



# NATIONAL CRIME VICTIM LAW INSTITUTE

## LAW ENFORCEMENT-BASED VICTIM SERVICES IN COLORADO: PRIVACY, PRIVILEGE AND CONFIDENTIALITY

### INTRODUCTION

Best practice in victim services is about facilitating victims' ability to exercise meaningful choices. This requires understanding and supporting the exercise of victims' rights, which are found in state constitutions, statutes, rules and policies. For victims' rights to be meaningful, both compliance with and enforcement of these rights is necessary. Compliance is the fulfillment of legal responsibilities to victims and making efforts to reduce willful, negligent or inadvertent failures to fulfill those legal responsibilities; enforcement is the pursuit, by a victim or someone on behalf of a victim, of a judicial or administrative order that either mandates compliance with victims' rights or provides remedies for violations of victims' rights laws.

In addition to understanding victims' rights, best practices in victim services require understanding one's legal and ethical obligations as an advocate with regard to victim privacy, confidentiality and privilege, and the scope of one's services. Informing victims—at the first or earliest possible contact with them—of their rights and the advocate's role, including limitations on that role, is critical to victims' ability to make informed decisions about whether and how to exercise their rights, as well as whether, what and how much to share with any particular service provider. In addition, advocates need to build and maintain relationships throughout the community in order to provide meaningful referrals to victim service providers with complementary roles when a victim needs the referral.

### USING THIS RESOURCE

This resource is designed to enhance victim services personnel's knowledge and understanding of the law governing crime victims' rights to privacy, confidentiality and privilege in Colorado. It provides an overview of key concepts and excerpts of key legal citations that can help facilitate victims' meaningful choices regarding these rights. To keep this *Guide* as user-friendly as possible in light of the breadth, complexity and evolving nature of law, the *Guide* does not include all laws. It does not constitute legal advice, nor does it substitute for legal advice. This resource is best used together with its companion resource: *Victims' Rights Guide: Integrating Victims' Rights into Law Enforcement-Based Victims Services in Colorado*.

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## OVERVIEW

### What are the key similarities and differences between system-based and community-based advocates?

#### Key Takeaways

- System-based advocates are typically employed by a law enforcement agency, prosecutor's office, corrections, or another governmental agency.
- Community-based advocates are typically employed by a nonprofit/non-governmental agency.
- The United States Supreme Court and state laws impose on the prosecutor's office—and by extension on other governmental agencies such as law enforcement—legal obligations to disclose information to the accused and their lawyer. These obligations are sometimes called *Brady* Obligations or Discovery Obligations.
- *Brady*/Discovery Obligations generally attach to system-based advocates, and these obligations can override an advocate's ability to keep something confidential. That means anything shared with a system-based advocate may have to be disclosed to law enforcement, prosecutors, and eventually the accused and their lawyer.
- Community-based advocates are generally not directly linked to a government actor, and therefore not subject to *Brady*/Discovery Obligations; this means that they can hold more things confidential, and depending on local law, may also be bound by privilege (which is an even stronger privacy protection than confidentiality).

#### Discussion

It is imperative that an advocate understands and communicates clearly—at the first encounter or earliest possible contact—whether one is a community-based or system-based advocate, the advocate's legal and ethical obligations with regard to privacy, confidentiality and privilege and the scope of the services that the advocate offers.<sup>1</sup> This information will assist the victim in understanding the role of the advocate and any limitations of that role regarding: (1) the services that the advocate can provide and (2) the privacy protections that exist regarding information shared with the advocate. Further, providing a clear explanation of the advocate's role to the victim will help the victim make informed decisions, build rapport and avoid misunderstandings.

While both system-based and community-based advocates serve victims and operate under a general ethical rule of confidentiality, there are significant differences between them. System-based advocates are typically employed by a law enforcement agency, office of the prosecuting attorney, corrections or another entity within the city, county, state or federal government. Titles for system-based advocates vary; for example, they can be called victim advocates, victim-witness coordinators or victim assistance personnel.<sup>2</sup> Because system-based advocates are typically a component of a government agency or program, a primary focus of their work is assisting victims in their interactions with the system, and they will

typically be able to provide services to the victims during the pendency of the investigation, prosecution and post-conviction legal aspects of a case. In addition, this placement as part of a government agency or program generally means that system-based advocates are subject to the *Brady* disclosure obligations (*see Brady v. Maryland* Section below for additional information) and generally, their communications with victims are not protected by privilege. For information about the legal, ethical and professional obligations of law enforcement-associated victim service providers related to their status as licensed social workers or licensed clinical social workers, *see Nat’l Crime Victim Law Inst., Considerations When Analyzing the Legal, Ethical and Professional Obligations of Law Enforcement-Employed Victim Advocates with Social Work/Clinical Social Work Licenses*, 2023, <https://ncvli.org/wp-content/uploads/2022/06/Considerations-Regarding-the-Obligations-of-Law-Enforcement-Employed-Victim-Advocates-with-Social-Work-Licenses-2022.pdf>.

By contrast, community-based advocates are generally not directly linked to any government actor or agency. As such, they are not subject to *Brady*; generally, can assist victims even if a crime has not been reported; can assist before, during and after a criminal case; can provide holistic services aimed at victims’ broad needs; and, depending on the jurisdiction’s laws and funding source, can maintain privileged communications with victims.<sup>3</sup>

Because each type of advocate has different duties and protections that they can offer victims, knowledge of and partnerships between them is an integral part of facilitating meaningful victim choice and helping victims access holistic services.

**What are privacy, confidentiality and privilege? Why do the differences matter?**

**Key Takeaways**

- Privacy is the broad right that allows one to control the sharing of personal information.
- Many jurisdictions have state constitutional and statutory protections for affording victims the right to privacy, including explicit rights to privacy and the broader stated rights to be treated with fairness, dignity and respect. A federal Constitutional right to privacy also exists.
- Confidentiality is a form of privacy protection; it is the legal and ethical duty to keep private the victim-client’s information that was learned in confidence. The duty of confidentiality is found in laws and regulations that govern particular professions (e.g., community-based advocates and licensed mental health professionals) as well as certain types of information (e.g., health and educational records). In addition, certain funding sources (such as VOCA and VAWA) contain confidentiality requirements that govern anyone receiving the funds.
- Courts have the authority to require disclosure of a victim’s confidential information when certain conditions are met. Circumstances that may compel disclosure of

victims' otherwise confidential information include if the information is shared with a mandatory reporter and in the case of system-based advocates, if the information falls within the state's required disclosures to defendant pursuant to *Brady/Discovery Obligations*.

- Privilege is another privacy protection and is stronger than confidentiality. Privileges are defined by statute and rule and protect communications between victims and certain people, such as doctors, psychotherapists/counselors, attorneys and in some jurisdictions, victim advocates. Key terms in the law may be defined in a way to limit the privilege. For example, among those jurisdictions that recognize an advocate-victim privilege, the term "advocate" is often narrow (e.g., only sexual assault advocates). Disclosure of privileged communications is prohibited unless the victim consents.
- Because privacy is so critical to victims it is important to understand what level of privacy protection can be afforded to a victim with whom one works and to communicate that BEFORE the victim shares any information.

## Discussion

### Privacy

*"Privacy" is a fundamental right, essential to victim agency, autonomy and dignity, which—among other things—permits boundaries that limit who has access to our communications and information.*

Privacy can be understood as the ability to control the sharing of personal information. *See Commonwealth ex rel. Platt v. Platt*, 404 A.2d 410, 429 (Pa. Super. Ct. 1979) ("The essence of privacy is no more, and certainly no less, than the freedom of the individual to pick and choose for [themselves] the time and circumstances under which, and most importantly, the extent to which, his attitudes, beliefs, and behavior and opinions are to be shared with or withheld from others."). For many crime victims, maintaining privacy in their personal information and communications is vitally important. In fact, maintaining privacy is so important that some victims refrain from accessing critical legal, medical or counseling services without an assurance that treatment professionals will protect their personal information from disclosure. Understanding this and wishing as a matter of public policy to encourage access to services when needed, federal and state legislatures and professional licensing bodies have created frameworks of laws and regulations that help protect the information victims share with professionals from further dissemination. To this end, every jurisdiction has adopted statutory or constitutional victims' rights; some jurisdictions explicitly protect victims' rights to privacy, or to be treated with dignity, respect or fairness.<sup>4</sup> Victims also have a federal Constitutional right to privacy.<sup>5</sup>

In addition to the broad rights to privacy that exist, privacy protections generally come in two forms: "confidentiality" and "privilege." Professionals who work with victims should understand each concept.

### Confidentiality

*“Confidentiality” is a legal and ethical duty not to disclose the victim-client’s information learned in confidence.*

As part of accessing services, victims frequently share highly sensitive personal information with professionals. A victim’s willingness to share this information may be premised on the professionals’ promise to not disclose it. The promise to hold in confidence the victim’s information is governed by the professional’s ethical duties, regulatory framework and/or by other various laws. Breaking the promise may carry sanctions. The promise not to disclose information that is shared in confidence—as well as the legal framework that recognizes this promise—are what qualifies this information as “confidential.”

Key aspects of confidential communications are that: (1) they are made with the expectation of privacy; (2) they are not accessible to the general public; (3) there may or may not be legal requirements that the recipient keep the information private; and (4) there may be a professional/ethical obligation to keep the information private.

Professional confidentiality obligations may be imposed by one’s profession, e.g., advocate ethics; social worker ethics; attorney ethics; medical provider ethics; and mental health counselor ethics. In addition, certain laws may have confidentiality provisions that are tied to funding. If an entity receives such funds, then it is bound by confidentiality or risks losing funding. Examples of laws that impose confidentiality requirements include the: (1) Victims of Crime Act (VOCA), 28 C.F.R. § 94.115; (2) Violence Against Women Act (VAWA), 34 U.S.C. § 12291(b)(2)(A)–(B); and (3) Family Violence Prevention and Services Act (FVPSA), 42 U.S.C. § 10406 (c)(5)(B). For example, VAWA (Section 3), VOCA and FVPSA regulations prohibit sharing personally identifying information about victims without informed, written and reasonably time-limited consent. VAWA and VOCA also prohibit disclosure of individual information without written consent. In addition, depending on the types of victim information at issue, other statutes may impose additional restrictions, including the Federal Educational Rights & Privacy Act (FERPA), 20 U.S.C. § 1232g (protections governing the handling of education records); the Health Insurance Portability & Accountability Act (HIPAA), 42 U.S.C. § 1320d et seq. (protections governing the handling of health records); and the Stored Communications Act (SCA), 18 U.S.C. § 2701 et seq. (protections governing electronic communications and transactions records).

