APPENDIX A1.1.1
QUESTIONS

The President of John Jay College, Dr. Gerald Lynch, and members of the faculty met with Ms. McChesney and representatives of the USCCB to discuss possible approaches to the study of the nature and scope of child sexual abuse in the Church. After several weeks of discussion, Kathleen McChesney, on behalf of the USCCB, gave the John Jay College faculty group a specific set of questions to be answered, and thus defined the scope of the study. These questions were divided into four categories, as follows:

Information about the alleged offenses

- How many offenses were alleged or confirmed by conviction about any Catholic priest or deacon in the diocese?
- What was the time frame(s) of the alleged and confirmed offenses?
- Were alcohol and/or drugs used by the victim or offender at the time of the offense?
- In what location(s) did the offense occur?

Information about those who have made accusations

- The age and gender of the victims at the time of the offense.
- With whom did the victim live at the time of the offense?
- What was the relationship between the victim and the offender at the time of the offense?
- Where there any threats to the victim or grooming behavior on the part of the offender at the time of the offense?
- How long did the victim wait to report the offense?
- When was the offense reported?

Information about the accused clerics

- What diocese or religious order did the offender belong to at the time of the offense and what status did he hold in that order?
- What was the offender's job description/duties?
- If the offender was a deacon, was he married or unmarried at the time of the offense?
- What age was the offender at the time of the first and last alleged and/or confirmed offense?
- How many years was the offender ordained at the time of the first offense?
- How many alleged or confirmed victims did the offender have?
- Was there a civil or criminal action against the offender and what were the consequences?
- Was the offender a victim of any type of child sexual abuse?
- Did the offender receive any type of psychological treatment (i.e., for either psychological, sex offending, and/or substance abuse)?
- Was the offender transferred to another ministerial assignment subsequent to offending, and if so, did he re-offend?
- Did the offender have a record of having been abused by a fellow priest and/or deacon?

APPENDIX A1.1.1
QUESTIONS

Information about the financial impact on the dioceses and religious community

- What was the financial cost to the Dioceses or religious community as a result of each alleged or confirmed offense?

In additional to these questions, the Board and USCCB asked for the best estimates that could be made of the extent of child sexual abuse in the United States.

DIOCESAN PROFILE: CONFIDENTIAL

FORM #1: DIOCESAN PROFILE

Please answer these ten questions to the best of your knowledge. It should include information between 1950-2002.

1. Is this institution a(n): (Please check one)
☐ Diocese ☐ Eparchy ☐ Religious Institute

(NOTE: If a question is not applicable to your order, please write N/A.)

2. List the approximate number of active and retired Priests and Fathers in the order from 1950 (or since the establishment of the diocese) to 2002:
   a. diocesan priests: incardinated _____ extern _____
   b. religious institute priests: _____
   c. diocesan deacons _____
   d. religious institute deacon in diocese _____

3. What is the approximate number of Catholics in your order at this time?

☐ 5,000 - 45,000	☐ 88,501 - 122,000	☐ 239,001 - 350,700
☐ 45,001 - 66,000	☐ 122,001 - 170,000	☐ 350,701 - 475,000
☐ 66,001 - 88,500	☐ 170,001 - 239,000	☐ 475,001 - 788,700
		☐ 788,701 - 4,500,000

4. What is the approximate number of parishes operated by your order at the present time?

☐ 8-35	☐ 57-71	☐ 98-119
☐ 36-46	☐ 72-84	☐ 120-138
☐ 47-56	☐ 85-97	☐ 139-185

5. Check all regions in which the order is active.

☐ I	☐ IV	☐ VII	☐ X	☐ XIII
☐ II	☐ V	☐ VIII	☐ XI	☐ XIV
☐ III	☐ VI	☐ IX	☐ XII	

6. Based on your review of the records, indicate how many clerics have had allegations made against them while in your order.
   Number of incardinated _____ number of extern _____

7. How many clerics with allegations have been completely exonerated? _____

8. Based on your reviews of the records, please indicate the total number of victims who have made allegations against clerics in your order. _____

9. Based on your reviews of the records, please indicate the total amount of money paid out by your order to alleged victims of sexual abuse between 1950 and 2002. _____

10. For how many of the victims in Question #8 have:
    _____ all of their allegations been shown to be known false
    (# of victims)
    _____ all of their allegations been withdrawn
    (# of victims)
    (NOTE: do not include these victims in the remainder of the survey)

APPENDIX A1.1.3
RELIGIOUS ORDER PROFILE

ORDER PROFILE: CONFIDENTIAL

FORM #1: RELIGIOUS INSTITUTE PROFILE

Please answer these nine questions to the best of your knowledge. It should include information between 1950-2002.

1. Is this institution a: (Please check one)
☐ Religious Institute ☐ Province of a Religious Institute

2. List the approximate number of active and retired clerics who have ministered in your religious institute or province from 1950 (or since the establishment of the religious institute) to 2002:
   a. religious priest members: _____
   b. permanent deacon members: _____

3. What is the approximate membership of the religious institute or province at this time?

☐ 1 - 10	☐ 31 - 40	☐ 111 – 150	☐ 541 and up
☐ 11 - 20	☐ 41 - 75	☐ 151 - 305	
☐ 21 - 30	☐ 76 - 110	☐ 306 - 540	

4. What is the approximate number of priests and fathers who are now members the religious institute or province?

☐ 1 - 6	☐ 22 - 35	☐ 81 – 110	☐ 400 and up
☐ 7 - 14	☐ 36 - 57	☐ 111 - 176	
☐ 15 -21	☐ 58 - 80	☐ 177 - 399	

5. Based on your review of the records, indicate how many member religious priests or permanent deacons have had allegations made against them while ministering within your province or religious institute. If any religious priests (not counted as members of your province or religious institute - but perhaps visiting from another province) were subject of such allegations while ministering in your province, please give that information on the second line in the category of "Others."

