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New RRB Submission

Data Entry

- Submitted 01/30/2023 6:38 PM ET by Guz, Samantha

Amendment Summary

RRB Number	2021-1705
Study Title	Who Belongs in Neighborhood Schools: Appropriate Student Services, Alternative High Schools, and Push-out
Event Type	Modification/Continuing Review defined 01/30/2023
Schools Participating	<i>No answer provided.</i>

Description of Research Activities to Date

Interviewed 11 school and network staff. Interviewed 9 students in Summer credit recovery.

Preliminary Results to Date

I sent this memo to CPS partners in Fall 2022.

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Reflective Memo: The Role of Transition Specialists and the Transfer Process

This document does not contain research findings, direct quotes, or conclusive implications. This memo is a broad reflection from interviews with transition specialists on their role and the transition process.

The Role of the Transition Specialist

Transition Specialists described their role as advocacy and brokering across stakeholders (e.g. school staff, network staff, parents, and students) during a short, critical moment in a student's trajectory.

Advocacy work primarily focused on informing parents and students of their educational rights as well as facilitating parents' choice (i.e. remain in the mainstream school or transfer to an Options School). Since the majority of requests come from the Options Schools, Transition Specialists reflected on doing a lot of information gathering to learn more about how the student and their parents arrived at the Options School. In these cases Transition Specialists informed the parents that they have the right to remain at the mainstream school if they choose or enroll in an Options School. Some Transition Specialists described going to the mainstream school with the parent and student to support them in staying at their mainstream school or coordinating with parents to have a student enroll in Options Schools with the goal of returning to a CPS mainstream school.

Working Within the Network

Transition Specialists reflected that working within their networks enabled them to build rapport with colleagues, work collaboratively within other network staff, and be more effective in their role. Specifically, transition specialists worked closely with network Chiefs and other network staff to implement the policy. This included adding network Chiefs onto emails to encourage responses from school staff and working with network staff to support schools in preventing transfer. Further, their work within the network helped make network staff more aware of Options Schools and the policy.

The Options School Network

Transition Specialists described their role as being a bridge between the district and Options Schools as well as being a bridge between schools and network staff regarding the transfer policy. However, Transition Specialists reflected concerns about the opacity of Options Schools and not being able to support the student past 5 weeks of enrollment at the Options Schools. Transition Specialists reflected hope that the new Options School network increases accountability for Options Schools and enables the district to understand what happens to students once they enroll.

The Transfer Process

The majority of requests come from Options Schools, rather than through Aspen. Given this context, the Transition Specialists described their position as a complex one- while they have the ability to approve or deny transfer they do not have any ability to enforce the policy. Though bringing in network leadership at specific moments has been helpful, Transition Specialists reflected the policy is not yet implemented as intended. Signs of this include substantially fewer transfer requests being submitted through Aspen from the sending school and limited opportunities to create support plans for students to remain in mainstream schools. Transition Specialists reflected that this limits their ability to prevent transfer, as they are engaging students' cases when they already arrived at the Options Schools. This puts them in a position of intervention rather than prevention, which while critical does not reflect the full capacity of the policy.

Suggestions

The 24 Hour Time Limit on Approval Requests or Denials

Transition Specialists described the 24 hour window as a barrier to their work. Specifically because it limited their ability to do the core components of their work- advocacy and engaging stakeholders, particularly parents and students. Transition Specialists reflected that parents are typically at work and students are often in school, at work, or not reachable within the 24 hour period. The Transition Specialists stated that students often do not enroll in an Options School within 24 hours, so extending the time frame to 48 hours would likely not place barriers for students. Lastly, the Transition Specialists reflected that denying transfers when they are not able to engage parents and students is not practical in their workflow.

Understanding What Services are Offered in Each School

Transition Specialists reflected that it was difficult to know what available services within each mainstream school are, what these services do for students, and how accessible these services are for the population of students most likely to transfer to Options Schools. The Transition Specialists reflected that this information would be useful in their partnership with schools and their ability to support students stay in mainstream schools.

More Credit Recovery Interventions Offered Within the District

Transition Specialists reflected a desire for a wider variety of effective, targeted academic credit recovery services for students. Specifically, that there are students who need support catching up on credits and that it would be ideal if Transition Specialists had a variety of interventions they could connect students to within their mainstream school or within the district.

More Structured Time with Transition Specialists and with District Leadership

The Transition Specialists reflected a desire to have more structured time with each other and more time to speak with district leadership about implementation of the policy. This time to share out would help them share strategies about what is effective across networks and engage district leadership about policy implementation to increase the policy's ability to create change.

Type of Request

Modification

Please select continuing review if no changes have been made to your study protocol. If you plan on proposing a modification AND a continuing review, please select modification, as an approved modification will extend your approval period.

Indicate Proposed Modification Areas

Other
Recruitment Methods or Advertising
Study Timeline

After summarizing your proposed modifications on this page, please update the following pages as appropriate. Please update all aspects of your proposal to reflect your proposed modifications. Any changes made within your proposal will be displayed as tracked changes to your assigned reviewer.

Please provide an overview of the proposed modifications to your study timeline

Currently the RRB is set to expire in 9/23 and I would like to be able to continue recruit and interview students and their families through June 2024. This will allow me to facilitate interviews over a longer period of time, increasing the sample size and the generalizability of the findings.

Please provide an overview of the proposed modifications to your study recruitment methodology and/or advertising.

I clarified compensating CPS staff for participating in the interviews and added the ability to post flyers around school for recruitment of staff.

Please provide an overview of any other proposed modifications to your study protocol

I would like to be able to store qualitative data on a secure server that requires dual login authorization. Currently the protocol is to store the qualitative data on the Consortium server however I would like to be able to store the qualitative data on a secure server that is not the Consortium server.

