PROTOCOL



## Social, Behavioral & Education

Research - Exempt

Saint Louis University

Protocol # 30699 Date Printed: 10/14/2019

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## PROTOCOL

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Protocol # 30699

Eikenberry

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Protocol Title: How Formerly Incarcerated Individuals who Successfully Reintegrated into Society Cope with Barriers to Re-entry

Protocol Status: Pre-Review/Scientific Review Required

Date Submitted: Draft

Important Note: This Print View may not reflect all comments and contingencies for approval.

Please check the comments section of the online protocol.

Questions that appear to not have been answered may not have been required

for this submission. Please see the system application for more details.

Study Personnel Roles:

### \* \* \* Personnel Information \* \* \*

Principal Investigator: accepts responsibility for study, must sign obligations, can edit protocol and submit to IRB

-Administrative Contact: additional study contact, may or may not also be member of research team, can

edit/prepare protocol and submit to IRB

-Key Personnel (Research Team): SLU member of research team, can view protocol (not edit)

-Non-SLU Collaborator: member of research team from another institution or organization outside of SLU, has no

access to system, must be provided with PDF of protocol. NOTE: SLUH/SSM employees who collaborate

regularly may obtain a guest SLU account if access to system is needed.

-Department Chair: Official Department Chair, may or may not also be a member of research team, can view the

protocol (not edit). NOTE: a proxy may be listed if the Chair is the PI.

IMPORTANT NOTE: Human Subjects Protection Training is mandatory for all research team personnel.

Principal Investigator (PI) Mandatory

PI must be SLU affiliate.

Name of Principal Investigator (Faculty, Staff or Student)

Degree Title

Eikenberry, Jacob MSW Student



Email Phone Fax

[eikenberryjm@slu.edu](mailto:eikenberryjm@slu.edu) 217-720-0681

Department Name

College for Public Hlth/Soc Ju

Human Subjects Training Completed? Y

WARNING: Proof of training must show below or the application will be

returned. If your training information isn't showing, upload a copy in the

Attachments section.

Research Experience \*?HELP?\*

In the Spring semester of 2018, Jacob Eikenberry took a graduate level Qualitative Methods course at Saint Louis University. During this course, he developed a protocol and conducted qualitative interviews with two Missouri Department of Corrections re-entry managers about the perceived barriers to re-entry from the re-entry manager perspective. He coded and analyzed the findings. He then presented to his classmates and instructor. This process did not require IRB approval. In the Summer of 2018 (ongoing), Jacob, Dr. Don Linhorst and Dr. Joeseph Schafer received IRB approval for a project titled "Exploring Stress and Its Consequences Among St. Louis Metropolitan Police Department Officers." This qualitative work is ongoing and Jacob is currently interviewing participants, coding, and analyzing data from the study. This study is funded. Jacob is teaching research methods to undergraduate students.

Research duties for this project

Jacob will be involved in the recruitment of subjects. He will provide written consent from an administrator from the Facebook group of interest for the study, and obtain consent for each of the participants. Jacob will determine subjects eligibility, collect the data and analyze the results from the study. Jacob will write one or more research

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articles and present findings at academic conferences.

|  |  |  |
| --- | --- | --- |
| UserID | CourseCompletionDate | Course |
| eikenberryjm | 08-13-2018 | CITI Social/Behavioral Research Basic Training |

Key Personnel (Research Team)

|  |  |  |
| --- | --- | --- |
| Name of Key Personnel (Research Team) | Degree | Title |
| Townes, Malcolm | PhD Student | Student |
| Ferris, Daniel | MPA | Student |
| Sokolis, Nicholas | B.S. Civil Engineering (In progress) | Student |

Department Chair/Advisor Mandatory

The Department Chair or Faculty Advisor should be listed here. If the Department Chair is the PI, a proxy may be listed.

|  |  |  |
| --- | --- | --- |
| Name of Department Chair/Advisor Matsuo, Hisako | Degree PhD | Title Professor |
| Email [matsuoh@slu.edu](mailto:matsuoh@slu.edu) | Phone  (314) 977-2536 | Fax |
| Department Name Sociology & Anthropology |  |  |

Is this individual also a member of the research team? N

Human Subjects Training Completed?

WARNING: Proof of training must show below or the application will be

returned. If your training information isn't showing, upload a copy in the

Attachments section.

Research Experience \*?HELP?\* Research duties for this project

|  |  |  |
| --- | --- | --- |
| UserID | CourseCompletionDate | Course |
| matsuoh | 01-16-2002 | Protecting Study Volunteers in Research |

