>30</sup>

The data collection instrument contained two major sections:

1. The first section (pages 1 and 2) of the data collection instrument described offending information known to the criminal justice system *before* the treatment/polygraph process. It included all information regarding the offender's current crime, along with the sex offending history that was known to the criminal justice system from sources prior to the beginning of treatment. Data sources for the first section included pre-sentence investigation reports, police reports of the instant offense, and case notes of the supervising officer regarding information learned independent of the treatment/ polygraph process. Information about the offender's juvenile sexual offense history was recorded separately from the offender's adult sexual offense history.
2. The second section (pages 3 and 4) of the data collection instrument contained all information about the offender resulting from elements of treatment relating to preparation for the polygraph examination, as well as admissions made during the exam itself. Second section data sources were the self-reported sex history document, homework assignments relating to polygraph exam information, polygraph examination reports, and case management notes pertaining to the treatment/polygraph process.<sup>31</sup> The second section of the collection form separately gathered information for sexual offenses and paraphilias committed as a juvenile and as an adult.

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<sup>30</sup> The age of consent varied across the states we visited. In fewer than five cases we found minimal age differences between the offender and the victim for the conviction crime, and the documentation included a victim statement reporting consent. Nevertheless, a decision had been made to prosecute the case, and these cases were coded as victims.

<sup>31</sup> All files were extensively examined, and data were extracted to the collection form. Decisions on how to record data were made with a data collection supervisor available to develop consistent protocols. Every effort was made to separate data known to the criminal justice system without the post-conviction/treatment polygraph process from that known as a result of this process. For instance, if a risk behavior was detected after sentencing through the normal supervision process, this information was not attributed the polygraph/treatment process.

## Comparison Analysis: Before and After

We compared the information known *before the treatment/polygraph process* (data gathered on pages 1 and 2 of the data collection instrument) to all that was known *after the treatment/polygraph process* (data gathered on pages 1 through 4 of the data collection instrument). Although data were gathered separately for the juvenile and adult histories of offenders, these data were combined in the analyses presented here. Initially, we attempted to extract information from the self-report sex history and compare this to what was reported separately in the polygraph examinations. However, when we gained further understanding of how the self-report disclosure was directly tied to the polygraph test, we determined that the two processes were synergistic. *When we refer to the "treatment/polygraph process," we primarily describe the interdependence between the self-report disclosure that occurs in treatment and the use of the post-conviction polygraph to verify this information.* A self-report sex history disclosure form or journal assignment, administered as part of the treatment process, is validated (or not) during a sex history polygraph exam. The offender prepares the sex history assignment with the knowledge that it is inextricably tied to the post-conviction polygraph examination. It is through the self-reported sex history, and subsequent verification with a post-conviction sex history polygraph examination, that a lifetime of secrets can be uncovered and a more complete understanding of the offender's behavior and patterns of sexual abuse emerge, as reflected in the data presented below. Because these two processes—the self-report disclosure element of treatment and the post-conviction polygraph exam—are deeply intertwined, we use the phrases *"post-conviction treatment/polygraph or treatment/polygraph process"* to more accurately reflect the process through which information about the offender is learned.

The use of the term "treatment," however, does not imply that information from other aspects of treatment was included or identified for the analysis. For instance, information revealed through group treatment sessions was not included unless it was specifically related to information also revealed through the treatment element of self-disclosure or through a polygraph examination. For these analyses we were interested in information gathered as a result of implementing the post-conviction polygraph examination as a management tool.

These analyses, of course, did not include victims whom the offender never admitted or those who were never documented in the file. Because of this, *the findings probably underestimate both the number of victims and the range of deviant behaviors for the sample*, particularly since approximately one-third of the polygraph examinations were scored as deceptive by the examiner.

Because before and after comparisons included agencies at different stages of implementing the post-conviction treatment/polygraph process, the findings are unlikely to represent the information that would be obtained from any single agency. The aggregate data are presented to make the point that, in general, more information is gained about sex offenders when the post-conviction treatment/polygraph process is used as a management and supervision tool. The

following findings provide quantitative evidence of the benefits of the post-conviction treatment/polygraph process.<sup>32</sup>

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<sup>32</sup> Also, Ahlmeyer et al. (2000) found polygraph disclosures to increase when the offender was engaged in intense treatment.

## FINDINGS FROM THE CASE FILE REVIEW

The findings presented below focus on (1) risk management and criminal career research, (2) the disclosures of additional victims, (3) high risk behaviors and assault patterns, and (4) what we learned about incest offenders.

### What Does the Post-Conviction Polygraph Exam Add to the Risk Management of Sex Offenders?

*If one seeks to control crime behavior, one needs first to be able to predict it. Much of our behavior is guided by the principle that relations observed in the past will hold in the future even though we believe there can be no guarantee of it. Change may be expected, but science requires that we assume that nature, subject to change, will change slowly. Thus we assume that some consistency will be found over time.... Any prediction method can merely provide a way to summarize previous experience to guide future decisions.*  
(Gottfredson, 1987:6)

In criminology, we have known for nearly 30 years that frequency, seriousness, and variety of offending are highly correlated (Wolfgang, Figlio and Sellin, 1972; Farrington, 1973; Barnett and Lofaso, 1985; Barnett, Blumstein, and Farrington, 1987; Chaiken and Chaiken, 1982; English and Mande, 1992). In *Aggression and Violence through the Life Span*, Quinsey and Walker (1992:246-247) review the literature and conclude “[e]nough work has been completed to establish a general consensus within the research community about the classes of variables that are valid predictors of recidivism.... Previous criminal history emerges as the single variable predictor of subsequent recidivism and violent recidivism.”

Risk prediction research on sex offenders supports these criminal career factors. Serin (1994) and Rice et al., (1991) and others (Barbaree and Marshall, 1988; Brown and Forth, 1997; Hart et al., 1998; English, 1999) found *deviant arousal* or *versatility of sexual offending* to predict poor case outcomes. *Victim injury* (Harris et al., 1993), *boy victims* (Hanson and Bussiere, 1996; Hanson, 1998), *diverse victim types* (Hanson and Harris, 1998), *young age of victims* (Barbaree and Marshall, 1988; Quinsey et al., 1995; Hanson, 1997), *any stranger victim* (Hanson 1998), *past violence* (Karson and Bigelow, 1987; McNeil, Bender and Greenfield, 1988; Palmstrierna and Wistedt, 1989), and *young age of offender* (Harris et al., 1998; Quinsey et al., 1995; Hanson, 1997) are linked to negative outcome. *Deviant sexual arousal*, identified by phallometric measures of sexual preference, was found to predict new sex crime convictions in both rapists (Rice, Harris, and Quinsey, 1990) and child molesters (Rice, Quinsey, and Harris, 1991). *Prior sexual offending history* (Hall, 1995; Hansen et al., 1992; Marshall and Barbaree, 1988; Rice et al., 1991; Rice and Harris, 1997)

remains one of the strongest predictors of subsequent sex crime arrests and convictions.

The need for complete information about the offender's current and past sexual offending history becomes clear when the research is reviewed. Additionally, the purpose of sex offender treatment is to teach offenders how to live without abuse and secrecy. Being truthful in treatment and supervision is key to this process. Obtaining verified data from a sex offender's sexual history polygraph exam is the first step in sex offender risk management. The aggregate data presented below reflect the extent of additional information that became available as a result of the treatment/polygraph process. The value of the polygraph examination, when appropriately integrated with sex offender treatment, lies in its ability to generate significantly more information on *individual* offenders.

**Crossover** is the term used to describe the fact that many adult sex offenders have a history of victimizing across genders and age categories. Our study findings support other research (Abel and Rouleau, 1990; Ahlmeyer et al., 2000; Weinrott and Saylor, 1991; Faller, 1990; Becker and Coleman, 1988; Freund, 1990; Abel, Mittleman and Becker, 1985) by confirming that crossover is alarmingly common among sex offenders.

At the case management level, accurate and complete case history information is necessary to intervene in meaningful ways. In the following data tables, we present additional findings derived from information about the group of offenders known *before* and *after* the treatment/polygraph process.

## Finding: Additional Types of Victims Were at Risk

Table 4 below shows several fundamental differences in the sample description when group profiles of 180 sex offenders were compared *before* and *after* the post-conviction polygraph/treatment process.

**TABLE 4. THE POLYGRAPH/TREATMENT PROCESS FINDS MORE SEX OFFENDERS HAVE PERPETRATED (a) AGAINST MORE VICTIM TYPES**

VICTIMIZATION PROFILE OF OFFENDERS FROM THREE STATES (n=180)	BEFORE POST-CONVICTION POLYGRAPH/TREATMENT PROCESS	AFTER POST-CONVICTION POLYGRAPH/TREATMENT PROCESS
Had male victims	20%	36%
Had female victims	90%	94%
Had both male and female victims	10%	29%
Had juvenile victims	91%	95%
Had adult victims (b)	19%	44%
Had both juvenile and adult victims	10%	33%
Committed hands-on offenses (c)	93%	98%
Committed more than one type of hands-on offense	64%	82%



Committed hands-off offenses	22%	67%
Committed more than one type of hand-off offense	3%	35%
Have high risk behaviors	58%	93%
Commit more than one type of high risk behavior	27%	80%

(a) Does not necessarily mean sexual assault. Includes fondling, frottage, voyeurism, any hands-on offense, any hands-off offense, or high risk behavior.

(b) Includes individuals 18 years and older and elderly or at-risk individuals.

(c) **Hands-on** offenses include vaginal, anal, or attempted penetration, oral sex, fondling/frottage, excess aggression, and assault including domestic violence with deviant sex. **Hands-off** offenses include exhibitionism, voyeurism and stalking. **Risk behaviors** include urination with sexual act, bestiality, giving alcohol or drugs to victim, offender under the influence at the time of offense, abuse of alcohol and drugs during time periods when offenses occur, more than one unwilling participant, pornography, obscene internet or phone contact, masturbation to deviant fantasy, excessive masturbation, preparation for assaults (e.g., driving around), and other.

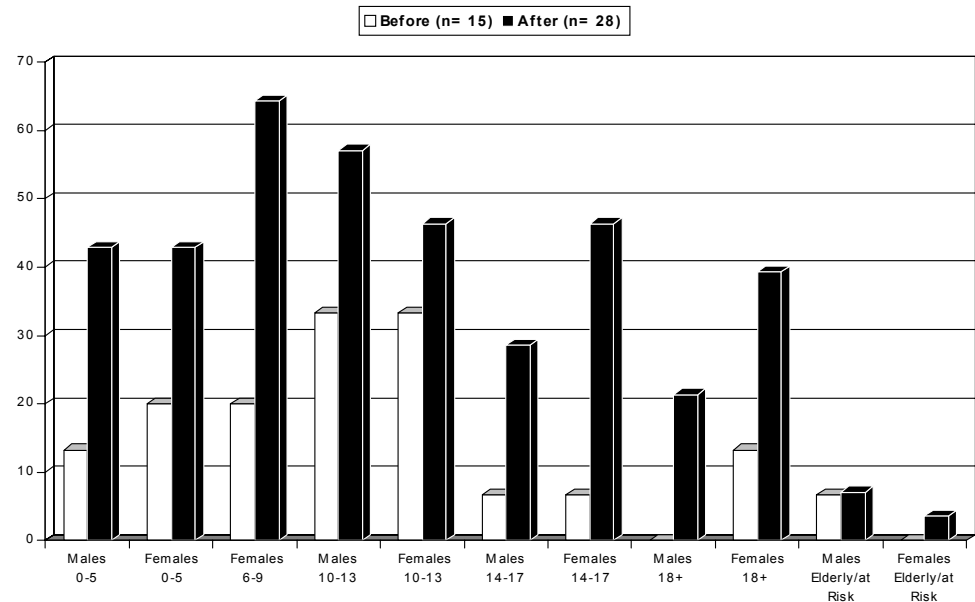
If these sex offenders were characterized on the basis of information in the files that *did not* include the post-conviction treatment/polygraph process, professionals might make several errors. For example, it would be quite easy to conclude that this group presents a relatively low risk to males and adults; only one in five offenders seemed to have victims in each of these categories. When information from the post-conviction polygraph/treatment process was included, however, one in three offenders, rather than one in five, were identified as having male victims. Likewise, nearly half (44 percent) of the sample were found to have victimized adults, compared to the 19 percent of offenders identified from information obtained before the treatment/polygraph process.

The more than ten-fold increase (from 3 percent to 35 percent) in the disclosures of hands-off offenses suggests that information about exhibitionism, voyeurism, and obscene phone calls or internet use was rarely obtained without the treatment/polygraph process. Reviews of the sex history documents suggest that these offenses are sometimes part of an offender’s assault pattern, i.e., these behaviors often precede an assault. Obtaining this information is crucial for containment professionals who intend to interrupt the assault pattern and prevent new victimizations by sex offenders they treat and supervise.

It is important to consider how crossover information from the post-conviction polygraph/treatment process might impact a specific supervision decision. For example, a parole board member might need to determine whether, after serving his prison sentence, an offender who victimized adult females should be allowed to live with young children. Likewise, in many jurisdictions nationwide, judges often allow sex offenders to live with children. Decisions of this nature are made regularly, and because of decision makers' lack of understanding of crossover behavior, offenders may be given sanctioned access to potential victims. As therapist Anna Salter points out, "...the easiest way to get access to children is to live with one" (Salter, 1995:60). The analysis presented in Figure 2 below demonstrates why, based on information gained after the post-conviction polygraph process, criminal justice officials should exercise caution in allowing sex offenders to reside with children without ongoing polygraph verification. For this analysis, we identified offenders with male victims between the ages of six and nine before and after the post-conviction

treatment/polygraph process, and the additional age and gender groups victimized by these offenders.

**FIGURE 2. OFFENDERS WITH IDENTIFIED MALE VICTIMS BETWEEN THE AGES OF 6 AND 9, COMPARISON OF AGE AND GENDER VICTIM CROSSOVER BEFORE AND AFTER THE POST-CONVICTION POLYGRAPH/TREATMENT PROCESS**



After the treatment/polygraph information was added to the analysis, the number of offenders with boy victims between the ages of six and nine nearly doubled from 15 to 28 of the 180 offenders studied (8 percent to 15 percent of the sample). The data *before* the post-conviction treatment/polygraph process suggest that both male and female adults were at relatively low risk of victimization by this particular sex offender group. When disclosures from the post-conviction treatment/polygraph process are added, a different picture of this offender group unfolds. The proportion of this subsample victimizing other gender and age categories climbs. For example, the proportion offending against adult women tripled from 13 percent to 39 percent. The proportion of offenders with girl victims ages six to nine more than tripled, from 20 percent to 64 percent. Just over 42 percent of this group with boy victims aged six to nine reported abusing boys aged zero to five. Since these figures represent lifetime offending patterns, some offenders may have been young when these offenses occurred—indicating a longer deviant history than official records or self-report alone would reflect.

## Finding: Offenders Crossover between Adult and Child Victims

The risk that an offender with adult victims may also have child victims appears to be extremely high. In our community-based sample of 180 offenders in states where the polygraph was implemented, 28 offenders were identified with adult female victims (age 18 or over), according to information before the treatment/polygraph process. Approximately half (15 of 28) of these offenders were also

identified with either female or male victims under the age of 18. After the data obtained from the treatment/polygraph process were analyzed, the size of the group of offenders with adult female victims increased in size from 28 to 71 offenders. The risk to children posed by these offenders was even more alarming when information from the post-conviction

polygraph/treatment process

was added: *nearly nine out of 10 offenders with adult female victims also had juvenile victims under the age of 18* (63 of the 71 offenders with adult female victims, or 88.7 percent).

This information is important because, at the individual level, it guides the treatment and the supervision plans. These interventions need to incorporate very specific information about ages and genders of past victims. The key to adequately managing the risk of sex offenders in the community is to understand the types of situations that offenders must avoid. Relapse plans must incorporate the new information gained from polygraph information.<sup>33</sup> For example, given the crossover between adult and child victims described above and in previous studies, treatment providers and supervising officers cannot assume that an offender with a known history of assaulting adults will have no interest in children.

It is not uncommon, as discussed above, for decision makers to allow convicted sex offenders to live with children because they have extremely limited information

### RAPE VICTIMS SELDOM REPORT THE CRIME

Recent research confirms what many clinicians long expected: victims with close relationships with the perpetrators are least likely to report sexual abuse (Finkelhor et al., 1990; Springs and Friedrich, 1992; Russell, 1984). Smith et al. (2000) found rape victims were 3.7 times more likely to tell if the abuser was a stranger. Hanson et al. (1999) and Arata (1998) also found victims were significantly more likely to report abuse by strangers. Wyatt and Newcomb (1990) reported that “close proximity” was associated with fewer disclosures, as measured by the relationship with the perpetrator, location of the abuse, and the effect of abuse on the family. This may explain why, in two studies, convicted offenders reported 13 to 16 years of committing sex crimes before they were caught (Freeman-Longo, 1985; Ahlmeyer et al., 2000).

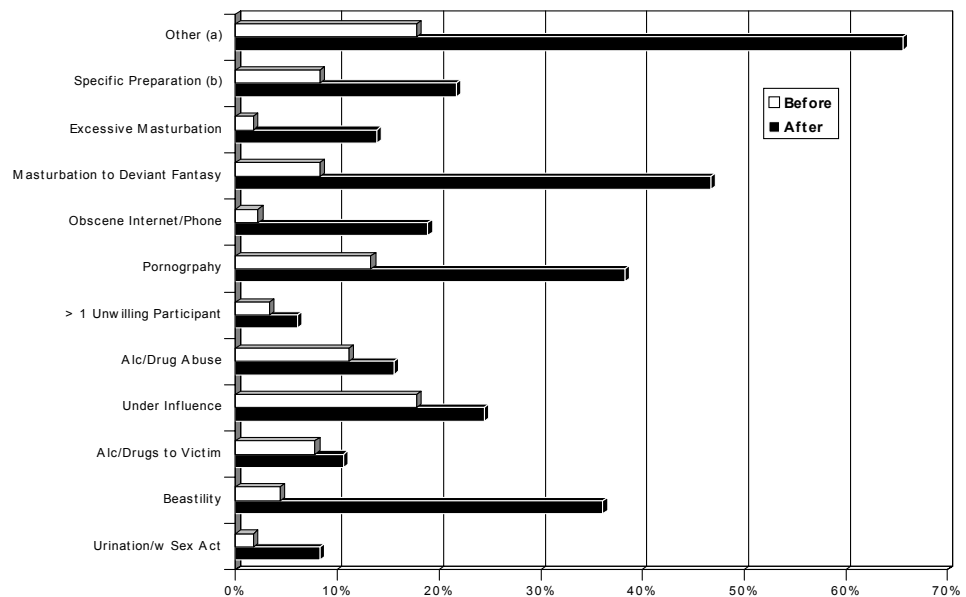
<sup>33</sup> Relapse Prevention is a model of intervention first designed for substance abusers (Marlatt, 1982; Marlatt and Gordon, 1985) and reinterpreted for application to sex offenders (Laws, 1989; Pithers, 1990; Laws, Hudson and Ward, 2000). It is based on the theory that treatment focuses on teaching the offender internal controls, i.e., building a person's sense of control over behavior related to his or her assaultive patterns and awareness concerning high-risk external situations to avoid. The containment approach integrates these ideas, but presumes that public safety requires vigilance on the part of the criminal justice system to require the offender to proactively avoid high risk situations via no contact orders, employment restrictions, etc., and when inappropriate contact occurs, that this be immediately reported to a member of the containment team.

about the offender's past deviant behavior. Also, many professionals assume that if the crime of conviction involves molesting a child outside the home, then that offender will not be a threat to his or her own children. Criminal justice officials can use polygraph examination data to inform decisions regarding requests that involve access to children (visitation, residential arrangements, family reunification). When polygraph data are not available on individual cases, aggregate data used in research studies about offender crossover, sex offender recidivism (Prentky et al., 1997), and the low probability that a victim who is close to the perpetrator will report the abuse (see sidebar previous page) can assist parole board members, judges, and other criminal justice officials in making decisions about allowing sex offenders contact with children.

## Finding: High Risk Behaviors Inform Our Understanding of Assault Patterns

Figure 3, below, presents additional information that was obtained from three states regarding what we called "high risk behaviors." More than one-third (150) of the 416 polygraph examinations administered to the offenders in this sample had deceptive results.<sup>34</sup>

**FIGURE 3. COMPARISON OF PERCENT OF IDENTIFIED PARAPHILIAS AND HIGH RISK BEHAVIORS BEFORE AND AFTER THE POST-CONVICTION POLYGRAPH/TREATMENT PROCESS (n=180)**



<sup>34</sup> Alhmeyer et al. (2000) found reports of deviant activity increased over time as sex offenders took additional polygraph examinations. There may have been instances in this study where the offender was re-tested and no deception was found. It was not possible, however, to determine if the offender was re-tested on the same issues or questions.