When providing services, professionals should discuss with victims the consequences of sharing information before information is shared. These consequences may include the: (1) inability to “take back” a disclosure; (2) lack of control over the information once released; and (3) risk of the accused accessing the information. In addition, even when laws appear to prohibit disclosure, there are often exceptions that require disclosure, for instance in response to court orders or valid subpoenas. These limits should be explained to a victim. For example, a court may make a determination that an accused’s interests outweigh the confidentiality protection afforded by a law and order the professional to disclose the

victim's private information. Although a victim can be assured that a professional may not ethically disclose her confidential information unless legally required to do so, it is important that a victim understand that courts have the authority to require a professional to break the promise of confidentiality when certain conditions are met. Other circumstances that may compel disclosure of victims' otherwise confidential information include if the information is shared with a mandatory reporter of elder or child abuse and if the information falls within the state's required disclosures to defendant pursuant to the United States Supreme Court case *Brady v. Maryland*.

Thus, although the basic rule of confidentiality is that a victim's information is not shared outside an agency unless the victim gives permission to do so, it is important to inform victims before they share information whether, when and under what circumstances information may be further disclosed.

### Privilege

*"Privilege" is a legal right of the victim not to disclose—or to prevent the disclosure of—certain information in connection with court and other proceedings.*

Legislatures throughout the country have recognized that the effective practice of some professions requires even stronger legal protection of confidential communications between the professional and client. This recognition has resulted in the passage of laws that prevent courts from forcing these professionals to break the promise of confidentiality no matter how relevant the information is to the issues in the legal proceeding. This additional protection is a "privilege"—a legal right not to disclose certain information, even in the face of a valid subpoena.<sup>6</sup> Key aspects of privileged communications are that: (1) they are specially protected, often by statute; (2) disclosure without permission of the privilege holder (*i.e.*, the victim) is prohibited; (3) they are protected from disclosure in court or other proceedings; (4) the protections may be waived only by the holder of the privilege (*i.e.*, the victim); and (5) some exceptions may apply. Examples of communications that may be protected by privilege depending on jurisdiction include: (1) spousal; (2) attorney-client; (3) clergy-penitent; (4) psychotherapist/counselor-patient; (5) doctor-patient; and (6) advocate-victim. Jurisdictions that recognize a given privilege may narrowly define terms, thereby limiting its applications. For example, among the jurisdictions that recognize an advocate-victim privilege, many define the term "advocate" to exclude those who are system-based (*i.e.*, affiliated with a law-enforcement agency or a prosecutor's office).<sup>7</sup>

### Understanding the Differences

Because maintaining a victim's control over whether and how to disclose personal information is so important and because community-based and system-based advocates can offer different levels of protection regarding communications, every professional must know whether their communications with a victim are confidential or privileged, as well as how courts have interpreted the scope of each protection. This information should be shared with victims in advance of information disclosure. To do otherwise may provide victim-

clients with a false sense of security regarding their privacy and inflict further harm if their personal information is unexpectedly disclosed.

**What are HIPAA, FERPA, VOCA, VAWA and FOIA, and why are these relevant to my work as an advocate?<sup>8</sup>**

**Key Takeaways**

- Federal and many state laws protect certain types of information from disclosure. These laws generally cover medical, therapy and other behavioral health records, educational records and certain advocacy records.
- HIPAA—the Health Insurance Portability and Accountability Act—requires the protection and confidential handling of protected health information (PHI). This is important because although it permits release of PHI in response to a valid court order, no such release may be made in response to a subpoena or other request except under very specific circumstances.
- FERPA—the Family Educational Rights and Privacy Act—protects the privacy of student education records, as well as any personally identifiable information in those records. Although the Department of Education provides that law enforcement records are not education records, personally identifiable information collected from education records and shared with law enforcement remain protected from disclosure.
- Victim assistance programs that receive funding under either VOCA (the Victims of Crime Act of 1984) or VAWA (the Violence Against Women Act) are mandated to protect crime victims’ confidentiality and privacy subject to limited exceptions, such as mandatory reporting or statutory or court mandates. Even if disclosure of individual client information is required by statute or court order, recipients of VOCA or VAWA funding must provide notice to victims affected by any required disclosure of their information, and take steps to protect the privacy and safety of the victims.
- Open records’ laws—also commonly referred to as public records’ laws or sunshine laws—permit any person to request government documents and, if the government refuses to turn them over, to file a lawsuit to compel disclosure. Every state and the federal government have such laws (the federal law is known as FOIA, the Freedom of Information Act), which carry a presumption of disclosure. That means that all government records are presumed open for public inspection unless an exemption applies. Many exemptions from disclosure exist, including for some types of law enforcement records. All advocates should understand their jurisdiction’s open records’ laws, especially as they relate to exemptions that may apply to law enforcement and other victim-related records.

**Discussion**

HIPAA: Federal law—as well as state law in many jurisdictions—provides crime victims



with different forms of protections from disclosure of their personal and confidential information. This includes protections against the disclosure of medical and/or therapy and other behavioral health records without the victim’s consent. HIPAA—codified at 42 U.S.C. § 1320d et seq. and 45 C.F.R. § 164.500 et seq.—is the acronym for the Health Insurance Portability and Accountability Act, a federal law passed in 1996. HIPAA does a variety of things, but most relevantly, it requires the protection and confidential handling of protected health information (PHI). This is important because although it permits release of PHI in response to a valid court order, no such release may be made in response to a subpoena or other request unless one of the following circumstances is met:

1. The entity must receive “satisfactory assurance” from “the party seeking the information that reasonable efforts have been made by such party to ensure that the individual who is the subject of the protected health information that has been requested has been given notice of the request[.]” 45 C.F.R. § 164.512(e)(1)(ii)(A).  
-or-
2. The entity must receive “satisfactory assurance” from the “party seeking the information that reasonable efforts have been made by such party to secure a qualified protective order” that meets certain requirements, detailed in subsection (iv), 45 C.F.R. § 164.512(e)(1)(ii)(B).

Advocates may wish to inform victims that they may proactively contact their medical providers, informing them that the victims are asserting privilege and other legal protections in their records, and requesting that these providers: (1) give them prompt notice of any request for the victims’ medical records; (2) refuse to disclose the records pursuant to any such request without first receiving a valid court order; and (3) ensure that no medical records are released without first permitting the victims to file a challenge to their release. Advocates who work for or with community-based organizations—including organizations that provide general mental health services as well as those that serve domestic violence or sexual assault victims—should advise victims about the possibility of asserting HIPAA protections if facing a request for their records.

FERPA: The Family Educational Rights and Privacy Act (FERPA)—codified at 20 U.S.C. § 1232g—“is a federal law that protects the privacy of student education records, and the [personally identifiable information] contained therein, maintained by educational agencies or institutions or by a party acting for the agencies or institutions.”<sup>9</sup> FERPA applies to those agencies and institutions that receive funding under any U.S. Department of Education program.<sup>10</sup> “Private schools at the elementary and secondary levels generally do not receive funds from the Department [of Education] and are, therefore, not subject to FERPA, but may be subject to other data privacy laws such as HIPAA.”<sup>11</sup>

Protections afforded by FERPA include the right of parents or eligible students to provide a signed and dated, written consent that clearly identifies which education records or personally identifiable information may be disclosed by the educational agency or institution; the person who may receive such records or information; and the purpose for the disclosure prior to disclosure of an education record or personally identifiable

information, except in limited circumstances such as health or safety emergencies.<sup>12</sup>

Notably, while the Department of Education provides that law enforcement records are not education records, “personally identifiable information [collected] from education records, which the school shares with the law enforcement unit, do not lose their protected status as education records just because they are shared with the law enforcement unit.”<sup>13</sup> Thus, law enforcement has a duty to understand and comply with FERPA when drafting police reports, supplemental reports and, generally, sharing or relaying information.

It is important that advocates have an understanding of FERPA as well as other federal laws, state laws and local policies that address student privacy in education records as eligible students or parents may be afforded privacy protections in addition to FERPA. For example, “the education records of students who are children with disabilities are not only protected by FERPA but also by the confidentiality of information provisions in the Individuals with Disabilities Education Act (IDEA).”<sup>14</sup>

VOCA and VAWA: The Victims of Crime Act of 1984 (VOCA)—codified at 34 U.S.C. §§ 20101 to 20111—established the Crime Victims Fund (the Fund), which is managed by the Office for Victims of Crime, Office of Justice Programs, U.S. Department of Justice. The Fund is financed by, *inter alia*, fines and penalties from persons convicted of crimes against the United States as opposed to by tax dollars.<sup>15</sup> The Fund supports victim assistance programs that offer direct victim services and crime victim compensation.<sup>16</sup> Examples of direct services are crisis intervention, emergency shelters or transportation, counseling and criminal justice advocacy; and crime victim compensation programs that cover expenses incurred as a result of the crime.<sup>17</sup>

The Violence Against Women Act (VAWA)—enacted in 1994 and reauthorized in 2000, 2005 and 2013—created an array of federal protections for victims of crimes, including domestic violence, sexual assault and stalking. Additionally, VAWA provided funding for services and programs to combat violent crimes against women. VAWA funds are administrated by the Office on Violence Against Women (OVW), U.S. Department of Justice.

Agencies that receive VOCA or VAWA funding are mandated to protect crime victims’ confidentiality and privacy subject to limited exceptions, such as mandatory reporting or statutory or court mandates. Specifically, state administering agencies and subrecipients of VOCA funding, are mandated “to the extent permitted by law, [to] reasonably protect the confidentiality and privacy of [victims] receiving services . . . and shall not disclose, reveal, or release, except . . . [in limited circumstances:] (1) [a]ny personally identifying information or individual information collected in connection with VOCA-funded services requested, utilized, or denied, regardless of whether such information has been encoded, encrypted, hashed, or otherwise protected; or (2) [i]ndividual client information, without the informed, written, reasonably time-limited consent of the person about whom information is sought . . . .” 28 C.F.R. § 94.115(a)(1)–(2). Agencies that receive VAWA funding are subject to nearly identical duties to protect crime victims’ confidentiality and

privacy subject to limited exceptions. *See* 34 U.S.C. § 12291(b)(2).