Optional Attachments - please attach any reports/publications that have been created thus far here.

No reports or publications have been created. Only memos that are shared with main office and school partners.

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No answer provided.

Pertinent CPS Documentation

Submitter

Guz, Samantha

Email: sguz@uchicago.edu

Business: (210) 887-5004

Overview of Pertinent CPS Documentation

The RRB is composed of members representing various Central Office academic departments as well as the Law Department. The RRB meets quarterly to evaluate new proposals to conduct research. The RRB calendar and deadlines for submissions can be found on the CPS Research Website here. Decisions resulting from the research review process will be communicated to the applicant of the request as well as appropriate CPS staff in accordance with the estimated timelines outlined in the respective RRB calendar. External researchers may not begin any research activities or obtain data for research purposes without first following the procedures outlined in this policy and securing the necessary approvals.

We expect all researchers to be familiar with the guidelines and policies guiding research within the district. Please verify that you have read and acknowledged the following:

External Research Study and Data Policy

✓ I have read and understood the External Research Study and Data Policy

CPS RRB Guidelines

✓ I have read and understood the CPS RRB Guidelines

CPS Equity Framework

✓ I have read and understood the CPS Equity Framework

CPS Vision

✓ I have read and understood the CPS Vision

CPS Volunteer Policy

✓ I have read and understood the CPS Volunteer Policy, including background check requirements

Study Personnel Details

Study Title

Who Belongs in Neighborhood Schools: Appropriate Student Services, Alternative High Schools, and Push-out

Does your organization participate in a Research Practice Partnership (RPP) with Chicago Public Schools?

Yes

Please select the RPP with which you are affiliated

UC CCSR

RPP Point of Contact

Rosenkranz, Todd

Email: tbrblue@uchicago.edu

Phone:

Current Study Contacts

Name	Role
Guz, Samantha	Project Team Member
Guz, Samantha	Principal Investigator
Hinze-Pifer, Rebecca PhD	Project Team Member
Hull, Constance	Project Team Member
Johnson, David PhD	Project Team Member

Is the Principal Investigator a Student?

Yes

Degree

Graduate - Doctoral

University

Dr. David Johnson is supervising the qualitative work and is connected to this project's partnership with CPS.

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University of Chicago

College/Dept.

Crown Family School of Social Work, Policy, and Practice

Advisor Name/Title

Matt Epperson

Advisor Email

mepperson@uchicago.edu

Is the researcher a CPS Staff Member?

No

Funding and Intervention Information

Is this project contracted by the CPS Board of Education?

No

Is a funding source associated with the proposed research?

Yes

Who is the primary funding source?

Center for the Study of Race, Politics & Culture; William T. Grant Foundation

What is the amount of funding awarded?

\$75,000.00

Please list primary contact information of funder.

5733 S University Ave, Chicago, IL 60637

60 East 42nd Street, 43rd Floor New York, NY 10165

Select the option that applies to your study

My study will be occurring District-wide

Will this research require any in-person interaction or intervention activities?

Yes

Will this research require any virtual interaction or intervention activities (Google Meets, Zoom, etc.)?

Yes

Please note that Zoom is not approved for use with CPS Students. Any virtual activities will need to be conducted via Google Meets and safe@cps.edu must be invited to Google Meet. Please adjust virtual methods accordingly. For more information on permitted interactions with students and staff, please visit <https://www.cps.edu/about/policies/acceptable-use-policy/external-volunteers/>.

Please review CPS's Acceptable Use of Technology Guidance (AUP)



Questions about eligibility or appropriate use of communication channels should be directed to the school principal or CPS External Research department. Only CPS-approved communication channels may be used.

Please be aware that virtual interviews involving students may only be conducted via Google Meets. A CPS Staff member must be present for the entire duration of the interview. For more information on CPS' Acceptable Use of Technology policies, please visit <https://www.cps.edu/about/policies/acceptable-use-policy/external-volunteers/>

Please check all of the following that apply to your research protocol:

Interviews

Observations

Secondary Data Request

Please outline your protocol for individual interview activities, describing when, where, duration, frequency, and with whom.

To understand participants' experiences in the transfer process, the team will conduct semi-structured interviews with district transfer specialists and up to 60 school staff (60-90 minutes) at five time points over the course of 2022-2023. In addition, interviews with up to 60 students/guardians (60 minutes, conducted separately or together) will occur at five time points over the course of 2022-2023.

Does this involve video, audio, or photograph recording?

Yes

Please describe the protocol for audio/video recording

Qualitative data will be collected remotely, at CPS school sites, or at community sites in accordance with CPS policy during the COVID-19 pandemic. If students remain in CPS run schools, and do not transfer to Options Schools, the interviews will be conducted in a CPS school. The interviews and observations will be recorded (via a recorder if in-person, via Zoom if remote for staff, or via Google Hangouts with CPS staff present if remote for student interviews). Samantha Guz under the supervision of David Johnson will be collecting the qualitative data (observations and interviews). The interviews with district staff and school staff will take no more than 90 minutes however, in practice we anticipate that CPS staff will not have 90 minutes of time to give a single interview. Additionally, there is reason to believe there are temporal elements to Options School transfer. Therefore staff will complete 5 interviews over the course of 2022-2023. The guardians and students will be interviewed 5 times beginning when a transfer request is submitted and throughout the academic year. Each interview will take no more than 60 minutes. However, similar to CPS staff, we understand that students and their families may not have 60 minutes to give at a single time point. Therefore they will be able to participate in the time they have allotted to the interview. Our intention is to give participants the opportunity to participate in the research process as fully as they would like to while also not creating heavy burdens to participation.