(a) Other include: Prostitution-visiting or being a prostitute, cruelty to animals, childhood firesetting, childhood long-term bedwetting, violations of probation conditions, visiting peep shows, strip clubs, or topless bars, unsupervised contact with children, group sex, fantasies, cross dressing, fetishism.

(b) Specific preparation includes certain types of activities that may indicate the offender is preparing for a sexual assault, such as driving around looking for victims, wearing items of clothing that attract children, spending lots of time in places that attract children such as parks and video arcades, etc.

This information is gathered at the individual level to obtain *modus operandi* patterns and also to identify the variety of deviant behavior the offender has engaged in. Overall, risk behaviors increase from the “before” information to the “after.”

## **Finding: Polygraph Examinations Identified New Crimes and Problem Behaviors**

The treatment/polygraph process identified 20 sex offenders with a post-sentence victim. Of the 147 sex offenders who received polygraph examinations across the three states,<sup>35</sup> 14 percent (21 out of 147) reported sexually abusing victims while under community supervision through the treatment/polygraph process. Fourteen of the offenders engaged in fondling or frottage; one offender had sex with a child, five disclosed voyeurism activity, and six engaged in exhibitionism (excluding the arrest noted above).<sup>36</sup> No sanctions were noted in the file for seven of these offenders; two received electronic monitoring; one was sent to the Department of Corrections; five received short-term jail sentences; one was placed in a residential setting and two had a “residential adjustment”; and two received increased supervision and/or therapy group confrontation.

Over 3-24 months of supervision,<sup>37</sup> only one offender was arrested (for exhibitionism) because of information obtained outside the treatment/polygraph process.

## **Finding: Polygraph Exams Detected High-Risk Behaviors**

Maintenance polygraph exams were useful in obtaining information about the offenders’ risk behaviors. Of the 147 offenders in the case study sample who received polygraphs,<sup>38</sup> 122 received at least one maintenance polygraph. Of these 122 offenders, 44 (36 percent) disclosed high-risk behavior through the maintenance polygraph examination.<sup>39</sup>

A total of 111 high-risk behaviors were disclosed by the 44 offenders. Use of pornography, masturbating to deviant fantasies, and use of obscene phone calls or

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35 Of the 150 cases that had received a polygraph, three were missing data regarding the exam.

36 Some offenders reported more than one type of deviant behavior.

37 The original study design required that we allow time for each offender in the sample to have been under supervision long enough to have multiple polygraph reports for us to examine. In the first site, we were able to pull approximately 60 cases that had been under supervision for 24 months prior to our visit, and multiple polygraph examination reports were available to us for each case. In subsequent sites, we had to pull cases that had only six months of community supervision. One of these sites was just starting to integrate the polygraph test with treatment, so reports were available for only six months. In another site, the supervision time was six months because the sex history and/or the polygraph report had not been completed for many offenders. In the site that did not use the polygraph, the cases in the sample had been in treatment for at least three months and sex history questionnaire data were collected.

38 Although three additional cases were in the polygraph group, data regarding the examinations was missing.

39 Nearly one in four exams (62 of the 260 maintenance exams administered) resulted in detection of an offender’s high-risk behavior.

internet activity were the most common at-risk behaviors. Two instances of stalking, one instance of bestiality, and two instances of giving alcohol/drugs to a potential victim were reported. Although data collectors had 22 choices for coding behaviors and paraphilias, these categories proved inadequate to describe the variety of behaviors in which offenders were involved. Half of the behaviors fell in the “other” category.

## **Finding: Incest Offenders Crossover between Types of Victims**

A common myth is that incest offenders perpetrate their crimes only against family members. Abel and Rouleau (1990) found that 23 percent of their sample had committed incest and *also* abused individuals outside the family. In Weinrott and Saylor’s (1991) study of 99 incarcerated offenders, 50 percent of the incest offenders admitted to assaulting children outside the home (none of these crimes was detected). Becker and Coleman’s (1988) study of incest reported that 44 percent of their sample who committed incest against female children also sexually abused females outside home; 11 percent of this group also assaulted males outside the home; and 18 percent raped adult females. Faller (1990) studied 65 biological fathers in intact families who committed incest. One-third of these incest offenders molested children outside the home, and 80 percent molested more than one child.

Incest victims are incredibly accessible to the perpetrator, and research shows that trauma to the victim increases with the frequency and duration of the victimization. Many incest victims report enduring rapes over periods of many years. Lamb and Edgar-Smith (1994) studied 60 sexual assault victims; 42 percent had been assaulted by a parent or parent figure; and 17.5 percent had been assaulted by a sibling. Twenty percent of the sample had been abused for over five years, and half of this group had been assaulted on a weekly basis. This group did not disclose the abuse for, on average, ten years after the assaults began.

In this study, incest cases were identified in two ways: those where the current offense involved incest and those where incest was identified from past behaviors or offenses, or while the offender was under supervision. The following table summarizes additional information learned about incest perpetrators defined both ways. Decision makers often assume that incest offenders exhibit less crossover and so may be the least likely offenders to amass a significant number of victim types (though most professionals recognize that a single incest victim may be assaulted dozens or hundreds of times). The following table reflects crossover and other assault activity 1) by offenders identified as incest perpetrators by the crime of conviction, and 2) the larger incest group that also includes offenders who were convicted of non-incest crimes but reported committing incest in the past. The table below allows readers to review the results based on these two definitions of incest.

**TABLE 5. SEXUAL ASSAULT HISTORIES OF INCEST OFFENDERS**

Comparison of two definitions of incest: 1) sex offenders with incest as the current offense and 2) incest identified through the current offense, past behavior, or while the offender was under supervision.

PROFILE OF BEHAVIORS OF INCEST PERPETRATORS  DATA FROM THREE STATES WHERE THE POLYGRAPH HAD BEEN IMPLEMENTED, AT LEAST TO SOME DEGREE	INCEST CURRENT OFFENSE		INCEST CURRENT OFFENSE, PAST BEHAVIOR OR OFFENSE, OR IDENTIFIED WHILE OFFENDER UNDER SUPERVISION	
	Before polygraph Process (n=80)	After polygraph process (n=80)	Before polygraph process (n=104)	After polygraph process (n=104) (a)
Had male victims	16%	35%	20%	39%
Had female victims	94%	96%	89%	95%
Had both male and female victims	10%	31%	9%	35%
Had child victims	98%	99%	95%	99%
Had adult victims (b)	9%	36%	14%	44%
Had both child and adult victims	6%	29%	10%	38%
Committed hands-on offenses (c)	100%	100%	97%	100%
Committed more than one type of hands-on offense	70%	83%	69%	86%
Committed hands-off offenses (d)	19%	71%	21%	76%
Committed more than one type of hands-off offense	3%	39%	2%	45%
Had high risk behaviors (e)	61%	93%	64%	94%
Committed more than one type of high risk behavior	29%	85%	31%	88%
Perpetrated against more than one age/gender group (f)	50%	81%	52%	84%

(a) Of the 180 cases in states where the polygraph had been implemented at least to some degree, 104 cases were identified as incest offenders, 60 were not identified as incest offenders, and in 16 cases this identification could not be made.

(b) Includes individuals 18 years or older and elderly/at risk individuals.

(c) **Hands-on** offenses include vaginal, anal, or attempted penetration, oral sex, fondling/frottage, excess aggression, and assault including domestic violence with deviant sex.

(d) **Hands-off** offenses include exhibitionism, voyeurism, stalking.

(e) **Risk behaviors** include urination with sexual act, bestiality, giving alcohol or drugs to victim, offender under the influence at the time of offense, abuse of alcohol and drugs during time periods when offenses occur, more than one unwilling participant, pornography, obscene internet or phone, masturbation to deviant fantasy, excessive masturbation, specific victim preparation, and other.

(f) This analysis includes 14 age and gender categories. Victims with unknown age or gender were not included.

Regardless of how incest offenders were identified, the treatment/polygraph process provides more information about their sexual assault histories. For example, the percent of incest perpetrators known to have both male and female victims *triples* after information from the treatment/polygraph process. Incest offenders identified with both child and adult victims *increases by a factor of four* with information from the treatment/polygraph process.

Table 6 below shows the increase in the percent of incest perpetrators (as defined in Table 5, definition two) identified with victims outside the family as a result of the treatment/polygraph process.



**TABLE 6. INCEST PERPETRATORS AND RELATIONSHIPS TO VICTIMS OUTSIDE THE FAMILY BEFORE AND AFTER THE TREATMENT/POLYGRAPH PROCESS**

Data from four jurisdictions in three states. (n=104) (a)  
 Definition of incest: Incest identified through current offense, past behavior, or while the offender was under supervision.

	POSITION OF TRUST	STRANGER/ACQUAINTANCE	EITHER OR BOTH
BEFORE	32.1%	4.8%	25.0%
AFTER	56.7%	34.6%	64.4%

Note: Acquaintance means someone known to the victim for more than 24 hours or a person with whom the victim had regular, if not intensive, contact, e.g., a store clerk.

(a) Of the 180 cases in states where the polygraph had been implemented at least to some degree, 104 cases were identified as incest offenders, 60 were not identified as incest offenders, and in 16 cases, this identification could not be made.

Before the treatment/polygraph process, one in three (34.5 percent) of incest offenders also were found to have perpetrated crimes against victims with whom they were in a position of trust; this increased to more than one in two (56.6 percent) after the treatment/polygraph process. Fewer than one in twenty (4.8 percent) incest perpetrators were identified with strangers or acquaintances as victims before the polygraph/treatment process; this increased seven-fold afterwards (4.8 percent to 34.5 percent).

When available, we gathered information on the age of the offender at the time of his or her first paraphilia.

**TABLE 7. AGE OF OFFENDER AT FIRST KNOWN PARAPHILIA<sup>40</sup>**

Case study data from all sites. (n=174) (a)  
 Definition of incest: Incest identified through current offense, past behavior, or while the offender was under supervision.

AGE AT 1 <sup>ST</sup> KNOWN PARAPHILIA (b)	INCEST PERPETRATOR (c)		NON-INCEST PERPETRATOR		TOTAL	
	%	n	%	n	%	n
AGE 8 OR LESS	32.6	31	17.7	14	25.9	45
AGE 9 TO 11	25.3	24	20.3	16	23.0	40
AGE 12 TO 13	23.2	22	25.3	20	24.1	42
AGE 14 OR OLDER	18.9	18	36.7	29	27.0	47
TOTAL	100%	95	100%	79	100%	174 (c)

(a) Data for this analysis were missing for 58 of the 232 offenders in the case study sample.  
 (b) Age categories were determined by first dividing, as nearly as possible, the distribution of age data into quadrants, i.e., approximately 25% of the data fell into ages 8 or less, and so on.  
 (c) The offender was identified as an incest perpetrator by any of the information gathered, included past offenses and behaviors, current offense or behaviors after sentencing.

<sup>40</sup> Please see Appendix D for definitions of paraphilia and high-risk behavior.

In general, we found that sex offenders display paraphilic behaviors early in life. We found that nearly three out of four sex offenders in the case study were identified with a paraphilic behavior before age 14, and incest perpetrators engaged in paraphilic behaviors at an earlier age than non-incest offenders ( $p=.026$ ). For example, nearly one in three (26.0 percent) incest offenders had disclosed paraphilic behavior before age nine, compared to fewer than one in five (17.7 percent) of non-incest offenders.

Table 8 below shows that incest offenders were significantly more likely than non-incest offenders to be engaged in various offenses and high-risk behaviors. For instance, they are more likely to have attempted penetration, and engaged in exhibitionism and voyeurism.

**TABLE 8. COMPARISON OF HANDS ON OFFENSES, HANDS OFF OFFENSES, AND RISK BEHAVIORS FOR INCEST AND NON-INCEST PERPETRATORS**

Case study data from all sites. (n=209) (a)

Definition of incest: Incest identified through current offense, past behavior, or while the offender was under supervision.

<b>HANDS-ON OFFENSES</b>	<b>INCEST PERPETRATORS</b> (n=119) (% with behavior)	<b>NON-INCEST PERPETRATORS</b> (n=90) (% with behavior)	<b>CHISQUARE SIGNIFICANCE LEVELS</b> (levels <.05 are highlighted)
Vaginal penetration	66.4%	62.2%	.533
Attempted penetration	20.2%	4.4%	.001
Anal penetration	21.0%	13.3%	.150
Oral sex	64.7%	37.8%	.000
Fondling/frottage	94.1%	71.1%	.000
Excessive aggression	6.7%	10.0%	.391
Assault, including domestic violence	16.8%	15.6%	.808
<b>HANDS-OFF OFFENSES</b>			
Exhibitionism	57.1%	35.6%	.002
Voyeurism	64.7%	42.2%	.001
Stalking	1.7%	4.4%	(*) .236
<b>RISK BEHAVIORS</b>			
Urination with sex act	9.2%	6.7%	.500
Bestiality/ritual behavior/bondage	44.5%	22.2%	.001
Alcohol/drugs to victim	7.6%	20.0%	.008
Offender under influence	21.0%	33.3%	.045
Substance abuse in time periods when offenses occur	16.8%	13.3%	.490
>1 unwilling participant	8.4%	1.1%	.019
Pornography	42.0%	45.6%	.609
Obscene internet/phone	21.8%	28.9%	.244
Masturbate to deviant fantasy	56.3%	42.2%	.044
Excessive masturbation	16.8%	7.8%	.054
Specific preparation (e.g., driving around)	26.1%	15.6%	.068
Other	69.7%	62.2%	.254

(a) Of the 232 cases in four states, 119 were identified as incest offenders, 90 were not identified as incest offenders, and in 23 cases identification of incest could not be determined.

Additionally, in this sample of 180 sex offenders who underwent polygraph exams, 37 incest perpetrators (21 percent) had no known victims outside the family (data not presented).

Although some proportion of incest offenders—like any sex offender—may be low risk (that is, have no history of harming any other person and are unlikely to harm anyone again), without the proper use of the post-conviction polygraph, the ability to confidently identify *who* is lower risk among a group of offenders is significantly diminished. It is important that decision makers understand the offending patterns of groups of incest offenders and use the polygraph to discern the risk of *individual* offenders. When individual polygraph data is unavailable, professionals should consider incorporating sex offender research that includes polygraph data into their knowledge of offending patterns. For example, in this research: one-third (36 percent) of this sample of incest perpetrators had a history of assaulting adult victims and, as mentioned above, over half (58 percent) reported assaulting victims with whom the offender was in a position of trust.

In sum, the data suggest that incest offenders, whether convicted of incest or not, have been considerably more active than official records—or many of our assumptions—would indicate. This is the reason polygraph examiners, working together with supervising officers and treatment examiners, play an essential role in the containment and risk management of convicted sex offenders. Polygraph-generated data supports the fundamental premise underlying the containment approach. That is, progressive sex offender management practices require that offenders not be defined by their conviction crime because potential victims may be overlooked and placed at risk.

## Summary

A few years ago, anecdotal and qualitative field information led us to recommend the use of the post-conviction polygraph in the supervision of sex offenders within the larger context of the containment approach (English et al., 1996). During interviews with professionals, we were consistently told that the information necessary to manage the ongoing risk of sex offenders was available only from the combination of treatment, supervision, and polygraph examinations. Because this finding was controversial, it warranted further investigation.

In our telephone survey, three out of four (76 percent) of the phone survey respondents reported that the use of the post-conviction polygraph enhances knowledge of the offender, and two out of three (67 percent) said that its use leads to better case management and supervision. One respondent remarked, “It helps find out their true behaviors and not just what they tell us.” Another said that the use of the polygraph “provides more security, more control, more restrictions for those who need them.” Over half of the respondents (58 percent) said they believe the polygraph helps prevent new crimes: “They are less likely to reoffend because we catch them earlier” and “we can detect recidivism patterns.” And as one respondent noted, “They know we are watching them.” Just over 40 percent of the probation and parole

supervisors we spoke with said the polygraph helped provide better and more appropriate treatment.

For this study, one of our objectives was to determine if empirical data supported the anecdotal and telephone survey information. Based on the data presented here, we conclude that managing the risk of sex offenders in the community is greatly enhanced by the post-conviction polygraph/treatment process. Using the polygraph exam in sex offender management provides better information about each offender's frequency, seriousness, variety, and age of onset of deviant behavior. Knowledge of these dimensions of a criminal career is necessary to understand the risk posed by sex offenders.

#### **SO, HOW MUCH CAN WE BEAR TO KNOW?**

**The information presented in this report may be shocking, but it is not new. Data about sex offender crossover and the frequency of deviant activity was first published by Abel et al. in 1985, and victim studies have confirmed this level of activity since the mid-1980s. Whether or not we can bear to know this information is irrelevant. Sexual abusers will continue to assault children and adults until policy makers, treatment providers, probation and parole officers, and administrators grapple with what it means to have this information and how we can use it to make our communities safer. The five-part containment approach, including the polygraph examination, offers an important method for holding sex offenders accountable in the community while prioritizing victim safety.**

**During our site visits, some criminal justice officials who do not endorse the use of the polygraph explained that its use increases liability of the government agency. In other words, as we were told during interviews, having this information requires officials to act on it. Options and resources are so limited that "not knowing" was a form of protection (for the government, not for potential victims).**

**"Not knowing" protects the sex offender from taking responsibility for the totality of the harm he or she has caused, and it might give the sex offender free reign to continue his or her abusive lifestyle. "Not knowing" gives criminal justice officials the blindfolds they need to avoid the hard discussions about caseload size, intermediate sanctions, offender family services, the value of actuarial tools, and officer training. These things take time and resources, and these are finite commodities.**

**Whether we can bear to have this information or not, sex offenders will continue their activity. So...lock 'em up? This is not a realistic option. Most victims are not empowered or are too ashamed to report the crime, so we cannot prosecute the majority of sex abusers. For those we can lock up, 98 percent will return untreated to the community after they serve their sentences (Greenfeld, 1997).**

**Known offenders are best managed by obtaining detailed information about their crime patterns through specialized treatment, polygraph examinations, criminal justice supervision, and close collaboration with law enforcement. Working as a community in multi-disciplinary teams to develop and implement risk management programs is a key component of sex offender management. We must educate the public, care for the families of sex offenders, prioritize the safety and well-being of children, educate high school and college age adolescents about date rape, and place the responsibility for sexual assault on the perpetrator and not the victim. These activities will promote lasting change.**

Integrating the polygraph into a containment approach can be difficult, and the use of the polygraph is sometimes considered controversial. But for those who seek the best practices for supervising and treating sex offenders, implementation challenges can be overcome. The polygraph must be implemented within the five-

part containment approach we described in English, Pullen, and Jones (1996) and summarize here. The victim orientation, multi-disciplinary collaboration, containment tools (including the polygraph), informed and research-based policies, and quality control efforts will yield the best solutions to sex offender management in your jurisdiction.

## Study Limitations

We intended to differentiate between the amount of information obtained by treatment providers and the *additional* information obtained from the polygraph, but the data in the files were not conducive to demarcation, particularly in jurisdictions where the treatment program and the polygraph program were highly integrated. (We support this strong integration from a program implementation point of view.)

There were significant variations across states (see Appendix B). Differences included criminal justice policies and supervision practices, treatment programs and providers, the experience of the containment professionals, and the level of integration among the containment team members. Two states had used the post-conviction polygraph with sex offenders for a number of years. One state had recently implemented polygraph examinations with sex offenders. Half the offenders at this state had not yet received their first polygraph exam, so we considered them under the “threat” of the polygraph exam, as it was a known treatment component.

Differences existed in the types of data collected at each site. In general, we attempted to obtain the same data elements across states, but the extent to which files and documents were complete varied by state. Programmatic differences across states affected data availability so, for example, when the sex history document was highly integrated in the program, more information was available in the file. Further, we were not permitted access to the criminal justice files at the state where the polygraph was not yet implemented. We did, however, have access to a document summarizing this information.

Another limitation to this study is the fact that 36 percent of the polygraph examinations had deceptive results. Since Ahlmeyer et al. (2000) found disclosures to increase with subsequent exams, we can assume that the frequency and scope of deviant behavior presented here underestimates actual offending activity. Since disclosed information was not collected in a manner that allowed the analysis of data obtained only from non-deceptive exams, we cannot explore this issue empirically.