   Religious priests _____ Permanent deacons _____
   Others _____

6. How many clerics with allegations have been completely exonerated? _____

7. Based on your reviews of the records, please indicate the total number of victims who have made allegations against clerics in your province or religious institute. _____

8. Based on your reviews of the records, please indicate the total amount of money paid out by your province or religious institute to alleged victims of sexual abuse between 1950 and 2002.
   _____

9. For how many of the victims in Question #8 have:
   _____ all of their allegations been shown to be known false
   (# of victims)
   _____ all of their allegations been withdrawn
   (# of victims)

(NOTE: do not include these victims in the remainder of the survey)

CLERIC SURVEY: CONFIDENTIAL

FORM #2: CLERIC SURVEY **CLERIC #_____**

Please complete the following information. To ensure confidentiality, this information will be encrypted for data analysis and this page will be destroyed.

Cleric's first initial ____

Cleric's last initial ____

Date of Birth __ __/__ __/__ __

REMINDER: <u>DO NOT</u> WRITE IN THE NAMES OF ANY CLERICS OR VICTIMS ANYWHERE ON THIS SURVEY. IF YOU HAVE ANY QUESTIONS AND YOU CALL THE JOHN JAY COLLEGE RESEARCH TEAM HOTLINE AT (212) 237-8539, PLEASE DO NOT SAY YOUR NAME, THE NAME OF YOUR DIOCESE, OR THE NAME OF ANY ALLEGED VICTIMS OR ABUSERS.

FORM #2: CLERIC SURVEY **CLERIC #_____**

Please fill out this form to the best of your knowledge for every cleric against whom there are or have been allegations of sexual abuse between 1950 and 2002. Do not fill this out for clerics against whom the only allegations were known to be false. For the purpose of clarity and flow, the term "diocese" is used to refer to all diocesan, eparchial and religious orders, societies and communities.

FIRST, WE ARE GOING TO ASK YOU TO PROVIDE SOME BASIC INFORMATION ABOUT THIS PARTICULAR CLERIC.

1. Year of birth: __ __ __ __

2. At the time of the alleged offense(s), was this cleric a(n): (check as many answers if necessary if the allegations against this cleric extended over a period of time)
   - ☐ Diocesan Priest
   - ☐ Eparchian Priest
   - ☐ Extern Priest
   - ☐ Religious Priest
   - ☐ Transitional Deacon
   - ☐ Permanent Deacon
   - ☐ Eparch
   - ☐ Bishop
   - ☐ Cardinal
   - ☐ Other (specify): _____

3. If ordained, year of ordination: __ __ __ __

4. What seminary/seminaries did the cleric attend? _____

5. Was cleric married at time of alleged offense(s)?
   - ☐ Yes
   - ☐ No

6. Does the cleric have a history of being a victim of abuse?
   - ☐ Yes
   - ☐ No known abuse (If No, skip to Question 9)

7. If yes, the type of abuse indicated in the record or known to the diocese is best described as (check all that apply)
   - ☐ Physical abuse
   - ☐ Emotional Abuse
   - ☐ Sexual Abuse
   - ☐ Verbal Abuse
   - ☐ Physical & Sexual Abuse
   - ☐ Neglect
   - ☐ Other (specify): _____

8. This abuse was allegedly committed by: (check all that apply)
   - ☐ Mother
   - ☐ Peer/acquaintance
   - ☐ Father
   - ☐ Person in a position of authority (e.g., babysitter, coach)
   - ☐ Sibling
   - ☐ Priest
   - ☐ Other family member
   - ☐ Deacon
   - ☐ Teacher
   - ☐ Other (please specify):_____

9. Are there indications in the record that the cleric had problems with alcohol or substance abuse?
   ☐ Yes, Alcohol ☐ Yes, Drugs ☐ Yes, Alcohol & Drugs ☐ No (If no, skip to question 13)

10. If you answered "Yes" to Question 9, then please indicate what action(s) was taken to address the alcohol or drug abuse problem? (check all that apply)
    - ☐ Referral for Evaluation
    - ☐ Referral for Treatment
    - ☐ Spiritual Counseling Recommended
    - ☐ Other action taken (describe) _____
    - ☐ Spiritual Counseling Provided
    - ☐ Intervention
    - ☐ No action taken

11. If treatment was provided, where did it occur? (if none, skip to question 13)
    - ☐ inpatient substance /alcohol abuse treatment within the diocese
    - ☐ inpatient substance/alcohol abuse treatment outside diocese
    - ☐ outpatient within diocese (specify type of program) _____
    - ☐ outpatient outside of diocese (specify type of program)_____

12. During treatment for alcohol/drug abuse, did the cleric admit to sexual abuse(s) of a minor(s)?
    ☐ Yes ☐ No

13. Are there other specific medical or psychological problems that raised concerns about this cleric's fitness for ministry? (if no, skip to question 18)
    ☐ Yes ☐ No

14. Please describe the problem to the extent possible_____
    _____

15. Was the problem recognized before any allegation of abuse?
    ☐ Yes ☐ No

16. What is the approximate date the problem was recognized? _____

17. If the cleric has multiple medical or psychological problems, please specify the year each was recognized (if more than three, please continue question 16 on the back.)
    Year _____ problem _____
    Year _____ problem _____
    Year _____ problem _____
    Check here if continued on back _____