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|  |  |  |  |
| --- | --- | --- | --- |
| Research Team Roles | | | |
|  | | | |
| Name(s), Degree | Department | Experience | Duties |
| Eikenberry, Jacob, MSW | College for Public Hlth/Soc Ju | In the Spring semester of 2018, Jacob Eikenberry took a graduate level Qualitative Methods course at Saint Louis University. During this course, he developed a protocol and conducted qualitative interviews with two Missouri Department of Corrections re-entry managers about the perceived barriers to re- entry from the re-entry manager perspective. He coded and analyzed the findings. He then presented to his classmates and instructor. This process did not require IRB approval. In the Summer of 2018 (ongoing), Jacob, Dr. Don Linhorst and Dr. Joeseph Schafer received IRB approval for a project titled "Exploring Stress and Its Consequences Among St. Louis Metropolitan Police Department Officers." This qualitative work is ongoing and Jacob is currently interviewing participants, coding, and analyzing data from the study. This study is funded. Jacob is teaching research methods to undergraduate students. | Jacob will be involved in the recruitment of subjects. He will provide written consent from an administrator from the Facebook group of interest for the study, and obtain consent for each of the participants. Jacob will determine subjects eligibility, collect the data and analyze the results from the study. Jacob will write one or more research articles and  present findings at academic conferences. |
| Townes, Malcolm, PhD Student | Public & Social Policy | No previous research experience. | Survey instrument design background literature, determine participant eligibility and obtain consent, data collection and analysis, results interpretation and dissemination. |
| Ferris, Daniel, MPA | Public & Social Policy | Research Assistant Support for qualitative project in New York City examining poverty and stigma. Lead author on two systematic literature reviews (noncitizen voting and housing interventions that improve health and | Survey instrument design background literature, data collection and analysis, results interpretation and dissemination. |

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|  |  |  |  |
| --- | --- | --- | --- |
|  |  | that improve health and demonstrate ROI). Co- investigator of a multiyear RCT addressing food insecurity among pregnant women in St. Louis. PhD student in Public and Social Policy at Saint Louis University. |  |
| Sokolis, Nicholas, B.S. Civil Engineering (In progress) | Civil Engineering | No previous research experience. | Survey instrument design background literature, determine participant eligibility and obtain consent, data collection and analysis, results interpretation and dissemination. |

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### \* \* \* Study Location \* \* \*

Study Location(s) Checklist

Indicate where the study will be conducted. Select all that apply: Saint Louis University, Medical Center Campus

X Saint Louis University, Frost Campus Saint Louis University, Madrid Campus

Saint Louis University, SLUCare Practice Locations

SSM STL (DePaul Hospital, St. Mary's Health Center, St. Joseph (St. Charles, Wentzville, Lake Saint Louis), St. Clare)

Cardinal Glennon Children's Medical Center

Saint Louis University Hospital (SSM Health- SLU Hospital) SLU-SSM Cancer Center Research Alliance Sites

X Other (In the box below, list any off-campus institutions or locations and describe the activities being conducted there. Please provide letters of cooperation and/or IRB approvals from each location to document support/approval of the study. You may provide such documentation as it becomes available, but you may not begin work at those sites until documentation of support is provided to the IRB.) Please refer to the Guidance for involving non-SLU institutions in human subjects research.

A closed group on an online Facebook site titled "Formerly Incarcerated College Graduates Network" (FICGN) will be used for this survey driven study. A screenshot of the sites administrators agreement to use the site is included in the attachments section of this protocol.

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### \* \* \* Funding \* \* \*

Funding Checklist

X NONE

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NOTE: Applicable grant application, contract or subcontract must be attached. You will be prompted for these in section #10 (Attachments).

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### \* \* \* Exempt Screening \* \* \*

Exemption Screening Questions

If you answer 'Yes' to any of the questions below, your study will not qualify as exempt research and you must complete the full IRB application. Please answer all of the questions on this page. Contact the IRB (977-7744, irb@slu.edu) with any questions on completing this section.

Note: If the question doesn't apply, mark 'No.'

For research involving special populations, interventions or manipulations:

|  |  |  |
| --- | --- | --- |
| a. | N | Does your research involve prisoners (targeted as subjects)? |
| b. | N | Does your study involve deception of subjects? |
| c. | N | Does your study involve a non-educational intervention (i.e., will you be manipulating the subject and/or their environment for research purposes)? |
| d. | N | Does your research involve survey or interview procedures with children as subjects? |
| e. | N | Does your research involve observation of children in settings where investigator(s) will |
|  |  | participate in the activities being observed? |

For research using survey procedures, interview procedures or observational procedures (NOTE: exemption is not allowed in surveys or interviews with children as subjects):

|  |  |  |
| --- | --- | --- |
| f. | N | If the data are to be recorded by audiotape or videotape, and were the information to be revealed or disclosed, could this place subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation? |
| g. | N | Are subjects identifiable (e.g., by name or through demographic data) and will collection of information include sensitive data (e.g., illegal activities or sensitive issues such as sexual orientation, sexual behavior, undesirable work behavior or other embarrassing information) or Protected Health Information (PHI)? |
| h. | N | If subjects are identifiable either by name or through demographic data, and their study data is |
|  |  | revealed or disclosed, could this place subjects at risk of criminal or civil liability or be damaging |
|  |  | to the subjects' financial standing, employability, or reputation? |

For research using existing or archived data,\*\* documents, records or specimens.

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\*\* "Existing" means collected (i.e., on the shelf) prior to the research for a purpose other than the proposed research. It includes data or specimens collected in research and nonresearch activities.

1. N Will any data, documents, records or specimens be collected from subjects after permission is granted by the IRB to commence the research?
2. N If the existing data, documents, records, or specimens are originally labeled with identifiers and are not publicly available, is the investigator recording the data in such a manner that subjects can be identified, directly or indirectly through identifying links (e.g., information that might reasonably lead to the identification of individual subjects - name, phone number, medical record number, audio or video tape, social security number or any code number that can be used to link the investigator's data to the source record)?

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### \* \* \* Exempt Paragraphs \* \* \*

Only certain types of research qualify for exempt review. To use this form all research activities must fall under one or more of the following categories and must be properly justified (i.e., meet all the requirements or restrictions listed).