# CONCLUSIONS AND RECOMMENDATIONS

The findings presented here have attempted to answer the common questions that surface during discussions about using the post-conviction polygraph in sex offender management. We have described the ways the tool is used and reviewed the research concerning its reliability and validity. We have presented an overview of the court admissibility issues and concluded that the issue will continue to be the subject of case law, primarily at the state level. The empirical analyses support our findings that use of the post-conviction polygraph is a vital component of the risk management of individual sex offenders for the following reasons:

1. Additional victims—of different genders and different age groups, and with different relationships with the offender—were disclosed when offenders participated in the treatment/polygraph process. A complete and accurate picture of the offender’s lifestyle and sexual assault activity is necessary to effectively treat and safely manage the case.
2. Additional high-risk behaviors, necessary for the ongoing assessment of danger to the public, were disclosed using the post-conviction polygraph. One-third of the offenders under supervision in this sample admitted engaging in problem behaviors while under supervision. One offender was arrested for a new crime during the 3 to 24 month study period, and another 20 disclosed new sex crimes to the polygraph examiner.
3. The analysis of incest offenders underscores the value of the polygraph exam in obtaining additional information about individual offenders before making risk determinations, and reminds us that a sex offender’s conviction crime is a snapshot in time and does not necessarily reflect all the types of victims the offender is willing to harm.
4. Our field research and telephone survey data indicate that many jurisdictions are addressing the challenges associated with the disclosure of additional crimes and victims, often through informal, interagency agreements. This barrier can be overcome using data (such as those presented in this report) and educating decision makers about the specific uses of post-conviction polygraph testing of sex offenders.

Based on the information presented in this report, we make the following recommendations:

- Stakeholders, including victim organization representatives, prosecuting attorneys, polygraph examiners, treatment providers, criminal justice and court personnel, and others must work together to develop policies and procedures for managing sex offenders who disclose new information.

- Information must flow freely and frequently among containment team members. Waivers of confidentiality must be obtained to ensure open communication. The free transfer of information prevents the sex offender from using communication gaps to his or her advantage and obtaining access to potential victims.
- Polygraph testing required in the conditions of probation may offer the most options to the court in cases of noncompliance.
- Judicial and parole authorities are important sources of support for containment professionals who manage day-to-day caseload activity. These authorities must understand the potential risk that sex offenders may pose to children with whom they are granted access.
- The disclosure of additional information and the imposition of sanctions should be well documented in the file. Careful case and risk management documentation is a fundamental component of good program management.
- Characterizing incest offenders as less dangerous than other sex offenders may create serious public safety risks.
- Agencies currently excluding the sex history post-conviction polygraph should consider the risk to public safety created by not obtaining and verifying information about each sex offender's risk and offending patterns.
- It is erroneous and dangerous to characterize sex offenders by their arrest crime or according to one type of victim or offense. Doing so ignores crossover data presented in multiple studies over the past decade. Crossover among sex offenders is common, and adequate sex offender management requires protecting potential victims rather than placing them in harm's way by minimizing the risk of contact with known sex offenders.
- Officials who believe sex offenders exaggerate past deviance during the treatment/ polygraph process must recognize that such behavior, if it exists, is also lying, so these offenders are not cooperating with treatment and supervision.
- Understanding the criminal offending patterns of convicted sex offenders requires that we obtain significant amounts of information about each offender's past crimes to assess risk and provide meaningful treatment and supervision.
- Use of the post-conviction polygraph in sex offender management clearly emphasizes the expectation of honesty and cooperation on the part of the offender.

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## **APPENDIX A:**

### **How Is the Post-Conviction Polygraph Examination Used in Adult Sex Offender Management Activities?: The Second National Telephone Survey of Probation and Parole Supervisors**

# HOW IS THE POST-CONVICTION POLYGRAPH EXAMINATION USED IN ADULT SEX OFFENDER MANAGEMENT ACTIVITIES?

## THE SECOND NATIONAL TELEPHONE SURVEY OF PROBATION AND PAROLE SUPERVISORS

Report Prepared for the National Institute of Justice

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A multitude of thanks goes to the more than 700 probation and parole supervisors who patiently answered our telephone survey questions and helped us understand the struggles and successes of agencies managing adult sex offenders in the community. Those who used the post-conviction polygraph spent between 45 and 75 minutes with us, and many told us that they hoped the information provided would assist other jurisdictions.

In particular, we thank the hundreds of probation and parole officers who, every day, personally carry the weight of these difficult cases. Our study of sex offender management by probation and parole agencies has taught us how essential and difficult your work is to community safety and sex abuse prevention. We are grateful for your good work.





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# INTRODUCTION

As part of this research, we built on an earlier study funded by NIJ in 1992. That study focused specifically on presenting descriptions of (1) how sex offenders were being managed in community settings, and (2) how they could best be managed. Those findings were reported in English, Pullen, Jones and Colling-Chadwick (1995) and English, Pullen, and Jones (1996). Below we provide a brief overview of the methods undertaken in the earlier study because parts of that approach were replicated in the current study.

In 1994 we conducted the first national telephone survey of probation and parole supervisors inquiring about sex offender management. Probation and parole supervisors were selected because of their familiarity with day-to-day office operations. The survey represented a national sample, stratified by population and geography, of 732 probation and parole supervisors. The telephone survey was part of a two-year investigation that included an extensive literature review on victim trauma and sex offender treatment and a systematic document review of scores of material ranging from agency memoranda and protocols to legislation and administrative orders. The study included field research involving site visits to 13 jurisdictions in six states (Arizona, Colorado, Louisiana, Texas, Ohio, and Oregon). During the field research, interviews were conducted with probation and parole officers and administrators, victim advocates, polygraph examiners, parole board members, treatment providers, prosecuting and defense attorneys, social service workers, sex offenders, judges, law enforcement officers, and prison treatment staff and administrators. The current research built on this study and methodology.

The current research was also multi-faceted and included another national telephone survey of probation and parole supervisors, a literature review, a review of the legal and ethical issues associated with the use of the polygraph, a review of case law, and a review of agency documents and protocols. Also, we collected data out of 232 offender case files in four states. Field research involved visiting 14 jurisdictions in 7 states (California, Colorado, Massachusetts, New York, Oregon, Texas and Wisconsin), and face-to-face interviews were conducted with treatment providers, parole and probation officers, polygraph examiners, prosecuting attorneys, and sex offenders. The telephone survey and case file review methods are described below.



## 1998 TELEPHONE SURVEY METHODS

In 1998 a second national telephone survey was completed. The sampling frame consisted of the original 732 probation and parole supervisors who responded to the 1994 telephone survey (the response rate was over 95%). The sampling approach was not revised because of the complexity and resources that would be required for re-design. The survey covered 49 states and the District of Columbia (South Dakota was not included due to a lack of information required for the sampling process). The 1994 sample was drawn to represent probation and parole agencies across the nation and was stratified based on geographic location and population density. Specifically, each state was divided into four (generally equal) geographic quadrants and, using population figures from the 1990 Census, one respondent was selected for every 500,000 or fewer people in each quadrant. To obtain the names of supervisors, state administrators were telephoned and asked to provide a list of probation and parole offices within the corresponding jurisdiction.<sup>1</sup> Using this method, a sample of 873 probation and parole supervisors were randomly selected from the quadrant office lists. Of these, 83.3 percent (758) were contacted by interviewers. Of these, 732 supervisors agreed to participate, resulting in an overall response rate in 1994 of 96.6 percent.

In 1998, our intent was to re-contact all 1994 telephone survey participants to focus on a number of questions related specifically to the use of the polygraph as a management and supervision tool for sex offenders. We recreated the list of respondents for the purpose of contacting them again. We sent a letter to each agency supervisor that described the project and the purpose of contacting individual supervisors. We asked them to fax back certain pieces of information, specifically, the name and phone number of a contact person. Trained telephone surveyors first called respondents to identify a convenient time when they could answer the survey questions. The time required ranged from five to 10 minutes (if they *rarely or never* used the post-conviction polygraph with adult sex offenders) to, on average, one hour if they *sometimes, often, almost always or always* used the post-conviction polygraph with sex offenders. Interviewers faxed reminders to the respondents regarding the agreed-upon time of the interview. Many of the respondents remembered the 1994 survey. Of the original sample of 732, 33 surveys were not completed (we were unable to contact 18 potential respondents, 9 supervisors refused, the office did not currently supervise sex offenders in 4 instances, and we obtained 2 incomplete questionnaires). A total of 699 surveys were completed, generating a response rate of 95.5 percent.

Responses were weighted to reflect agencies that had consolidated since the 1994 national telephone survey. All 1998 telephone survey respondents were questioned regarding their current use of the post-conviction polygraph for the treatment and supervision of sex offenders. A total of 699 (weighted) surveys were completed. Of these, 533 (weighted n=544) reflect responses to surveys where the polygraph was *never or rarely used*. Another 146 (weighted n=155) reflect responses to surveys where the *polygraph was used, at least sometimes*.

Those who responded that they never or rarely used the polygraph were asked to describe barriers to the use of the polygraph with sex offenders. Respondents who indicated that their agencies used the post-conviction polygraph for the treatment and supervision of sex offenders sometimes, often, almost

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<sup>1</sup> Names of state probation and parole administrators were obtained from the American Correctional Association Probation and Parole Directory and the American Probation and Parole Association member list.

always or always were asked a different series of questions. These included when and how the polygraph was used, consequences for deceptive results or new information revealed, changes in the management of sex offenders attributed to the use of the polygraph, and perceived benefits of the post-conviction polygraph as a tool for the management and supervision of sex offenders.

Survey questions for these groups included those with both closed-ended and open-end responses. A team that included telephone interviewers, supervisors, and other project researchers coded open-end responses. Coding for open-ended responses was done in team meetings, and a consensus process was used to develop answer codes and to determine how to categorize responses. When possible, this telephone survey report presents many of these open-ended responses verbatim. Please remember that the open-ended responses, even after they were placed in categories for descriptive purposes, represent qualitative data.

This technical report contains findings from the 1998 national telephone survey and includes the following:

- A. Comparisons of agency structure and special practices with sex offenders between agencies that used the polygraph (at least sometimes) and agencies that never or rarely used the post-conviction polygraph with sex offenders.
- B. For agencies contemplating use of the post-conviction polygraph with sex offender, descriptions of barriers to implementation.
- C. Descriptions of how the polygraph is used, perceived benefits, and other issues surrounding use of the post-conviction polygraph with sex offenders drawn from responses from agencies where the polygraph was used at least sometimes.

Brief summaries in the form of bulleted comments accompany each table. A copy of the telephone questionnaire is attached to the end of this document.

# 1998 TELEPHONE SURVEY FINDINGS

## A. Agency Structure and Selected Practices in the Management of Sex Offenders

Responses of all agencies participating in the 1998 telephone survey (those that used the post-conviction polygraph with sex offenders and those that did not<sup>2</sup>) are included in these findings. Comparisons of agency structure, population supervised, and other agency practices regarding the management of sex offenders are made between those that use the polygraph and those that do not.

### SUMMARY OF SURVEY FINDINGS

**Special practices for the management of sex offenders often occur together. Agencies that used the polygraph were also more likely to have employed specialized caseloads and special risk assessments with sex offenders. Agencies that reported the use of specialized caseloads were also more likely to use a special risk assessment for sex offenders, regardless of whether they also used the polygraph.**

**Agency structure or type of caseload was not related to use of the polygraph and is not consistently related to the use of specialized caseloads or risk assessments with sex offenders.**

1. *Did the way the agency is administered, i.e., whether probation and parole is administered separately or by a single agency, impact use of the polygraph?*
  - The way the agency was administered did not affect the use of the polygraph. The majority of respondents reported that probation and parole were administered by different agencies.

**TABLE I. STRUCTURE OF PROBATION AND PAROLE AND USE OF THE POLYGRAPH**

<b>Use of the Polygraph</b>	<b>Yes</b> (Sometimes, Often, Almost Always, Always) Weighted n=155	<b>No</b> (Never, Rarely) Weighted n=544
Probation and parole administered by the same agency	40.0%	39.2%
Probation and parole administered by different agencies	60.0%	60.8%
Total	100%	100%

<sup>2</sup> Agencies using the polygraph report use as *sometimes, often, almost always or always*. Agencies not using the polygraph report use as *never or rarely*.



2. *Did the population of sex offenders supervised by the agency, i.e., probationers, parolees or both, affect the use of the polygraph?*
- The percentages of agencies that reported supervising both probationers and parolees are similar for those that used and did not use the post-conviction polygraph (approximately 39%). Fewer agencies that used the polygraph supervised only parolees (15.7%) compared to agencies not using the polygraph (23%), but this difference was not statistically significant.

**TABLE 2. ARE SEX OFFENDERS (SUPERVISED BY YOUR AGENCY/OFFICE) PROBATIONERS OR PAROLEES?**

Type of sex offender supervised by agency/office	Use of the Polygraph	
	Yes (Sometimes, Often, Almost Always, Always) Weighted n=153	No (Never, Rarely) Weighted n=544
Both Probationers and Parolees	39.2%	38.9%
Probation Only	45.1%	38.1%
Parolees Only	15.7%	23.0%
Total	100%	100%

3. *Did agencies that used the polygraph also employ special practices relating to the management of sex offenders, such as specialized sex offender caseloads, use of a special risk assessment for sex offenders or a requirement for sex offenders to undergo mental health treatment?*
- Agencies that used the polygraph were much more likely to have specialized caseloads (78.6% compared to 46.1%).
  - Agencies that used the polygraph were more likely to also use a special risk assessment instrument for sex offenders (39.0% compared to 19.4%).
  - Although the requirement for mental health treatment for sex offenders was widely reported, agencies that used the polygraph were statistically more likely to also require mental health treatment.<sup>3</sup> Every agency that used the polygraph also required sex offenders to undergo treatment, at least in some cases, compared to 93% of agencies that did not use the polygraph.

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<sup>3</sup> Since the practice of requiring sex offenders to undergo mental health treatment was reported by most of the respondents to the short survey, little variation exists in the data, and no relationship was found between this and other variables in the survey. Thus, results of cross-tabulations of mental health treatment and other variables indicate distributions that are generally similar to the frequency reported in Table 6. In an effort to simplify presentation of the data, these results will not be displayed elsewhere in the report.

**TABLE 3. DOES YOUR AGENCY HAVE SPECIALIZED SEX OFFENDER CASELOADS OR SITUATIONS WHERE ONE OR MORE PEOPLE HANDLE ALL THE SEX OFFENDER CASELOADS?**

Agency has specialized caseloads	Use of the Polygraph (a)	
	Yes (Sometimes, Often, Almost Always, Always) <i>Weighted n=154</i>	No (Never, Rarely) <i>Weighted n=544</i>
Yes	78.6%	46.1%
No	21.4%	53.9%
Total	100%	100%

(a) Chi-Square table significant at <.05

**TABLE 4. DOES YOUR AGENCY/OFFICE USE A RISK ASSESSMENT INSTRUMENT FOR SEX OFFENDERS?**

Agency uses special risk assessment for sex offenders	Use of the Polygraph (a)	
	Yes (Sometimes, Often, Almost Always, Always) <i>Weighted n=154</i>	No (Never, Rarely) <i>Weighted n=541</i>
Yes	39.0%	19.4%
No	61.0%	80.6%
Total	100%	100%

(a) Chi-Square table significant at <.05

**TABLE 5. ARE SEX OFFENDERS THAT YOUR AGENCY/OFFICE SUPERVISES REQUIRED TO UNDERGO MENTAL HEALTH TREATMENT?**

Agency requires sex offender to undergo mental health treatment	Use of the Polygraph (a)	
	Yes (Sometimes, Often, Almost Always, Always) <i>Weighted n=153</i>	No (Never, Rarely) <i>Weighted n=543</i>
Yes or Sometimes	100%	93.0%
No	0%	7.0%
Total	100%	100%

(a) Chi-Square table significant at <.05

4. *Are agencies with specialized caseloads also more likely to use special risk assessments for sex offenders?*

- Agencies reporting specialized caseloads or situations where one or more people are assigned to handle sex offenders were also somewhat more likely to use a special risk assessment for sex offenders. This was true whether or not the agency used the polygraph.

**TABLE 6. SPECIALIZED CASELOADS COMPARED TO USE OF SPECIAL RISK ASSESSMENTS FOR SEX OFFENDERS**

Specialized caseloads	Agencies NOT using the polygraph			Agencies using the polygraph		
	Special risk assessments for sex offenders (a) Weighted n=541			Special risk assessments for sex offenders (a) Weighted n=153		
	% Yes	% No	Total	%Yes	% No	Total
Yes	27.3%	72.7%	100%	44.6%	55.4%	100%
No	12.7%	87.3%	100%	18.8%	81.3%	100%

(a) Chi-Square table significant at <.05

5. *Did agency structure impact the use of specialized caseloads or risk assessment with sex offenders?*

- Most often, agency structure did not appear to impact the practices of specialized caseloads or the use of special risk assessments for sex offenders. There is one exception. When probation and parole were administered by different agencies and not using the polygraph, they were somewhat more likely to have specialized caseloads (49.5%) than agencies not using the polygraph where probation and parole are administered together (40.8%).

**TABLE 7. AGENCY STRUCTURE AND OTHER AGENCY PRACTICES**

Agency Structure	Agencies NOT using the polygraph					
	Specialized Caseloads for Sex Offenders (a) Weighted n=544			Special Risk Assessment for Sex Offenders Weighted n=541		
	% Yes	% No	Total	% Yes	% No	Total
Prob & Parole Administered by Same Agency	40.8%	59.2%	100%	19.2%	80.8%	100%
Prob & Parole Administered by Different Agencies	49.5%	50.5%	100%	19.5%	80.5%	100%
	Agencies using the polygraph					
	Specialized Caseloads for Sex Offenders Weighted n=154			Special Risk Assessment for Sex Offenders Weighted n=154		
Prob & Parole Administered by Same Agency	71.0%	29.0%	100%	41.0%	59.0%	100%
Prob & Parole Administered by Different Agencies	83.7%	16.3%	100%	37.6%	62.4%	100%

(a) Chi-Square table significant at < .05

6. *Did the type of client supervised (probationer, parolee, or both) impact other practices regarding the management of sex offenders?*

- Agencies that did not use the polygraph and that supervised only parolees were somewhat more likely to also report specialized caseloads for sex offenders than agencies that supervised only those on probation or that supervise both probation and parole clients (55.2% compared to 46.9% and 39.8%, respectively).
- There was no statistical difference in the type of offender supervised (probationer, parolee or both) and the use of a special risk assessment instrument for sex offenders in agencies where the polygraph was not used.
- Use of specialized caseloads was not statistically related to the type of caseload managed (probation, parole or both) for agencies currently using the polygraph.<sup>4</sup>

**TABLE 8. PROBATION/PAROLE SEX OFFENDER CASELOAD BY AGENCY PRACTICES**

Sex offender caseload	Agencies NOT using the polygraph (short form)					
	Specialized Caseloads for Sex Offenders (*) Weighted n=544			Special Risk Assessment for Sex Offenders Weighted n=541		
	% Yes	% No	Total	% Yes	% No	Total
Both	40.1%	59.9%	100%	18.9%	81.1%	100%
Probation	46.9%	53.1%	100%	17.1%	82.9%	100%
Parole	55.2%	44.8%	100%	24.2%	75.8%	100%
	Agencies using the polygraph (long form)					
	Specialized Caseloads for Sex Offenders Weighted n=152			Special Risk Assessment for Sex Offenders (*) Weighted n=154		
Both	73.3%	26.7%	100%	41.7%	58.3%	100%
Probation	79.7%	20.3%	100%	44.9%	55.1%	100%
Parole	95.7%	4.3% (**)	100%	16.7%**)	83.3%	100%

(\*) Chi-Square table significant at < .05.

(\*\*) Significance may be impacted by <5 cases in this cell.

<sup>4</sup> Although agencies that used the polygraph and managed only parolees appeared somewhat less likely to use a special risk assessment (16.7%) than agencies managing only those on probation (44.9%) or both (41.7%), this difference is not statistically significant, as sample sizes are not adequate within cells for valid statistical tests.

## B. Barriers to Polygraph Implementation

These findings are based on responses from agencies that did not use the polygraph. Interviewers questioned these agencies about whether they had considered using the post-conviction polygraph with sex offenders and explored their reasons for not doing so.

### SUMMARY OF SURVEY FINDINGS

More than half (54.9%) of the agencies that did not use the post-conviction polygraph with sex offenders had no plans for future implementation. Agencies with practices that included both specialized sex offender caseloads and special risk assessments for sex offenders were more likely to consider implementation.

The biggest barrier to implementation of the polygraph was a lack of resources (noted by 45% of all those not using the polygraph). Lack of resources refers to inadequate funds and/or personnel. However, perceived barriers to polygraph use varied by region. Respondents from the northeast and central regions were more likely to report a lack of polygraph examiners and ethical and legal considerations than were respondents from the southern and western regions.

Different barriers were emphasized, depending on whether the agency supervised parolees, probationers, or both. Agencies supervising parolees were the least likely to report a lack of polygraph examiners as a barrier to post-conviction polygraph implementation. Agencies that supervised only probationers were the most likely to report ethical and legal considerations as barriers.

A lack of resources and a lack of polygraph examiners were more frequently reported by agencies that considered use of the post-conviction polygraph compared to agencies that had not considered its use. Agencies considering use of the polygraph generally did not see ethical, legal or other considerations as primary barriers to implementation. Agencies that had implemented special practices for sex offenders such as special caseloads and risk assessments were somewhat less likely to view either ethical or other issues as barriers. It may be that implementing these practices have allowed agencies the opportunity to work through many legal and ethical issues.