UChicago Consortium project staff will obtain adult participants' verbal consent via email or phone at the time of recruitment and provide a line for active consent on a physical consent form or remotely using an application such as REDcap. Consent for adult participants will be discussed both at recruitment and at the time of the interview. In both instances, participants will be given an opportunity to ask any questions and/or have any concerns addressed. Adult participants will be reminded at the time of the interview that their participation is voluntary and that they can withdraw their consent to participate at any time without penalty. Participants will be asked if they have any questions at the beginning and will be told that their rights as a participant which includes stopping the interview to ask a clarifying question.

If a participant opts out of participation, all qualitative data related to that individual will be deleted from the transcript and will not be used for any future research purposes. CPS training will be recorded and transcribed with the original recording being stored on the secure, encrypted server. The original recordings will be kept on the server for research purposes and with all participants deidentified in the transcripts. Specifically any identifying information such as name and physical descriptors will be deleted from the transcript. Identifying information about participants will be stored on the secure, encrypted server in a password locked spreadsheet. The spreadsheet (i.e. crosswalk) will be used for administrative reasons (i.e. tracking active consent and opting out) and will have no research purpose. If a training has already occurred we will get retroactive consent from the CPS employee providing the training.

For high school students written assent will be obtained at the time of recruitment and that assent will be confirmed at the time of interview. Students will be given an opportunity to ask any questions and/or have any concerns addressed. Participants will be reminded at the time of the interview that their participation is voluntary and that they can withdraw their consent to participate at any time without penalty. Participants

will be asked if they have any questions at the beginning and will be told that their rights as a participant which includes stopping the interview to ask a clarifying question. This proposal includes no focus groups with students.

The researcher will be introduced to the guardians and students through district staff. As a result, CPS staff will be the avenue of recruitment for guardians and staff, the researchers will not recruit guardian and student participants through CPS without going through a CPS staff member.

Please describe how data will be captured and stored securely

Qualitative research data (e.g. audio files) are recorded using hand-held digital recorders or Zoom's record feature. Audio files are stored on digital recorders while researchers are in transit from field sites to the office. In the case of Zoom interviews or observations the transfer process to the secure server can happen immediately after the interview. Researchers will upload all audio files to the secure, encrypted server as soon as physically possible after conducting an interview. After an audio file has been uploaded to the server, the file will be deleted from the digital recorder. To ensure confidentiality is maintained, even in the event that a recorder is lost or stolen, researchers will refer to schools by pseudonyms and research participants by alpha-numeric code only at all times while conducting their interviews. Given her dual role in the project, Megan Hougard will not have access to any of the qualitative data (recordings or transcripts).

Please attach all study materials corresponding to interview procedures (i.e., consent forms, protocol, recruitment and incentive plans)

CPS Guardian Interview Consent	Consent Forms
CPS Staff Interview Guide and Consent	Consent Forms
Student Interview Guide and Assent	Consent Forms
Guardian Interview Guide	Interview Protocols
Recruitment Script Guardians	Recruitment Materials
Recruitment Script Staff	Recruitment Materials
Recruitment Script Student	Recruitment Materials

Please outline your protocol for observation activities, describing when, where, duration, frequency, and with whom.

Process observations and procedural document collection (including materials created prior to the study period) will be spread through the study period. 30 observations with school staff will be conducted. Specifically observations of the transition specialists implementing the transfer policy as well as school staff implementing the transfer policy.

Does this involve video, audio, or photograph recording?

No

Please note: Video/Audio classroom observations where students are present is not permitted unless every student present for the observation has active assent and parental consent.

Please describe how data will be captured and stored securely

UChicago Consortium project staff will obtain adult participants' verbal consent via email or phone at the time of recruitment and provide a line for active consent on a physical consent form or remotely using an application such as REDcap. Consent for adult participants will be discussed both at recruitment and at the time of the observation. In both instances, participants will be given an opportunity to ask any questions and/or have any concerns addressed. Participants will be asked if they have any questions at the beginning and will be told that their rights as a participant which includes stopping the observation to ask a clarifying question.

For high school students written assent will be obtained at the time of recruitment and that assent will be confirmed at the time of observation. Students will be given an opportunity to ask any questions and/or have any concerns addressed. Participants will be reminded at the time of the observation that their participation is voluntary and that they can withdraw their consent to participate at any time without penalty. Participants will be asked if they have any questions at the beginning and will be told that their rights as a participant which includes stopping the observation to ask a clarifying question. This proposal includes no classroom observations.

How will you protect individuals who did not consent to participate in the observation, and what will non-consented students be doing during the observation(s)?

CPS staff who are present at the training, not being actively observed, and who wish for their questions or comments to be deleted from the transcript will have the option of opting out

(https://docs.google.com/forms/d/1Ak_bKyEk_foD_MnGqcd45arhyIDv0EN7iM3dPEIldos/prefill).

In cases where a meeting is being observed where a student and/or their family is present the student will be given the opportunity to actively consent through a physical form or remotely using an application such as REDcap.

No observation of non-consented students will be conducted.

Please attach all study materials corresponding to observation procedures (i.e., consent forms, protocol, recruitment and incentive plans)

Guardian Consent Observation Consent Forms

Staff Observation Consent Consent Forms

Student Observation Consent Consent Forms

Will this research require the use or access of existing CPS data?

Yes

Detail all existing CPS data that will be analyzed in the research. If applicable, include links to the data in question and attach all applicable authorization agreements for private data

Researchers will analyze data from Chicago Public Schools administrative records (2008-09 through 2023-24). These data are provided to the UChicago Consortium by the Chicago Public Schools under the terms of an existing data sharing agreement. These data are restricted access and are not publicly available. We will use a unique student identifier - no names or SSNs are part of the data. Researchers will not be able to identify the students based on their research identifier, it will be used for research purposes only. We will have access to demographic information, student academic performance on tests and GPA, student perceptions of school climate, student discipline records (e.g., suspensions), student school attendance, student special education status, and school enrollment. The core analysis will be on grades 9-12, although K-8 data will be used to understand students' prior academic trajectories. These data files are already held at CCSR / routinely transferred to CCSR under the umbrella data sharing agreement, and will be analyzed as outlined in the Statement of Work for the project.