Do not use this form if the research involves:

&nbsp&nbsp&nbsp&nbsp&nbsp(1) Prisonersubjects (specifically targeted). Prisoner subjects cannot be directly targeted as subjects and can only be included in research aimed at a broader subject population that only incidentally involves prisoners (e.g., data from a large medical chart review incidentally includes data from a prisoner).

&nbsp&nbsp&nbsp&nbsp&nbsp(2) Survey or interview procedures with children, as subjects. The use of children as subjects varies according to the regulations and local SLU policy. Children may not be included in categories 1 (per SLU policy), 2 (limited), or 3 as specified below in each specific category.

A determination of exempt does not permit you to make changes in your study at any time without IRB review. You must propose any and all changes in your study (via the Amendment form) before they can be implemented.

Select one or more of the following paragraphs. Research involving categories 1, 2, 3, or 4 should follow paper attachment instructions carefully.

1. NORMAL EDUCATIONAL PRACTICES. Research, conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes:
   1. most research on regular and special education instructional strategies, and
   2. research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

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Information Required for Justification

a) Please justify your Category 1 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Attach the completed worksheet to the Attachments section and indicate it is attached in the box below.

NOTE:Use of children as subjects is not currently allowed at SLU. This restriction may be lifted when capacity to meet the regulatory requirements has been confirmed. Researchers proposing to use children as subjects in this category will be considered on a case by case basis.

X 2. INTERVENTION/BEHAVIORAL RESEARCH. Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording) if at least one of the following criteria is met:

1. The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;
2. Any disclosure of subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or

iii)&nbsp&nbsp The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by 46.111 (a)(7).

Information Required for Justification

1. Please justify your Category 2 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Upload the completed worksheet to the Attachments section and indicate it is attached in the box below.

The following responses are included in an attached worksheet: "Exempt\_categories\_revised\_common\_rule"

An online qualtrics survey will be distributed to the closed Facebook Group “Formerly Incarcerated College Graduates Network” and via email distribution from the sites administrator. All members of the group will have access to the link and be able to anonymously fill out the survey.

1. Please justify your Category 2 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Upload the completed worksheet to the Attachments section and indicate it is attached in the box below.

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Qualtrics will record the survey responses and researchers will aggregate the responses for reporting.

2i: Identifying attributes of the participants will not be requested (name, DOB, SSN, or other identifying characteristics).

2ii: No questions regarding criminal activities or civil liabilities will be asked.

NOTE: Exemption for research involving survey or interview procedures or observation of public behavior does not apply to children as subjects except for research involving observation of public behavior when the investigator(s) do not participate in the activities being observed.

1. BENIGN BEHAVIORAL INTERVENTIONS. Research involving benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met:

A)&nbsp The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;

1. )&nbsp&nbsp Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or
2. )&nbsp&nbsp The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review to make the determination required by 46.111 (a)(7).

Benign Behavioral Interventionsare interventions brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. For more information see the <a

[href=https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-) review-board-irb/irb\_assets/guidelines\_benign\_behavioral\_intervention.doc

target=\_blank> Benign Behavioral Intervention Guidance.

Information Required for Justification

* 1. Please justify your Category 3 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Upload the completed worksheet to the Attachments section and indicate it is attached in the box below.
  2. Please justify your Category 3 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Upload the completed worksheet to the Attachments section and indicate it is attached in the box below.

NOTE:If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not applicable unless the subject authorizes the deception

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the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in which he or she will be unaware of or misled regarding the nature or purposes of the research. The prospective agreement must be detailed in the 'Informing Subjects' section of this form.

NOTE:Children may not be included in this category.

1. SECONDARY DATA ANALYSIS. Secondary research for which consent is not required: Secondary research uses of identifiable private information or identifiable biospecimens, if at least one of the following criteria is met:

&nb sp& nbs pi)

The identifiable private information or identifiable biospecimens are publicly available;

1. Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects;



1. The research involves only information collection and analysis involving the investigator's use of identifiable health information when that use is regulated under 45 CFR parts 106 and 164, subparts A and E [HIPAA], for the purposes of "health care operations" or "research" as those terms are defined [by HIPAA] or for "public health activities and purposes" as described under [HIPAA]; or
2. The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for nonresearch activities, if the research generates identifiable private information that is or will be maintained on information technology that is subject to and in compliance with the E- Government Act [2002, section 208(b), 44 U.S.C. 3501 note], if all of the identifiable private information collected, used or generated as part of the activity will be maintained in systems of records subject to the Privacy Act [1974, 5 U.S.C. 552a], and if applicable, the information used in the research was collected subject to the Paperwork Reduction Act [1995, 44 U.S.C. 3501 et seq.].

NOTE:Secondary analysis of an anonymous dataset (i.e., data containing no individually - identifiable information) does not meet the definition of human subject research and does not require submission to the IRB.

NOTE:This category only applies to the re-use of data and specimens that were or will be collected for nonresearch purposes or from previously approved research studies other than the proposed research study.

The research materials typically will be publicly available materials, medical records or existing repositories of clinical specimens.

No contact between the investigator and subject is allowed. If an investigator wants to collect information/specimens directly from research subjects, then the study would need to be approved under Expedited or Fullboard review.