Even if disclosure of individual client information is required by statute or court order, state administering agencies and sub-recipients' privacy and confidentiality obligations owed to crime victims do not disappear. State administering agencies and subrecipients of VOCA funds "shall make reasonable attempts to provide notice to victims affected by the disclosure of the information, and take reasonable steps necessary to protect the privacy and safety of the persons affected by the release of the information." 28 C.F.R. § 94.115(b). VAWA imposes similar requirements on recipients of funding. *See* 34 U.S.C. § 12291(b)(2)(C) ("If release of information . . . is compelled by statutory or court mandate[,] . . . grantees and subgrantees shall make reasonable attempts to provide notice to victims affected by the disclosure of information[] and . . . shall take steps necessary to protect the privacy and safety of the persons affected by the release of the information."). VOCA also mandates that none of the protections afforded to victims be circumvented. For example, a crime victim may neither be required to release personally identifying information in exchange for services nor be required to provide personally identifying information for recording or reporting purposes. 28 C.F.R. § 94.115(d).

It is important that advocates are aware if their positions and/or offices are subject to VOCA's and VAWA's mandates regarding victims' confidentiality and privacy protections and if so, understand how these mandates interact with disclosure obligations.

FOIA: Open records' laws—also commonly referred to as public records' laws or sunshine laws—permit any person to request government documents and, if the government refuses to turn them over, to file a lawsuit to compel disclosure. Every state and the federal government have such laws, which carry a presumption of disclosure, meaning that all government records are presumed open for public inspection unless an exemption applies.

The federal open records' law, known as the Freedom of Information Act (FOIA or the "Act"), 5 U.S.C. §552, was enacted in 1966. Similar to its state counterparts, FOIA provides for the legally enforceable right of any person to obtain access to federal agency records subject to the Act, except to the extent that any portions of such records are protected from public disclosure by one of the nine exemptions. Three such exemptions, Exemptions 6, 7(C) and 7(F) protect different types of personal information in federal records from disclosure. Exemption 6 "protects information about individuals in 'personnel and medical files and similar files' when the disclosure of such information 'would constitute a clearly unwarranted invasion of personal privacy.'"<sup>18</sup> Exemption 7(C) "is limited to information compiled for law enforcement purposes, and protects personal information when disclosure 'could reasonably be expected to constitute an unwarranted invasion of personal privacy.'"<sup>19</sup> Under both exemptions, "the concept of privacy not only encompasses that which is inherently private, but also includes an 'individual's control of information concerning [his/her/their] person.'"<sup>20</sup> Exemption 7(F), which also applies to law enforcement records, exempts records that contain information that "could reasonably be expected to endanger the life or physical safety of any individual."<sup>21</sup>

Similar to FOIA, state open records’ laws contain numerous exemptions, including for some types of law enforcement records (for example, prohibitions on disclosing identifying information of victims’ and witnesses’ generally or of child-victims and/or victims of certain crimes). Advocates should have an understanding of their jurisdiction’s open records’ laws, especially as they relate to exemptions from disclosure that may be afforded to law enforcement and other victim-related records within their office’s possession. Jurisdiction-specific victims’ rights laws—including rights to privacy and protection—also provide grounds for challenging public records’ requests for victims’ private information.

**Are there ethical standards relevant to my work as an advocate?**

**Key Takeaways**

- Advocates should know what ethical standards apply to their work with victims.
- Law enforcement agencies should develop a code of ethics specific to victim services personnel or, at a minimum, expand the scope of existing codes of ethics to include them.

**Discussion**

Yes, there are ethical standards—or “principles of conduct”—that guide victim advocates in their work.<sup>22</sup> Although there is no formal regulatory board that oversees victim assistance programs, the *Model Standards for Serving Victims & Survivors of Crime (Model Standards)* was created by the National Victim Assistance Standards Consortium with guidance from experts across the nation “to promote the competency and ethical integrity of victim service providers, in order to enhance their capacity to provide high-quality, consistent responses to crime victims and to meet the demands facing the field today.”<sup>23</sup>

The *Model Standards* cover three areas: (1) Program Standards for Serving Victims & Survivors of Crime; (2) Competency Standards for Serving Victims & Survivors of Crime; and (3) Ethical Standards for Serving Victims & Survivors of Crime.

The third area—Ethical Standards for Serving Victims & Survivors of Crime—contains “ethical expectations” of victim service providers that are “based on core values” in the field and are intended to serve as guidelines for providers in the course of their work. The Ethical Standards are comprised of five sections:

- (1) Scope of Services;
- (2) Coordinating within the Community;
- (3) Direct Services;
- (4) Privacy, Confidentiality, Data Security and Assistive Technology; and
- (5) Administration and Evaluation.<sup>24</sup>

Notably, “[p]rofessionals who are trained in another field (*e.g.*, psychology, social work) but are engaging in victim services will [also] abide by their own professional codes of ethics. If th[ose] ethical standards establish a higher standard of conduct than is required

by law or another professional ethic, victim assistance providers should meet the higher ethical standard. If ethical standards appear to conflict with the requirements of law or another professional ethic, providers should take steps to resolve the conflict in a responsible manner.”<sup>25</sup>

Many law enforcement agencies have established their own code of ethics. Often, these codes of ethics are developed to guide the behavior of sworn personnel and may not encompass the role of victim services. Agencies are encouraged to develop a code of ethics specific to victim services personnel or, at a minimum, expand the scope of existing codes of ethics to include them.<sup>26</sup>

**What is the difference between discovery and production and how does this relate to the Supreme Court’s decision in *Brady v. Maryland*?**

**Key Takeaways**

- In a criminal case, the term “discovery” refers to the exchange of information between parties to the case—the prosecutor and defendant. The term “production” refers to the defendant’s more limited right to obtain information from nonparties, such as victims. Sometimes the term “discovery” is used to describe the parties’ requests for information and records from nonparties, but this is an imprecise use of the word as it confuses the two ideas.
- In *Brady v. Maryland* the United States Supreme Court announced a rule, and state laws have adopted it also, that impose on the prosecutor’s office—and by extension on other governmental agencies such as law enforcement—legal obligations to disclose information to the accused and their lawyer even if they do not ask for it. These obligations are sometimes called *Brady* Obligations or Discovery Obligations.
- Pursuant to these obligations, the prosecutor is only constitutionally required to disclose information that is exculpatory and material to the issue of guilt, and which is within the custody or control of the prosecutor.
- Beyond that material to which a defendant is constitutionally entitled under *Brady*, state statute or procedural rule may entitle a criminal defendant to additional discovery materials.
- If records are not properly in the possession or control of the prosecutor, a defendant can only try to obtain them through their more limited right of production by seeking a subpoena pursuant to the jurisdiction’s statutes and rules governing production of documents from a nonparty.
- Federal and state courts have found that prosecution-based victim advocates are part of the “prosecution team” for *Brady* purposes. Therefore, *Brady*/Discovery Obligations generally attach to system-based advocates, and these obligations can override an advocate’s ability to keep something confidential. That means anything shared with a system-based advocate may have to be disclosed to the accused and their lawyer.

- Victims should be informed at the outset that disclosure requirements—imposed by *Brady* as well as a jurisdiction’s statutes and rules governing discovery—may impact victim privacy.

### Discussion

*The Supreme Court case Brady v. Maryland, as well as jurisdiction-specific statutes and court rules, impose discovery and disclosure obligations on the prosecution and defendant—not on the victim.*

In criminal cases, victim privacy is routinely at risk by parties seeking personal records, such as counseling, mental health, medical, employment, educational and child protective services records. The law governing when these records must be disclosed to a defendant is complex, touching on a number of factors, including whether the records are within the government’s control; whether they are protected by a privilege; whether any applicable privilege is absolute or qualified; whether a victim has waived any privilege in full or in part; the scope of the jurisdiction’s constitutional or statutory rights and/or protections for victims; and the jurisdiction’s statutes and rules governing discovery and production. If the records sought are properly in the possession or control of the prosecutor, a defendant may be entitled to them, pursuant to constitutional, statutory or rule-based rights to discovery. If, however, the records are not in the possession (or properly in the possession) of the prosecutor, a defendant must subpoena those records pursuant to the jurisdiction’s statutes and rules governing production of documents from a nonparty. Although courts and practitioners sometimes refer to defendant’s receipt of materials from both the prosecutor and nonparties as “discovery,” this imprecise use of the term confuses a defendant’s right to discovery from the prosecutor with a defendant’s right to production from a nonparty.

In a criminal prosecution, the term “discovery” refers to the exchange of information between parties to the case—the prosecutor and defendant. *See, e.g., Fed R. Crim. P. 16* (entitled “Discovery and Inspection,” the rule explicitly and exclusively governs discovery between the government and defendant). It does not govern defendant’s ability to obtain information directly from a crime victim or other nonparty. With regard to discovery from the prosecutor, a criminal defendant has no general federal constitutional right to discovery.<sup>27</sup> The prosecutor, instead, is only constitutionally required to disclose information that is exculpatory and material to the issue of guilt, *see Brady v. Maryland*, 373 U.S. 83, 87–88 (1963), and which is within the custody or control of the prosecutor.<sup>28</sup> The *Brady* rule imposes an affirmative “duty to disclose such evidence . . . even [when] there has been no request [for the evidence] by the accused, . . . and . . . the duty encompasses impeachment evidence as well as exculpatory evidence.”<sup>29</sup> The prosecutor’s *Brady* obligation extends to all exculpatory material and impeachment evidence and to “others acting on the government’s behalf in th[e] case, including the police.”<sup>30</sup>

Federal and state courts have found that prosecution-based victim advocates are considered part of the “prosecution team” for *Brady* purposes.<sup>31</sup> Beyond that material to which a defendant is constitutionally entitled, a prosecutor’s obligation to disclose information is

governed by statute or procedural rule. A criminal defendant is often entitled to additional discovery materials from the prosecutor pursuant to statutes or rules, though discovery statutes and rules vary widely between jurisdictions.<sup>32</sup> For more information about the *Brady* rule, including the legal background of the rule and considerations for assessing its application to information in the possession of law enforcement-associated victim service providers, see Nat'l Crime Victim Law Inst., *Law Enforcement-Associated Victim Service Providers and The Brady Rule: Legal Background and Considerations*, 2023, <https://ncvli.org/law-enforcement-associated-victim-service-providers-and-the-brady-rule/>.