Attach all applicable authorization agreements for CPS data

Scope of Work Data Use Agreement

Will this research require the use or access of existing non-CPS data?

Yes

Detail all existing non-CPS data that will be analyzed in the research. If applicable, include links to the data in question and attach all applicable authorization agreements for private data

In addition, researchers will analyze data being collected as part of the newly-created district transfer specialists' regular job duties. For each student considering transfer, specialists are collecting information about services provided and reasons for transfer. Additionally, transfer specialists will collect the responses of school staff to transfer case vignettes to better understand school practice. This data will be aggregate and not at the staff-level. Lastly, for each high school, specialists are collecting information on the variety of student support programming available. These data need to be collected in order for the newly-created district transfer specialists to perform their routine job activities and support the long-run goal of providing appropriate student supports within neighborhood schools. The project team is providing technical assistance to build data collection capacity in a way that 1) reduces administrative burden, 2) can be readily maintained long beyond the study period, and 3) creates data systems that support district long-term monitoring and evaluation goals. Data files will be transferred directly to the UChicago Consortium via the standard data transfer process. Prior to transfer, student-level data will be anonymized using the same student ID number as other administrative data files.

Attach all applicable authorization agreements for private data

No answer provided.

Study Details

Please select all of the following that will be participating in the study?

Students
Parents
Teachers
Other Staff

Will any of these students be under the age of 18?

Yes

Please be aware that the inclusion of study subjects younger than 18 requires active, written consent from the parent(s) or guardian(s). The consent form needs to explicitly inform parents of their rights to review all materials used with their children as provided for in the Protection of Pupils Rights Act. Please ensure you have added the following statement to your consent form(s) verbatim, with the appropriate personalization for your study:

"Parents please be aware that under the Protection of Pupils Right Act 20 U.S.C. Section 1232 (c)(1)(A), you have the right to review a copy of the questions asked of or materials that will be used with your students. If you would like to do so, you should contact [INSERT APPROPRIATE CONTACT] at XXX-XXXX to obtain a copy of the questions or materials."

Has this project been reviewed by an Institutional Review Board (IRB)?

Yes, and it was approved

IRB of Record Name

University of Chicago

IRB Protocol Number

IRB21-1277

Please attach all of your IRB documentation here (include approval/exemptions letters, IRB study protocol, etc.).

IRB Approval Letter.docx IRB Letters

IRB of Record Primary Contact Email Address

sguz@uchicago.edu

Please select your primary area of research from the following:

Equity

Secondary Study Subject(s)

No answer provided.

Study Overview

Executive Summary or Abstract

Please provide a high-level overview of your study, including a summary of the motivation, design, and implications of the project.

This project seeks to understand the impact of recent reforms to CPS's transfer policy for students moving from neighborhood high schools into Options schools. It consists of four data analysis activities: 1) understanding the shifting dynamics of transferring students before and after the reform using secondary student-level data, 2) exploring the perspectives of students, families, and school personnel engaged in the new transfer process, 3) characterizing the current and evolving school-level supports for students considering transfer, and 4) assessing the policy implementation process via procedural records and 30 process observations. Original data collection will occur Winter 2022 - Summer 2023; secondary data will span 2008 - 2023 as available

Although CPS has long-standing research-practice collaborations, historically most of that research has not included Option Schools or the transfer into Option Schools. Due to the opacity of Option Schools, it is difficult for the district to have a clear understanding of how students are transferred to Option Schools, under what circumstances this transfer occurs, and what services CPS students receive once they enroll in an Option School. Therefore, this project will provide CPS with A) essential information about the patterns of Option School transfer, B) meaningful insight into how the transfer policy is implemented by neighborhood schools, C) critical knowledge about how students and their guardians experience and engage with the transfer process, and D) immediately actionable insights regarding how the transfer process might be strengthened and how/where resources might be best applied to reduce transfer out of neighborhood schools. The Option School transfer policy outcome and process evaluation is being developed in partnership with CPS stakeholders including Megan Hougard and Molly Mikolajczyk. The collaboration ensures that the evaluation foregrounds analyzes that are going to be meaningful to district policy and education practice.

Research Questions and Hypothesis

Please list all research questions and hypotheses associated with this project.

Ewing, Davis & Guz (2021) refer to racially stratified graduation rates and the school push-out of Black, Indigenous and Students of Color (BIPOC) as two of the largest conversations in education scholarship, policy, and public discourse. Notably, the authors refer to the experiences of Option School students as the invisible 'wedge' between these two, otherwise well studied phenomena. This mixed methods research project, submitted in partnership with staff at Chicago Public Schools (CPS), aims to address the invisibility of these students' experiences through an outcome and process evaluation of the updated Option School transfer policy:

1. How does expanded availability of Options School placements impact school discipline practice in neighborhood schools? (Secondary student-level data)
2. How does increased oversight from the district and standardization of pre-transfer requirements shift (a) the number of students who transfer, (b) the risk profiles of students transferring into Option Schools, and (c) school attendance and continued enrollment among those most likely to transfer? (Secondary student-level data)
3. How do district and school personnel conceptualize the sets of services that can appropriately be provided by neighborhood schools? What types of student needs do district and school personnel understand as best met in an alternative setting? (Interviews, Observations, Procedural Records)
4. How do students and their guardian(s) experience and engage with the reformed transfer policy? (Interviews & Observations)

Purpose and Literature Review

Please provide an overview of the existing research and literature on this subject. What is the contextual history of this subject area and how does this research build upon the body of extant knowledge?