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Information Required for Justification

* 1. Please justify your Category 4 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Upload the completed worksheet to the Attachments section and indicate it is attached in the box below.
  2. Please justify your Category 4 answers by downloading and completing the <a href= [https://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-](http://www.slu.edu/research/faculty-resources/research-integrity-safety/institutional-review-) board-irb/irb\_assets/exempt\_categories\_revised\_common\_rule.docx target=\_blank> revised common rule exempt categories worksheet . Upload the completed worksheet to the Attachments section and indicate it is attached in the box below.

NOTE: Upload a copy of the data collection sheet (e.g., a list or spreadsheet of the questions or data elements to be collected or studied).

Research involving sub-item iii will require a HIPAA waiver. Follow the instructions in the HIPAA section of this form.

1. FEDERAL PROGRAM/DEMONSTRATION PROJECTS. Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine:

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\*&nbsp

public benefit or service programs, including procedures for obtaining benefits and services under those programs;

possible changes in or alternatives to those programs or procedures; or

possible changes in methods or levels of payment for benefits or services under those programs.

Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act, as amended.



Information Required for Justification

* 1. Is this research conducted or supported by a Federal Department or Agency, or otherwise subject to approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects? Please explain.
  2. Discuss the purpose of the research. Discuss how the study qualifies for exemption based on the information above, including what the research is designed to study, evaluate, improve or otherwise examine.

NOTE: Each Federal department or agency conducting or supporting the research and demonstration projects must establish, on a publicly accessible Federal website or in such

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demonstration projects must establish, on a publicly accessible Federal website or in such other manner as the department or agency head may determine, a list of the research

and demonstration projects that the Federal department or agency conducts or supports under this provision. The research or demonstration project must be published on this list prior to commencing the research involving human subjects.

1. TASTE AND FOOD QUALITY RESEARCH. Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental containment at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Information Required for Justification

* 1. Explain the purpose of the research.
  2. Discuss how the research qualifies for exemption based on item (i) or (ii) above.

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### \* \* \* Background, Purpose, Study Procedures \* \* \*

Title

How Formerly Incarcerated Individuals who Successfully Reintegrated into Society Cope with Barriers to Re-entry

Complete Sections 1 - 10. Specify N/A as appropriate.

Protocol ID of previous exempt form translated into the eIRB system: N/A

1. Background

a) Provide an introduction and background information, including a review of the literature. \*?HELP?\* An era termed “mass incarceration” in the United States (U.S.) was marked by significant population

increases in both jails and prisons from the 1970s to nearly 2010 (Gottschalk, 2006; Mauer, 2006; Mauer,

2016; Pettit & Western, 2004; Pettus-Davis & Epperson, 2015; Travis, Western & Redburn, 2015). In 2009,

at its peak, approximately 2.3 million individuals were incarcerated on any given day, marking a nearly

700% increase in incarceration rates when compared to rates in the early 1970s (Dowd, 2011). Then, in

2009, the population of U.S. state and federal prisons decreased for the first time in nearly four decades

(Cole, 2011).

Incarceration rates and prison populations have experienced small decreases in subsequent years,

ushering in what has been called by some to be a new era of decarceration (Pettus-Davis & Epperson,

2015). This era is marked by a growing departure from “tough on crime” rhetoric and policies that set the

table for the failed experiment of “mass incarceration,” and instead focuses on how to balance reducing jail

and prison populations sustainably with considerations of public safety. An important piece of reducing jail

and prison populations nationwide is deterring recidivism. Paving the way for a record number of ex-

inmates successful reintegration has been posited as one of the most significant and pressing issues

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facing America today (Clear, 2007; Nagin, Cullen, & Jonson, 2009; Petersilia, 2009; Pettus-Davis & Epperson, 2015; Travis, Solomon, & Waul, 2001; Wang et al., 2014).

An estimated 600,000 individuals are released from state and federal prisons in the U.S. annually, and over 5,000,000 former offenders are under some sort of community supervision (James, 2015). Additionally, jails release roughly 9 million individuals each year (Beck, 2006). Nationally, re-arrest rates after three-years are an estimated 68% (Durose et al., 2014) and almost half of released prisoners will serve another sentence in prison (Langan & Levin, 2002). At least 95 percent of individuals incarcerated in

state prisons will be released back to their communities at some point (Hughes & Wilson, 2002). High rates of recidivism among formerly incarcerated individuals suggests that the criminal justice system is

ineffective as a deterrent for future criminal behavior and raises the question of what opportunities and barriers await individuals upon their release. Addressing this issue is of paramount importance.

The consequences of being designated a criminal (i.e., collateral consequences) extend beyond the time of an individual’s incarceration and are often persistent for life. They include loss of civil rights, public benefits, employment eligibility, and professional licenses and permits (Chin, 2017). This loss of rights, privileges and benefits significantly restricts formerly incarcerated individuals access to the very domains that support successful re-entry. Moreover, restrictions on the rights and privileges of individuals who have had contact with the criminal justice system are shaped by race even when not explicitly motivated by race (Ewald, 2012).

There is a significant amount of scholarly research on formerly incarcerated individuals, particularly as related to recidivism. Research has demonstrated an association between rehabilitative programs and decreases in recidivism (Ore & Birdgen, 2003). Research has also identified risk and protective factors for returning individuals such as having or not having positive social networks, employment, housing, education, health care access, rehabilitative opportunities and community supervision (Pettus-Davis & Epperson, 2015). However, there are fewer studies that focus on those individuals who successfully reenter (i.e. do not recidivate) the community. In this study, we aim to explore characteristics and assets that successful formerly incarcerated individuals have regarding to reentry outcomes into the community.