These findings suggest that some agencies might be poised to implement the polygraph if adequate resources and professionals to administer the polygraph were available. Three out of five (60.6%) of 46 agencies that considered use of the polygraph and also employed both specialized caseloads and risk assessments for sex offenders reported the lack of resources as the primary barrier to implementation of the polygraph. For this group, in particular, removal of the resource barrier might provide the impetus to implement the post-conviction polygraph for the management and supervision of sex offenders.

1. *Were agencies that did not use polygraph with sex offenders considering implementation?*

- More than half (54.9%) of the agencies not using the post-conviction polygraph with sex offenders also *have not* considered its use.<sup>5</sup>

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<sup>5</sup> There is no statistical difference in consideration of use of the polygraph and agency structure or type of client supervised.

**TABLE 9. HAS THERE BEEN ANY CONSIDERATION OF USING THIS TYPE (TREATMENT AND SUPERVISION) OF POLYGRAPH WITH SEX OFFENDERS IN YOUR AGENCY?** *Weighted n=544*

<b>No</b>	54.9%
<b>Yes</b>	38.7%
<b>Don t Know</b>	6.4%
<b>Total</b>	100%

2. *Were agencies considering the use of the polygraph more likely to use other special practices for the supervision and management of sex offenders?*

- Agencies that considered using the polygraph in the management and supervision of sex offenders were also more likely to have agency practices that included specialized caseloads (61%) and special risk assessments for sex offenders (29.3%).

**TABLE 10. CONSIDERATION OF THE POLYGRAPH BY SPECIALIZED CASELOAD AND RISK ASSESSMENTS FOR SEX OFFENDERS**

<b>Considered using the polygraph with sex offenders</b>	<b>Specialized Caseloads for Sex Offenders</b> (a) <i>Weighted n=508</i>			<b>Special Risk Assessment for Sex Offenders</b> (a) <i>Weighted n=505</i>		
	% Yes	% No	Total	% Yes	% No	Total
Yes	61.0%	39.0%	100%	29.3%	70.7%	100%
No	37.6%	62.4%	100%	12.5%	87.5%	100%

(a) Chi-Square table significant at < .05.

3. *What were the barriers to implementing the polygraph? Did these barriers differ by geographic region, type of offender supervised, and agency structure?*

- Agencies perceived a number of barriers to using the polygraph with sex offenders. The primary barrier to implementation, reported by almost half (45%) of the respondents from agencies not using the polygraph, was a lack of resources.

**TABLE 11. WHAT ARE THE BARRIERS TO USING THE POLYGRAPH AT THIS TIME?**

*Weighted n=544*

<b>Lack of resources</b>	45.0%
<b>No serious consideration</b>	30.0%
<b>Other</b> (e.g., lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues)	29.2%
<b>No polygraph examiners</b>	18.4%
<b>Legal and/or ethical issues</b>	18.2%

Note: respondents could provide more than one answer; thus, percentages do not total 100.

- Regional<sup>6</sup> differences were found in the types of barriers reported.
- The northeast and central regions were more likely to report the lack of polygraph examiners as a barrier to implementation.
- The northeast and central regions were also more likely to report ethical and legal considerations as barriers to implementation.
- The northeast was somewhat less likely than other regions to report "other" considerations as a barrier to implementation. Other considerations include a lack of knowledge, information, or familiarity with the post-conviction polygraph with sex offenders, a lack of confidence in the polygraph process, and a lack of polices or internal or external support for use of the polygraph in their organizations.

**TABLE 12. BARRIERS TO USING THE POLYGRAPH BY GEOGRAPHIC REGION**

Region (b)	Lack of Resources			No Polygraph Examiners (a)			Ethical/Legal Considerations (a)			Other Considerations (a) (c)		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Northeast	46.0%	54.0%	100%	22.1%	77.9%	100%	24.5%	75.5%	100%	18.4%	81.6%	100%
South	41.1%	58.9%	100%	15.5%	84.5%	100%	10.1%	89.9%	100%	28.7%	71.3%	100%
Central	51.5%	48.5%	100%	27.2%	72.8%	100%	21.4%	78.6%	100%	35.9%	64.1%	100%
West	43.0%	57.0%	100%	10.7%	89.3%	100%	16.1%	83.9%	100%	36.9%	63.1%	100%

(a) Chi-Square table significant at < .05.

(b) Percentages for each region based on the following *weighted n*: Northeast 163, South 129, Central 103, West 149.

(c) Other Considerations (*e.g., lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues*)

- Agencies that supervised parolees were less likely to report a lack of polygraph examiners as a barrier to implementation (11.2%) than agencies that supervised either probationers or both probationers and parolees (18.8% and 22.2%, respectively).
- Ethical and legal considerations were more likely to be a barrier for agencies that supervised probationers (24.2%) than for agencies that supervised parolees or both probationers and parolees (14.4% and 14.6%, respectively).

<sup>6</sup> Northeast (CT,DC,DE,MA,MD,ME,NH,NJ,NY,OH,PA,RI,VT); South (AL,AR,FL,GA,KY,LA,MS,NC,SC,TN,VA,WV); Central (IA,IL,IN,KS,MI,MN,MO,ND,NE,WI); West (AK,AZ,CA,CO,HI,MT,NM,NV,OK,TX,UT,WY)

**TABLE 13. TYPE OF SEX OFFENDER SUPERVISED BY BARRIERS TO USING THE POLYGRAPH**

Client (b)	Lack of Resources			No Polygraph Examiners (a)			Ethical/Legal Considerations (a)			Other Considerations (c)		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Both	50.0%	50.0%	100%	22.2%	77.8%	100%	14.6%	85.4%	100%	26.4%	73.6%	100%
Probation	43.0%	57.0%	100%	18.8%	81.2%	100%	24.2%	75.8%	100%	30.9%	69.1%	100%
Parole	40.0%	60.0%	100%	11.2%	88.8%	100%	14.4%	85.6%	100%	31.2%	68.8%	100%

(a) Chi-Square table significant at < .05.

(b) Percentages for each type of supervised person are based on the following *weighted n*: Both 212, Probation Only 207, Parole Only 125.

(c) Other (e.g., lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues)

- Agency structure bore some relation to the type of barrier reported. Respondents from agencies in which parole and probation were administered by the same agency (compared to administration by different agencies) were more likely to report a lack of resources and polygraph examiners as barriers to implementation.

**TABLE 14. AGENCY STRUCTURE BY BARRIERS TO USING THE POLYGRAPH**

(a) (c)	Lack of Resources (b)			No Polygraph Examiners (b)			Ethical/Legal Considerations			Other Considerations (d)		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Same	50.7%	49.3%	100%	23.0%	77.0%	100%	14.6%	85.4%	100%	25.8%	74.2%	100%
Different	41.4%	58.6%	100%	15.4%	84.6%	100%	20.5%	79.5%	100%	31.4%	68.6%	100%

(a) Same means probation and parole administered by the same agency. Different means probation and parole administered by different agencies.

(b) Chi-Square table significant at < .05.

(c) Percentages for each type of agency structure based on the following *weighted n*: Same 213, Different 331.

(d) Other (e.g., lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues)

4. *What were barriers to implementation for those considering using the polygraph to manage and supervise sex offenders?*

- Agencies that reported considering use of the polygraph were more likely than those not considering its use to report lack of resources (57.1% to 38.9%) and no polygraph examiners (24.4% to 15.1%) as barriers.



**TABLE 15. CONSIDERATION OF USE OF THE POLYGRAPH BY BARRIERS TO IMPLEMENTATION**

Cons. Use of Poly (b)	Lack of Resources (a)			No Polygraph Examiners (a)			Ethical/Legal Considerations			Other Considerations (c)		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Yes	57.1%	42.9%	100%	24.3%	75.7%	100%	21.0%	79.0%	100%	29.0%	71.0%	100%
No	38.9%	61.1%	100%	15.1%	84.9%	100%	17.1%	82.9%	100%	31.2%	68.8%	100%

(a) Chi-Square table significant at <.05.

(b) Percentages for consideration of use of the polygraph or not are based on the following *weighted n*: No 298, Yes 210

(c) Other (e.g., lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues)

5. *Did agencies with specialized sex offender caseloads report different barriers than agencies without specialized sex offender caseloads?*

- Agencies with specialized sex offender caseloads were *less likely* to report "other" considerations as a barrier to implementation of the polygraph (23.9% compared to 33.8%).

**TABLE 16. SPECIALIZED SEX OFFENDER CASELOADS BY BARRIERS TO IMPLEMENTATION**

Spec. SO Case-loads (b)	Lack of Resources			No Polygraph Examiners			Ethical/Legal Considerations			Other Considerations (a)(c)		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Yes	49.4%	50.6%	100%	16.7%	83.3%	100%	19.1%	80.9%	100%	23.9%	76.1%	100%
No	41.3%	58.7%	100%	19.8%	80.2%	100%	17.4%	82.6%	100%	33.8%	66.2%	100%

(a) Chi-Square table significant at < .05.

(b) Percentages for specialized caseloads are based on the following *weighted n*: No 293, Yes 251

(c) Other (e.g., a lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues)

6. *Did agencies that used special risk assessments for sex offenders report different barriers than agencies that do not use special risk assessments?*

- Agencies that used a special risk assessment for sex offenders were less likely to report ethical considerations as barriers to use of the polygraph (9.5% compared to 20.4%).

**TABLE 17. USE OF SPECIAL RISK ASSESSMENTS FOR SEX OFFENDERS BY BARRIERS TO IMPLEMENTATION**

Special Risk Assess. for Sex Offenders (b)	Lack of Resources			No Polygraph Examiners			Ethical/Legal Considerations (a)			Other Considerations		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Yes	49.5%	50.5%	100%	22.9%	77.1%	100%	9.5%	90.5%	100%	29.5%	70.5%	100%
No	43.8%	56.2%	100%	17.4%	82.6%	100%	20.4%	79.6%	100%	29.1%	70.9%	100%

(a) Chi-Square table significant at < .05.

(b) Percentages for special risk assessment are based on the following *weighted n*: No 436, Yes 105

(c) Other (*e.g., a lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues*)

7. *Agencies that employed specialized caseloads and used special risk assessments for sex offenders, which were also considering use of the polygraph, might be "poised" to implement the polygraph if barriers to implementation were removed. What were these barriers?*

A small number of agencies (weighted n=46) that used both specialized caseloads and risk assessments for sex offenders also reported that they were considering using the post-conviction polygraph as a management and supervision tool for sex offenders. The barriers to implementation for this group, described as “ready,” were compared to other agencies that were not using the post-conviction polygraph.

- Almost two-thirds (60.9%) of the group of 46 agencies described as “ready” to implement the polygraph reported a lack of resources as a barrier.
- Almost a third of this group (30.4%) reported the lack of polygraph examiners to be a barrier to implementation of the post-conviction polygraph.

**TABLE 18. READINESS TO IMPLEMENT THE POLYGRAPH BY BARRIERS TO IMPLEMENTATION**

Readiness For Poly (b)	Lack of Resources (a)			No Polygraph Examiners (a)			Ethical/Legal Considerations			Other Considerations (c)		
	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total	% Yes	% No	Total
Ready	60.9%	39.1%	100%	30.4%	69.6%	100%	13.0%	87.0%	100%	26.1%	73.9%	100%
Other	43.6%	56.4%	100%	17.3%	82.7%	100%	18.7%	81.3%	100%	29.5%	70.5%	100%

(a) Chi-Square table significant at < .05.

(b) Percentages for ready for implementation are based on the following *weighted n*: Others 498, Ready 46

(c) Other (*e.g., a lack of knowledge, confidence, familiarity, accessibility, policies, support regarding polygraph; no perceived need or utility; controversial and individual rights issues*)

## C. How the Polygraph Is Used, Perceived Benefits and Other Issues Surrounding the Use of the Post-Conviction Polygraph with Sex Offenders

This section includes telephone survey responses from agencies that reported using the post-conviction polygraph with convicted sex offenders, at least sometimes.<sup>7</sup> The survey covered a number of topics such as policies and procedures, time and resources issues, implementation issues, perceived benefits and/or changes in management practices, and a number of other topics related to the use of the polygraph.

### SUMMARY OF SURVEY RESPONSES

**One in three (35.5%) of the respondents representing agencies that used the post-conviction polygraph with sex offenders indicated that the idea of using the polygraph originated with treatment providers. Use of the post-conviction polygraph with convicted sex offenders is not new; nearly half (45.2%) of the respondents reported their agencies had used the polygraph for five or more years.**

**Almost two-thirds (63.9%) of the respondents indicated their agencies used the polygraph regularly to determine compliance. The polygraph was frequently (52.2%) used to obtain sexual history and information on past offenses and also when an offender was in denial of the current conviction (45.8%). The polygraph was often (54.2%) used in "other" circumstances, such as to investigate suspicions or critical incidents or to address specific issues.**

**Generally (in 83.2% of the agencies responding), the sex offender was aware that the polygraph was part of the supervision and treatment process, and most of the time (92.3%), the offender was required to waive confidentiality among the agent, treatment provider, and polygraph examiner.**

**Many agencies experienced difficulties when implementing the polygraph. One in three respondents (34.8%) mentioned opposition from a variety of sources, such the criminal justice system, treatment providers, and offenders. Legal and immunity issues (17.4%) as well as a lack of polygraph examiners (12.3%) were also problematic. Most commonly these concerns were addressed by educating stakeholders (38.7%) and developing ways to locate and screen additional polygraph examiners (32.9%).**

**The choice of a polygraph examiner appeared to be crucial in determining the success of program implementation. Respondents advised developing interviews, screening and background checks, and ensuring that the polygraph examiner was qualified and experienced with sex offenders. Most of the respondents (91%) indicated that they were satisfied with services provided by polygraph examiners. Factors such as excellent communication and polygraph skills, professionalism, and timeliness of reports and results were critical to satisfaction.**

**Sanctions and consequences played an important role in the post-conviction polygraph process. Many agencies (61.9%) reported the ability to arrest and temporarily jail an offender without going to court. Agencies used a variety of consequences or actions depending on the polygraph result. The most common consequence reported for a deceptive polygraph was increased supervision (46.5%), including more surveillance, electronic monitoring, or home visits. When offenses before the current conviction were uncovered, often there were no consequences (44.5%). Investigations were common (52.6%) when offenses occurring after the current conviction were revealed. When violations of supervision were found, the agencies frequently responded with an increase in supervision (56.1%).**

**There is no question that most respondents perceived benefits to using the post-conviction polygraph with convicted sex offenders. The overarching theme that appeared was best conveyed in the words of**

<sup>7</sup> Unless otherwise indicated, percentages for all tables are based on a weighted n of 155. There were 146 responses to the long survey that resulted in 155 weighted cases. Cases were weighted to reflect instances where the agencies surveyed in 1994 were consolidated at the time of the 1998 interview. (See Methods section in this report).

a respondent who noted "You know more about what the issues are so you can provide better treatment and supervision to reduce risk." More than three out of four (76.1%) indicated that the polygraph enhanced disclosure and knowledge of the offender's behavior. Use of the polygraph led to better management and supervision of the offender, according to two-thirds (66.5%) of the respondents. More than half remarked that the polygraph helped prevent offenses (58.1%).

## POLICES AND PROCEDURES

### 1. Where did the idea [to use the polygraph] originate?

- The idea most often came from treatment providers or as a result of general exposure to the concept.

**TABLE 19. WHERE DID THE IDEA TO USE THE POLYGRAPH ORIGINATE? <sup>8</sup>**

Weighted n=155

<b>Treatment Providers</b>	35.5%
<b>Exposed to Idea</b> (exposed to training, information, other states' programs, or gathered information about the polygraph)	21.3%
<b>Probation /parole office</b> (including respondent or other personnel in the office)	10.3%
<b>Criminal Justice</b>	6.5%
<b>PE, Board, Legislation</b>	5.8%
<b>Don't Know</b>	31.0%

Respondent may have more than one response. Thus, percentages do not add to 100.

### 2. How long has the polygraph been used?

- Use of the polygraph with convicted sex offenders is not a new idea. Nearly half (45.2%) of the agencies reported using the polygraph for five or more years, and 16.8% reported using it for 10 years or more.

**TABLE 20. LENGTH OF TIME POLYGRAPH IN USE** Weighted n=155

<b>&lt; 1 year</b>	9.0%
<b>1-2 years</b>	24.5%
<b>3-4 years</b>	18.7%
<b>5-9 years</b>	28.4%
<b>10+ years</b>	16.8%
<b>Don't Know</b>	2.6%
<b>Total</b>	100%

<sup>8</sup> Note that table headings in this section typically describe the question asked of the polygraph. In some cases the wording was changed somewhat or shortened to be more reflective of a table heading.

3. *Did state laws or local policies require use of the polygraph with sex offenders?*

- About half (51.6%) of the probation and parole officers participating in the long survey reported the existence of state or local policies that required polygraphs for sex offenders.
- Fewer than one in three reported using the polygraph before these laws or policies were effected.

**TABLE 21. STATE LAW OR LOCAL POLICY REQUIRING POLYGRAPH?** *Weighted n=155*

<b>No</b>	43.2%
<b>Yes</b>	51.6%
<b>Don't Know</b>	5.2%
<b>Total</b>	100%

**TABLE 22. WAS THE POLYGRAPH USED BEFORE STATE LAW OR LOCAL POLICY WENT INTO EFFECT?** *Weighted n=80*

<b>No</b>	60.0%
<b>Yes</b>	33.8%
<b>Don t Know</b>	6.3%
<b>Total</b>	100%

4. *Did staff receive training specifically on the use of the polygraph with sex offenders?*

- Somewhat more than half (56.1%) of the respondents reported that staff had been specifically trained on the use of the polygraph with sex offenders.
- Training occurred on an ongoing basis for many (46.0%) of those who received training.
- Anecdotal comments regarding training described a variety of experiences, including formal conferences and special sex offender training programs. Training was often received from polygraph examiners, either by specific programs, or by talking with and observing the examiners at work. Regular networking with sex offender providers, obtaining information on how the polygraph was used in other states, and receiving polygraph-specific information, such as understanding interviewing techniques and skills required of the examiner, were also mentioned as training methods.

**TABLE 23. HAS YOUR STAFF HAD TRAINING SPECIFICALLY ON THE USE OF THE POLYGRAPH WITH SEX OFFENDERS?** *Weighted n=155*

No	43.2%
Yes, staff or some staff	56.1%
Don't Know	.6%
Total	100%
<b>When was training received?</b> <i>Weighted n=88</i>	
Training is ongoing	46.0%
Training received less than two years ago	44.8%
Training received more than two years ago	6.9%
Other (e.g., at least quarterly)	2.3%
Total	100%

5. *Who does and does not receive a polygraph?*

- Most of the time, polygraphs *were not required for every sex offender* supervised by the agency or office. Only one in four of probation and parole officers representing offices that used the polygraph reported that *all* sex offenders supervised by their agency received a polygraph.

**TABLE 24. WHAT PERCENT OF SEX OFFENDERS RECEIVE THE POLYGRAPH?**  
*Weighted n=155*

<b>Everyone (100%)</b>	25.8%
<b>95% to 99%</b>	15.5%
<b>Less than 95%</b>	56.1%
<b>Don't Know</b>	2.6%
<b>Total</b>	100%

*Respondents representing the small number of agencies (15.5%) that use the polygraph with almost all sex offenders (between 95% and 99%) were asked to describe the unique circumstances in which a sex offender does not receive a polygraph.*

- Over one-half of this small group (weighted n=24) reported that sex offenders may not receive the polygraph for reasons such as "slipping through the cracks" or participation in another program that does not require the polygraph.
- Offenders with health or mental health issues or those who use psychotropic medications may not receive a polygraph.

Respondents representing agencies that polygraph less than 95% of sex offenders they supervise (56.1%, weighted n=87) were asked to describe the circumstances that determine who receives and who does not receive the polygraph.

- The decision to use the polygraph was often linked to either the therapist or treatment. The therapist may be the driving force in determining who receives the polygraph, or all those in treatment may receive a polygraph. Use of the polygraph may be related to decisions regarding treatment progress, failure or level, and receptivity to treatment.
- The court, probation, or parole sometimes determined who received the polygraph.
- Crime type and level of offender risk also played a role in the decision to use the polygraph, but less frequently than the above considerations.