Option Schools sit at the nexus of several areas of contemporary education discourses on racial stratification, including the systematic push-out of Black students and students with disabilities (George, 2015), school accountability (Fedders, 2018), and school choice. In a recent study Ewing, Davis & Guz (2021) documented that the experiences of Option School students form a 'wedge' between these otherwise well-studied phenomena. To demonstrate, while outright school expulsion is relatively rare (0.2% of students; de Brey et al., 2019) and suspension practices in mainstream schools have been the focus of extensive study (Sullivan, Van Norman & Klingbeil, 2014; Steinberg & Laco, 2018), the 3% of high school students who transfer to an Option School are largely absent from academic literature and policy discourse (Carver, Lewis & Tice, 2010).

This research project aims to provide methodological and topical innovations to the existing Option School academic and practice literature. First, methodologically, research on Option Schools has not used district administrative data to quantitatively evaluate district policy or inform qualitative approaches. The majority of the secondary quantitative Option School literature used national or state level data whereas primary quantitative research typically sampled a single Option School site (Guz et al., in preparation). As a result, the quantitative literature lacks the depth offered by a systems perspective and place-based analysis. Further, although the literature is mainly qualitative, the majority of the qualitative research does not engage with critical theories, has not included the family of Option School students, and has primarily collected interview data at single time points. This is limiting, as schooling is not an individual student experience or static experience, it is a generational and communal experience evolves over time and place.

Topically, the Option School quantitative literature has overwhelmingly focused on individual students too often characterizing them as behaviorally deviant and academically unmotivated (Arnove & Strout, 1980; Escobar-Chaves et al., 2002; Selman, 2017). This derives from and further reinforces the race evasive, rational, and closed approach to studying Option Schools. Lastly, while quantitative administrative data has widely been used to understand school discipline practice, such studies generally exclude Option Schools, fail to examine transfer to Option Schools as a potentially exclusionary outcome, and are unable to offer insight regarding the underlying processes through which students in different social positions are transferred to Option Schools. To address these critical methodological and topical gaps, this mixed methods explanatory sequential design to answer a series of research questions. These topical and methodological gaps have left districts without a meaningful understanding of how students end up in Option School settings, how the existence of Option Schools influences practice in neighborhood schools, and how the Option School transfer process affects schooling as a formative experience for families.

Research Activities and Student/Staff Involvement

Please provide an overview of all primary and secondary research activities associated with this study. Please use this space to describe, as thoroughly as possible, all that will be asked of your research subjects (e.g. surveys, focus groups, observations, etc.)

To understand participants' experiences in the transfer process, the team will conduct semi-structured interviews with district transfer specialists and up to 60 school staff (60-90 minutes) at five time points over the course of the academic year. In addition, interviews with up to 60 students/guardians (60 minutes, conducted separately or together) will occur at five time points over the course of 2022-2023. . Due to COVID-19, staff interviews may be conducted via Zoom and student/guardian interviews may be conducted via Google Hangouts. Process observations and procedural document collection (including materials created prior to the study period) will be spread through the study period. 30 observations with school staff will be conducted. Specifically observations of the transition specialists implementing the transfer policy as well as school staff implementing the transfer policy. In these observations of school staff possible that a school staff member will be speaking with students with or without guardians.

Researchers will analyze data from Chicago Public Schools administrative records (2008-09 through 2023-24). These data are provided to the UChicago Consortium by the Chicago Public Schools under the terms of an existing data sharing agreement. These data are restricted access and are not publicly available. We will use a unique student identifier - no names or SSNs are part of the data. Researchers will not be able identify the students based on their research identifier, it will be used for research purposes only. We will have access to demographic information, student academic performance on tests and GPA, student perceptions of school climate, student discipline records (e.g., suspensions), student school attendance, student special education status, and school enrollment. The core analysis will be on grades 9-12, although K-8 data will be used to understand students' prior academic trajectories. These data files are already held at CCSR / routinely transferred to CCSR under the umbrella data sharing agreement, and will be analyzed as outlined in the Statement of Work for the project.

In addition, researchers will analyze data being collected as part of the newly-created district transfer specialists' regular job duties. For each student considering transfer, specialists are collecting information about services provided and reasons for transfer. Additionally, transfer specialists will collect the responses of school staff to transfer case vignettes to better understand school practice. This data will be aggregate and not at the staff-level. Lastly, for each high school, specialists are collecting information on the variety of student support programming available. These data need to be collected in order for the newly-created district transfer specialists to perform their routine job activities and support the long-run goal of providing appropriate student supports within neighborhood schools. The project team is providing technical assistance to build data collection capacity in a way that 1) reduces administrative burden, 2) can be readily maintained long beyond the study period, and 3) creates data systems that support district long-term monitoring and evaluation goals. Data files will be transferred directly to the UChicago Consortium via the standard data transfer process. Prior to transfer, student-level data will be anonymized using the same student ID number as other administrative data files.

Research Methodology and Analytical Technique

Please provide an overview of your research methodology and specific analytical techniques that will be utilized as part of this study.

Researchers will analyze data from Chicago Public Schools administrative records (2008-09 through 2023-24). These data are provided to the UChicago Consortium by the Chicago Public Schools under the terms of an existing data sharing agreement. These data are restricted access and are not publicly available. We will use a unique student identifier - no names or SSNs are part of the data. Researchers will not be able to identify the students based on their research identifier, it will be used for research purposes only. We will have access to demographic information, student academic performance on tests and GPA, student perceptions of school climate, student discipline records (e.g., suspensions), student school attendance, student special education status, and school enrollment. The core analysis will be on grades 9-12, although K-8 data will be used to understand students' prior academic trajectories. These data files are already held at CCSR / routinely transferred to CCSR under the umbrella data sharing agreement, and will be analyzed as outlined in the Statement of Work for the project.

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Benefits and Commitment to Equity

Benefit to CPS

Which (if any) CPS vision goals does your research support?