*Victims should be informed that disclosure requirements—imposed by Brady as well as a jurisdiction's statutes and rules governing discovery—may impact victim privacy.*

Prosecutors are required by law to disclose exculpatory statements to the defense. Because system-based advocates are generally considered agents of the prosecutors, and prosecutors are deemed to know what advocates know, such advocates are generally required to disclose to the prosecutors the exculpatory statements made by victims to advocates.<sup>33</sup> Examples of exculpatory statements might include:

- “I lied to the police.”
- “I hit him first and he was defending himself.”
- “The crime didn’t happen.”
- “The defendant is not really the person who assaulted me.”
- *Any other statement from a victim that directly implicates a victim’s truthfulness regarding the crime.*
- *Any other statement from the victim that provides information that could be helpful to a defendant’s case.*

Important steps that victim advocates may take to help ensure that their office has appropriate policies and procedures in place to protect victims in light of required disclosures to prosecutors’ offices include:

- Ensure that every person clearly understands the prosecutor’s interpretation and expectations regarding discovery and exculpatory evidence with regard to victim advocates.
- Work with the prosecutors’ offices to create a policy/practice that addresses the limits of system-based advocate confidentiality.
- Inform victims prior to sharing of information if the victim advocate is bound by the rules that govern prosecutors.
- Develop a short, simple explanation to use with victims to communicate your responsibilities (*e.g.*, don’t use the word “exculpatory”).
- Consider including a simple statement in the initial contact letter or notice explaining limitations.
- Determine how and when advocates will remind victims of the limits of confidentiality throughout the process.
- Identify what documentation an advocate might come into contact with and whether

the prosecutors’ office considers it discoverable. For example: (1) victim compensation forms; (2) victim impact statements; (3) restitution documentation; and (4) U-Visa application documentation.

- Create policies regarding the types of documentation that an advocate may not need from the victim in order to provide effective victim advocacy (e.g., victim statements, treatment plans, safety plans, opinions, conclusions, criticisms). Determine a process for clearly marking documents that are not discoverable to ensure they are not inadvertently disclosed. For example, use a red stamp that says, “Not Discoverable.”
- Inform the victim at the time they make a disclosure that constitutes exculpatory evidence—or soon as a statement is deemed exculpatory—that it is going to be disclosed.
- When possible, avoid receiving a victim impact statement in writing prior to sentencing.
- Develop relationships with complementary victim advocates and communicate about your obligations and boundaries regarding exculpatory evidence. This will allow everyone to help set realistic expectations with victims regarding privacy.
- Establish how exculpatory information will be communicated to the prosecutor’s office.<sup>34</sup>

**What is *Giglio*, and why is it relevant to my work as an advocate?**

**Key Takeaways**

- The United States Supreme Court (in *Giglio v. United States*) clarified the affirmative responsibility of the prosecutor’s office to disclose to the defendant any information in its possession that is material to their guilt or innocence. This means that the prosecution does not wait for a defendant to ask for material but must disclose it even without them asking.

**Discussion**

*Giglio v. United States*, 405 U.S. 150 (1972), is a case that was heard before the United States Supreme Court.<sup>35</sup> The impact of the Court’s decision in *Giglio* intersects with advocates’ work as it makes it imperative that advocates understand: (1) what “material evidence” is (see *Brady v. Maryland* section for additional information); (2) how the advocate’s role is or is not related to the prosecutor’s office along with any corresponding professional, ethical obligations; (3) ways to avoid re-victimization by preventing violations that would cause a victim to undergo a second trial for the same crime; (4) the types of procedures and regulations that need to be implemented for advocates to ensure—in the face of prosecutor or advocate turnover—that all relevant and appropriate information is provided to the prosecutor handling the case; and (5) whether state or other local laws impose additional obligations that build on those prescribed by *Giglio*.



**What are key considerations for system-based advocates who receive a subpoena?<sup>36</sup>****Key Takeaways**

- Advocates may receive subpoenas to appear before the court or elsewhere to provide a sworn statement and/or to appear with specified documents.
- Victims should be informed immediately if advocates receive a subpoena for the information or documents related to a victim's case.
- There may be grounds to challenge a subpoena issued to a system-based or community-based advocate. These challenges can be made by the prosecutor, the community agency and/or the victims (either with or without the help of an attorney).

**Discussion**

In addition to providing prompt notice of receipt of a subpoena to the victim—whose rights and interests are implicated—a key consideration for system-based advocates, their superiors and the attorneys with whom they work is determining the type of subpoena received.<sup>37</sup> Subpoenas that system-based advocates often encounter are subpoenas demanding either: (a) a person's presence before a court or to a location other than a court for a sworn statement; or (b) a person's presence along with specified documentation, records or other tangible items.<sup>38</sup>

When system-based advocates receive the latter (which is called a subpoena duces tecum) there are a number of factors that should be considered, such as whether the documentation, record or item sought (a) is discoverable; or (b) constitutes *Brady* material, as defined by federal, state and local law. If an item, for example, is neither discoverable nor *Brady* material, an advocate, by law, may not be required to disclose the item. The same may be true if the item falls within an exception to discovery and does not constitute *Brady* material.<sup>39</sup> For additional information on *Brady* material, see the *Brady v. Maryland* section pertaining to disclosure obligations. Notably, this analysis is relevant to other types of subpoenas as well. For example, if a person is subpoenaed to testify and it is anticipated that defense counsel will attempt to elicit testimony that he/she/they are not legally entitled to, a prosecutor may file a motion in advance—such as a motion in limine or a motion for a protective order—requesting that the scope of the testimony be narrowly tailored or otherwise limited in accordance with the jurisdiction's laws. For advocates employed by prosecutor's offices, this analysis must be completed in cooperation with the prosecuting attorney.

Other key considerations for system-based advocates, their superiors and the attorneys they work with include determining: whether the requester has a right to issue a subpoena, and, more specifically, a right to issue a subpoena for the person's attendance and/or items sought; whether the subpoena is unspecified, vague or overbroad to warrant an objection that the subpoena is facially invalid or procedurally flawed; whether court mechanisms are

available to oppose the subpoena; whether such mechanisms are time sensitive and require immediate action; whether the victim received ample notice and adequate information; what the victim’s position is; and whether the law affords the victim privacy, confidentiality or privilege rights or protections that must be protected and enforced.

## SELECT LAWS

### SELECT PRIVACY LAWS

#### **What are key privacy rights and/or protections in Colorado?**

Crime victims in Colorado have explicit or implicit rights to privacy that can be found in myriad areas of the law. For example, Colorado’s Constitution recognizes the right of all persons to be “secure in their persons, papers, homes and effects, from unreasonable searches and seizures[.]” Colo. Const. art. II, § 7. Other Colorado laws protect a victim’s identifying and locating information from disclosure in recognition of the heightened safety and privacy concerns connected with this information. *See, e.g.*, Colo. Rev. Stat. Ann. § 24-4.1-302.5(1)(v) (guaranteeing victims of crime the right “to prevent any party at any court proceeding from compelling testimony regarding the current address, telephone number, place of employment, or other locating information of the victim unless the victim consents or the court orders disclosure upon a finding that a reasonable and articulable need for the information exists”); Colo. Rev. Stat. Ann. § 24-4.1-302.5(1)(w) (guaranteeing victims of crime the right to have various state actors “make all reasonable efforts to exclude or redact a victim’s social security number . . . from a criminal justice document or record created or compiled as a result of a criminal investigation when the document or record is released to anyone other than the victim, the defense attorney of record, the defense attorney’s agent, or a criminal justice agency that has duties under this article”); Colo. Rev. Stat. Ann. § 24-4.1-302.5(1)(x) (guaranteeing victims of crime the “right to be notified of how to request protection of their address”); Colo. Rev. Stat. Ann. § 24-4.1-303(2) (mandating that “[a]ll correctional officials shall keep confidential the address, telephone number, place of employment, or other personal information of such victim or members of such victim’s immediate family”).

Victims’ privacy is also protected in settings related to victim testimony and other witness-related matters. *See, e.g.*, Colo. Rev. Stat. Ann. § 18-1-714 (prohibiting the introduction of a victim’s, defendant’s, or witness’s gender identity, gender expression, or sexual orientation and mandating the procedures that are to be followed when the introduction of this type of information is sought by a party); Colo. Rev. Stat. Ann. § 18-3-407 (prohibiting the introduction of evidence of a victim’s prior or subsequent sexual conduct in prosecutions of certain sexual offenses and mandating the procedures that are to be followed when the introduction of this type of information is sought by a party).

The section “Select Confidentiality Laws” details how Colorado protects victims’ privacy interests in the context of public records requests.

## SELECT CONFIDENTIALITY LAWS

### **What are key confidentiality rights and/or protections in Colorado?**

Victims in Colorado have a number of rights and protections that they can assert to prevent disclosure of their confidential information and communications, subject to certain exceptions and/or waiver. For example, Colorado protects the confidentiality of records associated with a victim’s application under the state’s Crime Victim Compensation program. *See, e.g.*, Colo. Rev. Stat. Ann. § 24-4.1-107.5(2) (providing that, subject to limited exceptions, “[a]ny materials received, made, or kept by a board or a district attorney to process a [crime victim compensation claim] on behalf of a crime victim . . . are confidential”).

Additionally, Colorado provides victims with a number of confidentiality protections in the context of public records requests. Under Colorado’s public records law, “all public records shall be open for inspection by any person at reasonable times, except as provided in this part 2 or as otherwise specifically provided by law.” Colo. Rev. Stat. Ann. § 24-72-201. Exceptions to public access include instances where “[s]uch inspection would be contrary to any federal statute or regulation issued thereunder having the force and effect” of law,” where “[s]uch inspection would be contrary to any state statute,” and where “[s]uch inspection is prohibited by rules promulgated by the supreme court or by the order of any court.” Colo. Rev. Stat. Ann. § 24-72-204(1)(a)-(c).

Law enforcement investigatory records are generally exempted from disclosure under Colorado’s public records law, as well, as such disclosure “would be contrary to the public interest.” Colo. Rev. Stat. Ann. § 24-72-204(2)(a)(I) (exempting from disclosure “[a]ny records of the investigations conducted by any sheriff, prosecuting attorney, or police department, any records of the intelligence information or security procedures of any sheriff, prosecuting attorney, or police department, or any investigatory files compiled for any other law enforcement purpose”). Also exempt from disclosure are any “[e]lectronic email addresses, telephone number, or home addresses provided by a person to an elected official, agency, institution, or political subdivision of the state for the purposes of future electronic communications to the person from the elected official, agency, institution, or political subdivision.” Colo. Rev. Stat. Ann. § 24-72-204(2)(a)(VII).