Policy analysis and sociological criminology provide the academic perspective or vantage point for this study. In conducting this study, we aim to better understand and provide insight into what options may exist to address the challenges associated with successfully reintegrating previously incarcerated folks into the community.

While these may seem to be fundamentally policy analysis questions (Smith & Larimer, 2017), the notion of crime and criminals are social constructs. As such they are shaped by social influences. The social

phenomenon of crime and criminals can be examined through the lens of various social processes such as gender, ethnicity, sexuality, disability, and age to understand the role they play in crime (Carrabine,

Iganski, Lee, Plummer & South, 2004).

The literature illuminates a number of sociologically-driven barriers to re-entry that former inmates

encounter. There is an association between ideological and racial predictors and preferences for laws

restricting the rights and privileges of people who have had contact with the criminal justice system (Ewald,

2012).

From a public policy perspective, the government has an obligation to facilitate prisoners’ abilities to

exercise their retained rights. However, incarcerated populations are a reliably popular scapegoat for

policy debates (Lippke, 2002). Employment is probably the most important resource for returning citizens

to successfully re-enter the community but is often the most elusive because of employment discrimination

(Flake, 2015). Despite broad consensus about the importance for these citizens to find gainful

employment, many segments of society, such as employers and lawmakers, resist policies that would

facilitate achieving this objective (Flake, 2015). Additional areas where formerly incarcerated individuals

face significant barriers when re-entering the community include housing, educational attainment, food

insecurity, healthcare and transportation. Increased likelihood of food insecurity, for example, has been

observed in multiple studies (Wang et al, 2013; Cox & Wallace, 2016; Testa & Jackson, 2019). This

research will identify a gap in this area and others by focusing on formerly incarcerated individuals who

successfully re-integrate and the services, resources, and characteristics that helped to support their

success.

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1. Purpose of the study
2. Provide a brief lay summary of the project in <200 words. The lay summary should be readily understandable to the general public.

The purpose of this study is to investigate the significance of identified environmental and individual protective factors for recidivism with a group of formerly incarcerated, non-recidivating, college educated individuals. By identifying how these factors contribute to the re-entry experience and well-being of formerly incarcerated individuals, we can move toward implementing appropriate programs and policies to move folks safely from incarceration to the community.

1. List your research objectives (specific aims & hypotheses of the study).

The primary research questions for this study are as follows:

* 1. What are the characteristics and assets of a group of largely successfully reintegrated formerly incarcerated individuals?
  2. How do formerly incarcerated individuals who have successfully reintegrated into the community cope with the barriers to re-entry that transitioning individuals typically encounter?
  3. Is there an association between successful community re-entry and use of various types of assistance programs?
  4. Is there an association between successful community re-entry and prior inmate traits and ideological indicators?

1. Study Procedures
2. Describe all study procedures.

The target population for this study is formerly incarcerated individuals who are at least 18 years of age, and have college degrees. Members of the closed Facebook group Formerly Incarcerated College Graduates Network (FICGN) will serve as the sample frame for the study.The instrument will include the following screening questions: "are you currently incarcerated (yes/no)", and a set of questions about detainment to ensure that participants do not fall into the protected population definition of prisoners. The survey, included in the attachment section of this protocol, was created by the research team and includes demographic, variables, public service utilization, educational attainment, household financial security, and other individual level variables such as grit/resiliency.

We will provide the administrator with a recruitment statement (included in attachments) to post on the FICGN group Facebook page that includes a link to the online survey questionnaire. We will also request the group manager send the recruitment statement and link to the group’s members via email at least twice with the second distribution occurring roughly 3 days after the initial email message.

The survey will produce results for quantitative analysis and also contain some opportunities for qualitative data collection and interpretation by the research team. The research team will conduct both quantitative and qualitative analyses. The research team will work to publish findings in academic journals and present learned information at academic conferences.

1. State if audio or video recording will occur. Describe how the recordings will be maintained during and upon completion of the project. Describe what will become of the recordings after use (e.g., shown at scientific meetings, erased, etc.). Describe when and how recordings and/or files will be destroyed. Please note audio or video recordings of voice and pictures or video recordings of a face or a unique body marking

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would be considered identifiers. Please address this in your response.

N/A

1. Saint Louis University Hospital. All research involving Saint Louis University Hospital, including the Emergency Department, inpatient or outpatient services (including outpatient surgery at SLUH South Campus and the infusion center at the DOB) and medical record access, requires Research Business Review (RBR) and approval prior to study initiation. This process is designed to facilitate compliance with state and federal regulations as they pertain to research in hospitals and clinical research billing. While researchers can begin to complete the SSM RBR form at any time, the form should not be submitted until the IRB and the Clinical Trials Office (CTO) have approved the study. Please contact the Research Compliance Office at 577-8113 or [sluh-research@ssmhealth.com](mailto:sluh-research@ssmhealth.com) or the CTO at 977-6335 or clinical-trials- [office@health.slu.edu](mailto:office@health.slu.edu) for more information.