No answer provided.

[Click here to access more information on the CPS Vision Goals.](#)

Which (if any) of the CPS core values does your research support?

Equity

Please describe how your project supports each of the core values selected above.

Ewing, Davis & Guz (2021) refer to racially stratified graduation rates and the school push-out of Black, Indigenous and Students of Color (BIPOC) as two of the largest conversations in education scholarship, policy, and public discourse. Notably, the authors refer to the experiences of Option School students as the invisible 'wedge' between these two, otherwise well studied phenomena. This mixed methods research project, submitted in partnership with staff at Chicago Public Schools (CPS), aims to address the invisibility of these students' experiences through an outcome and process evaluation of the updated Option School transfer policy.

How does this project support the district broadly?

Although CPS has long-standing research-practice collaborations, historically most of that research has not included Option Schools or the transfer into Option Schools. Due to the opacity of Option Schools, it is difficult for the district to have a clear understanding of how students are transferred to Option Schools, under what circumstances this transfer occurs, and what services CPS students receive once they enroll in an Option School. Therefore, this project will provide CPS with A) essential information about the patterns of Option School transfer, B) meaningful insight into how the transfer policy is implemented by neighborhood schools, C) critical knowledge about how students and their guardians experience and engage with the transfer process, and D) immediately actionable insights regarding how the transfer process might be strengthened and how/where resources might be best applied to reduce transfer out of neighborhood schools. The Option School transfer policy outcome and process evaluation is being developed in partnership with CPS stakeholders including Megan Hougard and Molly Mikolajczyk. The collaboration ensures that the evaluation foregrounds analyzes that are going to be meaningful to district policy and education practice.

Commitment to Equity

In what ways does this project reflect/challenge/progress the district's commitment to equity?

Due to the opacity of Option Schools, it is difficult for the district to have a clear understanding of how students are transferred to Option Schools, under what circumstances this transfer occurs, and what services CPS students receive once they enroll in an Option School. Therefore, this project will provide CPS with A) essential information about the patterns of Option School transfer, B) meaningful insight into how the transfer policy is implemented by neighborhood schools, C) critical knowledge about how students and their guardians experience and engage with the transfer process, and D) immediately actionable insights regarding how the transfer process might be strengthened and how/where resources might be best applied to reduce transfer out of neighborhood schools. The Option School transfer policy outcome and process evaluation is being developed in partnership with CPS stakeholders including Megan Hougard and Molly Mikolajczyk. The collaboration ensures that the evaluation foregrounds analyzes that are going to be meaningful to district policy and education practice.

Reflect on the district's equity framework as well as the following: As a researcher, what is my privilege / bias when it comes to this question? Am I assuming that Black and brown students will inherently perform poorly? Have I consulted those whose communities I want to research? Is the research designed with the holistic humanity of the people I am researching in mind? Do I perceive the communities I want to research as allies, or as research subjects? Am I interrogating / challenging policies and systems that may be contributing to inequities? Will this project create an undue burden on the communities I am seeking to research?

How are your research activities accessible to individuals with disabilities?

Our research conceptualizes disability through formal, documented identifiers (e.g. IEPs and 504s) as well as undocumented disabilities students may be experiencing/identify with. These students will be able to assent to participate in the research as well as decline to participate in research activities.

Are your research activities translated into languages other than English as appropriate for the community?

Not applicable, we will not be interviewing non-English speaking students and guardians.

Please use the table below to list all District CPS Supporters and the role they will have in your study. Use the details box to describe your supporters' title and role in the district. List your primary supporter first.

Please click "save" after each line.

CPS Supporter Email Address	CPS Supporter Details
Hougard, Megan Email: mhougard@cps.edu Assistant: (773) 553-1620	The Option School transfer policy outcome and process evaluation is being developed in partnership with CPS stakeholders including Megan Hougard and Molly Mikolajczyk. The collaboration ensures that the evaluation foregrounds analyzes that are going to be meaningful to district policy and education practice.

Link to New Contact Form

User had the option to start a different form here.

How will you share your research findings with the population(s) you are studying?

We are sharing the research with CPS through memos and larger reports. We have already shared two memos with the district in order to inform immediate practice.

Research Activities**Start Date of Recruitment**

06/15/2022

End Date of Recruitment

06/01/2024

Please provide the date that you will begin primary data collection

06/15/2022

Please provide the end date of primary data collection

06/01/2024

Please provide the date that you will begin analysis

06/15/2022

Please provide the end date of analysis

06/01/2024

Please provide the approximate date that you will finalize your research report.

06/01/2024

Description of Deliverable/Final Product (i.e., academic/journal article, white paper, memo, report)

Several memos from June 15, 2022 to June 1, 2024 to inform immediate practice
A public report on entire project findings
Presentations to district stakeholders as requested and needed
Presentations to community stakeholders
Academic journal articles
Conference presentations at academic conferences

Will any portion of this research, including recruitment or consent, take place during or in any way interfere with standard activities?

No

With very few exceptions, research procedures cannot be carried out during or in any way interfere with standard activities, including instruction time or professional development sessions.

Will this study involve study subject randomization or a control group?

No

Will your research employ study-subject deception or non-disclosure?

No

Will this research involve Product Testing?

No

Will this research involve collection of biological samples or biometric data?

No

Does this research involve other research procedures not described previously?

No

Is this research tied to a standard or novel curriculum, teaching or other program, staff professional development training or program, or other non-research activity or activities?

No

Does this study involve the use of educational technology (including survey tools, video conference platforms, and third party websites. See note for add'l details)?

No

*Please be aware that under The Student Online Personal Protection Act, SOPPA (105 ILCS 85/), any platform students interact with must be compliant with current data security and student privacy regulations. Please note that this definition includes online survey tools such as Qualtrics. Please use the following website to check if your proposed platform is compliant with SOPPA:
<https://cps.app.learnplatform.com/new/public/tools>*

Study Population

Will you be submitting a secondary Data Request?