Colorado’s public records law also explicitly exempts from disclosure additional information relating to victims of crime. *See, e.g.*, Colo. Rev. Stat. Ann. § 24-72-204(2)(c) (denying the right to inspection of “any materials received, made, or kept by a crime victim compensation board or a district attorney that are confidential pursuant to the provisions of

[Colorado’s Crime Victim Compensation Act]”); Colo. Rev. Stat. Ann. § 24-72-204(2)(d) (denying the right to inspection of “any materials received, made, or kept by a witness protection board, the department of public safety, or a prosecuting attorney that are confidential pursuant to [a statutory provision addressing witness protection]”); Colo. Rev. Stat. Ann. § 24-72-204(2)(e) (denying the right to inspection of “any materials received, made, or kept by the safe2tell program”); Colo. Rev. Stat. Ann. § 24-72-204(3)(a)(X)(A) (denying the right to inspection of “[a]ny records of sexual harassment complaints and investigations, whether or not such records are maintained as part of a personnel file” except under specified circumstances). Generally speaking, even if a record is subject to disclosure, “personal information” within that record is not subject to disclosure unless certain conditions are met. Colo. Rev. Stat. Ann. § 24-72-204(3)(a)(XXII). For example, Colorado’s public records laws permit certain individuals to request that their addresses be kept confidential. Colo. Rev. Stat. Ann. §24-72-204(3.5).

Victims may also seek professional treatment and support in the aftermath of a crime, such as counseling or advocacy services. Communications and records associated with some of these services have privacy protections, absent waivers and exceptions. *See, e.g.*, Colo. Rev. Stat. Ann. § 13-90-107(1)(b) (attorney-client privilege); Colo. R. Evid. 502 (same); Colo. Rev. Stat. Ann. § 13-90-107(1)(c) (clergy-penitent privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(d) (physician/surgeon/nurse-patient privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(g) (psychologist/counselor/therapist/social worker-patient privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(k) (victim’s advocate-victim privilege).

Additional information about these privilege protections is provided in the section “Select Privilege Laws.”

**SELECT PRIVILEGE LAWS**

**What are key privileges in Colorado?**

Victims in Colorado have a number of privileges that they can assert to prevent disclosure of confidential communications, barring certain exceptions and waivers. *See, e.g.*, Colo. Rev. Stat. Ann. § 13-90-107(1)(b) (attorney-client privilege); Colo. R. Evid. 502 (same); Colo. Rev. Stat. Ann. § 13-90-107(1)(c) (clergy-penitent privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(d) (physician/surgeon/nurse-patient privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(g) (psychologist/counselor/therapist/social worker-client privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(k) (victim’s advocate-victim privilege).

There are exceptions to these privileges, which vary by privilege. *See, e.g.*, Colo. Rev. Stat. Ann. § 13-90-107(1)(d)(I)-(VI) (detailing exceptions to the physician/surgeon/nurse-patient privilege); Colo. Rev. Stat. Ann. § 13-90-107(1)(k)(I)-(II) (limiting the applicability of the victim’s advocate-victim privilege to communications made by victims of domestic

violence and victims of sexual assault to certain advocates at non-law enforcement agencies who have satisfied specified training requirements).

For reference, the key privileges referenced in this section appear below.

<p>Attorney-Client Privilege.</p>	<p>Colo. Rev. Stat. Ann. § 13-90-107(1)(b).</p> <p>An attorney or licensed legal paraprofessional shall not be examined without the consent of the attorney’s or licensed legal paraprofessional’s client as to any communication made by the client to the attorney or licensed legal paraprofessional or to any advice given to the client by the client’s attorney or licensed legal paraprofessional in the course of professional employment; nor shall an attorney’s or licensed legal paraprofessional’s secretary, paralegal, legal assistant, stenographer, or clerk be examined without the consent of the attorney or licensed legal paraprofessional concerning any fact, the knowledge of which is acquired in the person’s capacity as the attorney’s or licensed legal paraprofessional’s employee.</p> <p>Colo. R. Evid. 502(a)-(e).</p> <p>The following provisions apply, in the circumstances set out, to disclosure of a communication or information covered by the attorney-client privilege or work-product protection.</p> <p>(a) Disclosure Made in a Colorado Proceeding or to a Colorado Office or Agency; Scope of a Waiver. When the disclosure is made in a Colorado proceeding or to an office or agency of a Colorado state, county, or local government and waives the attorney-client privilege or work-product protection, the waiver extends to an undisclosed communication or information in a Colorado proceeding only if:</p> <ol style="list-style-type: none"> <li>(1) the waiver is intentional;</li> <li>(2) the disclosed and undisclosed communications or information concern the same subject matter; and</li> <li>(3) they ought in fairness to be considered together.</li> </ol> <p>(b) Inadvertent Disclosure. When made in a Colorado proceeding or to an office or agency of a Colorado state, county, or local government, the disclosure does not operate as a waiver in a Colorado proceeding if:</p> <ol style="list-style-type: none"> <li>(1) the disclosure is inadvertent;</li> </ol>
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	<p>(2) the holder of the privilege or protection took reasonable steps to prevent disclosure; and</p> <p>(3) the holder promptly took reasonable steps to rectify the error, including (if applicable) following C.R.C.P. 26(b)(5)(B).</p> <p>(c) Disclosure Made in a Federal or other State Proceeding. When the disclosure is made in a proceeding in federal court or the court of another state and is not the subject of a court order concerning waiver, the disclosure does not operate as a waiver in a Colorado proceeding if the disclosure:</p> <p>(1) would not be a waiver under this rule if it had been made in a Colorado proceeding; or</p> <p>(2) is not a waiver under the law governing the state or federal proceeding where the disclosure occurred.</p> <p>(d) Controlling Effect of a Court Order. A Colorado court may order that the privilege or protection is not waived by disclosure connected with the litigation pending before the court--in which event the disclosure is also not a waiver in any other proceeding.</p> <p>(e) Controlling Effect of a Party Agreement. An agreement on the effect of disclosure in a Colorado proceeding is binding only on the parties to the agreement, unless it is incorporated into a court order.</p>
<p>Clergy-Penitent Privilege.</p>	<p>Colo. Rev. Stat. Ann. § 13-90-107(1)(c).</p> <p>A clergy member, minister, priest, or rabbi shall not be examined without both his or her consent and also the consent of the person making the confidential communication as to any confidential communication made to him or her in his or her professional capacity in the course of discipline expected by the religious body to which he or she belongs.</p>
<p>Physician/Surgeon/Nurse-Patient Privilege.</p>	<p>Colo. Rev. Stat. Ann. § 13-90-107(1)(d).</p> <p>A physician, surgeon, or registered professional nurse duly authorized to practice his or her profession pursuant to the laws of this state or any other state shall not be examined without the consent of his or her patient as to any information acquired in attending the patient that was necessary to enable him or her to prescribe or act for the patient, but this paragraph (d) shall not apply to:</p>

	<p>(I) A physician, surgeon, or registered professional nurse who is sued by or on behalf of a patient or by or on behalf of the heirs, executors, or administrators of a patient on any cause of action arising out of or connected with the physician’s or nurse’s care or treatment of such patient;</p> <p>(II) A physician, surgeon, or registered professional nurse who was in consultation with a physician, surgeon, or registered professional nurse being sued as provided in subparagraph (I) of this paragraph (d) on the case out of which said suit arises;</p> <p>(III) A review of a physician’s or registered professional nurse’s services by any of the following:                  (A) The governing board of a hospital licensed pursuant to part 1 of article 3 of title 25, C.R.S., where said physician or registered professional nurse practices or the medical staff of such hospital if the medical staff operates pursuant to written bylaws approved by the governing board of such hospital;                  (B) An organization authorized by federal or state law or contract to review physicians’ or registered professional nurses’ services or an organization which reviews the cost or quality of physicians’ or registered professional nurses’ services under a contract with the sponsor of a nongovernment group health-care program;                  (C) The Colorado medical board, the state board of nursing, or a person or group authorized by such board to make an investigation in its behalf;                  (D) A peer review committee of a society or association of physicians or registered professional nurses whose membership includes not less than one-third of the medical doctors or doctors of osteopathy or registered professional nurses licensed to practice in this state and only if the physician or registered professional nurse whose services are the subject of review is a member of such society or association and said physician or registered professional nurse has signed a release authorizing such review;                  (E) A committee, board, agency, government official, or court to which appeal may be taken from any of the organizations or groups listed in this subparagraph (III);</p> <p>(IV) A physician or any health-care provider who was in consultation with the physician who may have acquired any information or records relating to the services performed by the physician specified in subparagraph (III) of this paragraph (d);</p>
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	<p>(V) A registered professional nurse who is subject to any claim or the nurse’s employer subject to any claim therein based on a nurse’s actions, which claims are required to be defended and indemnified by any insurance company or trust obligated by contract;</p> <p>(VI) A physician, surgeon, or registered professional nurse who is being examined as a witness as a result of his consultation for medical care or genetic counseling or screening pursuant to section 13-64-502 in connection with a civil action to which section 13-64-502 applies.</p>
<p>Psychologist/ Counselor/Therapist/ Social Worker-Client Privilege.</p>	<p>Colo. Rev. Stat. Ann. § 13-90-107(1)(g).</p> <p>A licensed psychologist, professional counselor, marriage and family therapist, social worker, or addiction counselor, an unlicensed psychotherapist, a certified addiction counselor, a psychologist candidate registered pursuant to section 12-245-304(3), a marriage and family therapist candidate registered pursuant to section 12-245-504(4), a licensed professional counselor candidate registered pursuant to section 12-245-604(4), or a person described in section 12-245-217 shall not be examined without the consent of the licensee’s, certificate holder’s, registrant’s, candidate’s, or person’s client as to any communication made by the client to the licensee, certificate holder, registrant, candidate, or person or the licensee’s, certificate holder’s, registrant’s, candidate’s, or person’s advice given in the course of professional employment; nor shall any secretary, stenographer, or clerk employed by a licensed psychologist, professional counselor, marriage and family therapist, social worker, or addiction counselor, an unlicensed psychotherapist, a certified addiction counselor, a psychologist candidate registered pursuant to section 12-245-304(3), a marriage and family therapist candidate registered pursuant to section 12-245-504(4), a licensed professional counselor candidate registered pursuant to section 12-245-604(4), or a person described in section 12-245-217 be examined without the consent of the employer of the secretary, stenographer, or clerk concerning any fact, the knowledge of which the employee has acquired in such capacity; nor shall any person who has participated in any psychotherapy, conducted under the supervision of a person authorized by law to conduct such therapy, including group therapy sessions, be examined concerning any knowledge gained during the course of such</p>



	therapy without the consent of the person to whom the testimony sought relates.
Victim’s Advocate-Victim Privilege.	<p>Colo. Rev. Stat. Ann. § 13-90-107(k)(1).</p> <p>A victim’s advocate shall not be examined as to any communication made to such victim’s advocate by a victim of domestic violence, as defined in section 18-6-800.3(1), C.R.S., or a victim of sexual assault, as described in sections 18-3-401 to 18-3-405.5, 18-6-301, and 18-6-302, C.R.S., in person or through the media of written records or reports without the consent of the victim.</p>