18. How many dioceses has this cleric served in? _____

19. How many times has this cleric transferred within your diocese?
    Parishes _____ Congregations _____

20. Does this cleric have allegations of sexual abuse against him at any of these other dioceses in which he served?
    ☐ Yes ☐ No ☐ No information in file

21. If yes, how many victims made allegations of abuse against this cleric in each diocese, parish and congregation in which he served?
    Dioceses _____ Parishes _____ Congregations_____

22. Is it known from the files, or by other means, that this cleric had behavioral/boundary problems other than allegations of sexual abuse of minors (e.g., letters of complaint from parishioners)?
☐ Yes (specify) _____
☐ No

NOW WE ARE GOING TO ASK ABOUT THIS CLERIC'S ALLEGED VICTIM(S) FROM YOUR DIOCESE

23. How many victims made allegations of sexual abuse against this cleric in your diocese? _____

24. Is there any indication that the cleric has abused more victims than there are official allegations made (e.g., victims who made a complaint claim that there are other victims who do not want to come forward)?
☐ Yes ☐ No

25. If yes, please indicate how many other alleged victims there are who have not officially made a complaint against this cleric. _____

26. How many allegations of abuse of minors does the cleric have in each of the following age ranges and genders at your diocese? (give your best approximation of the age range based on information in the file)

# of victims under 8 years of age	_____	# male _____	# female _____
# of victims 8 - 10 years of age	_____	# male _____	# female _____
# of victims 11-14 years of age	_____	# male _____	# female _____
# of victims 15 - 17 years of age	_____	# male _____	# female _____

THE FOLLOWING QUESTIONS HAVE TO DO WITH THE <u>INSTITUTION'S RESPONSE</u> TO THE SEXUAL ABUSE ALLEGATIONS AGAINST THIS PARTICULAR CLERIC

27. What did the diocese do in response to the allegation(s) of sexual abuse against this cleric? (check all that apply)

☐ Cleric reprimanded, returned him to duties
☐ Cleric referred for evaluation
☐ Cleric given administrative leave
☐ Cleric resigned or retired
☐ Cleric reinstated
☐ Cleric suspended from ministry
☐ No action taken
☐ Cleric referred for spiritual retreat
☐ Cleric referred for treatment
☐ Cleric given medical leave
☐ Cleric sought laicization
☐ Cleric removed from clerical state
☐ Other (specify)_____

28. If the cleric was reinstated, was it:
☐ Within the diocese, same parish
☐ Within the diocese, different parish
☐ Different diocese
☐ Restricted ministry

29. What year(s) did the diocese take action against the cleric?

Year_____ Action_____
Year_____ Action_____
Year_____ Action_____

30. If the cleric participated in any type of treatment to address the sexual abuse allegations, what kind of treatment was it? (check all that apply) If no treatment, skip to question 35.

☐ Specialized sex offender treatment program specifically for clergy
☐ Specialized sex offender treatment program for all sex offenders, not just for clergy
☐ General treatment program not specifically for sex offenders
☐ One-on-one counseling w/ psychiatrist, psychologist, or other mental health expert
☐ Psychotherapist
☐ Relapse prevention treatment program
☐ Evaluation by mental health professional or expert, but no indication of treatment
☐ Spiritual counseling or direction provided by the church
☐ Other (specify):_____

31. If the cleric participated in treatment, at which facility?

☐ Behavioral Medicine Institute of Atlanta, GA
☐ Issac Ray Center, Chicago, Il
☐ Johns Hopkins Medical Institutions, Baltimore, MD
☐ Progressive Clinical Services, Cincinnati, OH
☐ St. Luke Institute, Suitland, MD
☐ Servants of the Paraclete, St. Louis, MO
☐ Shalom Center, Inc., Splendora, TX
☐ Southdown, Aurora, Ontario, CN
☐ Servants of the Paraclete, Jemez Springs, NM
☐ Servants of the Paraclete, Albuquerque Villa, NM
☐ St. Louis Consultation Service, St. Louis, MO
☐ Institute of Living, Hartford, CT
☐ Menninger Clinic, Topeka, KS
☐ New Life Center, Middleburg, VA
☐ Villa St. John Vianney, Downingtown, PA
☐ Other (specify)_____

32. How many times did the cleric participate in a sex offender treatment program? _____

33. Did the cleric complete a treatment program?

☐ Yes ☐ No ☐ No information in file

34. If cleric received treatment, did he re-offend after he finished treatment?

☐ Yes ☐ No ☐ No information in file

35. Provide additional information known or from the record that would assist in understanding the behavior of this cleric.

FORM #2: CLERIC SURVEY **CLERIC #_____**

REMEMBER – <u>DO NOT</u> PROVIDE ANY NAMES OR OTHER IDENTIFYING INFORMATION

APPENDIX A1.1.5
VICTIM SURVEY

VICTIM SURVEY: CONFIDENTIAL

FORM # 3: VICTIM SURVEY **CLERIC # _____**

Prepare a separate profile for <u>each</u> victim who issued an allegation against this particular cleric. If a cleric had multiple allegations, prepare a separate victim profile for each victim who initiated an allegation. Please answer each of these questions to the best of your knowledge and indicate when an answer is approximate rather than specific. Remember to write the matching cleric's number in the upper right hand corner.

WE ARE NOW GOING TO ASK YOU TO PROVIDE SOME BASIC INFORMATION ABOUT EACH VICTIM WHO BROUGHT AN ALLEGATION AGAINST THIS PARTICULAR CLERIC.