Yes

Please use the following link to begin the Data Request Form. The number listed above will be used to respond to the question regarding RRB submission protocol number

User had the option to start a different form here.

Study Subject Inclusion Criteria

Staff overseeing or implementing Options School transfer. Students and guardians experiencing Options School transfer.

If the research involves more than one study subject population (e.g. students, parents, teachers, staff), please individually detail the inclusion criteria for each.

Study Subject Exclusion Criteria

Staff, students, and parents not involved in the transfer.

If the research involves more than one study subject population, please individually detail the inclusion criteria for each

Please select all special populations that may be targeted for your study

Diverse Learner
Currently or Formerly Incarcerated or Paroled
Pregnant/Expectant Mothers
Parenting Youth

Describe the potential direct and/or indirect benefits for all detailed research procedures and populations

There is also a risk that participants may find it emotionally upsetting to discuss sensitive issues connected to the project's focus on the transfer process from neighborhood schools to alternative high schools. This harm of such upset is unlikely to be substantively greater than anything participants already experience in the course of their daily activities while at work or school.

Describe the anticipated potential risks, however minimal, associated with the detailed research procedures and subject populations

The foreseeable risks to participants associated with this study are minimal. There is an exceedingly small risk that their participation in the research study might be discovered; however, given the careful procedures in place to ensure confidentiality, this is a very remote possibility indeed. The potential harm associated with inadvertent discovery or disclosure of participation also appears small; given the nature of the issues being discussed, participants are not being asked to provide sensitive information that might affect their employment.

How will the identified risks for all research procedures and subject populations be minimized and/or mitigated to the greatest extent possible?

Researchers will take careful steps to minimize risks to participants, primarily by consistently following a set of procedures to ensure confidentiality for all schools and participating staff members. Participating schools will be referred to by pseudonyms only. Research participants will be assigned an alpha-numerical code; their names will never be used in any published material. Researchers will maintain a confidential crosswalk of participants names, titles, and school affiliations. All records, recordings, and transcripts will be stored on a secure, encrypted server.

What procedures will you use in the event that research questions/processes produce observable stress/distress in subjects?

The transfer process is the scope of the interviews. Therefore it is unlikely that disclosure of harm to self or others will be self-reported. If such disclosure occurs the research members will act as mandatory reporters and make a report to the appropriate agency and inform the PI. The risks of participating in this study are minimal and are substantially outweighed by the benefits of the research. Specifically the benefits of documenting the challenges and successes associated with the transfer process to an alternative high school. Findings from this study may build the capacity of local government and school district officials to marshal resources and direct supports to schools and educators to address issues identified through this research. Findings from this study may also provide high school administrators and educators information on how other schools in the city are approaching similar challenges and facilitate the dissemination of innovative or otherwise promising approaches to meeting students' needs.

Will you compensate study subjects?

Yes

Detail the proposed compensation (monetary and/or non-monetary) for each research procedure and population

20 dollars per interview for students and guardians. Interviews with staff could occur during breaks in the staff's work hours. This is typical of school research, the team will schedule the interviews around the staffs' work schedules. Staff will be compensated for the interviews 20 dollars as they will occur during their work breaks or after work hours.

Student incentives must be appropriate, equitable, and reasonable in amount. All staff incentives are limited to \$50 or less in a given year. Any amount in excess will require the secondary employment form to be completed by staff participants, or otherwise have the amount allocated to the school.

Describe when and where study subjects will be compensated and detail the mechanisms that will be in place to ensure study subject privacy when distributing compensation.

Students, guardians, and staff will be given their compensation at the end of the interview. The participants will receive the compensation whether or not they complete the length of the interview.

Describe the compensation schedule for participants that withdraw from the research or that are withdrawn from the research by the study team.

Students and guardians will be given their compensation at the end of the interview. The participants will receive the compensation whether or not they complete the length of the interview. Withdrawal from research or ending the interview will not impact compensation.

Study Recruitment

Outline every aspect of the recruitment process for students.

The researcher will be introduced to the guardians and students through the district staff. As a result, CPS staff will be the avenue of recruitment for guardians and staff, the researchers will not recruit guardian and student participants through CPS without going through a CPS transfer specialist.

Outline every aspect of the recruitment process for parent participants.

The researcher will be introduced to the guardians and students through the district staff. As a result, CPS staff will be the avenue of recruitment for guardians and staff, the researchers will not recruit guardian and student participants through CPS without going through a CPS transfer specialist.

Outline every aspect of the recruitment process for teacher participants.

Teachers may be identified for interviews through snowball sampling. Teachers will be recruited over email or over flyers posted near the school.

Outline every aspect of the recruitment process for non-teacher staff participants.

The Options School transfer policy details which school staff should be involved with transfer. These individuals will be recruited in person and/or over email. Snowball sampling will occur from these staff to other staff who are identified as active in Options School transfer. Transition specialists will be recruited over email for research activities.

Please attach all recruitment materials not attached elsewhere (Optional).

No answer provided.

Please attach all consent/assent forms associated with this study not already attached elsewhere (Optional).

No answer provided.

Identify study team members who will recruit subjects.

Samantha Guz will recruit all subjects.

Will this research involve screening procedures

No

Compliance**FERPA**

For more information on FERPA, click here.

Is any aspect of this research subject to FERPA?

No

ISSRA

For more information on ISSRA, click here.

Is any aspect of this research subject to ISSRA?

No

PPRA

For more information on PPRA, click [here](#).

Is any aspect of this research subject to PPRA?