**TABLE 25. WHO GETS THE POLYGRAPH AND WHO DOES NOT?**

Summary of respondents comments	Fewer than 95% of sex offenders get the polygraph	Most sex offenders (95% to 99%) get the polygraph
<b>Who Gets the Polygraph?</b>	% based on weighted n=87	% based on weighted n=24
Therapist involved in the decision, e.g., depends on the therapist, therapist requires or may mandate even for some misdemeanors. Discussion of case with therapist or recommendation of treatment agencies.	32.2%	
Ordered by court, probation or parole. Court determines who does and does not get polygraph. Those on long-term parole.	26.4%	
Severe or violent crimes, e.g., rape/sodomy, all felonies, predatory offenses, and crimes against children.	13.8%	
Depends on the degree of risk, e.g., multiple offenses, high risk offender, criminal history, or level of deception	12.6%	
All in treatment	12.6%	
Depends on the treatment level or if no progress in treatment or fails treatment. Also, if receptive to treatment.	10.3%	
Other, e.g., up to the polygraph examiner, random selection or legislation determines, or to terminate from treatment	8.0%	
Denial group	8.0%	
<b>Who Does Not Get the Polygraph</b>		
May not receive a polygraph for a variety of reasons, e.g., some slip through the cracks. It is not court ordered or mandatory. Small percentage may be in another type of sex offender treatment program [that does not require it]. Offender is not yet in treatment or has not completed the evaluation required for the polygraph. Offender may not be complying [with program]. Offender is transferred from another jurisdiction. There may be legal issues, grandfathered, offender is not on probation or cannot be located. Offender is on lifetime probation and doing well.	3.4%	54.2%
Health reasons, e.g., heart condition, mental health condition or person is using psychotropic medications	4.6%	25.0%
Short timers or prison bound		8.3%
Language or cultural barrier		8.3%
Lack of resources or polygraph examiners	1.1%	4.2%
Low risk offenders		4.2%

Respondent may have more than one response. Thus, percentages do not add to 100.

6. *How were polygraphs used?*

- Almost two-thirds of the respondents reported regular use (i.e., often, always, or almost always) of the polygraph to determine compliance.
- More than half (52.2%) of probation and parole officers reported that a polygraph was regularly used (i.e., often, always or almost always) to obtain sexual history and past offenses.
- Somewhat less than half of the respondents (45.8%) reported that a polygraph was regularly used when a sex offender was in denial of the current conviction.
- A polygraph was not typically administered as part of the pre-sentence investigation. Three of every four probation and parole officers completing the long survey noted that this practice never or rarely occurred.
- A few respondents indicated that polygraphs sometimes served multiple purposes.

**TABLE 26. TYPE AND FREQUENCY OF POLYGRAPH ADMINISTERED** *Weighted n=155*

<b>Polygraph is administered</b>	<b>Never</b>	<b>Rarely</b>	<b>Someti mes</b>	<b>Often</b>	<b>Always or Almost always</b>	<b>Polygraph serves multiple purposes</b>	<b>Don't Know</b>	<b>Total</b>
To determine compliance with the conditions of probation or parole (Weighted n=155)	3.9%	9.0%	19.4%	25.2%	38.7%	1.3%	2.6%	100%
To obtain sexual history and past offenses (Weighted n=155)	9.7%	9.0%	20.6%	13.5%	38.7%	3.9%	4.5%	100%
When offender denies the current conviction (Weighted n=155)	17.4%	11.6%	14.2%	14.2%	31.6%	3.9%	7.1%	100%
As part of pre-sentence investigation (Weighted n=155)	55.5%	19.4%	11.6%	1.3%	5.8%	1.9%	4.4%	100%

More than half the respondents (54.2%) reported use of the polygraph for situations in addition to those noted above.

- Most commonly, polygraphs were used to investigate suspicions (52.4% of the group that reports using polygraphs for other situations).
- Nearly one-third of this group used the polygraph after critical incidents or to address specific issues, for instance, if the offender had contact with children.
- Polygraphs were sometimes used following a violation or to address an offender's progress in treatment or supervision.



**TABLE 27. IS THE POLYGRAPH USED FOR OTHER SITUATIONS, FOR EXAMPLE, AFTER A CRITICAL INCIDENT OR IN PAROLE RELEASE DECISIONS?**

<b>Yes</b>	54.2%
<b>No</b>	41.3%
<b>Don't Know</b>	4.5%
<b>Total</b>	100%

**TABLE 28. OTHER SITUATIONS WHEN POLYGRAPH IS USED** *Weighted n=84 (those that use the polygraph in other situations)*

<b>Summary of respondents' comments</b>	<b>% of weighted n=84 indicating response</b>
When there is a suspicion, e.g., complaint from community, any red flag, suspect violation, suspicion that they are lying, suspect high-risk behavior, re-offending or bad behaviors, hunch from informant, noticeable change in behaviors.	52.4%
Critical incidents or specific issues, drug situations, any time we think an offender needs it, contact with children, sobriety verification, high profile cases.	29.8%
Following a violation, reason to believe they violated parole.	10.7%
To determine offender's progress, e.g., treatment types of questions, to terminate from treatment, to determine reduction in supervision.	9.5%
To determine release from probation/parole	8.3%
Other, i.e., for non-compliance with terms and conditions, following inconclusive or deceptive exams, if defense requests, for family reunification, for long-term monitoring after treatment	8.3%

Respondent may have more than one response. Thus, percentages do not add to 100.

7. *Was the sex offender informed that the polygraph was part of the treatment/supervision process?*

- Most often, sex offenders were informed, at the beginning of their time on probation or parole, that a polygraph was part of the supervision or treatment process.

**TABLE 29. IS THE SEX OFFENDER AWARE FROM THE BEGINNING OF PROBATION OR PAROLE THAT HE/SHE IS LIKELY TO RECEIVE A POLYGRAPH AS PART OF THE SUPERVISION OR TREATMENT PROCESS?**

<b>Yes</b>	83.2%
<b>Sometimes</b>	9.7%
<b>No</b>	7.1%
<b>Total</b>	100%

8. *Were sex offenders required to sign confidentiality waivers?*

- Most of the time sex offenders were required to waive confidentiality among the agent, the treatment provider and the polygraph examiner.

**TABLE 30. DO YOU REQUIRE THE SEX OFFENDER TO WAIVE CONFIDENTIALITY BETWEEN THE AGENT/OFFICER, THE TREATMENT PROVIDER, AND THE POLYGRAPH EXAMINER?**

*Weighted n=155*

<b>Yes</b>	92.3%
<b>No</b>	5.8%
<b>Don't know or missing</b>	1.9%
<b>Total</b>	100%

9. *Were there written policies and procedures for the polygraph?*

- Over two-thirds of the respondents reported an absence of written policies or procedures relating to the polygraph process or results.

**TABLE 31. DO YOU HAVE WRITTEN POLICIES OR PROCEDURES RELATING TO THE POLYGRAPH OR USING THE RESULTS OF THE POLYGRAPH?** *Weighted n=155*

<b>No</b>	67.1%
<b>Yes</b>	28.4%
<b>Missing</b>	4.5%
<b>Total</b>	100%

## TIME AND RESOURCE ISSUES

1. *How long did a polygraph take?*

- Two hours was the most commonly reported length of time for a polygraph exam.
- Over half of the respondents reported one to three hours as the typical length of time for a polygraph exam.

**TABLE 32. HOW LONG DOES A FULL POLYGRAPH EXAM TYPICALLY LAST, INCLUDING THE PRE-TEST AND POST-TEST?** *Weighted n=102*

Minimum time reported	1/2 hour
Maximum time report	5-1/2 hours
Most frequent time reported	2 hours
Average time overall	2 hours, 5 min.
<b>Average times reported</b>	
30 minutes to 1 hour	12.7%
>1 to 1-1/2 hours	21.6%
>1-1/2 to 2 hours	29.4%
>2 to 3 hours	22.6%
More than 3 hours	13.7%
Total	100%

Based on a weighted n of 102 responses, the remaining responses were "don't know".

2. *How much did a polygraph cost?*

- A typical polygraph exam was most often reported to cost \$150.
- Over two-thirds of the respondents reported that a typical polygraph exam cost between \$100 and \$250.

**TABLE 33. HOW MUCH DOES A TYPICAL EXAM COST?** *Weighted n=128*

Minimum cost reported	\$75
Maximum cost reported	\$625
Most frequent cost reported	\$150
Average cost overall	\$200
<b>Average costs reported</b>	
\$75 to \$100	10.2%
>\$100 to \$150	28.9%
>\$150 to \$200	20.3%
>\$200 to \$250	21.9%
>\$250 to \$300	12.5%
>\$300	6.2%
Total	100%

Based on weighted n of 128 responses, the remaining responses were "don't know".

3. *Who paid for the polygraph?*

- The offender paid for the polygraph exam in approximately half (51.6%) of the offices represented by the probation and parole officers in the long survey. However, it was not uncommon to assist offenders with the cost of the polygraph, especially if the offender was indigent.

**TABLE 34. WHO PAYS FOR THE EXAM?** *Weighted n=155*

<b>Offender</b>	51.6%
<b>State/County Agency</b>	14.8%
<b>Combination Offender and State/County Agency</b> (including programs to subsidize costs for indigent offenders)	29.7%
<b>Other</b> (e. g., Federal grant, Sex Offender Assessment Fund, Community Punishment Program Act)	2.6%
<b>Don't Know</b>	1.3%
<b>Total</b>	100%

## IMPLEMENTATION ISSUES

1. *What problems were experienced when the polygraph was implemented?*

- Only 9% of survey respondents reported no problems when implementing the polygraph. The most common problem was opposition from a variety of stakeholders, such as public defenders and defense attorneys, courts, the parole board, treatment providers, and the offender.
- Somewhat less than one in five (17.4%) of the probation and parole officers responding noted that legal and immunity issues were areas of concern.
- A wide variety of other issues were addressed as the polygraph process was implemented, including the lack of qualified and accessible polygraph examiners, concerns regarding the validity of the polygraph, resource issues, and availability of information and training regarding the polygraph process.

**TABLE 35. WHAT WERE THE MOST DIFFICULT PROBLEMS YOUR AGENCY FACED WHEN THE POLYGRAPH WAS FIRST IMPLEMENTED?** *Weighted n=155*

Summary of respondents comments	% indicating response
<b>No problems</b>	9.0%
<b>Opposition</b> , e.g., public defenders, defense attorneys, courts, judges, parole board, administration, department of corrections, treatment providers, and offenders (e.g., getting the offender to cooperate, complaints about infringement of rights, misunderstanding regarding the polygraph procedure).	34.8%
<b>Legal and immunity issues</b> , i.e., results not admissible in court, wanted to use it for investigation, types of sanctions to impose, concern about information used against offender, possibility to subpoena files and historical information, sex predator laws, what to do with the information.	17.4%
<b>Lack of polygraph examiners</b> , i.e., no or not enough examiners, no funding for good examiners, unable to find quality examiners, educating the polygraph examiner about sex offenders, lack of Spanish speaking examiners, long distance to the examiner..	12.3%
<b>Validity of polygraph</b> , e.g., accepting the validity of test in court, no scientific verification of results, convincing prosecuting attorneys of polygraph results, accuracy, inconclusive tests.	11.0%
<b>Offenders can't pay</b>	10.3%
<b>Resource issues</b> , e.g., funding of program, trained probation officers, less time for caseload, costs, who will pay for the polygraph.	10.3%
<b>Lack of information, education, and training</b> . Also, learning how to ask the right questions for polygraph.	7.7%
<b>Other</b> e.g., learning how far back to go, scheduling, no shows, timeliness of reports, getting the truth from the offender, inconsistent PO referrals.	4.5%
<b>Viewed as treatment provider problem</b>	1.3%
<b>Don't know or too new to know</b>	10.9%

Respondent may have more than one response. Thus, percentages do not add to 100.

- In answer to a specific question regarding sources of opposition to the polygraph, almost half (47.7%) of the respondents noted that offenders and/or their families opposed use of the polygraph.
- Defense attorneys were also a major source of opposition, according to a third of the respondents.

**TABLE 36. ARE YOU AWARE OF ANY OPPOSITION TO THE POLYGRAPH?** *Weighted n=155*

<b>No</b>	26.5%
<b>Offenders and/or their families</b>	47.7%
<b>Public defenders, attorneys, legal opposition</b>	33.5%
<b>Judges</b>	7.7%
<b>Treatment providers</b>	7.1%
<b>Probation or parole officers or lack of administrative support</b>	3.2%
<b>Don't Know</b>	5.2%

Respondent may have more than one response. Thus, percentages do not add to 100.

2. *How did agencies overcome these problems, and what was their advice to those considering implementation?*

- Education was important to address concerns surrounding the polygraph. Almost forty percent (38.7%) of respondents recommended education for all stakeholders, including the legal system, the offender and staff. Those involved in the actual polygraph process should receive specific training and skill development. Above all, it is important for those involved to understand that the polygraph is a "must for the treatment of sex offenders."
- The importance of experienced, qualified, and certified polygraph examiners was emphasized by nearly one in three (32.9%) respondents. Interview and screening processes to select examiners can be developed. Polygraph examiners must be willing to follow sex offender guidelines. Training "in house" examiners about the use of the polygraph with sex offenders may be possible, if the examiner is willing to branch into this area of expertise. However the polygraph examiner was selected, it was clear that the s/he should be familiar with the sex offender thought process, the types of questions to ask, and the agency's sex offender program.
- We were reminded that implementing the polygraph is often an ongoing process, and the value of the program will evolve over time.
- Implementation may be accomplished through persistence and by insisting that the polygraph is an expectation, according to one in five respondents. Those interested in implementing the polygraph should "just do it."
- Establishing policies and procedures to be used in the polygraph process or for determining what happens with the information received through the process was useful. Recommendations included resolving issues through legal and legislative avenues, reporting new offenses to law enforcement, and developing other policies, procedures, and sanctions. Policies should also address offenders who avoid taking the polygraph.
- Formalizing the polygraph process by making it a condition of probation, parole, or treatment, with sanctions for non-participation, was helpful.
- According to some respondents, it was important to understand the limitations of the polygraph, i.e., it is only one tool, but a valuable one, to monitor. Some exams may be inconclusive, and some offenders may be "untestable."
- Once limitations are understood, however, the polygraph should be used within that context. Probation and parole officers advised that results could be used to help break down denial, to confront the offender, or even as leverage. Respondents also cautioned that you should be prepared for the information that is disclosed.

**TABLE 37. HOW TO OVERCOME IMPLEMENTATION PROBLEMS AND BEST ADVICE**

Weighted n=155

Summary of respondents' comments	% indicating response
<b>Educate</b> courts, judges, attorneys, the legislature, probation officers, offenders, and provide specific training and skill development for staff. Be prepared [to address concerns], and provide good support and statistics [to help educate]. Use the internet to locate information. Other suggestions include providing the legal community with existing case law, and having attorneys sit in on the pre-test and receive copies of the report. Educate judges and attorneys regarding use of the polygraph only for treatment and supervision. Educate attorneys regarding use of polygraph before sentencing. Get feedback from other agencies using the polygraph and requirements. [Have those involved] "understand that the polygraph is a must in the treatment of sex offenders."	38.7%
<b>Find excellent polygraph examiners</b> , including developing an interview, screening process to select examiners. Search for a polygraph examiner (can be in house) willing to branch into this area and follow sex offender guidelines, and educate him/her about sex offenders (providing articles, books, etc.). Find examiners who ask good questions, check the background of the offender, do a good pre-test and understand the sex offender thought process. Examiners should be educated, certified, qualified, experienced, and competent. Use alternate polygraph examiners to avoid "habituation." Make sure the examiner understands your program. Schedule enough time, and focus on one or two basic questions that are predatory/victim related. Find examiners without bias. Develop a sex offender team to develop reporting requirements for the results.	32.9%
<b>Recognize that it is a process</b> that comes in time, and the value is proved in time. Some agencies are still in process of overcoming problems. Decide [on use] case-by-case.	22.6%
<b>Find a way, and "Just do it!"</b> Don't back down, persistence, make it an expectation that the department requires a polygraph, mandate that offenders must take it, make it client's responsibility. Find a way, "because it's the right thing to do." Develop payment strategies, e.g., "offenders can pay up-front"; some providers allow offenders to pay over time.	20.6%
<b>Develop policies and procedures</b> , including a "sanctions grid," having the offender admit to the facts of the case in court, resolving issues through legal or legislative avenues, and reporting new offenses to law enforcement. Develop good, accurate guidelines, and policies on how to use the information. Be consistent in application of the polygraph with offenders. Think through the frequency [how many polygraphs to administer]. Develop policies and procedures for those who avoid taking the polygraph. Videotape the test.	15.5%
<b>Use it for monitoring and supervision or make it a condition of probation, parole or treatment.</b> Revoke probation if they don't do it.	14.8%
<b>General, positive comment</b> , e.g., Wonderful tool, encourage use, use it with an open mind, it's effective. Sex offenders need to have a part in treatment to keep honest, wipes out deception.	14.8%
<b>Know the limitations</b> , i.e., view it as valuable tool, but only one tool to monitor, can't use it to gather information--only for specific questions, some come up inclusive, some people will not be "testable".	10.3%
<b>Use the results</b> , e.g., improves treatment capability tremendously, confront offender with results, use it as leverage, make a determination on the information you receive, "be prepared for what you learn," and don't be surprised by what comes out. Understand and anticipate that it makes sex offenders disclose. Use it before sentencing. Do it [because] it helps break down denial.	9.7%
<b>Develop resources</b> , including gaining access to resources through the treatment provider and adding financial resources and personnel.	9.7%
<b>Communicate and Coordinate</b> , i.e., keep up communication with the polygraph examiner. Coordinate all three people/agencies in the triangle [treatment provider, supervising officer, and polygraph examiner].	7.7%
<b>Gather support, and gather it early</b> , from parole board, policy makers, attorneys, judges and other authorities. Get testimonials from treatment providers.	5.2%
<b>Use the polygraph carefully and specifically</b> , i.e., assure that it is used as a maintenance, supervision and/or treatment tool, and do not issue a violation for offender unless polygraph results are supported by further investigation. Use the polygraph as a compliance tool not to "fish for new information." Use as a treatment tool for finding past history, not to assess for treatment.	4.5%
<b>Test early and test often</b> , i.e., test early, often, do it regularly, and get a baseline.	3.2%
<b>Develop procedures for confidentiality</b> , e.g., talk through the issues, institute Polygraph Oversight Committee to establish how to adhere to confidentiality.	1.9%
<b>Don't Know</b>	4.5%

Respondent may have more than one response. Thus, percentages do not add to 100.

## POLYGRAPH EXAMINERS

### 1. *How were polygraph examiners chosen?*

- Treatment providers influenced the choice of polygraph examiners, according to 38.1% of probation and parole officers representing agencies where the polygraph was used. The provider may have chosen the polygraph examiner or made recommendations. The provider and officer may have decided together on the choice of examiner.
- One in four respondents selected examiners through some type of agency list or registry. Lists included licensed or certified examiners or those who contracted with the agency, met agency standards, or had experience with sex offenders.
- Limited choice of examiners or no examiners was reported by 16.8% of the respondents representing agencies using the polygraph.

**TABLE 38. HOW DO YOU CHOOSE THE POLYGRAPH EXAMINER?** *Weighted n=155*

Summary of respondents' comments	% indicating response
<b>Rely on the treatment provider</b> , treatment provider chooses, recommends several to choose from, or the decision is made jointly with the treatment provider	38.1%
<b>Agency contract list or registry.</b> Agency may have a list of polygraph examiners who are certified or licensed. Polygraph examiners may apply [to be listed] or approved or must abide by the agency contract. Lowest bidder.	25.8%
<b>No choice or choice is limited</b> , perhaps to only one or two in the area. Polygraph examiner is department employee.	16.8%
<b>Knowledge of, availability, convenience.</b> Use well known firm or from word of mouth. The choice is based on whether the polygraph examiner will travel to area, is within driving distance, or is in proximity to parolee.	11.0%
<b>Skill level determines choice</b> , i.e., "get the best you can," polygraph examiners must meet certain criteria, be licensed or certified, or have experience with sex offenders.	9.0%
<b>Preference</b> of officer, attorney, court, state police or offender. Rotate polygraph examiners.	6.6%
<b>Don't Know</b>	3.2%

Respondent may have more than one response. Thus, percentages do not add to 100.

### 2. *Were agencies satisfied with services received from polygraph examiners, and what did or did not contribute to satisfaction?*

- Most probation and parole officers were satisfied with the quality of services received from polygraph examiners.



**TABLE 39. ARE YOU SATISFIED WITH THE QUALITY OF SERVICES YOU ARE RECEIVING FROM POLYGRAPH EXAMINERS?** *Weighted n=155*

<b>Yes</b>	91.0%
<b>No</b>	3.2%
<b>Don't Know</b>	5.8%
<b>Total</b>	100%

The following were the major sources of satisfaction with polygraph services:

- Good skills on part of the examiner, especially regarding experience with and knowledge of sex offenders.
- The examiner's ability to design relevant questions and to build a rapport with the offender.
- The examiner's willingness to communicate with the officer on a regular basis.
- Professionalism, including factors such as honesty, reliability, and the ability to provide high quality services.
- Providing information to the agency that is understandable and accessible.