**DEFINITIONS**

Key definitions appear below.	
Crime Victims’ Rights Definitions.	<p>Colo. Rev. Stat. Ann. § 24-4.1-302.</p> <p>As used in this part 3, and for no other purpose, including the expansion of the rights of any defendant:</p> <p>(1) “Crime” means any of the following offenses, acts, and violations as defined by the statutes of the state of Colorado, whether committed by an adult or a juvenile:</p> <p>(a) Murder in the first degree, in violation of section 18-3-102, C.R.S.;</p> <p>(b) Murder in the second degree, in violation of section 18-3-103, C.R.S.;</p> <p>(c) Manslaughter, in violation of section 18-3-104, C.R.S.;</p> <p>(d) Criminally negligent homicide, in violation of section 18-3-105, C.R.S.;</p> <p>(e) Vehicular homicide, in violation of section 18-3-106, C.R.S.;</p> <p>(f) Assault in the first degree, in violation of section 18-3-202, C.R.S.;</p> <p>(g) Assault in the second degree, in violation of section 18-3-203, C.R.S.;</p> <p>(h) Assault in the third degree, in violation of section 18-3-204, C.R.S.;</p>

	<p>(i) Vehicular assault, in violation of section 18-3-205, C.R.S.;</p> <p>(j) Menacing, in violation of section 18-3-206, C.R.S.;</p> <p>(k) Deleted by Laws 1995, H.B.95-1070, § 22, eff. July 1, 1995.</p> <p>(l) First degree kidnapping, in violation of section 18-3-301, C.R.S.;</p> <p>(m) Second degree kidnapping, in violation of section 18-3-302, C.R.S.;</p> <p>(n)(I) Sexual assault, in violation of section 18-3-402, C.R.S.; or (II) Sexual assault in the first degree, in violation of section 18-3-402, C.R.S., as it existed prior to July 1, 2000;</p> <p>(o) Sexual assault in the second degree, in violation of section 18-3-403, C.R.S., as it existed prior to July 1, 2000;</p> <p>(p)(I) Unlawful sexual contact, in violation of section 18-3-404, C.R.S.; or (II) Sexual assault in the third degree, in violation of section 18-3-404, C.R.S., as it existed prior to July 1, 2000;</p> <p>(q) Sexual assault on a child, in violation of section 18-3-405, C.R.S.;</p> <p>(r) Sexual assault on a child by one in a position of trust, in violation of section 18-3-405.3, C.R.S.;</p> <p>(s) Sexual assault on a client by a psychotherapist, in violation of section 18-3-405.5, C.R.S.;</p> <p>(s.3) Invasion of privacy for sexual gratification, in violation of section 18-3-405.6, C.R.S.;</p> <p>(t) Robbery, in violation of section 18-4-301, C.R.S.;</p> <p>(u) Aggravated robbery, in violation of section 18-4-302, C.R.S.;</p> <p>(v) Aggravated robbery of controlled substances, in violation of section 18-4-303, as it existed prior to October 1, 2023;</p> <p>(w) Repealed by Laws 1995, H.B.95-1212, § 64, eff. May 31, 1995.</p> <p>(x) Incest, in violation of section 18-6-301, C.R.S.;</p> <p>(y) Aggravated incest, in violation of section 18-6-302, C.R.S.;</p> <p>(z) Child abuse, in violation of section 18-6-401, C.R.S.;</p> <p>(aa) Sexual exploitation of children, in violation of section 18-6-403, C.R.S.;</p> <p>(bb) Crimes against at-risk adults or at-risk juveniles, in violation of section 18-6.5-103, C.R.S.;</p> <p>(bb.3) Any crime identified by law enforcement prior to the filing of charges as domestic violence, as defined in section 18-6-800.3(1), C.R.S.;</p> <p>(bb.7) An act identified by a district attorney in a formal criminal charge as domestic violence, as defined in section 18-6-800.3(1), C.R.S.;</p> <p>(cc) Any crime, the underlying factual basis of which has been found by the court on the record to include an act of domestic</p>
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	<p>violence, as defined in section 18-6-800.3(1), C.R.S., pursuant to section 18-6-801(1), C.R.S.;</p> <p>(cc.1)(I) Stalking, in violation of section 18-3-602, C.R.S.;</p> <p>(II) Stalking, in violation of section 18-9-111(4), C.R.S., as it existed prior to August 11, 2010;</p> <p>(cc.3) A bias-motivated crime, in violation of section 18-9-121, C.R.S.;</p> <p>(cc.4) Harassment that is bias-motivated, in violation of section 18-9-111(2);</p> <p>(cc.5) Careless driving, in violation of section 42-4-1402, C.R.S., that results in the death of another person;</p> <p>(cc.6) Failure to stop at the scene of an accident, in violation of section 42-4-1601, where the accident results in the death or serious bodily injury of another person;</p> <p>(cc.7) False reporting of an emergency in violation of section 18-8-111 that is a bias-motivated crime as described in section 18-9-121(2);</p> <p>(dd) Any criminal attempt, as described in section 18-2-101, C.R.S., any conspiracy, as described in section 18-2-201, C.R.S., any criminal solicitation, as described in section 18-2-301, C.R.S., and any accessory to a crime, as described in section 18-8-105, C.R.S., involving any of the crimes specified in this subsection (1);</p> <p>(ee) Retaliation against a witness or victim, in violation of section 18-8-706, C.R.S.;</p> <p>(ee.3) Intimidating a witness or a victim, in violation of section 18-8-704, C.R.S.;</p> <p>(ee.7) Aggravated intimidation of a witness or a victim, in violation of section 18-8-705, C.R.S.;</p> <p>(ff) Tampering with a witness or victim, in violation of section 18-8-707, C.R.S.;</p> <p>(gg) Indecent exposure, in violation of section 18-7-302, C.R.S.;</p> <p>(hh) Violation of a protection order issued under section 18-1-1001 against a person charged with committing sexual assault in violation of section 18-3-402, sexual assault on a child in violation of section 18-3-405, sexual assault on a child by one in a position of trust in violation of section 18-3-405.3, sexual assault on a client by a psychotherapist in violation of section 18-3-405.5, or stalking in violation of section 18-3-602;</p> <p>(ii) Human trafficking in violation of section 18-3-503 or 18-3-504, C.R.S.;</p> <p>(jj) First degree burglary, in violation of section 18-4-202, C.R.S.;</p> <p>(jj.5) Second degree burglary of a dwelling, in violation of section 18-4-203(2)(a);</p>
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<p>(kk) Retaliation against a judge or elected official, in violation of section 18-8-615; retaliation against a prosecutor, in violation of section 18-8-616; or retaliation against a juror, in violation of section 18-8-706.5;</p> <p>(ll) Child prostitution, in violation of section 18-7-401, C.R.S.; soliciting for child prostitution, in violation of section 18-7-402, C.R.S.; procurement of a child for sexual exploitation, in violation of section 18-6-404, C.R.S.; pimping of a child, in violation of section 18-7-405, C.R.S.; inducement of child prostitution, in violation of section 18-7-405.5, C.R.S.; or patronizing a prostituted child, in violation of section 18-7-406, C.R.S.;</p> <p>(mm) Posting a private image for harassment in violation of section 18-7-107 or posting a private image for pecuniary gain in violation of section 18-7-108;</p> <p>(nn) First degree arson, in violation of section 18-4-102;</p> <p>(oo) Criminal invasion of privacy, in violation of section 18-7-801.</p> <p>(1.2) “Cold case” means a felony crime reported to law enforcement that has remained unsolved for over one year after the crime was initially reported to law enforcement and for which the applicable statute of limitations has not expired.</p> <p>(1.3) “Correctional facility” means any private or public entity providing correctional services to offenders pursuant to a court order including, but not limited to a county jail, a community corrections provider, the division of youth services, and the department of corrections.</p> <p>(1.5) “Correctional official” means any employee of a correctional facility.</p> <p>(2) “Critical stages” means the following stages of the criminal justice process:</p> <p>(a) The filing of charges against a person accused of a crime;</p> <p>(a.3) Any hearing for the disclosure of the name and identifying information of a child victim or child witness pursuant to section 24-72-304(4.5)(a.5).</p> <p>(a.5) The decision not to file charges against a person accused of a crime;</p> <p>(a.7) The decision to enter into a diversion agreement pursuant to section 18-1.3-101, or to make a referral to the bridges wraparound care program pursuant to section 16-8.6-108;</p> <p>(b) The preliminary hearing;</p>
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	<p>(c)(I) Any court action involving a bond reduction or modification at which the following occurs:</p> <ul style="list-style-type: none"> <li>(A) A bond is set lower than the scheduled or customary amount for the specific charge, including any adjustments made by the court to the amount of bond to correspond to the specific charge to which the defendant pled guilty or for which the defendant was convicted, if the adjusted bond is lower than the scheduled or customary amount for the specific charge;</li> <li>(B) A change in the type of bond;</li> <li>(C) A modification to a condition of the bond;</li> <li>(D) A defendant is permitted to appear without posting a bond;</li> <li>(E) In a case involving a capital offense, the court grants the defendant’s motion for admission to bail pursuant to section 16-4-101(3), C.R.S.; or</li> <li>(F) For jurisdictions that do not have a bond schedule or customary amount for bond, a bond is modified to a lower amount than that set at the initial bond hearing.</li> </ul> <p>(II) Notwithstanding the provisions of subparagraph (I) of this paragraph (c), the following shall not constitute a bond reduction or modification:</p> <ul style="list-style-type: none"> <li>(A) The initial setting of a bond, whether set by the court at the first appearance or by another entity authorized to do so by the court prior to the first appearance;</li> <li>(B) The setting of a new bond upon the filing of charges by the district attorney, so long as the bond is set at or above the scheduled or customary amount for the specific charge filed; and</li> <li>(C) For nonbailable offenses pursuant to section 16-4-101, C.R.S., the subsequent setting of a bond by the court.</li> </ul> <ul style="list-style-type: none"> <li>(d) The arraignment of a person accused of a crime;</li> <li>(e) Any hearing on motions concerning evidentiary matters or pre-plea or post-plea relief;</li> <li>(e.5) Any subpoena or application for records concerning the victim’s medical history; mental health; education; victim’s compensation; or records that are privileged pursuant to section 13-90-107;</li> <li>(f) Any disposition of the complaint or charges against the person accused;</li> <li>(g) The trial;</li> <li>(h) Any sentencing or resentencing hearing;</li> <li>(i) Any appellate review or appellate decision;</li> <li>(j) Any modification of the sentence pursuant to rule 35(a) or 35(b) of the Colorado rules of criminal procedure or any other provision of state or federal law;</li> </ul>
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<p>(j.5) Any court-ordered modification of the terms and conditions of probation as described in section 18-1.3-204 or 19-2.5-1108 and as outlined in section 24-4.1-303(13.5)(a);</p> <p>(k) Any probation revocation hearing;</p> <p>(k.3) The filing of any complaint, summons, or warrant filed by the probation department;</p> <p>(k.5) The change of venue or transfer of probation supervision from one jurisdiction to another;</p> <p>(k.7) The request for any release from probation supervision prior to the expiration of the defendant’s sentence;</p> <p>(l) An attack on a judgment or conviction for which a court hearing is set;</p> <p>(m) Any parole application hearing and full parole board review hearing;</p> <p>(n) The parole, release, or discharge from imprisonment of a person convicted of a crime;</p> <p>(o) Any parole revocation hearing;</p> <p>(p) The transfer to or placement of a person convicted of a crime in a nonsecured facility;</p> <p>(q) The transfer, release, or escape of a person charged with or convicted of a crime from any state hospital;</p> <p>(r) Any petition or motion to terminate sex offender registration filed pursuant to section 16-22-113;</p> <p>(r.3)(I) Except as provided in subsection (2)(r.3)(II) of this section, any hearing concerning a petition for expungement as described in section 19-1-306.</p> <p>(II) The entry of an order of expungement is not a critical stage if:</p> <p>(A) The case resulted in a not guilty verdict at trial;</p> <p>(B) The case was dismissed in its entirety;</p> <p>(C) The juvenile completed a sentence for a petty offense, any drug petty offense, any level 1 or level 2 drug misdemeanor, or a class 2 or class 3 misdemeanor offense not involving unlawful sexual behavior as defined in section 16-22-109(9), domestic violence as described in section 18-6-800.3, or a crime that is a crime listed under section 24-4.1-302(1); or</p> <p>(D) The juvenile completed a sentence for a municipal offense not involving domestic violence as described in section 18-6-800.3.</p> <p>(s) The execution of an offender in a capital case;</p> <p>(t) A hearing held pursuant to section 18-1-414(2)(b), C.R.S.;</p> <p>(u) The decision, whether by court order, stipulation of the parties, or otherwise, to conduct postconviction DNA testing pursuant to section 18-1-413, the results of any such postconviction DNA testing, and court proceedings initiated based on the result of the postconviction DNA testing. An inmate’s written or oral request for such testing is not a “critical stage”.</p>
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	<p>(u.5) A hearing held pursuant to section 18-1-416(1.5);</p> <p>(v) A hearing held pursuant to section 24-72-706, 24-72-709, or 24-72-710;</p> <p>(w) A hearing held pursuant to section 24-31-902(2)(c).</p> <p>(x) A hearing held pursuant to section 18-1.3-103.7 or 19-2.5-1118.5.</p> <p>(y) A petition for modification of sentence filed pursuant to section 18-1.3-406(1)(b) and any associated hearing;</p> <p>(z) A petition for modification of sentence filed pursuant to section 18-1.3-801(6) and any associated hearing.</p> <p>(3) “Lawful representative” means any person who is designated by the victim or appointed by the court to act in the best interests of the victim.</p> <p>(3.5) “Modification of sentence” means an action taken by the court to modify the length, terms, or conditions of an offender’s sentence pursuant to rule 35(a) or (b) of the Colorado rules of criminal procedure; a resentencing following a probation revocation hearing; or a request for early termination of probation. As used in this subsection (3.5), “action taken by the court” includes an order by the court modifying an offender’s sentence upon review of the written motion without a hearing but does not include an order denying a motion to modify a sentence without a hearing.</p> <p>(4) “Significant other” means any person who is in a family-type living arrangement with a victim and who would constitute a spouse of the victim if the victim and such person were married.</p> <p>(5) “Victim” means any natural person against whom any crime has been perpetrated or attempted, unless the person is accountable for the crime or a crime arising from the same conduct or plan as crime is defined under the laws of this state or of the United States, or, if such person is deceased or incapacitated, the person’s spouse, parent, legal guardian, child, sibling, grandparent, grandchild, significant other, or other lawful representative. For purposes of notification under this part 3, any person under the age of eighteen years is considered incapacitated, unless that person is legally emancipated. It is the intent of the general assembly that this definition of the term “victim” shall apply only to this part 3 and shall not be applied to any other provision of the laws of the state of Colorado that refer to the term “victim”.</p>
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	<p>(6) “Victim’s immediate family” means the spouse, any child by birth or adoption, any stepchild, the parent, the stepparent, a sibling, a legal guardian, significant other, or a lawful representative of the victim.</p> <p>(7) “Witness” means any natural person:</p> <p>(a) Having knowledge of the existence or nonexistence of facts relating to any crime;</p> <p>(b) Whose declaration under oath is received or has been received as evidence for any purpose;</p> <p>(c) Who has reported any crime to any peace officer, correctional officer, or judicial officer;</p> <p>(d) Who has been served with a subpoena issued under the authority of any court in this state, of any other state, or of the United States; or</p> <p>(e) Who would be believed by any reasonable person to be an individual described in paragraph (a), (b), (c), or (d) of this subsection (7).</p>
<p>Attorney-Client Privilege Definitions.</p>	<p>Colo. R. Evid. 502(f). Definitions. In this rule:</p> <p>(1) “attorney-client privilege” means the protection that applicable law provides for confidential attorney-client communications; and</p> <p>(2) “work-product protection” means the protection that applicable law provides for tangible material (or its intangible equivalent) prepared in anticipation of litigation or for trial.</p>
<p>Victim’s Advocate-Victim Privilege Definitions.</p>	<p>Colo. Rev. Stat. Ann. § 13-90-107(k)(II). For purposes of this paragraph (k), a “victim’s advocate” means a person at a battered women’s shelter or rape crisis organization or a comparable community-based advocacy program for victims of domestic violence or sexual assault and does not include an advocate employed by any law enforcement agency:</p> <p>(A) Whose primary function is to render advice, counsel, or assist victims of domestic or family violence or sexual assault; and</p>