X Not Applicable

Yes, study requires Saint Louis University Hospital review

1. SSMSL. All research involving SSMSL locations (including Cardinal Glennon), including inpatient or outpatient services and medical record access, requires approval from the SSM STL or SSM Cardinal Glennon Research Business Review (RBR) prior to study initiation. This process is designed to facilitate compliance with state and federal regulations as they pertain to research in hospitals and clinical research billing. While researchers can begin to complete the SSM RBR form at any time, the form should not be submitted until the IRB and the CTO have approved the study. Please contact the SSMSL Office at 989- 2058 or [Marcy.Young@ssmhealth.com](mailto:Marcy.Young@ssmhealth.com) for more information.

X Not Applicable

Yes, study requires RBR review

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### \* \* \* Subject Population \* \* \*

1. Subject Population
2. State how many subjects (and/or records) will be involved, describe the type of subjects (e.g., students, college professors, nurses, etc.), and state the reason for using such subjects.

The target population for this study is formerly incarcerated individuals who are at least 18 years of age, and have college degrees. Members of the Facebook group Formerly Incarcerated College Graduates Network (FICGM) will serve as the sample frame for the study. The size of this group is approximately 850 members, all of whom have earned at least an associate’s degree from college. This particular group is deviant from the usual norms of recidivating (returning to incarceration after release) and further investigating those items which are correlated with success after incarceration is of necessary importance.

1. State the age range, gender, and ethnic background of the subject population.

The age of our sample frame is 18 and up. There are male, female, and other identifying genders included in the potential sample. There is also variation in the ethnic and racial backgrounds of the potential sample members.

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### \* \* \* Subject Population \* \* \*

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1. Subject Population
2. Anticipated end date of the study through data analysis and publication. 12/31/2021
3. Describe your recruitment procedures. Upload advertisements, flyers, etc. in Section #10 (Attachments).

NOTE: This question is applicable to all exempt categories except category 4.

We plan to use a recruitment statement (included in attachments) uploaded to the Facebook group (FICGN) and sent to individuals emails from the administrator of the FICGN group.

1. If subject incentives are offered or payment to subjects is to be made, describe and justify. (Examples of incentives include gift certificates, extra credit for a class, etc.). NOTE: This question is applicable to all exempt categories except category 4.

N/A

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### \* \* \* Risks/Benefits \* \* \*

1. Risks/Benefits
2. Describe risks and procedures to minimize risks, including risks to privacy, confidentiality, etc.

There is no more than minimal risks to participation. There might be minor embarrassment and psychological discomfort in answering some questions.Participants will be notified that they can skip any question or stop the survey at any time.

1. In case of overseas research, describe qualifications/preparations that enable you to evaluate cultural appropriateness and estimate/minimize risks to subjects.

There is no overseas research being conducted.

1. Describe the potential benefit(s) to be gained by the subjects and how the results of the study may benefit future subjects and/or society in general. Indicate if there is no direct benefit to the participants.

There are no direct benefits to the study participants. Future individuals exiting incarceration, and society in general may benefit from the findings of this study.

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### \* \* \* Procedures to Maintain Confidentiality and Privacy \* \* \*

1. Procedures to Maintain Confidentiality and Privacy Confidentiality

To determine whether adequate provisions for confidentiality of data are in place, the IRB must ensure that research materials are stored in appropriate locations throughout the study (during collection, transport/transmission, analysis and long term storage). Research information must be protected using appropriate safeguards based on identifiability of the data and risk associated with the study (See SLU IRB Confidentiality Guidelines).

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For the questions below, please use the following definitions:

Anonymous/De-identified: data contain no identifiers, including code numbers that investigators can link to individual identities;

Coded: data in which (1) identifying information, such as name or social security number, has been replaced with a number, letter, symbol, or combination thereof (i.e., the code), and (2) a key to decipher the code exists enabling linkage of data to identifying information (e.g., a master list), and (3) the key (master list) is kept separately from coded data; AND/OR

Identifiable: data that includes personal identifiers (e.g., name, social security number), such that information could be readily connected to respective individuals.

NOTE: Exempt Category 4 applications (record reviews) CANNOT involve coded or identifiable data.

1. Electronic (Computer) Data

Click "Add" to enter data security information for each type of electronic data that will be created in the study: anonymous/de-identified, coded, and/or identifiable (see definitions above).

To properly address this question, there should only be one listing of each type of data in the table. Depending on your project, you could have up to three types of data. See the SLU ITS Sensitive Data Guide for acceptable data security methods.

Not Applicable, No Electronic (Computer) Data

Study IRB-approved Prior to New Question (Question N/A- Grandfathered)

Electronic Data

|  |  |  |  |
| --- | --- | --- | --- |
| Type of Data | Storage Location | Data Transmission Outside of SLU | Supplemental information related to above items can be entered here or leave blank: |
| Anonymous/De-identified | Qualtrics | Not Applicable, I will not be sending/sharing electronic data outside of SLU |  |

1. Hardcopy (Paper) Data

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Click "Add" to enter information for each type of hardcopy (paper) data that will be created in the study: anonymous, coded, and/or identifiable (see definitions above).

To properly address this question, there should only be one listing of each type of data in the table. Depending on your project, you could have up to three types of data.

X Not Applicable, No Hardcopy (Paper) Data

Study IRB-approved Prior to New Question (Question N/A- Grandfathered)

1. If a master list is used in this study (linking study codes to subject identifiers), explain: a) how and where you will secure the master list, b) how long it will be kept/when it will be destroyed, and c) provide a sample of the code.NOTE: This question is applicable to all exempt categories EXCEPT category 4. Record review research at the exempt level CANNOT involve a link between subject identity and data to be collected.