**TABLE 40. REASONS FOR SATISFACTION OR DISSATISFACTION WITH SERVICES FROM POLYGRAPH EXAMINERS** *Weighted n=155*

Summary of respondents' comments	% indicating response	% indicating response
	Satisfaction	Dissatisfaction
<b>Good communication</b> , i.e., willing to discuss case with officer, talks to officer before and after exam, provides information we would not have known, stays in touch, forthright, explains so we can understand, easy to work with, willing to attend staff meetings. [We feel like we] have our hands on the polygraph process. Gives recommendations on what questions to ask and what to focus on with sex offenders. Able to develop a rapport with the sex offender.	37.4%	
<b>Good skills, especially related to sex offenders</b> , i.e., knowledge about and well-educated in examining sex offenders, knows what to look for in dealing with sex offenders, good at designing questions, can break down denial, able to pinpoint information we couldn't get in evaluation. Licensed, certified, former police officer. Uses modern equipment.	34.2%	
<b>Professionalism</b> , i.e., efficient, thorough, honest, reliable, good quality, good reports, experienced, reports easy to read and understand.	32.9%	
<b>Timeliness</b> , i.e., polygraph, reports and results are done in a timely manner. Responsive, e.g., does "emergency" tests.	16.1%	
<b>General positive statement</b> , e.g., no problems, they are helpful, really pleased, it is accurate, revealed new information, confirmed suspicions, [gives] better outlook, exposes offender patterns.	16.1%	
<b>Cost effective/convenient</b>	2.6%	

<b>Don't Know or too new to know</b>	5.8%	
<b>Would like more professionalism, communication, skills and timeliness from the polygraph examiner</b>		6.5%
<b>More resources, e.g., examiners and experienced examiners</b>		3.9%
<b>Problems with tests, e.g., too many inconclusive, too many false positive. Would like more control over the questions</b>		2.6%

Respondent may have more than one response. Thus, percentages do not add to 100.

## COMMUNICATION

### 1. *What information did the agency provide to the polygraph examiner?*

- Most commonly (50.3%), the agent/officer provided the polygraph examiner with information regarding specific issues and concerns about individual offenders.
- The sex offender's criminal history, sex history, and information on the current offense were often provided.
- It was not the agency, but the treatment provider, who provided information on the sex offender to the polygraph examiner, according to more than one in five respondents.
- Some respondents reported that access to the entire file and/or the PSIR of the sex offender was available to the polygraph examiner.

**TABLE 41. WHAT INFORMATION DOES THE AGENT/OFFICER PROVIDE TO THE POLYGRAPH EXAMINER ON A SPECIFIC OFFENDER BEFORE A POLYGRAPH?** *Weighted n=155*

<b>Summary of respondent comments</b>	<b>% indicating response</b>
<b>Specific issues and concerns</b> , thinking patterns, how they are doing on probation	50.3%
<b>Information on current conviction</b> , police report	35.5%
<b>Criminal history</b>	25.8%
<b>Treatment provider gives the polygraph examiner information</b>	21.9%
<b>Sex history, psychological evaluation</b>	18.7%
<b>Entire file</b> , any information we have, employment history	14.8%
<b>PSIR</b>	13.5%
<b>Conditions of release</b>	6.5%
<b>Victim information</b> , e.g., victim statement, report from victim investigation services, some details on victims	5.2%
<b>Post sentence update</b>	2.6%
<b>Don't Know</b>	9.0%

Respondent may have more than one response. Thus, percentages do not add to 100.

2. *How often did agents/officers talk to the polygraph examiner about specific cases?*

- More than half of the respondents representing agencies that use the polygraph indicated that officers in their agencies spoke with polygraph examiners about specific cases at least once a month or more.
- Close to one in five (18.1%) reported that officers never spoke with polygraph examiners. Others (22.6%) rarely spoke to the examiner. Sporadic communication may depend on the offender, or may occur when the polygraph is conducted, when there is deception, or on an "as needed" basis.

**TABLE 42. HOW OFTEN DO YOUR AGENTS TALK TO THE POLYGRAPH EXAMINER ABOUT SPECIFIC CASES?** *Weighted n=155*

<b>Between daily and weekly</b>	15.4%
<b>More than monthly but less than weekly</b>	16.8%
<b>Monthly</b>	23.2%
<b>Never</b>	18.1%
<b>Rarely</b> , depends on the offender, more contact when offender is "high risk, when the polygraph is conducted, as needed, for deception, less than monthly	22.6%
<b>Don't Know</b>	3.9%
<b>Total</b>	100%

3. *How did polygraph examiners provide the results of the polygraph to the agency?*

- More than three out of four of the respondents reported that the results of the polygraph were received from the polygraph examiner in written form or in both written and verbal reports.

**TABLE 43. HOW DOES THE POLYGRAPH EXAMINER LET THE AGENT OFFICER KNOW ABOUT THE RESULTS OF THE POLYGRAPH TEST?** *Weighted n=155*

<b>Both written and verbal reports</b>	40.0%
<b>Written report</b>	38.7%
<b>Verbal report</b>	2.6%
<b>Other</b> (officers attend polygraph, do not let officers know the results, video tape)	7.1%
<b>Agents/officers receive results from treatment provider</b>	11.6%
<b>Total</b>	100%

4. *How did the treatment provider find out about the results of the polygraph?*

- Most commonly, the treatment provider received the polygraph results from the polygraph examiner.
- Approximately one in five respondents reported that officers gave the treatment provider the results of the polygraph.

**TABLE 44. WHO GAVE THE TREATMENT PROVIDER THE RESULTS OF THE POLYGRAPH?**

*Weighted n=155*

<b>The polygraph examiner</b>	60.6%
<b>The agent/officer</b>	21.3%
<b>Both the agent/officer and the polygraph examiner</b>	8.4%
<b>Other</b> (treatment provider present at the exam, depends on the examiner, depends on whether treatment provider or agent requests the report, does not apply as those taking the polygraph do not need to be in treatment, depends on PE)	9.0%
<b>Don't Know</b>	.6%
<b>Total</b>	100%

## CONSEQUENCES

1. *Did offenders receive consequences or sanctions based on the results of the polygraph?*

Agencies reported the use of a number of consequences. The types of consequences enforced varied, depending on the type of polygraph result. As one respondent commented, "*[the polygraph] cannot be used in court, but it will affect the way the offender is managed.*"

- The most common consequence for a polygraph that indicated deception was increased supervision (46.5%), including more surveillance, electronic monitoring, or home visits. The offender's use of alcohol or drugs may have been monitored by urinalysis. The offender may have been required to take antabuse. Those with deceptive polygraphs may have faced a change in treatment or the issue may have been addressed in treatment through discussion or more homework. According to one in four respondents, a deceptive polygraph could result in revocation or termination from treatment or the program.
- When offenses that occurred before the current conviction were uncovered during a polygraph, there were usually no consequences (44.5%). When a consequence was applied, it most likely involved some type of investigation, and it was often the district attorney who decided whether an investigation would be undertaken.
- Investigations were very common (52.9%) when offenses occurring after the current conviction were revealed during the polygraph process. If new offenses were found, an offender could be revoked or terminated from the treatment or program (34.2%). One in four respondents reported that the defendant could be required to return to court.

- When violations of supervision were found, the most common agency response was an increase in supervision (56.1%). The violation could be addressed in treatment in some way, or the individual could return to court.
- More than one in four respondents reported no consequences for inconclusive polygraphs. However, one in four also reported increased supervision. More than a third (36.1%) indicated that the offender had to retake the polygraph exam.

**TABLE 45. CONSEQUENCES OR SANCTIONS BASED ON RESULTS OF POLYGRAPH**

*Weighted n=155*

CONSEQUENCES	RESULTS OF POLYGRAPH				
	% Indicating Response				
Summary of Respondents' Comments	Deception	Offenses Before Current Conviction	Offenses After Current Conviction	Violation of Supervision	In-conclusive
None	7.7%	44.5%	3.9%	1.3%	27.7%
Increase supervision, e.g., "tighten up," more surveillance, electronic monitoring, increase contacts, [offender] reports more often, ISP, more in home visits, and longer probation term, house arrest, and period of increased observation. Also, urinalysis, antabuse, drug testing.	46.5%	5.2%	9.0%	56.1%	25.8%
Investigation--own, District Attorney's, or law enforcement. Contact authority. Contact District Attorney who decides on investigation.	9.0%	38.1%	52.9%	2.6%	7.7%
Change or address in treatment, e.g., increase or longer treatment, talk about in treatment, more homework, start treatment over or suspend from group. Notify provider to re-evaluate.	37.4%	4.5%	5.2%	36.1%	14.2%
Revocation, terminate treatment or program or unsuccessful discharge.	25.8%	1.3%	34.2%	28.4%	2.6%
Retest or increase tests. Do test on a specific issue.	16.1%	.06%	.06%	1.3%	36.1%
Go back to court, including preliminary case hearing, administrative hearing, contempt of court, prosecute, new charges, and return to legal system.	15.5%	6.5%	25.8%	21.3%	.06%
Jail or arrest, including 15-day temporary custody.	10.3%	.06%	17.4%	18.7%	1.9%
Impose curfews, home confinement for longer hours, impose as intermediate sanctions.	14.2%	.06%	.06%	17.4%	0%
Change in conditions or privileges, appearance before parole board or return to prison. Also, loss of earned time, or change conditions, e.g., change in employment. Apply grid system.	3.9%	1.3%	8.4%	9.0%	0%
Discuss with offender and or others. Talk, question, interrogate, verbal admonishment or letter of warning to offender. Case conference, staffing or talk to provider.	9.0%	0%	.06%	7.1%	5.8%
Violation report.	1.9%	0%	5.2%	6.5%	.06%
Reduce contact with family remove from home or living	1.3%	2.6%	0%	1.9%	.06%

situation. Also, unable to move back with family.					
Report to human services, report to social services if child is the victim.	0%	2.6%	2.6%	0%	0%
AA, education program.	0%	0%	0%	6.5%	0%
More public service hours, community service, fines.	0%	0%	.06%	4.5%	0%
Notification of neighbors, community, victims, including public notification.	1.3%	1.2%	0%	.06%	0%
Look for another polygraph examiner.	0%	0%	0%	0%	1.3%
Plethysmograph.	0%	.06%	0%	0%	0%
Too new to know.	.06%	.06%	2.6%	.06%	4.5%

2. *Could the offender be arrested and temporarily jailed before going to court?*

- Nearly two-thirds of respondents reported that officers or agents had the authority to arrest and temporarily jail offenders without going to court.

**TABLE 46. DO YOUR OFFICERS/AGENTS HAVE THE AUTHORITY TO ARREST AND TEMPORARILY JAIL SOMEONE WITHOUT GOING BACK TO COURT FIRST?**

*Weighted n=155*

<b>Yes</b>	61.9%
<b>No</b>	37.4%
<b>Don't Know</b>	.6%
<b>Total</b>	100%

**BENEFITS OF THE POLYGRAPH**

1. *Were there benefits associated with using the polygraph?*

Respondents were asked for their opinions on the usefulness of the polygraph in managing sex offenders. These opinions were solicited through three questions:

- *Has the use of the polygraph changed the way you manage sex offenders?*
- *In your opinion, what is the most important use of the polygraph?*
- *In your opinion, does the use of the polygraph with sex offenders increase public safety? Why or why not?*

As there was considerable overlap in the responses to these questions, the answers are combined in the table below. It should be noted that themes conveyed in answers to questions were often intertwined, and it was sometimes difficult to determine the best category for a response.

- The overarching theme in the answers to these three questions is best conveyed in the words of a respondent, who noted, *"You know more about what the issues are so you can provide better treatment and supervision to reduce risk."*

- Enhanced disclosure and knowledge of the offender were the most commonly cited benefits of the polygraph. More insight and depth regarding the offender's behaviors and history as well as knowledge regarding *"cycles and stimuli"* led to a more comprehensive picture of the offender that would not have been available otherwise. The polygraph was useful in alerting agents to potential violations, behaviors, and areas of concern that might not have otherwise been revealed. Some respondents noted that the polygraph had the capability to *"keep the offender honest"* or accountable and *"forced a level of honesty"* that would not otherwise be attainable.
- The polygraph led to better management and supervision of the offender, according to two-thirds of the respondents. The agent could better monitor the offender's behavior, exercise more control in the supervision process, and have more confidence that the offender was being accurately assessed. Many respondents noted that anticipation of the polygraph had a positive influence on the offender's behavior. The polygraph provided information that allowed a quicker response to situations, and could lead to "stepped-up" supervision or additional restrictions, if necessary. Finally, the polygraph was seen as a useful tool to verify compliance with conditions of probation or parole.
- More than half the respondents noted that the polygraph helped to prevent new offenses. It provided a way to determine recidivism patterns, whether the offender had committed new crimes, and helped identify and assess risk. Some respondents were of the opinion that the polygraph could reduce recidivism entirely. Others noted that it could be helpful in detecting behaviors likely to precede a crime, so the system could intervene with treatment and/or otherwise protect possible victims. Others noted that when a crime was committed, it could be detected earlier, perhaps to the benefit of additional victims.
- Use of the polygraph resulted in better and more appropriate treatment in a number of ways, according to slightly more than 40% of respondents. It could lead to better evaluation and assessment for treatment and provided more information for treatment. One respondent stated, *"We would never know the appropriate treatment without it."* The polygraph was useful in assessing treatment progress and compliance and could lead to the right intervention at the right time. Issues uncovered in the polygraph process could be addressed in treatment or the offender could be confronted in group therapy.
- The polygraph was useful in helping break down defendant denial of behaviors and offenses, according to 17.4% of those respondents in agencies using the polygraph.
- The polygraph could also be used to support the application of consequences for an offender's behavior. Revocations, presentation of information before the parole board, and immediate removal of the offender from the community were mentioned.

**TABLE 47. WERE THERE BENEFITS ASSOCIATED WITH USING THE POLYGRAPH?** *Weighted n=155*

Summary of Respondents' Comments	% indicating response
<p><b>Enhances disclosure and knowledge of the offender.</b> Increased knowledge of offender's behavior, causes offender to be more truthful, more insight, more depth, "helps find out their true behaviors and not just what they tell us." [The offender does] more talking to the P.O. after the polygraph has "tripped them up." Can identify more serious issues, and there is more information for more areas of concern. Find out about possible deviant behaviors. Alerts us to potential violations/offending behavior. Before the polygraph, bad situations might not have been revealed. [Provides] more knowledge about cycles and stimuli. Provides more information, including sex history and a full picture of offender's history. Find out "who they are really dealing with." Keeps [offender] honest, accountable. There is less guessing. Forces a level of honesty that wouldn't be there. Get a comprehensive overview of the offender to better manage them.</p>	76.1%
<p><b>Leads to better management and supervision of the offender.</b> Better, more or another way of monitoring the offender. Provides more security, more control, and more confidence [of the agents] in what they are doing. Influences the offender's behavior while in supervision, also intimidation factor or "scare" factor, or leverage. Keeps behavior in check. Allows quicker response for technical situations, and can "catch them in their deviant acts". More restrictions for those who need them, and a better picture [of offender] to step up supervision. Can increase supervision if there is a deceptive polygraph. Can verify that conditions are upheld, and ensure compliance with court orders, parole, and child safety zones. Useful for maintenance.</p>	66.5%
<p><b>Helps prevent offenses.</b> "Chances of other victims under supervision is nil." Determine if offender is re-offending and detect recidivism patterns. Ensure the offender isn't re-offending. Can supervise them to a point where there will be no recidivism. Provides us with supervision techniques so the offender will not re-offend. Less likely to re-offend. Can catch those re-offending and catch them quicker. Can treat before recidivism. Prevention, can catch earlier, helps identify and assess risk. Can protect society, victims. "They know we are watching them."</p>	58.1%
<p><b>Helps provide better and more appropriate treatment.</b> More information for treatment. Can design treatment more effectively. "We would never know the appropriate treatment without it." Provides another tool in treatment. Can step up treatment or assess treatment progress and compliance, affirm treatment, target areas of treatment. Provides better evaluation and assessment for treatment as well as amenability to treatment. Address behaviors in treatment or confront in group. Can "catch that inappropriate thought and get the proper treatment."</p>	40.6%
<p><b>Helps break down denial.</b></p>	17.4%
<p><b>Better able to apply consequences for behaviors.</b> When they fail, they can go back to court. Offenders can be revoked. Aggravating information is presented to parole board. Can lead to the immediate removal of a sex offender from the community. Exposes new crimes so we can tell if the offender should be in the community. One respondent remarked on a positive consequence, i.e., decrease restrictions if appropriate.</p>	7.1%
<p><b>Yes, polygraph is a benefit,</b> but respondent did not provide specific information.</p>	3.2%
<p><b>Now developed specialized sex offender caseloads</b></p>	1.3%
<p><b>No changes to management of sex offenders or increase in public safety</b> because the polygraph has been in place for some time, so operations remain the same over long time period, or respondent was too new to know about changes. One respondent notes reliance on the treatment provider [thus, did not know].</p>	18.1%



## AREAS FOR IMPROVEMENT WITH POLYGRAPH SERVICES

### 1. *Can polygraph services be improved?*

- More resources, especially dollars to cover the costs of the program, would be helpful, according to one in five respondents.
- Nearly one in five respondents (18.7%) would like more polygraph examiners, as well as access to examiners on short notice, such as an on-call position. Some officers would like to "test suspicions immediately." There was a need for more examiners in rural areas. Geographical accessibility and the ability to have more time to talk to the examiner were important for some respondents.
- More training and education about the polygraph process would be helpful for some.
- Policies and procedures that formalize the process, such as written standards and procedures for exams and how to manage sanctions, would help some agencies. Encouraging support of the process by judges, laws, court mandates, and or making the polygraph a condition of probation were also mentioned.

**TABLE 48. IS THERE ANYTHING THAT WOULD HELP YOU TO BETTER USE POLYGRAPH SERVICES?** *Weighted n=155*

Summary of respondents' comments	% indicating response
<b>No</b>	28.4%
<b>More resources</b> and more dollars to pay for exams or lower costs, some guarantee of future funding for the program, if the offender would pay for it.	19.4%
<b>More polygraph examiners and immediate access to and availability of examiners.</b> On call polygraph examiner to test suspicions immediately, a polygraph examiner in the office, more examiners in rural areas, ability to get the polygraph done at a closer location, more direct access to the examiner, and more time to talk to the examiner. Also, statewide association of polygraph examiners.	18.7%
<b>More training and education.</b> "I would like to sit in," find out what's happening in other jurisdictions.	11.6%
<b>More policies, procedures, and having the process institutionalized.</b> If judges were more receptive, if polygraph was court mandated or a condition of probation, or put into law. [Need] department policies regarding use, written standards and procedures for exams, also pinpoint sanctions issue.	7.6%
<b>Expand the process.</b> Expand to all caseloads, increase use of the polygraph. Use polygraph with therapy, instead of one or the other.	5.2%
<b>More control</b> over choice of the examiner and over the exam.	2.6%
<b>General comments,</b> e.g., if only they would tell the truth, a complete history of the offender, if they were 100% accurate, if admissible in court.	6.5%
<b>Don't know or too new to know.</b>	11.6%

Respondent may have more than one response. Thus, percentages do not add to 100.

# **ATTACHMENT:**

## **Telephone Survey Instrument**



QUESTIONNAIRE #

INTERVIEWER #



PREVIOUS SURVEY - RESPONDENT NAME (Qa)

PHONE # (Qb)



RESPONDENT NAME (Current Survey) (Qc)

PHONE # (Qd)

RESPONDENT ADDRESS (Qe)



ADMINISTRATIVE CONTACT NAME (Qf)

PHONE # (Qg)

ADMINISTRATIVE CONTACT ADDRESS (Qh)



INTERVIEW DATE (mm/dd/yy) (Qi)

INT. TIME (00:00) (Qj)

INT. LENGTH (min) (Qk)

SHORT/LONG SURVEY? (Ql)

1 = Short Survey  
2 = Long Survey



RESPONDENT WILL SEND US:  
0 = No  
1 = Yes

Risk Assessment Instrument (Qm)

Terms & Conditions for Sex Offenders (Qn)

Risk Assessment Instrument for Sex Offenders (Qo)

Policies & Procedures for Use of Polygraph Results (Qp)

Polygraph Examiners Standards (Qq)

Qr



STRUCTURE OF PROBATION & PAROLE (from ACA directory)

1 = Probation and parole administered by SAME agency  
2 = Probation and parole administered by DIFFERENT agencies

Qs



USING POLYGRAPH IN 1994? (Insert data from 1994 phone survey)

0 = Never  
1 = Rarely  
2 = Sometimes  
3 = Often  
4 = Always (includes almost always)

Qt



NOTES ABOUT CONTACTS

Three empty boxes for questionnaire number



(INTRODUCTION)

Hello. My name is \_\_\_\_\_, and I'm calling from the Division of Criminal Justice in Colorado. We're conducting a national research study on adult sex offenders on behalf of the National Institute of Justice, which is the research arm of the U.S. Department of Justice. We sent you a letter (last week / a couple of weeks ago) requesting your participation in a telephone survey. Do you recall getting that letter?