	<p>(B) Who has undergone not less than fifteen hours of training as a victim’s advocate or, with respect to an advocate who assists victims of sexual assault, not less than thirty hours of training as a sexual assault victim’s advocate; and</p> <p>(C) Who supervises employees of the program, administers the program, or works under the direction of a supervisor of the program.</p>
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<sup>1</sup> See Office for Victims of Crime, *Ethical Standards, Section I: Scope of Services*, [https://www.ovc.gov/model-standards/ethical\\_standards\\_1.html](https://www.ovc.gov/model-standards/ethical_standards_1.html).

<sup>2</sup> Additional examples of system-based advocate titles include: district attorney’s office/state attorney’s office advocates or victim-witness coordinators; law enforcement advocates; FBI victim specialists; U.S. attorney’s office victim-witness coordinators; board of parole and post-prison supervision advocates; and post-conviction advocates.

<sup>3</sup> Examples of community-based advocates include: crisis hotline or helpline staff; rape crisis center staff; domestic violence shelter staff; campus advocates; and homicide support program staff.

<sup>4</sup> See Nat’l Crime Victim Law Inst., *Refusing Discovery Requests of Privileged Materials Pretrial in Criminal Cases*, NCVLI Violence Against Women Bulletin (Nat’l Crime Victim Law Inst., Portland, Or.), June 2011, at 3 n.30 (listing victims’ constitutional and statutory rights to privacy and to dignity, respect or fairness), <https://ncvli.org/refusing-discovery-requests-of-privileged-materials-pretrial-in-criminal-cases-2011/>.

<sup>5</sup> See, e.g., *Whalen v. Roe*, 429 U.S. 589, 599 (1977) (recognizing, in a case involving the recording of patient information relating to certain prescribed medications, a federal constitutional right to privacy that includes “the individual interest in avoiding disclosure of personal matters”); *Eastwood v. Dep’t of Corrections*, 846 F.2d 627, 630–31 (10th Cir. 1988) (reviewing case law addressing constitutional protections for privacy and forced disclosure of personal matters); cf. *Griswold v. Connecticut*, 381 U.S. 479, 484–86 (1965) (discussing “zones of privacy” created by various guarantees in the Bill of Rights).

<sup>6</sup> There are different levels of privileges: absolute, absolute diluted and qualified. When an absolute privilege attaches, only a victim has the right to authorize disclosure of that information and the court can never order the information to be disclosed without the victim’s consent. Absolute privileges are rare, however, because privileges are seen to run contrary to the truth finding function of courts.

<sup>7</sup> See, e.g., Ala. R. Evid. 503A(a)(7) (“‘Victim counselor’ means any employee or supervised volunteer of a victim counseling center or other agency, business, or organization that provides counseling to victims, who is not affiliated with a law enforcement agency or prosecutor’s office and whose duties include treating victims for any emotional or psychological condition resulting from a sexual assault or family violence.”); Alaska Stat. Ann. § 18.66.250(5)(B) (“‘[V]ictim counseling center’ means a private organization, an organization operated by or contracted by a branch of the armed forces of the United States, or a local government agency that . . . is not affiliated with a law enforcement agency or a prosecutor’s office[.]”); Haw. Rev. Stat. Ann. § 626-1, Rule 505.5(a)(6) (“A ‘victim counseling program’ is any activity of a domestic violence victims’ program or a sexual assault crisis center that has, as its primary function, the counseling and treatment of sexual assault, domestic violence, or child abuse victims and their families, and that operates independently of any law enforcement agency, prosecutor’s office, or the department of human services.”); Ind. Code Ann. § 35-37-6-5(2) (“‘[V]ictim service provider’ means a person . . . that is not affiliated with a law enforcement agency[.]”); Neb. Rev. Stat. Ann. § 29-4302(1) (“Advocate means any employee or supervised volunteer of a domestic violence and sexual assault victim assistance program or of any other agency, business, or organization that is not affiliated with a law enforcement or prosecutor’s office whose primary purpose is assisting domestic violence and sexual assault victims[.]”); N.M. Stat. Ann. § 31-25-2(E) (“‘[V]ictim counselor’ means any employee or supervised volunteer of a victim counseling center or other agency, business or organization that provides counseling to victims who is not affiliated with a law enforcement agency or the office of a district attorney . . .”).