1. Gender of victim (check one)
   ☐ Male ☐ Female

2. When did the alleged abuse occur? (Be as specific about the date or range of dates as possible)
   Month __ __ Day __ __ Year __ __ __ __ OR range of dates _____

3. When was this abuse reported? (Be as specific as possible)
   Month __ __ Day __ __ Year __ __ __ __

4. Who initially made the allegation?
   ☐ The victim
   ☐ A teacher
   ☐ A cleric
   ☐ Other (specify)_____
   ☐ The victim's parent(s) or guardian(s)
   ☐ A police officer
   ☐ A lay person in the Church
   ☐ A doctor
   ☐ Victim's attorney

5. How was the allegation initially made?
   ☐ Called the parish
   ☐ Sent a signed letter to the parish
   ☐ Sent an anonymous letter to parish
   ☐ Went to the parish
   ☐ Told trusted priest/deacon who brought complaint to diocese or order
   ☐ Information obtained through the media
   ☐ Other (specify): _____
   ☐ Called the diocese
   ☐ Sent a signed letter to the diocese
   ☐ Sent an anonymous letter to diocese
   ☐ Went to the diocese
   ☐ Called the Provincial or Major Superior of the order or congregation
   ☐ Sent signed letter to the Provincial or Major Superior of the order or congregation
   ☐ Sent anonymous letter to the Provincial or Major Superior of the order or congregation

6. Is there a record of the victim or victim's family following up on the allegation?
   ☐ No ☐ Yes (specify method of follow up):_____

7. If the victim/victim's family did follow up, how many times? _____

8. How many times was the victim allegedly abused?
   ☐ Once ☐ More than once (number _____) ☐ numerous (unknown number)

9. Did the victim allege abuse by more than one cleric? (If no, skip to question 12)
   ☐ Yes ☐ No ☐ Information not in the file

10. If yes, how many clerics allegedly abused this victim? _____

11. Did the abuse by the other cleric(s) occur before, concurrent with or after this cleric? (check all that apply)
    ☐ Before ☐ Concurrent with ☐ After

12. Age (in years) when alleged abuse began (or occurred, if only happened once). _____ years

13. Age (in years) when abuse ended (if occurred more than once). _____ years

14. Age (in years) when victim first told someone about the abuse. _____ years

15. Number of months/years the victim waited to report the abuse. _____

16. Where did the victim first meet the cleric?

- ☐ Mass
- ☐ Boys club/youth recreation
- ☐ Teacher in preschool, kindergarten, or elementary school (up to grade 6)
- ☐ Teacher in middle school (grades 7-8)
- ☐ Teacher in high school (grades 9-12)
- ☐ Orphanage
- ☐ Home of victim
- ☐ At a vocational inquiry
- ☐ At a social function w/ victim's family
- ☐ Other (specify)_____
- ☐ Choir
- ☐ Sunday school teacher
- ☐ At an altar service
- ☐ In the rectory
- ☐ Work in a hospital
- ☐ Seminary faculty
- ☐ In jail/prison/youth offender residence
- ☐ Home of cleric
- ☐ Seminary administrator
- ☐ While assigned to the victim's parish (e.g., as an extern priest)

17. What was the cleric's primary duty when he met the victim? (check all that apply)

- ☐ Pastor
- ☐ Resident priest
- ☐ Boys club/youth recreation
- ☐ Teacher in preschool, kindergarten, or elementary school (up to grade 6)
- ☐ Teacher in middle school (grades 7-8)
- ☐ Teacher in high school (grades 9-12)
- ☐ Seminary administrator
- ☐ Guidance counselor
- ☐ Other (specify)_____
- ☐ Associate pastor
- ☐ Seminary faculty
- ☐ Catechism teacher
- ☐ Choir
- ☐ Chaplain
- ☐ Worked in a hospital
- ☐ Saying Mass
- ☐ Bishop, Vicar, Chancellor, Cardinal
- ☐ Coach

18. Did the cleric socialize with the family of the alleged victim(s)?

☐ Yes ☐ No ☐ Information not in the file

19. If yes, in what way? (check all that apply)

- ☐ In the church
- ☐ Spent time with the family in his residence
- ☐ Vacations
- ☐ In church day activities (e.g., picnics)
- ☐ He spent time with the family in their residence
- ☐ Other (specify):_____

20. Type of behavior alleged by this victim (check all that apply):

- ☐ Verbal (sexual talk)
- ☐ Victim disrobed
- ☐ Cleric disrobed
- ☐ Sexual touching over clothes of victim
- ☐ Sexual touching over clothes of the cleric
- ☐ Sexual touching under clothes of victim (no penetration)
- ☐ Sexual touching under clothes of cleric (no penetration)
- ☐ Victim shown pornographic videos
- ☐ Photos taken of victim while victim was disrobed
- ☐ Masturbation in front of victim
- ☐ Mutual masturbation
- ☐ Manual (finger) penetration (of vagina or anus)
- ☐ Penetration with foreign object (e.g., sexual aid)
- ☐ Oral/genital contact where offender performed fellatio/cunnilingus
- ☐ Oral/genital contact where victim performed fellatio/cunnilingus
- ☐ Penile penetration (of anus or vagina)

☐ Victim shown pornographic magazines/photos ☐ Other _____

21. Was the victim threatened by the cleric in any way?
☐ Yes ☐ No ☐ Information not in the file

22. If yes, what type of threat?
☐ Physical threat, with weapon
☐ Verbal threat (of harm to the victim)
☐ Threatened family of victim
☐ Threatened public exposure of victim's behavior to family or others
☐ Physical threat, no weapon
☐ Verbal threat (that harm will come to the cleric)
☐ Spiritual manipulation
☐ Other (specify):_____

23. Where was the abuse reported to have occurred? (check all that apply)
☐ In the church
☐ In the home of the victim
☐ In school
☐ In a hotel room
☐ Retreat house
☐ Other (specify):_____
☐ In the parish residence
☐ Cleric's office
☐ In the hospital
☐ In a car
☐ Vacation house