(If YES) Good. Is now a good time for us to talk about the project?

(If NO) I'm sorry you didn't receive it. I can fax you a copy if you like. Is now a good time to talk so that I may explain what we're doing?

Thank you. Four years ago we conducted a national study of probation and parole officers to see how sex offenders were managed. Your office was part of that research, and the results of this study were published by the American Probation and Parole Association. This is a follow-up to that research. This study will also focus on the use of the polygraph as a management tool for community-based sex offenders.

I have a couple of initial questions to confirm some information on your office. May I ask those now?

(If YES, proceed.)

(If NO, set new interview time.) I'd like to set an appointment for the entire interview. If you DON'T use the polygraph the interview will take only about 5 minutes. If you DO use the polygraph, the questions will be more detailed, and the interview will take about 30 minutes.

INTERVIEW DATE (mm/dd/yy)

Five empty boxes for interview date

INTERVIEW TIME (00:00)

Four empty boxes for interview time

(IMPORTANT!!! Doublecheck time difference. Use CO time. Make sure agreed upon time works in both time zones.)

Qu



WE HAVE YOUR NAME AS THE PERSON WHO IS RESPONSIBLE FOR THE DAY TO DAY MANAGEMENT OF YOUR OFFICE LOCATION. IS THAT CORRECT?

Empty box for answer

0 = No (If the answer is NO, find out who is in charge and end the interview. Send out a new letter and begin again.)

1 = Yes

(If NO, new contact name) \_\_\_\_\_

Referred to \_\_\_\_\_ by \_\_\_\_\_

END



if NO

Qv



AND DOES YOUR OFFICE SUPERVISE CONVICTED ADULT FELONY SEX OFFENDERS?

Empty box for answer

0 = No (If NO, thank the person, and end the interview)

1 = Yes

END



if NO

Qw



(If YES) ARE THE SEX OFFENDERS BOTH PROBATIONERS AND PAROLEES?

Empty box for answer

1 = Both

2 = Probation only

3 = Parole only

4 = Other (Specify)

(other)

Large empty box for other specifications

Three empty boxes for questionnaire number.



(SHORT INTERVIEW)

As I said earlier, the survey we are conducting is examining how probation and parole agencies are using polygraph examinations to help manage sex offender caseloads. What I am interested in is the type of polygraph that is used with CONVICTED FELONY SEX OFFENDERS as part of their TREATMENT and SUPERVISION.

Q1



GIVEN THAT INFORMATION, WOULD YOU SAY YOUR AGENCY/OFFICE IS CURRENTLY USING THIS TYPE OF POLYGRAPH...? (Read responses)

Empty box for response.

1 = Never

2 = Rarely

3 = Sometimes

4 = Often

5 = Always/Almost always

(If NEVER or RARELY, proceed with questions this page.)

(If SOMETIMES, OFTEN, or ALWAYS, go directly to the LONG FORM. Staple short and long interview together ASAP.)

Since you don't use the polygraph, I just have a few more questions for you which will only take a few minutes. May I ask those now?

Since your office is using the polygraph, we would like to interview you for our study. As I mentioned before, the survey will take about 30-45 minutes.

DO YOU STILL HAVE TIME TO PROCEED WITH THE INTERVIEW NOW?

(If YES)

Great, let's get started.

(If NO)

May we set a future appointment? Would morning or afternoon be better for you?

INTERVIEW DATE (mm/dd/yy)

Five empty boxes for interview date.

INTERVIEW TIME (00:00)

Four empty boxes for interview time.

(IMPORTANT!!! Doublecheck time difference. Use CO time. Make sure agreed upon time will work in both time zones.)

END



go to LONG

Q2



HAS THERE BEEN ANY CONSIDERATION OF USING THIS TYPE OF POLYGRAPH WITH SEX OFFENDERS IN YOUR AGENCY?

Empty box for response.

0 = No

1 = Yes

9 = DK

Q3



WHAT ARE THE BARRIERS TO USING THE POLYGRAPH AT THIS TIME?

(List all that apply, and PROBE for any other barriers)

Nine empty boxes for listing barriers.

1 2 3 4 5 6 8 9

- 1 = No serious consideration
2 = Lack of resources
3 = Legal issues
4 = Ethical issues
5 = No polygraph examiners
6 = Other (specify)
8 = NA
9 = DK

Box for other barriers with horizontal lines.

QUESTIONNAIRE #

Three empty boxes for questionnaire number



(SHORT INTERVIEW)

Q4



DOES YOUR AGENCY/OFFICE HAVE SPECIALIZED SEX OFFENDER CASELOADS OR SITUATIONS WHERE ONE OR MORE PEOPLE HANDLE ALL THE SEX OFFENDER CASES?

Response box for Q4

- 0 = No
- 1 = Yes
- 8 = NA
- 9 = DK

Q5



DOES YOUR AGENCY/OFFICE USE A RISK ASSESSMENT INSTRUMENT FOR SEX OFFENDERS THAT IS DIFFERENT THAN THE ONE USED FOR OTHER OFFENDERS?

Response box for Q5

- 0 = No
- 1 = Yes (If YES, specify) .....
- 2 = Sometimes (Specify) .....
- 8 = NA
- 9 = DK

Text box for instrument name: (instrument)

(If YES) Would you be willing to send us a copy? I will give you our address at the end of the interview.

SEND



INFO

Q6



ARE SEX OFFENDERS THAT YOUR AGENCY/OFFICE SUPERVISES REQUIRED TO UNDERGO MENTAL HEALTH TREATMENT?

Response box for Q6

- 0 = No
- 1 = Yes (If YES, specify) .....
- 2 = Sometimes (Specify) .....
- 8 = NA
- 9 = DK

Text box for treatment type: (type of treatment)

COLLECT



INFO



These are all the questions I have.

(If person indicated that they would send a risk assessment instrument...)

Could you please send a copy of your sex offender risk assessment instrument to:

Diane Pasini-Hill
Division of Criminal Justice
700 Kipling Street, Suite 1000
Denver CO 80215

fx (303) 239-4491 (Reference NIJ Survey)

Q7



WOULD YOU LIKE A COPY OF THE SURVEY RESULTS?

Response box for Q7

- 0 = No
- 1 = Yes

END



THANK YOU again for your help with this project. Your opinions and the information you have provided are very important to us. Also, my supervisor may be calling you to verify that the interview was completed.

QUESTIONNAIRE #

INTERVIEWER #



(LONG INTERVIEW)

(If doing long interview immediately, go directly to Q8. If calling back, remind person on the purpose of the study.)

(Repeat only if necessary)

**As I mentioned when I first spoke with you, this study is about the use of the polygraph as a tool for managing convicted adult felony sex offenders as part of their supervision. So, all of the following questions about polygraph refer only to this type of polygraph.**

**First, I'd like to ask you...**

Q8



**HOW LONG HAS YOUR AGENCY/OFFICE BEEN USING THIS TYPE OF POLYGRAPH WITH ADULT FELONY SEX OFFENDERS?** (Round to the closest category)

- 1 = < 1 year
- 2 = 1-2 years
- 3 = 3-4 years
- 4 = 5-9 years
- 5 = 10+ years
- 9 = DK

Q9



**IS THERE A STATE LAW OR LOCAL POLICY ALLOWING OR REQUIRING THIS TYPE OF POLYGRAPH?**

- 0 = No
- 1 = Yes (>>>)
- 9 = DK

(If YES) (Q9A)

**DID YOUR AGENCY USE THE POLYGRAPH BEFORE THE LAW OR POLICY WAS PASSED?**

- 0 = No
- 1 = Yes
- 9 = DK

Q10



**WHERE DID THE IDEA TO USE THE POLYGRAPH WITH SEX OFFENDERS ORIGINATE? (IF YOU DON'T KNOW, THAT'S OK.)**

(Note response carefully, and clarify when necessary)



Three empty boxes for questionnaire number

Q11



WHAT PERCENT OF SEX OFFENDERS UNDER YOUR OFFICE'S SUPERVISION WOULD YOU SAY ARE RECEIVING POLYGRAPHS?

(Enter actual % or insert 999 for DK)

(100%)

Three empty boxes for percentage

(LESS THAN 95%)

(95% or HIGHER)

Q12



HOW DO YOU DETERMINE WHO GETS A POLYGRAPH AND WHO DOESN'T?

(PROBE. How is the decision made? What factors are considered?)

Large empty box for handwritten answer to Q12

Q13



WHAT SEX OFFENDERS ACCOUNT FOR THE % THAT DON'T RECEIVE POLYGRAPHS?

(List answers)

Large empty box for handwritten answer to Q13

Q14



ARE SEX OFFENDERS THAT YOUR OFFICE SUPERVISES REQUIRED TO UNDERGO TREATMENT?

- 0 = No
- 1 = Yes (Specify type of treatment) . . . . .
- 2 = Sometimes (Specify type of treatment) . . . . .
- 3 = Other (Specify)
- 9 = DK

Large empty box for handwritten answer to Q14, including type of treatment/other

Q15



IS THE USE OF THE POLYGRAPH ONE OF THE CONDITIONS OF PROBATION OR PAROLE?

- 0 = No, neither
- 1 = Yes, both
- 2 = Yes, probation only
- 3 = Yes, parole only
- 9 = DK

Q16



DOES YOUR OFFICE HAVE SPECIAL OR DIFFERENT SUPERVISION CONDITIONS FOR SEX OFFENDERS THAN FOR OTHER OFFENDERS?

- 0 = No
- 1 = Yes
- 2 = Sometimes
- 9 = DK

Would you send us a copy? I'll remind you at the end of the interview.



Q17



DOES YOUR OFFICE HAVE SPECIALIZED SEX OFFENDER CASELOADS, OR SITUATIONS WHERE THE SAME PERSON OR PEOPLE ARE ASSIGNED TO ALL THE SEX OFFENDERS?

- 0 = No
- 1 = Yes
- 9 = DK

QUESTIONNAIRE #

Three empty boxes for questionnaire number

Q18



**DOES YOUR OFFICE USE A SPECIAL OR DIFFERENT RISK ASSESSMENT INSTRUMENT FOR SEX OFFENDERS THAN THE ONE USED FOR OTHER OFFENDERS?**

Response box

0 = No  
1 = Yes (Obtain name of instrument if possible) .....  
9 = DK

(instrument) [Text entry box]

*Would you send us a copy? I'll remind you at the end of the interview.*

SEND



Q19



**ALSO, DO YOU HAVE WRITTEN POLICIES OR PROCEDURES RELATING TO THE POLYGRAPH OR USING THE RESULTS OF THE POLYGRAPH?**

Response box

0 = No  
1 = Yes (>>>)  
9 = DK

(If YES) *Would you be willing to send us a copy?*

SEND



Q20



**HOW LONG DOES A FULL POLYGRAPH EXAM TYPICALLY LAST, INCLUDING THE PRETEST AND POST-TEST?**

(Enter time in minutes, or enter 999 for DK. If the respondent gives a range for different types of exams, enter both.)

Minutes box 1

to

Minutes box 2

minutes

Q21



**HOW MUCH DOES A TYPICAL EXAM COST?**

(Enter dollars, or enter 999 for DK. If the respondent gives a range for different types of exams, enter both.)

Dollars box 1

to

Dollars box 2

dollars

Q22



**WHO PAYS FOR THE EXAM?**

Response box

1 = Offender  
2 = State/county agency  
3 = Combination of 1 & 2  
4 = Other (Specify) .....  
9 = DK

(other) [Text entry box]

Three empty boxes for questionnaire number



Now, I'm going to ask some questions about your experiences with implementing the polygraph in your area.

Q23



WHAT WOULD YOU SAY WAS THE MOST DIFFICULT PROBLEM YOUR AGENCY FACED WHEN THE POLYGRAPH WAS FIRST IMPLEMENTED?

Text area for Q23 with lines and a (1) label

Q24



HOW DID YOU OVERCOME THESE PROBLEMS?

Text area for Q24 with lines

Q25



WHAT IS THE MOST IMPORTANT PIECE OF ADVICE YOU WOULD GIVE TO ANOTHER AGENCY THAT WANTED TO BEGIN USING THE POLYGRAPH WITH ADULT FELONY SEX OFFENDERS?

Text area for Q25 with lines



Thank you. I'd now like to ask some questions about the types of polygraph examinations and what happens with the results.

Q26



IS THE SEX OFFENDER AWARE FROM THE BEGINNING OF THEIR TIME ON PROBATION OR PAROLE THAT HE/SHE IS LIKELY TO RECEIVE A POLYGRAPH AS PART OF THE TREATMENT OR SUPERVISION PROCESS?

(PROBE. If the respondent says YES, ask if that is always, almost always, or sometimes the case.)

- 0 = No or rarely
1 = Yes, always or most of the time
2 = Yes, sometimes
9 = DK

Q27



DO YOU REQUIRE THE SEX OFFENDER TO WAIVE CONFIDENTIALITY BETWEEN THE AGENT/OFFICER, THE TREATMENT PROVIDER, AND THE POLYGRAPH EXAMINER?

- 0 = No
1 = Yes
9 = DK

--	--	--



*Next, I'm going to ask you how often sex offenders receive polygraphs in certain situations. I'll read from a list of responses and you can choose one.*

Q28



**FIRST, HOW OFTEN DO SEX OFFENDERS RECEIVE POLYGRAPHS AS PART OF THE PRESENTENCE INVESTIGATION?** ☺ (Read responses)

- 0 = Never
- 1 = Rarely
- 2 = Sometimes (> > >)
- 3 = Often (> > >)
- 4 = Almost always or always (> > >)
- 9 = DK

(If sometimes, often, or always:)

**IS THERE A PARTICULAR NAME THAT YOU USE FOR THIS TYPE OF POLYGRAPH?**

Q29



**WHEN DENYING THEIR CURRENT CONVICTION?** ☺ (Read responses)

- 0 = Never
- 1 = Rarely
- 2 = Sometimes (> > >)
- 3 = Often (> > >)
- 4 = Almost always or always (> > >)
- 9 = DK

(If sometimes, often, or always:)

**IS THERE A PARTICULAR NAME THAT YOU USE FOR THIS TYPE OF POLYGRAPH?**

Q30



**TO OBTAIN SEXUAL HISTORY AND PAST OFFENSES?** ☺ (Read responses)

- 0 = Never
- 1 = Rarely
- 2 = Sometimes (> > >)
- 3 = Often (> > >)
- 4 = Almost always or always (> > >)
- 9 = DK

(If sometimes, often, or always:)

**IS THERE A PARTICULAR NAME THAT YOU USE FOR THIS TYPE OF POLYGRAPH?**

(If sometimes, often, or always:) (Q30A)

**HOW LONG AFTER TREATMENT BEGINS IS THIS TYPE (use the name) OF POLYGRAPH GIVEN?**

- 1 = Less than 3 months
- 2 = Between 3 and 6 months
- 3 = Between 6 months and a year
- 9 = DK

--	--	--

Q31



**HOW OFTEN DO SEX OFFENDERS RECEIVE POLYGRAPHS TO DETERMINE COMPLIANCE WITH THE CONDITIONS OF PROBATION OR PAROLE?** ☺ (Read responses)

- 0 = Never
- 1 = Rarely
- 2 = Sometimes (> > >)
- 3 = Often (> > >)
- 4 = Almost always or always (> > >)
- 9 = DK

(If sometimes, often, or always:)

**IS THERE A PARTICULAR NAME THAT YOU USE FOR THIS TYPE OF POLYGRAPH?**

Q32



**IS THE POLYGRAPH USED FOR ANY OTHER SITUATIONS THAT I HAVEN'T MENTIONED, FOR EXAMPLE, AFTER A CRITICAL INCIDENT OR IN PAROLE RELEASE DECISIONS?**

- 0 = No
- 1 = Yes (> > >)
- 9 = DK

(If YES) (Q32A)

**WHAT ARE THEY?**

---



---



---



**The next few questions are about consequences that may be imposed when the polygraph OR ANTICIPATION of taking the polygraph reveals new information.** (Do not read list of choices.)

Q33



**ARE THERE CONSEQUENCES IF AN OFFENDER IS CONSIDERED DECEPTIVE?** (PROBE.)

(1)	
(2)	
(3)	
(4)	

- 0 = No consequences
- 1 = Electronic monitoring
- 2 = Increase supervision
- 3 = Increase contacts
- 4 = Increase treatment
- 5 = Impose curfews
- 6 = Go back to court
- 7 = Revocation
- 9 = DK
- 10 = Other (Specify)
- 11 = Other (Specify)

(Q33A)

**HOW OFTEN ARE THESE CONSEQUENCES IMPLEMENTED?** ☺ (Read responses)

(If more than one consequence, address implementation of each consequence separately)

--	--	--	--

C1   C2   C3   C4

- 0 = Rarely
- 1 = Sometimes
- 2 = Always
- 9 = DK

--	--	--

Q34



**(ARE THERE CONSEQUENCES) IF SEX OFFENSES THAT HAPPENED BEFORE THE CURRENT CONVICTION ARE REVEALED?** (PROBE. Any others?)

(1)	
(2)	
(3)	
(4)	

- 0= No consequences
- 1= Contact law enforcement for investigation
- 2= Investigate
- 3= Contact DA for investigation
- 4= Go back to court
- 9= DK
- 10= Other (Specify)
- 11= Other (Specify)

(Q34A)

**HOW OFTEN ARE THESE CONSEQUENCES IMPLEMENTED?** ☹️ (Read responses)

(If more than one consequence, address implementation of each consequence separately)

C1	C2	C3	C4

0 = Rarely  
 1 = Sometimes  
 2 = Always  
 9 = DK

Q35



**(ARE THERE CONSEQUENCES) IF SEX OFFENSES THAT HAPPENED AFTER THE CURRENT CONVICTION ARE REVEALED?** (PROBE. Any others?)

(1)	
(2)	
(3)	
(4)	

- 0= No consequences
- 1= Contact law enforcement for investigation
- 2= Investigate
- 3= Contact DA for investigation
- 4= Go back to court
- 5= Revocation
- 9= DK
- 10= Other (Specify)
- 11= Other (Specify)

(Q35A)

**HOW OFTEN ARE THESE CONSEQUENCES IMPLEMENTED?** ☹️ (Read responses)

(If more than one consequence, address implementation of each consequence separately)

C1	C2	C3	C4

0 = Rarely  
 1 = Sometimes  
 2 = Always  
 9 = DK

Q36



**(ARE THERE CONSEQUENCES) WHEN A VIOLATION OF THE SUPERVISION CONDITIONS, OTHER THAN A NEW CRIME, ARE EXPOSED?** (PROBE. Any others?)

(1)	
(2)	
(3)	
(4)	

- 0= No consequences
- 1= Electronic monitoring
- 2= Increase supervision
- 3= Increase contacts
- 4= Increase treatment
- 5= Impose curfews
- 6= Go back to court
- 7= Revocation
- 9= DK
- 10= Other (Specify)
- 11= Other (Specify)

(Q36A)

**HOW OFTEN ARE THESE CONSEQUENCES IMPLEMENTED?** ☹️ (Read responses)

(If more than one consequence, address implementation of each consequence separately)

C1	C2	C3	C4

0 = Rarely  
 1 = Sometimes  
 2 = Always  
 9 = DK

--	--	--

Q37



**(ARE THERE CONSEQUENCES) WHEN THE RESULTS ARE INCONCLUSIVE?** (PROBE. Any others?)

(1)	
(2)	
(3)	
(4)	

- 0 = No consequences
- 1 = Retake polygraph exam
- 2 = Increase supervision
- 3 = Increase contacts
- 4 = Increase treatment
- 9 = DK
- 10 = Other (Specify)
- 11 = Other (Specify)

(Q37A)

**HOW OFTEN ARE THESE CONSEQUENCES IMPLEMENTED?** ☺ (Read responses)

(If more than one consequence, address implementation of each consequence separately)

C1	C2	C3	C4

- 0 = Rarely
- 1 = Sometimes
- 2 = Always
- 9 = DK

Q38



**DO YOUR OFFICERS/AGENTS HAVE THE AUTHORITY TO ARREST AND TEMPORARILY JAIL SOMEONE WITHOUT GOING BACK TO COURT FIRST?**

--

- 0 = No
- 1 = Yes
- 9 = DK



*This next section is about how information regarding the polygraph is shared and how the treatment provider, polygraph examiner, and agent/officer work together.*

Q39



**HOW DOES THE POLYGRAPH EXAMINER LET YOUR AGENTS/OFFICERS KNOW ABOUT THE RESULTS OF THE POLYGRAPH TEST?**

--

- 1 = Written report
- 2 = Verbal report
- 3 = Both written and verbal reports
- 4 = Other (Specify)
- 5 = Find out results from treatment provider
- 9 = DK

(other)

(Q39A)

**HOW OFTEN WOULD YOU SAY THAT HAPPENS?** ☺ (Read responses)

Written	Verbal

- 1 = Sometimes
- 2 = Often
- 3 = Always
- 9 = DK

Three empty boxes for questionnaire number

Q40



WHAT INFORMATION DOES THE AGENT/OFFICER PROVIDE TO THE POLYGRAPH EXAMINER ON A SPECIFIC SEX OFFENDER BEFORE A POLYGRAPH? (List all that apply.)