No master list will be used for this study.

1. Are there any information security requirements identified in the project's N RFP/Award Notice/Contract? This could include data security, technical

safeguards, security controls, NIST, FISMA, CFR, etc.

If yes, SLU ITS approval is required. Contact [InfoSecurityTeam@slu.edu](mailto:InfoSecurityTeam@slu.edu) to start the approval process.

Privacy

Privacy refers to persons having control over the sharing of oneself with others.

1. Please indicate how participant privacy will be protected in this study (select all that apply): Discussion of health related and/or personal information in a private room/area Research interactions/interventions are conducted in a private room/area

Use of drapes or other privacy measures

Collection of sensitive/identifiable information is limited to the minimum necessary to achieve the aims of the research

X Access to study information is limited to the minimum amount of persons necessary to achieve the aims of the research (e.g., access restricted to research team members only)

Consideration of parental inclusion/absence for studies involving minors

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Other (please explain):

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### \* \* \* Potential Conflict of Interest \* \* \*

1. Potential Conflict of Interest

Indicate whether you, your spouse or dependent children, have, or anticipate having, any income from or financial interest in a sponsor, device or drug manufacturer of this protocol, or a company that owns/licenses the technology being studied. Please remember that you are responding for you and any other investigator participating in the study. Financial Interest includes but is not limited to: consulting; speaking or other fees; honoraria; gifts; licensing revenues; equity interests (including stock, stock options, warrants, partnership and other equitable ownership interests). For questions regarding Conflict of Interest consult the Conflict of Interest in Research Policy.

Check one of the following (please remember that you are responding for yourself, your spouse, dependent children and any investigator, investigator's spouse and dependent children participating in the study):

|  |  |  |
| --- | --- | --- |
| 1) | X | No equity interest and/or Financial Interest less than or equal to $5K |
| 2) |  | Any equity interest and/or Financial Interest exceeding $5K but not exceeding $25K in the past year or expected in the current year |
| 3) |  | Financial Interest exceeding $25K in the past year or expected in the current year |

Check all those that apply:

Consulting

Speaking Fees or Honoraria Gifts

Licensing agreement or royalty income

Equity interests, (including stock, stock options, warrants, partnership or equitable ownership interests), or serving on a scientific advisory board or board of directors

Other fees/compensation

If you have marked #2 or #3, please contact [coi@slu.edu](mailto:coi@slu.edu) to initiate review of this study and provide the following information:

* 1. A Conflict of Interest Management Plan

has been approved for all investigators for this study is pending

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has not been initiated

* 1. Describe who has, and briefly explain, the conflict of interest and indicate specific amounts for each subcategory checked:

Note to Investigator(s) Reporting a Potential Conflict of Interest Investigator(s) must have:

1. Current, up-to-date Conflict of Interest Disclosure Form on file with the SLU Conflict of Interest in Research Committee (COIRC) that describes any financial relationship indicated above.

. This information must be disclosed on the SLU confidential Conflict of Interest Disclosure Form and reviewed by the COIRC before accruing research subjects in this study. If your current Disclosure Form does not contain this information, you are required to submit an updated Disclosure Form to the COIRC.

1. You may not begin your study until your disclosure form has been reviewed and any required management plan has been approved by the COIRC for this study. To initiate COIRC review of your study, please contact [coi@slu.edu.](mailto:coi@slu.edu)

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### \* \* \* Informing Subjects \* \* \*

1. Informing Subjects

Discuss how subjects will be informed about this study (e.g., through a cover letter or statement from the investigator). Please upload a copy of such a letter or statement with this application in Section #10 (Attachments). Use the Model Recruitment Statement as a template/example.

This question is applicable to all exempt categories EXCEPT category 4.

The use of Exempt category 3 studies involving deception is only allowed if the subject authorizes the deception through a prospective agreement in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research. If applicable, describe the prospective agreement plan below. See the IRB Deception Guidance for more information.

A recruitment statement will inform potential participants of the study. This statement is included in attachments.

NOTE: Please upload a Recruitment Statement in the Attachments Section.

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### \* \* \* HIPAA \* \* \*

1. HIPAA

Studies that access, receive or collect protected health information (PHI) are subject to HIPAA regulations. PHI is health information with one or more personal identifiers. For more information refer to the SLU IRB

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HIPAA Guidance.

* 1. Will health information be accessed, received or collected?

X No health information. HIPAA does not apply.

Yes (continue to question 2).

* 1. Which personal identifiers will be received or collected/recorded?

No identifiers. I certify that no identifiers from the list below will be received or collected and linked to health information. (Skip remainder of page).

Limited identifiers will be received or collected/recorded (study will likely require a data use agreement). Select Data Use Agreement- INTERNAL or Data Use Agreement- EXTERNAL as appropriate, below.

City/State/Zip codes

Person-specific dates (e.g., date of birth, dates of service, admission/discharge dates, etc.)

Age (if subjects are 90+ years)

At least one direct identifier will be received or collected/recorded.