24. When did the abuse reportedly occur?
☐ During a retreat
☐ During a church service
☐ During travel
☐ During counseling session
☐ Other (specify):_____
☐ During a social event
☐ During reconciliation
☐ During a sporting event (e.g., swimming)
☐ During other type of travel

25. Did the victim receive any gifts from the cleric?
☐ Yes ☐ No ☐ Information not in the file

26. If yes, what type of gift(s)? _____

27. Were there any other enticements given to this victim?
☐ Yes ☐ No ☐ Information not in the file

28. If yes, what were the enticements? (check all that apply)
☐ Given money
☐ Allowed to stay up late
☐ Allowed to drive a car
☐ Access to pornography, videos
☐ Other (specify) _____
☐ Allowed to do special church activities (e.g., solo in the choir)
☐ Given alcohol or drugs
☐ Taken to sporting matches or other recreational activities
☐ Allowed to stay overnight with the cleric
☐ Sports-related enticement (e.g., put in starting position of a team)

29. Who did the victim live with when allegedly abused (check all that apply)
☐ Mother only
☐ Both parents
☐ Sister(s)
☐ Grandparents
☐ Foster parents
☐ With the cleric
☐ In the rectory or church-related residence
☐ Father only
☐ Brother(s)
☐ Other guardian
☐ Boarding school
☐ Orphanage
☐ Other (specify)_____

30. Were any of victim's siblings also abused by any cleric?

☐ Yes ☐ No ☐ Information not in the file

31. At the time of the alleged abuse, was the victim under the influence of alcohol or drugs?
☐Yes ☐No ☐ Information not in the file

32. At the time of the alleged abuse, was the cleric under the influence of alcohol or drugs?
☐Yes ☐No ☐ Information not in the file

33. Was there a diocesan investigation? (If no, skip to Question 37)
☐Yes ☐No ☐ Information not in the file

34. If there was a diocesan investigation, what was the result? (check all that apply)
☐ Allegation substantiated ☐ Allegation unsubstantiated
☐ Cleric admitted abuse ☐ Allegation found to be false
☐ Other (specify) _____

35. What action was taken regarding the cleric?
☐ No action taken ☐ Transferred cleric to another parish w/in the diocese
☐ Cleric suspended w/ treatment ordered ☐ Transferred the cleric to another diocese
☐ Cleric resigned or retired ☐ Cleric was reinstated
☐ Cleric received treatment but continued in ministry ☐ Dismissed from clerical state
☐ Other (specify)_____

36. Was the victim or their family ever contacted regarding the results of the investigation?
☐Yes ☐No ☐ Information not in the file

37. Did the victim report the incident to the police or district attorney?
☐Yes ☐No ☐ Information not in the file

38. Was there a police investigation?
☐Yes ☐No ☐ Information not in the file

39. Was the cleric charged with a criminal offense? (If no, skip to Question 45)
☐Yes ☐No ☐ Information not in the file

40. If yes, what charge was brought?_____

41. Did the charges result in a conviction?
☐Yes ☐No ☐ Information not in the file

42. If yes, for what offense? _____

43. If there was a conviction, what was the sentence? (check all that apply)
☐ Fine ☐ Jail
☐ Probation ☐ Prison
☐ House arrest ☐ Electronic monitoring
☐ Community service ☐ Other (specify) _____

44. If there was a conviction, what was the length of the sentence imposed? _____

45. Was there any civil action taken against the cleric or the diocese for damages?
☐Yes ☐No ☐ Information not in the file

46. Was there any other form of legal action taken with respect to this cleric and this victim?
☐Yes(specify)_____ ☐No ☐ Information not in the file

NOW WE ARE GOING TO ASK ABOUT FINANCIAL INFORMATION IN REGARD TO THIS VICTIM. YOU MAY NEED ASSISTANCE FROM THE ACTING BUDGET/FINANCIAL OFFICER OR ACCOUNTANT WITHIN THE DIOCESE TO ANSWER THESE QUESTIONS.

47. Was the victim given any type of compensation to settle the allegation of abuse?
☐Yes ☐No ☐ Pending ☐ Information not in the file

48. What was the approximate total compensation or payment made to date to this victim from all sources? $ _____

49. How much of this was covered by, or derived from, insurance? $_____

50. What was the approximate payment to date for treatment for this victim? $ _____

51. How much of this was covered by or derived from insurance? $_____

52. What was the approximate payment to date for treatment for this cleric? $_____

53. How much of this was covered by or derived from insurance $_____

54. What was the approximate total payment to date made by the diocese to attorneys to represent the diocese related to this victim's allegations? $_____

WRITTEN INSTRUCTIONS

(PLEASE READ CAREFULLY AS YOU COMPLETE THE SURVEY FORMS)

APPENDIX A1.1.6
WRITTEN INSTRUCTIONS

SECTION 1: DIOCESAN PROFILE. Please complete this section and send it to the independent auditor no later than August 31th. The independent auditor's address is:

Roger C. Viadero, CPA, CGFM
Ernst & Young, LLP
1225 Connecticut Avenue, NW
Washington, DC 20036

1. Institution type.
2. Number of active and retired clerics by institution type. Make sure to include all clerics from 1950-2002, to the best of your knowledge.
3. Check the box that most closely describes the number of clerics in your religious institute at this time.
4. Check the box that most closely describes the number of parishes served by your religious institute.
5. Region code: I to XIV. You can find the regional code in the Catholic directory.
6. Write in the TOTAL number of clerics with allegations of abuse in your diocese. Make sure to include all clerics with allegations from 1950-2002.
7. Write in the number of clerics who have had allegations made against them but were completely exonerated. Exonerated means that the cleric was completely cleared of the charge.
8. Write in the TOTAL number of individuals who made allegations of sexual abuse against them as children in your dioceses between 1950 and 2002. This includes all false allegations and allegations where the victim later withdrew the allegation.
9. Write in the TOTAL amount of monies paid to victims between the years 1950 and 2002. You may need the assistance of your financial/budget officer to answer this question.
10. Explain how many of the alleged victims in Question #8 made false allegations or later withdrew their allegations. The reports made by these victims will not be counted in the remainder of the survey.