Large rectangular box for listing information provided

- 0= No info provided
- 1= Entire acces to individual's file
- 2= Sexual history
- 3= Criminal history
- 4= Specific issues & concerns
- 5= Information on current conviction
- 6= Treatment provider provides information
- 9= DK
- 10= Other (Specify)
- 11= Other (Specify)

(Q40A)

HOW OFTEN WOULD YOU SAY THIS INFORMATION IS PROVIDED? ☺ (Read)

- 1 = Sometimes
- 2 = Often
- 3 = Always
- 9 = DK

Q41



IN THE COURSE OF A MONTH, HOW OFTEN WOULD YOU SAY THAT YOUR AGENTS/OFFICERS TALK TO THE POLYGRAPH EXAMINER BY PHONE OR IN PERSON ABOUT SPECIFIC CASES?

- 1 = Daily
- 2 = Weekly
- 3 = More than weekly but less than monthly
- 4 = Monthly
- 5 = Other (specify)
- 9 = DK

(other) [ ]

Q42



DOES THE TREATMENT PROVIDER FIND OUT THE RESULTS OF THE POLYGRAPH EXAMINATION FROM THE POLYGRAPH EXAMINER OR YOUR AGENTS/OFFICERS?

- 1 = Agent/officer
- 2 = Polygraph examiner
- 3 = Other (specify)
- 9 = DK

(other) [ ]

(Q42A)

HOW DOES THE TREATMENT PROVIDER FIND OUT THE RESULTS OF THE POLYGRAPH EXAMINATION?

- 1 = Written report
- 2 = Verbal report
- 3 = Both written and verbal report
- 4 = Other (specify)
- 9 = DK

(other) [ ]

Q43



HAS YOUR STAFF HAD TRAINING SPECIFICALLY ON THE USE OF THE POLYGRAPH WITH SEX OFFENDERS?

- 0 = No
- 1 = Yes (>>>)
- 2 = Some (>>>)
- 9 = DK

(If YES) (Q43A)

WHEN WAS THAT?

- 1 = Less than two years ago
- 2 = More than two years ago
- 3 = Ongoing
- 4 = Other (Specify)
- 9 = DK

(training comments) [ ]



QUESTIONNAIRE #

Three empty boxes for questionnaire number

Q44



HOW DO YOU CHOOSE THE POLYGRAPH EXAMINERS?

Large empty text box for answer

Q45



ARE YOU SATISFIED WITH THE QUALITY OF SERVICES YOU ARE RECEIVING FROM THE POLYGRAPH EXAMINER?

Small empty box for rating

0 = No  
1 = Yes  
9 = DK

(Q45A)

WHY AND/OR WHY NOT?

Large empty text box for explanation

Q46



IS THERE ANYTHING ELSE THAT WOULD HELP YOU BETTER USE POLYGRAPH SERVICES?

Large empty text box for answer

Q47



ARE THERE STANDARDS OF PRACTICE OR ANY CERTIFICATION/LICENSING FOR POLYGRAPH EXAMINERS IN YOUR STATE?

Small empty box for rating

0 = No  
1 = Yes  
9 = DK

(If YES) *Would you be willing to send us any written information you have on this?*

SEND



INFO



*In this last section, I'm going to ask your opinions on how useful the polygraph is in managing sex offenders.*

Q48



HAS THE USE OF THE POLYGRAPH CHANGED THE WAY YOU MANAGE SEX OFFENDERS? (PROBE.)

Large empty text box for answer

QUESTIONNAIRE #

--	--	--

Q49



**IS THERE ANY OPPOSITION TO THE POLYGRAPH THAT YOU ARE AWARE OF?**


Q50



**IN YOUR OPINION, WHAT IS THE MOST IMPORTANT USE OF THE POLYGRAPH?** (PROBE. Anything else?)


Q51



**IN YOUR OPINION, DOES THE USE OF THE POLYGRAPH WITH SEX OFFENDERS INCREASE PUBLIC SAFETY? WHY OR WHY NOT?**




***Those are all the questions I have for you about the polygraph.***

***We would also like to talk to some treatment providers and polygraph examiners in your area for this research.***

QUESTIONNAIRE #

--	--	--



(CONTACT SHEET)



**COULD YOU GIVE ME THE NAMES AND NUMBERS OF ONE OR TWO TREATMENT PROVIDERS?**

TREATMENT PROVIDER (1) (Qx)

PHONE # (Qy)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

TREATMENT PROVIDER (2) (Qz)

PHONE # (Qaa)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--



**COULD YOU GIVE ME THE NAMES AND NUMBERS OF ONE OR TWO POLYGRAPH EXAMINERS?**

POLYGRAPH EXAMINER (1) (Qbb)

PHONE # (Qcc)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

POLYGRAPH EXAMINER (2) (Qdd)

PHONE # (Qee)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--



***That is all the information that I need.***

***Could you please send us copies of...to:***

(Look back through survey or your notes to recall the documents the respondent agreed to send to us.)

(Provide name/address/fax number to those sending us information.) (See check-off sheet.)

***Diane Pasini-Hill  
Colorado Division of Criminal Justice  
700 Kipling Street, Suite 1000  
Denver CO 80215  
fx (303) 239-4491 (Reference NIJ Survey)***

COLLECT



INFO

Q52



**WOULD YOU LIKE A COPY OF THE SURVEY RESULTS?**

<input type="checkbox"/>	0 = No
<input type="checkbox"/>	1 = Yes

END



***THANK YOU for your help with this research.  
Your opinions and the information you have provided are very important to us.***

***I may have questions as I review the survey later. Is it OK if I call you?***

***Also, my supervisor may call to verify that the interview was completed.***

## **APPENDIX B:**

### **Differences Among Five Jurisdictions in Four States Where File Data Were Collected**

# File Data Collection Site Descriptions

	Site A (n=62)	Site B (n=57)	Site C (n=31) and Site D (n=30)	Site E (n=52)
<b>Stage of polygraph implementation</b>	Well implemented. The polygraph has been used for a number of years.	Well implemented. The polygraph has been used for 16 years.	Newly implemented. Half of the cases (Site C) received at least one polygraph; the other half (Site D) had not received the polygraph but offenders knew the polygraph would be given in the future.	No polygraph.
<b>Description of sex offender program</b>	Each officer is assigned to one courtroom, allowing for a stable relationship to develop with that judge. Close relationship with the police and their sex offender-tracking unit. This unit checks for warrants everyday. Field officers (not Pos) conduct home visits. A ten year deferred judgement is the most common sentence given.	Had the ability to impose swift sanctions like jail. Victim oriented. Polygraph examiners were located in same building as POs so lots of communication. Thorough sex histories with frequent updates and addendums. Consistent sanctions.	Utilized many supervision methods, including non-traditional officer work hours, home visits, and collateral interviews.	This was a treatment site. Before the offender enters treatment, a battery of tests is given (most importantly, the ABEL screen). It allows the therapist to begin learning about the offender's behavior quickly. The offenders filled out sex histories for the researchers, but they were not implemented in the program yet.
<b>Frequency of polygraphs</b>	Time between polygraphs ranges from one month to a couple of years.	Generally, polygraphs given at regular intervals between 3 and 6 months.	Early implementation and thus regular schedules were not noted.	Not applicable.
<b>The sample</b>	A random sample of 62 offenders was drawn from the caseloads of 17 officers. All were in treatment at the same program for at least 6 months and had received at least one polygraph.	A random sample of 57 offenders who began supervision between July 1995 and October 1997, drawn more or less evenly across four officers' caseloads. All offenders had received at least one polygraph.	There were 61 cases drawn to represent those in treatment for at least six months. Cases drawn from two sites. All those who had received at least one polygraph were included. The remainder was drawn randomly across 10 officer's caseloads. All had been in treatment at least 6 months.	A random sample of 52 cases in treatment at least 3 months, with priority on those in treatment at least 6 months.
<b>Time frame during which an offender could be on community supervision.</b>	Between 8 months and years 5 years	Between 9 months and 11 years	Between 6 months and 7 years	Between 3 months and 5 years
<b>Types of cases/ felony-misdemeanor</b>	Felony	Felony	Felony and Misdemeanor	Felony and Misdemeanor
<b>Types of offender/ parolee or probationer</b>	Probationers	Parolees and Probationers	Parolees and Probationers	Probationers
<b>Data collection time frame</b>	April 1999 and May 1999	July 1998 and November 1998	February 1999	March 1999
<b>Data Sources Before the treatment/ polygraph process</b>	Criminal justice file, including the PSIR.	Criminal justice file, including the PSIR.	Criminal justice file, including the PSIR.	Treatment file. Probation summary containing demographics, a description of the current crime, and past convictions. Some files contained police reports. Data collectors note that files may not reflect all that is known to the criminal justice system. No PSIR was available.
<b>Data Sources - After the treatment/ polygraph process</b>	Criminal justice file, including the PSIR, sex history form, polygraph reports, and some treatment homework assignments.	Criminal justice file, including the PSIR, sex history form, and polygraph reports.	Criminal justice file, including the PSIR, and sex history form. Polygraph reports were sometimes available. Some results were communicated over the phone and noted in the file.	In order to examine the treatment process, ABEL screen assessments, written sexual history documents, and therapists notes were examined and documented.
<b>Special caveats about data differences</b>			Sex history forms filled out very close to data collection and may not have been integrated as part of treatment. Some polygraph files not available. Polygraph information noted in the file.	Sex history forms filled out very close to data collection and may not have been integrated as part of treatment. Incomplete criminal justice information. Most detail on current crime only.

# **APPENDIX C:**

## **File Data Collection Instrument**

DCJ ID#

--	--	--	--	--	--

**OFFENSES CHARGED:**

1st Most Serious # of Counts Felony Class

--	--	--	--	--	--	--	--	--	--	--

2nd Most Serious # of Counts Felony Class

--	--	--	--	--	--	--	--	--	--	--

3rd Most Serious # of Counts Felony Class

--	--	--	--	--	--	--	--	--	--	--

Total Counts Charged

--	--

**OFFENSES AT CONVICTION:**

1st Most Serious # of Counts Felony Class

--	--	--	--	--	--	--	--

2nd Most Serious # of Counts Felony Class

--	--	--	--	--	--	--	--

3rd Most Serious # of Counts Felony Class

--	--	--	--	--	--	--	--

Total Counts Convicted

--	--

**For Those Convicted**

--

- 1 = Guilty as charged
- 2 = Guilty to a lesser felony
- 3 = Guilty to a misdemeanor
- 4 = Incompetent to stand trial
- 5 = Not guilty (insanity)
- 6 = Charges reduced/drop due to plea in another case

**Placement**

--	--

**Probation**

- 01 = Probation only
- 02 = Probation concurrent w/ earlier sentence to prob
- 03 = Probation w/jail sentence
- 04 = Adult diversion (DA office)
- 05 = ISP
- 06 = ISP w/jail
- 07 = Probation w/work release
- 08 = FOP (female offender prog)
- 09 = SDOP (specialized drug offender program)

**Community Corrections**

- 15 = Comcor as condition of probation
- 16 = Direct sentence to comcor
- Jail**
- 20 = Jail only
- 21 = Jail and fine
- 22 = Jail with work release
- 23 = Other sentence to jail
- Prison**
- 30 = Prison only
- 31 = Prison and probation (Rule 35B)
- 32 = YOS
- Other**
- 40 = Suspended sentence only
- 50 = Fine only
- 60 = Restitution only
- 70 = UPS only
- 80 = Other: specify \_\_\_\_\_

**SENTENCE (for current conviction):**

Prison Sentence (mos)

--	--	--

Jail Sentence (days)

--	--	--

Comcor (mos)

--	--	--

Jail Credit (days)

--	--	--

Probation Supervision.....Months

--

- 1 = Supervised
- 2 = Unsupervised

--	--	--

**CRIMINAL HISTORY:**

- 0 = 0
- 1 = 1
- 2 = 2
- 3 = 3+

Juvenile Arr Conv Adult Arr Conv

--	--	--	--

Violent

--	--	--	--

Nonviolent

--	--	--	--

Misdemeanor

--	--	--	--

Felony

--	--	--	--

Prior Sex Offenses

--	--

Age at 1st Arrest (juv or adult)

**DEMOGRAPHICS:**

DOB

--	--	--	--	--	--	--	--

Sex

--

- 1 = Male
- 2 = Female

Ethnicity

--

- 1 = Anglo/white
- 2 = Black
- 3 = Hispanic
- 4 = Am Indian
- 5 = Asian
- 6 = Other

Marital Status

--

- 1 = Single
- 2 = Married
- 3 = Sep/Div
- 4 = Widowed
- 5 = Common law

Education Last Grade

--	--

- 00-11 = Actual grade
- 12 = High school
- 13 = Some college
- 14 = College degree
- 15 = Some graduate
- 16 = Graduate deg & higher
- 17 = GED

Employment at Arrest

--

- 1 = Full time
- 2 = Part time
- 3 = Employed/student
- 4 = Unemployed
- 5 = Sporadic

# of Dependents

--

(Actually supported)

Stability

--

- During the 2 years before arrest for this case:
- 1 = Has continuously resided at the same address
- 2 = Has moved 1,2,3 times
- 3 = Moved > 3 times
- 4 = Transient











**ANECDOTAL INFORMATION:** *(Note case information relating to any of the following topics not already recorded.)*

(1) PERPETRATOR CHOOSES SPECIFIC KNOWN VICTIM

---

---

(2) PERPETRATOR CHOOSES VICTIM OPPORTUNISTICALLY

---

---

(3) OFFENDER GROOMS VICTIMS

---

---

(4) PERPETRATOR SEEKS EMPLOYMENT, LIVING SITUATIONS, OR POSITIONS OF TRUST TO HAVE ACCESS TO VICTIMS

---

---

(5) PERPETRATOR DISPLAYS VIOLENT BEHAVIOR OTHER THAN SEX OFFENSES

---

---

(6) PERPETRATOR USES WEAPONS TO GAIN ACCESS TO VICTIMS

---

---

(7) OTHER M.O. INFORMATION

---

---

(8) HOW WERE DISCLOSURES OF ADDITIONAL VICTIMS HANDLED IN THIS CASE?

---

---

**DEFINITIONS**

(1) PERPETRATOR CHOOSES SPECIFIC KNOWN VICTIM. Includes: relative, acquaintance, friend, position of trust, victim IDed by perpetrator before crime.

(2) PERPETRATOR CHOOSES VICTIM OPPORTUNISTICALLY. Perpetrator intends to commit crime (cruising, fantasizing, even planning) but victim is chosen with little regard to specific identity (victim in the wrong place at the wrong time).

(3) OFFENDER GROOMS VICTIMS. Grooming means preparing a person (usually a child) to become a victim by looking for vulnerabilities, gaining trust, and (often) gradually introducing sexual behaviors. Implies a relationship between offender and victim, albeit an unequal one.

(4) PERPETRATOR SEEKS EMPLOYMENT, LIVING SITUATIONS, OR POSITIONS OF TRUST TO GAIN ACCESS TO VICTIMS. Look for types of employment, hobbies (Boy Scouts, etc.), working in amusement parks, and participation in church activities involving children.

(5) PERPETRATOR DISPLAYS VIOLENT BEHAVIOR. Includes: assaultive behavior and domestic violence.

(6) PERPETRATOR USES WEAPONS. Weapons include knives, guns, etc.

(7) OTHER M.O. INFORMATION. Any other information on how the perpetrator victimizes/gains access to victims not already noted (use of cars, use of deception, anger control a special problem, impulse control a special problem).

## **APPENDIX D:**

### **File Data Collection Instrument Coding and Definitions**

# File Data Collection Coding and Definitions

<b>RELATIONSHIP DEFINITIONS:</b>	
<b>Relative</b>	Mother, father, spouse, stepfather, stepmother, uncle, aunt, grandparent, step relations, other extended family, live-in boyfriend, live-in girlfriend.
<b>Trust</b>	Teacher, caregiver, babysitter, minister, boyfriend, girlfriend, date, friend, therapist, police officer, etc.
<b>Stranger</b>	Stranger, acquaintance.

<b>PARAPHILIAS/OFFENSES:</b>	
<b>Vaginal Penetration</b>	Includes penile, digital, and cases where the perpetrator is a female against a male victim.
<b>Anal Penetration</b>	Any type.
<b>Attempted Penetration</b>	Attempted but not completed, any type.
<b>Oral Sex</b>	By victim or offender.
<b>Urination</b>	As part of or during sex act. With consent, without consent, or alone.
<b>Coprophelia</b>	Feces as part of or during sex act. With consent, without consent, or alone.
<b>Fondling, Frottage</b>	Without consent or may be without victim's knowledge.
<b>Exhibitionism</b>	Usually involves a victim but also includes being undressed or exposed in a public place. Those situations were recorded in the nonspecific victims section of the form.
<b>Voyeurism</b>	May have occurred without the victim's knowledge.
<b>Ritualistic Behavior, Bestiality, Bondage</b>	This code reflected bestiality 99% of the time. There were few incidents of ritualistic behavior or bondage. This was mostly coded in the nonspecific victims section of the form even though we would have liked to have considered the animals as specific victims.
<b>Excessive aggression, Sadism, Weapon, Spanking</b>	During the commission of the crime.
<b>Assaultive Behavior, Including Domestic Violence</b>	Could be up to, including, or after the offense. It is a high-risk behavior, so it did not necessarily have to be directed toward the victim.
<b>Murder</b>	Code never used.
<b>Stalking</b>	May or may not be directed toward victim of sexual crime.
<b>Alcohol/Drugs to Victim without Consent</b>	This includes minors under age 18 because, by definition, minors cannot consent -- even if the minor asked for the drugs or alcohol.
<b>Offender Under Influence of Alcohol/Drugs During Act</b>	
<b>Offender Abuses Alcohol/Drugs During General Time Periods When Offenses Occur</b>	Related to offense cycle.
<b>More Than One Unwilling Participant in Incident</b>	
<b>Pornography</b>	Adult/child, sale/distribution, or non-porn as porn. May or may not involve a victim.

<b>Use of Internet or Obscene Phone Calls</b>	Victims were often unknown since contacts were random, unless the perpetrator was targeting someone specific. If the offender was perusing the internet looking at pornography, this code and the pornography code was marked in the nonspecific victims section.
<b>Masturbating to Deviant Fantasy/Theft of Undergarments</b>	Since the masturbating part could have applied to almost everyone, we did not code unless specific mention was made of masturbating to the victim or clearly a deviant fantasy.
<b>Excessive/Increased Masturbation</b>	Again, we tried to be a little bit more conservative on this one since it could have applied to everyone. We did not code unless there was a clear indication of excessive or increased.
<b>Specific Preparation</b>	Driving around with paraphernalia to use on victims, wearing t-shirts to attract children, cruising video arcades or swimming pools. The behavior does not have to be targeted toward specific victims, only an indication that the offender is attempting to find victims or is preparing to assault victims is needed.
<b>Other Behaviors</b>	Prostitution-visiting or being a prostitute, cruelty to animals, childhood firesetting, childhood long-term bedwetting, violations of probation conditions, visiting peep shows, strip clubs, or topless bars, unsupervised contact with children, group sex, fantasies, cross dressing, fetishism.

#### DEFINITIONS OF OTHER TERMS:

<b>Victim</b>	A victim is someone who was assaulted without consent, or in some cases, knowledge. For minors, a victim exists if there is a four-year age or if the perpetrator is an adult and the minor is less than the age of consent. States have varying ages of consent.
<b>Incest</b>	Includes any relative listed in the relative category.

#### FREQUENCY CODES:

Whenever possible we tried to record as close to the actual number of offenses that occurred as listed in 1-5 below. When we could not get actual numbers, we tried to find the best fit from the choices listed 11-19. When there was a victim's statement and there was a difference between the victim's report and the perpetrator's, we used the victim's (this only applies to the file information section of the collection form, the rest of the form was based on the perpetrator's self-report).

1= Once a day of more to once a week	(52-360 times per year or more)
2= Less than once a week to once a month	(12-51 times per year)
3= Less than once a month to six times per year	(6-11 times per year)
4= One time per year to five times per year	(2-5 times per year)
5= Less than once a year to once in life	(<1 time per year to 1 time in life)
11= Hardly ever/a little/once in a while	
12= Some/sometimes	
13= A fair amount/a lot/many/often/hundreds	
15= Happened over a period of days	
16= Happened over a period of weeks	
17= Happened over a period of months	
18= Happened over a period of years	
19= Multiple times during the same offense	