Names

Social Security numbers Telephone numbers

Linkable code or any other unique identifying number (note this does not mean the unique code assigned by the Investigator(s) to code the research data)

All geographic subdivisions smaller than a State, including street address, city, county, precinct, zip code, and their equivalent geocodes, except for the initial three digits of a zip code, if, according to the current publicly available data from the Bureau of the Census:

* + 1. The geographic unit formed by combining all zip codes with the same three initial digits contains more than 20,000 people; and (2) The initial three digits of a zip code for all such geographic units containing 20,000 or fewer people is changed to 000

All elements of dates (except year) for dates directly related to an individual, including birth date, admission date, discharge date, date of death; and all ages over 89 and all elements of dates (including year) indicative of such age, except that such ages and elements may be aggregated into a single category of age 90 or older

Fax numbers

Electronic mail addresses Medical record numbers

Health plan beneficiary numbers Account numbers Certificate/license numbers

Vehicle identifiers and serial numbers, including license plate numbers Device identifiers and serial numbers

Web Universal Resource Locations (URLs) Internet Protocol (IP) address numbers

Biometric identifiers, including finger and voice prints

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Full face photographic images and any comparable images

If you are receiving or collecting/recording health information and at least one personal identifier, please continue to complete the sections, below.

* 1. Sources of Protected Health Information: Hospital/medical records for in or out patients Physician/clinic records

Laboratory, pathology and/or radiology results Biological samples

Interviews or questionnaires/health histories Mental health records

Data previously collected for research purposes Billing records

Other

Please describe:

* 1. If data will be shared outside the research team and the study involves PHI indicate how the research team will share the information.

Not applicable or not sharing identifiers (continue to question 5).

Due to eIRB system limitations, studies applying for Exempt category 4(iii), must choose the 'Code Access Agreement' option below (after clicking "Add") and complete and attach the paper version of the HIPAA Waiver. Contact the IRB (977-7744, irb@slu.edu) with any questions about this temporary process.

Limited identifiers: Zip codes, dates of birth, or other dates only. The study qualifies as a Limited Data Set. A data use agreement may be needed when data are shared with other non-SLU entities. If necessary, the agreement can be added and uploaded in item #5, below, using DUA- external option.

* 1. HIPAA Documentation is required for this study. Use the table below to add HIPAA Documents for your study.

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### \* \* \* Attachments \* \* \*

1. Attachments

In this section, please upload additional documents associated with your protocol. Failure to attach files associated with the protocol may result in the protocol being returned to you.

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Possible documents for this protocol could include:

* Bibliography
* Cooperating Institution's IRB Approval
* Data Collection Sheet
* Grant Proposal/Sub-Contract
* Human Subjects Training Certificate/Proof of Training
* Interview/Focus Group Questions
* Letter of Agreement/Cooperation
* Phone Script
* Questionnaire/Survey
* Recruitment Material (e.g., flyers, ads, e-mail text)
* Recruitment Statement
* Scientific/PPC Review or Department Chair Review
* Other files associated with the protocol (most standard formats accepted: pdf, jpg, tiff, mp3, wmv, etc.)

To update or revise any attachments, please delete the existing attachment and upload the revised document to replace it.

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### \* \* \* PI Obligations \* \* \*

PI Obligations

By clicking the box below you indicate that you accept responsibility for and will follow the ethical guidelines set forth by the Belmont Report, Declaration of Helsinki, the Nuremberg Code, and the Ethical Principles of the American Psychological Association (if applicable) for the research described. It also indicates that you have the requisite funding, credentials, training, and any necessary hospital privileges, if needed, to carry out all procedures and treatments involved in the protocol.

Clicking if needed the box also affirms that the activities involving human subjects will not begin without prior review and approval by the Institutional Review Board, and that all activities will be performed in accordance with state and federal regulations and Saint Louis University's assurance with the Department of Health and Human Services. The PI assures that if members of the SLU research team access protected health information (PHI) from a covered entity in order to seek consent/authorization for research or to conduct research, such access is necessary for the research, is solely for that purpose, and the information will not be removed from the covered entity without IRB authorization or approved waiver. PI further assures that the SLU research team will comply with the terms of a Data Use Agreement to PHI (if any).

1. Have you completed the annual Conflict of Interest in Research Disclosure Form? N/A

You can only select N/A if you are not currently listed on any externally funded research projects nor listed on any proposals

for externally funded research support.

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NOTE: An annual disclosure must be completed by all faculty, staff and students involved in the design, conduct or reporting of externally funded research applications and awards.

1. Have your financial interests changed significantly since you completed the annual disclosure form?

The PRINCIPAL INVESTIGATOR certifies that he/she has read the University's Conflict of Interest Research Policy and has checked the appropriate box in the 'Potential Conflict of Interest' section of the application. In addition, the PRINCIPAL INVESTIGATOR certifies that, to the best of his/her knowledge, no person working on this project at SLU has a conflict of interest or if a conflict of interest does exist, that an appropriate management plan is in place.

According to the Saint Louis University Conflict of Interest in Research Policy, as PI, it is your responsibility to inform co-investigators, staff, or students involved in the design, conduct, or reporting of externally sponsored research of their requirement to complete a Conflict of Interest in Research Disclosure Form.

X I accept this responsibility.

You may not begin your research until you receive confirmation that the research meets exemption criteria.

X The Principal Investigator has read and agrees to the above certifications and will abide by the above obligations.

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### \* \* \* Event History \* \* \*

Event History

Date Status View Attachments Letters

09/24/2019 NEW FORM CREATED

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