APPENDIX A1.1.6
WRITTEN INSTRUCTIONS

SECTION 2: CLERIC AND VICTIM SURVEYS. Please complete these surveys to the best of your knowledge. Please note that for purposes of clarity and flow, when the term diocese is used in a question, it will be understood to refer to dioceses, eparchies, and religious institutes.

Before you begin to fill in this survey, please make photocopies of the survey instrument. You must make enough for each cleric with allegations of abuse against him. Once you do this, please number each of the surveys from 1 to the total number of clerics with allegations, and write that number in the upper right hand corner of the cleric survey form. You must write this number on the cleric encryption page and the four pages of the survey. The purpose of this is to link each cleric with his victim(s). You will write this same number on his victim(s)' survey forms.

Cleric Encryption. The first and last initial and birth date are converted to a unique code to provide anonymity. Please make sure that this information has been provided so that the transformation can be applied correctly.

Cleric Survey.

1. Write in the cleric's year of birth.
2. Type of cleric at time of the offense. If the cleric committed numerous offenses over a period of time, and he fulfilled multiple roles during the time he abused, please check all that apply.
3. Year ordained, if applicable.
4. Write in the name/location of the seminary that the cleric attended.
5. If a married cleric, was cleric married at the time of the alleged offense. If the cleric has multiple allegations, check yes if he was married at the time of any of these alleged offenses.
6. Any event of any types of abuse anytime in cleric's life history including the types listed in Question 7.
7. Identify all the types of abuse that the cleric is known to have experienced or is indicated in the record.
8. Identify the most likely abusing actors of the abuses identified in Question 7.
9. Identify if the cleric has abused alcohol or drugs at any time in life history.
10. Identify the action taken as a response to the drug or alcohol abuse.
11. If there was treatment for the drug or alcohol abuse, where did this treatment take place?
12. If the cleric acknowledged, during the drug or alcohol treatment program, that he abused a minor, check yes.
13. Did the cleric have any medical or psychological problems that could lead the diocese to believe he may not be fit for ministry?
14. Describe this problem. Be as specific as possible.
15. Was the problem(s) in Question 14 identified prior to the allegations of abuse?
16. What was the date this problem became known?
17. For multiple problems, identify the dates that each problem became known. If there are more than three known problems, please check the box provided and continue to identify the problems and dates on the back of the page.
18. Number of dioceses this cleric has served in, including yours.
19. Number of parishes this cleric has served in.
20. Does the cleric have any known allegations of abuse in any dioceses other than yours listed in Question 18?
21. You need to write in the total number of allegations against this cleric in all dioceses (including yours).
22. Identify any problems noted in this cleric's file other than sexual or substance abuse problems.

Information on the cleric's victim(s)

23. The total number of victims who have made allegations against this cleric in your diocese. You must fill out a victim form for each of the alleged victims in the cleric's file.

24. Does your diocese have reason to believe that there are more victims than those listed official in the cleric's file? For instance, a known victim might have reported that he/she was abused as the same time as another minor, but the other minor did not come forward and make an allegation.
25. Number of other potential victims. You do not need to fill out a victim survey for the potential victims in this question.
26. Breakdown of ages of alleged victims. Only fill this in for the victims who have made allegations, not the potential victims listed in Question 25. If the exact age of a victim cannot be determined then approximate the age based upon the information available.

Responses to Allegations Made Against Cleric

27. Identify all the specific actions taken with this cleric in response to all the abuse allegations associated with this cleric.
28. If reinstated, identify where.
29. Identify years in which action(s) was taken. If multiple actions were taken, identify all years in which those actions were taken.
30. Identify all the specific treatment strategies and protocols attempted with this cleric. Questions 31-34 address the particulars of treatment. Clerics not assigned to any treatment will have no data in Questions 31-34.
31. Identify the specific facility where the cleric participated in treatment. If the treatment center is not listed, check other and write in the proximate location of the treatment site.
32. The number of different enrollments or discrete participations in sex abuse / offender treatment programs designed or intending to achieve this type of remediation is sought.
33. Did the cleric complete the programs? If the cleric participated in more that one and completion is mixed, please characterize the completions of the treatment programs.
34. Did the cleric have allegations made against him after participating in a treatment program?
35. After you have reviewed the record of this cleric there may be facts, entries or comments that you will have found that provide added understanding concerning the cleric and responses made to the allegation of sexual abuse. Please share you insights into your reading of the record.

REMEMBER, DO NOT WRITE IN THE NAMES OF ANY CLERICS OR VICTIMS OF ABUSE!!

APPENDIX A1.1.6
WRITTEN INSTRUCTIONS

Victim Survey. This must be completed for each victim of each cleric. Before you begin, photocopy the victim survey so that you have enough for all victims. If you need additional copies, you can print them out from the floppy disk. Remember to write the number of the cleric who allegedly abused this victim in the upper right hand corner of the survey instrument. Once you are finished, staple or clip together the associated cleric and victim survey instruments.