<sup>8</sup> Terms that inform the intersection of victim services and HIPAA, FERPA, FOIA or VOCA are “implied consent” and “waiver.” “Informed consent” is defined as “1. [a] person’s agreement to allow something to happen, made

with full knowledge of the risks involved and the alternatives. For the legal profession, informed consent is defined in Model Rule of Professional Conduct 1.0(e); [or] 2. [a] patient’s knowing choice about a medical treatment or procedure, made after a physician or other healthcare provider discloses whatever information a reasonably prudent provider in the medical field community would give to a patient regarding the risks involved in the proposed treatment or procedure.” *Informed consent*, Black’s Law Dictionary (8th ed. 2004). “Waiver” is defined as “[t]he voluntary relinquishment or abandonment—express or implied—of a legal right or advantage . . . .” *Waiver*, Black’s Law Dictionary (8th ed. 2004).

<sup>9</sup> Privacy Tech. Assistance Ctr., U.S. Dep’t of Educ., *School Resource Officers, School Law Enforcement Units, and the Family Educational Rights and Privacy Act (FERPA)*, at 6,

[https://studentprivacy.ed.gov/sites/default/files/resource\\_document/file/SRO\\_FAQs\\_2-5-19\\_0.pdf](https://studentprivacy.ed.gov/sites/default/files/resource_document/file/SRO_FAQs_2-5-19_0.pdf).

<sup>10</sup> *Id.*

<sup>11</sup> *Id.*

<sup>12</sup> *Id.* at 7-21.

<sup>13</sup> Protecting Student Privacy, U.S. Dep’t of Educ., *Are law enforcement records considered education records?*, <https://studentprivacy.ed.gov/faq/are-law-enforcement-records-considered-education-records>.

<sup>14</sup> Privacy Tech. Assistance Ctr., *supra* note 9, at 6.

<sup>15</sup> Office for Victims of Crime, *Crime Victims Fund*,

<https://www.ovc.gov/pubs/crimevictimsfundfs/intro.html#VictimAssist>.

<sup>16</sup> *Id.*

<sup>17</sup> *Id.*

<sup>18</sup> Department of Justice Guide to the Freedom of Information Act, at 1,

<https://www.justice.gov/sites/default/files/oip/legacy/2014/07/23/exemption6.pdf>.

<sup>19</sup> *Id.*

<sup>20</sup> *Id.*

<sup>21</sup> *Id.*

<sup>22</sup> *Ethic*, Merriam-webster.com, <https://www.merriam-webster.com/dictionary/ethics> (last visited Sept. 19, 2023).

<sup>23</sup> Office for Victims of Crime, *Purpose & Scope of The Standards*, [https://www.ovc.gov/model-standards/purpose\\_and\\_scope.html](https://www.ovc.gov/model-standards/purpose_and_scope.html).

<sup>24</sup> Office for Victims of Crime, *Ethical Standards for Serving Victims & Survivors of Crime*, [https://ovc.ojp.gov/sites/g/files/xyckuh226/files/model-standards/6/ethical\\_standards.html](https://ovc.ojp.gov/sites/g/files/xyckuh226/files/model-standards/6/ethical_standards.html). Each of the five sections contain ethical standards and corresponding commentaries, explaining each standard in detail. For “Scope of Services,” the ethical standards and their corresponding commentaries can be located at [https://www.ovc.gov/model-standards/ethical\\_standards\\_1.html](https://www.ovc.gov/model-standards/ethical_standards_1.html). For “Coordinating within the Community,” the ethical standards and their corresponding commentaries can be located at [https://www.ovc.gov/model-standards/ethical\\_standards\\_2.html](https://www.ovc.gov/model-standards/ethical_standards_2.html). For “Direct Services,” the ethical standards and their corresponding commentaries can be located at [https://www.ovc.gov/model-standards/ethical\\_standards\\_3.html](https://www.ovc.gov/model-standards/ethical_standards_3.html). For “Privacy, Confidentiality, Data Security and Assistive Technology,” the ethical standards and their corresponding commentaries can be located at [https://www.ovc.gov/model-standards/ethical\\_standards\\_4.html](https://www.ovc.gov/model-standards/ethical_standards_4.html). For “Administration and Evaluation,” the ethical standard and the corresponding commentary can be located at [https://www.ovc.gov/model-standards/ethical\\_standards\\_5.html](https://www.ovc.gov/model-standards/ethical_standards_5.html).

<sup>25</sup> Office for Victims of Crime, *Ethical Standards for Serving Victims & Survivors of Crime*, [https://www.ovc.gov/model-standards/ethical\\_standards.html](https://www.ovc.gov/model-standards/ethical_standards.html).

<sup>26</sup> For a sample law enforcement-based victim services code of ethics drafted by the International Association of Chiefs of Police, see *Law Enforcement-Based Victim Services – Template Package I: Getting Started*, at 28-30, <https://www.theiacp.org/sites/default/files/LEV/Publications/TemplatePackageI.pdf>.

<sup>27</sup> See *Weatherford v. Bursey*, 429 U.S. 545, 559 (1977) (“There is no general constitutional right to discovery in a criminal case, and Brady did not create one . . .”).

<sup>28</sup> See, e.g., *United States v. Agurs*, 427 U.S. 97, 106–07 (1976).

<sup>29</sup> *Strickler v. Greene*, 527 U.S. 263, 280 (1999) (internal citations omitted).

<sup>30</sup> *Id.* at 281.

<sup>31</sup> See, e.g., *Eakes v. Sexton*, 592 F. App’x 422, 429 (6th Cir. 2014) (unpublished) (finding that “contrary to the district court’s conclusion that the [state] prosecutor was not responsible for failing to disclose the Victim-Advocate report because the Advocate was located ‘in a separate part of the District Attorney’s office,’ the prosecutor is in fact responsible for disclosing all *Brady* information in the possession of that office, such as the Victim-Advocate

report, even if the prosecutor was unaware of the evidence prior to trial”); *Commonwealth v. Liang*, 747 N.E.2d 112, 114 (Mass. 2001) (concluding that “the notes of [prosecution-based] advocates are subject to the same discovery rules as the notes of prosecutors[,]” and “[t]o the extent that the notes contain material, exculpatory information . . . or relevant ‘statements’ of a victim or witness . . . the Commonwealth must disclose such information or statements to the defendant, in accordance with due process and the rules of criminal procedure”).

<sup>32</sup> For additional information, see Nat’l Crime Victim Law Inst., *What are Brady Disclosure Obligations?*, 2023, <https://ncvli.org/what-are-brady-disclosure-obligations/>.

<sup>33</sup> Notably, for advocates/entities that receive VOCA funding, because this disclosure is “compelled by statutory or court mandate,” it does not pursuant to statute, require a signed, written release from the victim. Nevertheless, if disclosure is required, VOCA requires that advocates make reasonable attempts to notify the victim affected by the disclosure and take whatever steps are necessary to protect their privacy and safety.

<sup>34</sup> See also Nat’l Crime Victim Law Inst., *Law Enforcement-Associated Victim Service Providers and The Brady Rule: Legal Background and Considerations*, 2023, <https://ncvli.org/law-enforcement-associated-victim-service-providers-and-the-brady-rule/>.

<sup>35</sup> Defendant John Giglio was tried, convicted and sentenced for forgery related crimes. While Giglio’s case was pending appeal, his attorney filed a motion for a new trial, claiming that there was newly discovered evidence that the key Government witness—the only witness linking [Giglio] with the crime—had been promised that he would not be prosecuted in exchange for his testimony. *Giglio*, 405 U.S. at 150-52. The defense attorney’s motion was initially denied, but certiorari review was granted “to determine whether the evidence [that was] not disclosed . . . require[d] a new trial under the due process criteria of” cases, including *Brady v. Maryland*, 373 U.S. 83, 87 (1963), which “held that suppression of material evidence justifies a new trial” whether the prosecutor intended to withhold information or not. *Id.* at 151-53. “An affidavit filed by the Government as part of its opposition to a new trial confirm[ed] [Giglio’s] claim that a promise was made to [the key Government witness]” by the former Assistant United States Attorney “that [the witness] would not be prosecuted if he cooperated with the Government.” *Id.* at 152-53. This promise of leniency was made by the formerly assigned Assistant United States Attorney who did not handle the trial; and the Assistant United States Attorney who handled the trial was unaware of the promise. *Id.* at 152. The Supreme Court held that nondisclosure of material evidence “is the responsibility of the prosecutor”—whether nondisclosure was intentional or not—and that such action is directly attributable to the Government. *Id.* at 154. Addressing the topic of “turnover,” principally, the Court explained that “[t]o the extent this places a burden on the large prosecution offices, procedures and regulations can be established to carry that burden and to [e]nsure communication of all relevant information on each case to every lawyer who deals with it.” *Id.* Giglio’s conviction was reversed, and the case was remanded to the lower court. *Id.* at 155.

<sup>36</sup> This section addresses subpoenas directed to system-based advocates. For information concerning community-based advocates and subpoenas, please contact NCVLI for technical assistance.

<sup>37</sup> Terminology for subpoenas varies from jurisdiction-to-jurisdiction. Common examples of subpoenas include: “subpoenas”; “subpoenas duces tecum”; “deposition subpoenas”; and “subpoenas ad testificandum.” See *Subpoena*, Black’s Law Dictionary (8th ed. 2004).

<sup>38</sup> See *Subpoena*, Black’s Law Dictionary (8th ed. 2004) (defining “subpoena” as “[a] writ commanding a person to appear before a court or other tribunal, subject to a penalty for failing to comply”); *subpoena duces tecum*, Black’s Law Dictionary (8th ed. 2004) (defining “subpoena duces tecum” as “[a] subpoena ordering the witness to appear and to bring specified documents, records, or things”); *deposition subpoena*, Black’s Law Dictionary (8th ed. 2004) (defining “deposition subpoena” as “1. [a] subpoena issued to summon a person to make a sworn statement in a time and place other than a trial[;] [and] 2. [i]n some jurisdictions, [this is referred to as] a subpoena duces tecum”).

<sup>39</sup> Attorney work product “is generally exempt from discovery or other compelled disclosure.” *Work product*, Black’s Law Dictionary (8th ed. 2004).

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