1. Gender as indicated.
2. Date alleged abuse of this victim *occurred* by this cleric. If the abuse occurred over a period of time, list the range of dates the abuse occurred. If there is no specific date(s) known, approximate the date or range of dates to the best of your knowledge based upon the files.
3. Date abuse was *reported*.
4. Person who made the allegation in Question 3.
5. How was the allegation made in Question 3.
6. Were any follow-ups made by the victim or anyone acting for the victim?
7. Number of follow-ups. Explain the method of follow up (letter, telephone, conversations).
8. Number of times this victim was abused by this cleric. If you do not know the specific number, check numerous.
9. Did other clerics allegedly abuse this victim?
   Please note the clerics identified here will have data from their files developed for this victim.
10. Total number of clerics who allegedly abused this victim.
11. If other clerics abused this victim, explain the sequential position of this cleric's alleged abuse, relative to other clerics' alleged involvement with this victim.
12. Victim's age at the time of, or beginning of, the alleged abuse.
13. Victim's age when the abuse ended, if it occurred over a period of time.
14. Age of victim at the time the first complaint or first allegation was expressed in Question 3.
15. Elapsed time between when the time of the first reported abuse and when the abuse occurred. Specify months or years.
16. Situation where cleric and victim first encountered each other. If the record is not descriptive, then identify the earliest encounter available in the record.
17. Cleric's duty or role when encountering the victim initially.
18. Did the cleric have social contact of any kind with the victim's family?
19. Type of socialization had with victim's family. Enter all the types of interactions with any of the victim's family members.
20. Identify ALL types of abuse that allegedly occurred against this victim.
21. Did cleric make any overt or implied threats directed at the victim or family members or did the victim or family members perceive that a threat was made by the cleric?
22. Nature of all threats alleged by cleric directed at victim or family members.
23. Where the alleged abuse(s) occurred.
24. When the alleged abuse(s) occurred.
25. Did the victim or family receive or have offered any type of gift, inducement, favor, benefit that had a relationship to the abuse or in response to the allegation?
26. What gift(s) was offered?
27. Were any other enticements offered to encourage the victim to participate in the abuse?
28. What were the enticements?
29. With whom did the victim live at the time of the abuse or earliest abuse in the record?
30. Did this victim have any siblings who were also allegedly abused by this cleric?
31. Was the *victim* under the influence of drugs or alcohol at any time during the abusive period?
32. Was the *cleric* under the influence of drugs or alcohol at any time during the abusive with this particular victim?
33. At any time in the association between this cleric and this victim, was there a diocesan inquiry, investigation or fact finding related to the abuse or first abuse allegation?
34. What was the result of that inquiry?

35. As a result of that inquiry, investigation or fact finding what actions were taken against the cleric? If multiple actions were taken singly or together enumerate that range of actions applied against this cleric in response to this victim's allegation(s).
36. Did the Church report its findings to the victim or victim's family?
37. Any type of complaint reported to police or governmental representative involving this cleric and this victim?
38. Was there a criminal investigation?
39. Identify any criminal charge(s) brought against this cleric as a result of the victim's allegations.
40. Specific charges brought involving this cleric and this victim. If more that once charge brought, enter all those brought.
41. Any criminal convictions, including plea agreements associated with any charges in Question 40.
42. Specify the offense for which the cleric was convicted.
43. Sentence or penalty imposed as a result of the criminal conviction(s).
44. Length of sentence imposed as a result of any criminal convictions.
45. Any civil action brought against the cleric or religious institute?
46. Other legal actions, including secular administrative remedies sought related to this cleric and this victim.

Financial information

47. Compensation (monetary or things of value in any form) made directly or indirectly to the victim, victim's family, representative, etc.
48. Total value expended for victim's compensation from all sources.
49. Identify the amount of money in Question 48 that was derived from insurance.
50. Total value expended for victim's treatment.
51. Identify the amount of money in Question 50 that was derived from insurance.
52. Total value expended for the treatment of the cleric.
53. Identify the amount of money in Question 52 that was derived from insurance.
54. Identify the total amount of monies paid to the attorneys in regard to this victim.

REMEMBER, DO NOT WRITE IN THE NAMES OF ANY CLERICS OR VICTIMS OF ABUSE!!

When you complete all the surveys, please send them to the independent auditor. The independent auditor's address is:

Roger C. Viadero, CPA, CGFM
Ernst & Young, LLP
1225 Connecticut Avenue, NW
Washington, DC 20036

Appendix A1.1.7
RESEARCH PARTICIPATION STATEMENT

Catholic Bishops' Study

RESEARCH PARTICIPATION STATEMENT

To be retained by the study participant.

This letter explains the purpose of the work you have been asked to do for the Catholic Bishops' Study, the paramount importance we give to maintaining the confidentiality of those persons you will read about in the church or diocesan files, and your right to receive counselling if, as a result of this work, you become distressed or uncomfortable. If you wish to discontinue the work, you have the right to withdraw from the project and another person will be chosen to complete the work.

Purpose

The Charter for the Protection of Children and Young People, issued by the Conference of Catholic Bishops in June of 2002, calls for the promotion of healing and reconciliation within the Catholic Church in the United States, sets out a basis for an effective response to future allegations of abuse and establishes procedures for accountability for church leaders. A significant part of this last commitment is Article 9, which reads:

> The work of the Office for Child and Youth Protection will be assisted and monitored by a Review Board, including priests, appointed by the Conference President and reporting directly to him. The Board will approve the annual report of the implementation of this Charter in each of our dioceses/eparchies, as well as any recommendations that emerge from this review, before the report is submitted to the President of the Conference and published. To understand the problem more fully and to enhance the effectiveness of our future response, the National Review Board will commission a comprehensive study of the causes and context of the current crisis. The Board will also commission a descriptive study, with the full cooperation of our diocese/eparchies, of the nature and scope of the problem within the Catholic Church in the United States, including such data as statistics on perpetrators and victims.

This project is the descriptive study, and its importance to the Catholic Church and to the larger research community cannot be overstated.

Confidentiality

All information that you report will remain completely confidential. It is of paramount importance that you not make any notation of any name or other personal information on the survey instruments as you complete them, or make any mention to anyone of any person whose name you read in a file while doing this work.

Specifically, you are asked to take particular care to ensure that:

- Any and all notes or scratch paper that you use to complete the work be destroyed at the end of each day.
- That you refrain from any discussion of the work with any person outside of the church or anyone who does not already have access to the files of alleged abusers.
- That if you call the researchers for assistance you prepare to ask your questions of them without using any names or other personal information.
- That no names are included in any material sent to the Review Board.
- That no identifying information that could link an individual to the information on a survey instrument be included when the material is sent to the Review Board.
- That completed surveys be placed first in one envelope with no external markings, then in another envelope for mailing to the Review Board.
- That you will not discuss the work you have done on this research study either during or after its completion.

Strict adherence to the principles of confidentiality will help ensure the quality of the results.

Counseling

There is a possibility that the materials you will be reviewing in the files will give rise to feelings of unhappiness, distress, embarrassment or worry. Should you find that this work becomes difficult to do or makes you sad or angry, and you wish to talk to a professional who is trained as a counsellor, you are asked to speak to the head bishop of your diocese immediately. He will remove you from this project and refer you to a counsellor to speak to about your feelings of distress.

If you ask that the responsibility for this work be given to another person, your request will be honoured.

If you understand and agree to all of the above information, please sign and date this form.

Name (written) _____

Signature _____ Date _____

Appendix A1.1.7
RESEARCH PARTICIPATION STATEMENT

Catholic Bishops' Study

AFFIRMATION

I have read the Research Participation Statement and understand each of its sections. I confirm that I understand both the purpose of and the procedures for this work

I am committed to the principles of confidentiality and the protection of human subjects and will adhere to both the spirit and the letter of what I have been asked to do to protect the privacy of the persons whose information is included in the files.

I affirm that I will seek assistance should I come to feel distressed by this work.

Print Name: _____

*Signature:*_____

*Date:*_____

APPENDIX A1.1.8
DHHS LETTER

DEPARTMENT OF HEALTH & HUMAN SERVICES Public Health Service

National Institutes of Health
National Institute of Child He
and Human Development
Bethesda, Maryland 20892

November 14, 2003

Karen Terry, Ph.D.
John Jay College of Criminal Justice
Department of Law, Police Science and Criminal Justice Administration
899 Tenth Avenue
New York, NY 10019

Dear Dr. Terry:

This letter responds to your request for a certificate of confidentiality under Section 301(d) of the Public Health Service Act, 42 U.S.C. 241(d), for a project entitled "The Nature and Scope of the Problem of Sexual Abuse of Children by Catholic Priests and Deacons within the United States." The project is funded through a contract from the National Review Board of the U.S. Conference of Catholic Bishops. Thank you for the extensive information you have provided in support of this application.

Your study offers the potential for new knowledge to be developed, and it is hoped that the causes of child sexual abuse may be better understood and that future harm to children may be prevented. NIH supports these goals and applauds your initiative in undertaking this important study. However, after careful deliberation concerning the relevant facts and circumstances, we have determined that a certificate is not necessary to achieve the research objectives.

Your study plan includes multiple and wide-ranging protections for subject identifiers such that the IRB reviewing your work determined the study design to be sufficiently subject-protective that it found no more than minimal risk to the subjects and waived the requirement for informed consent under 45 C.F.R. § 46.116. The authority to issue certificates of confidentiality is an extraordinary legal power vested with the Secretary, Department of Health and Human Services and his delegates to promote the participation of subjects in sensitive research by assuring them that investigators cannot be compelled to release information that could be used to identify them. NIH issues them sparingly and generally requires that subjects be informed about the certificate.

Given your study design and other factors identified in the written application and follow-up meetings, we do not believe a certificate is necessary to achieve your research goals. Again, thank you for providing us with the extensive information on which we based this decision. I wish you every success in completing your research.

Sincerely,

Charlotte Catz, M.D.

Charlotte Catz, M.D.
Special Assistant for Clinical Research

APPENDIX A1.2.1
CHURCH REGIONS

REGION 1
MAINE
VERMONT
NEW HAMPSHIRE
MASSACHUSETTS
CONNECTICUT
RHODE ISLAND

REGION 2
NEW YORK

REGION 3
PENNSYLVANIA
NEW JERSEY

REGION 4
DELAWARE
MARYLAND
VIRGINIA
WASHINGTON D.C.
WEST VIRGINIA

REGION 5
KENTUCKY
TENNESSEE
MISSISSIPPI
ALABAMA
LOUISIANA

REGION 6
MICHIGAN
OHIO

REGION 7
INDIANA
ILLINOIS
WISCONSIN

REGION 8
NORTH DAKOTA
SOUTH DAKOTA
MINNESOTA

REGION 9
NEBRASKA
KANSAS
IOWA
MISSOURI

REGION 10
OKLAHOMA
TEXAS
ARKANSAS

REGION 11
CALIFORNIA
NEVADA
HAWAII

REGION 12
OREGON
IDAHO
WASHINGTON
ALASKA
MONTANA

REGION 13
WYOMING
UTAH
COLORADO
ARIZONA
NEW MEXICO

REGION 14
NORTH CAROLINA
SOUTH CAROLINA
GEORGIA
FLORIDA