No

Permission, Confidentiality, and Security

Attach a draft of the permission letter that will be sent to school Principals

Draft Letter to
Principals

Support Letters

*Please note that Principals have final
authority over what happens in their
schools.*

How will you protect the privacy of prospective research subjects? Please detail how study subject privacy will be protected during recruitment, screening, consent, and all research procedures. Provide an accounting for all applicable research procedures and study populations.

All secondary data (survey data, administrative data) will be stored on a secure, encrypted server in accordance with the Consortium's standing data sharing agreement with the Chicago Public Schools. All secondary data (survey data, administrative data) will be stored on a secure, encrypted server in accordance with the Consortium's standing data sharing agreement with the Chicago Public Schools. The quantitative data will remain in the control of the UChicago team, but be accessed remotely by Dr. Hinze-Pifer at UIUC, Samantha Guz, and Megan Hougard via VPN to the UChicago servers. Data will never be released from those servers.

Qualitative research data (e.g. audio files) are recorded using hand-held digital recorders or Zoom's record feature. Audio files are stored on digital recorders while researchers are in transit from field sites to the office. In the case of Zoom interviews or observations the transfer process to the secure server can happen immediately after the interview. Researchers will upload all audio files to the secure, encrypted server as soon as physically possible after conducting an interview. After an audio file has been uploaded to the server, the file will be deleted from the digital recorder. To ensure confidentiality is maintained, even in the event that a recorder is lost or stolen, researchers will refer to schools by pseudonyms and research participants by alpha-numeric code only at all times while conducting their interviews. Given her dual role in the project, Megan Hougard will not have access to any of the qualitative data (recordings or transcripts).

Data/specimens will be labeled with a code that the research team can link to personal identifying information through a crosswalk to the coding system. Only members of the UChicago Consortium research team will have access to the crosswalk that links participant identifiers to their interview audio and transcripts. The crosswalk will be stored electronically on the secure, encrypted server and will only be accessible to project staff. Signed consent forms, emails, name of qualitative participants, keys to coded data will be retained for 36 months in the secure server. After 36 months the qualitative data will be deleted from the server.

Describe the data confidentiality or security provisions that will be in place for all research data.

All secondary data (survey data, administrative data) will be stored on a secure, encrypted server in accordance with the Consortium's standing data sharing agreement with the Chicago Public Schools. All secondary data (survey data, administrative data) will be stored on a secure, encrypted server in accordance with the Consortium's standing data sharing agreement with the Chicago Public Schools. The quantitative data will remain in the control of the UChicago team, but be accessed remotely by Dr. Hinze-Pifer at UIUC, Samantha Guz, and Megan Hougard via VPN to the UChicago servers. Data will never be released from those servers.

How will you store participant data?

With codes

These details must be included in all applicable consent forms

Describe the coding mechanism, indicate where links to codes will be stored, identify the individuals who will have access to coding keys or links, and clarify if codes will be deleted at a later date.

Qualitative research data (e.g. audio files) are recorded using hand-held digital recorders or Zoom's record feature. Audio files are stored on digital recorders while researchers are in transit from field sites to the office. In the case of Zoom interviews or observations the transfer process to the secure server can happen immediately after the interview. Researchers will upload all audio files to the secure, encrypted server as soon as physically possible after conducting an interview. After an audio file has been uploaded to the server, the file will be deleted from the digital recorder. To ensure confidentiality is maintained, even in the event that a recorder is lost or stolen, researchers will refer to schools by pseudonyms and research participants by alpha-numeric code only at all times while conducting their interviews. Given her dual role in the project, Megan Hougard will not have access to any of the qualitative data (recordings or transcripts).

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Will you keep participants' contact information on file after the data have been collected?

Yes

How long will you store participant contact information?

36 months

Explain the purpose for which participant contact information will be retained, such as recruitment for future studies or other follow-up study completion

Follow up study completion, specifically additional interviews.

These details must be included in all applicable consent forms

Will you share individual-level data with other researchers or practitioners beyond the designated key research personnel?

No

What will you do with the data once the research has been completed (choose all that apply)?

Retain data for three years or longer post-completion, then destroy it

Please note that the district discourages storing study data for longer than three years after study completion.

Please describe the purpose for which you will be storing data after the conclusion of the study. Also, explain the planned duration (i.e. how long) you will retain data

The data will be held for 36 months on the secure server through 36 to complete analysis and dissemination of results.

Attachments

Please attach all miscellaneous attachments

No answer provided.

If you are resubmitting your protocol following initial review, please attach your response letter here.

Are there any additional finalized contracts or agreements associated with this research that have not been attached elsewhere as part of this application (e.g. CPS Data Authorization Agreements)?

No

Are there any pending (i.e. not yet signed by both parties) contracts or agreements associated with this research that have not been attached elsewhere as part of this application?

No

Acknowledgements

Acknowledgements

Please acknowledge the following:

- ✓ All parts of this submission are accurate, complete, consistent, and clear.
- ✓ I have accurately and completely described all intended human subjects research procedures and the populations with whom they will be carried out.
- ✓ I have attached all study materials, including, but not limited to, all materials that will be given to, sent to, read to, or otherwise used with all prospective study subject populations.
- ✓ This submission adhere to all CPS policies and guidance as outlined in the link below
<https://www.cps.edu/about/district-data/conduct-primary-research/>
- ✓ I have accurately identified all personnel who will be involved in this study.
- ✓ I acknowledge that any/all changes required by the CPS RRB in the course of its review of this submission will be reported to my IRB of record during the entire lifetime of this study.
- ✓ I attest that I will work with my IRB of record to address any concerns raised in the review of this submission.
- ✓ I attest that all of the research procedures detailed in this submission have been carried out with prospective IRB review and approval.
- ✓ I agree to comply with all background check and volunteer procedures required of my study, per the official CPS Volunteer Policy (link provided below):
<https://policy.cps.edu/download.aspx?ID=272>

Submission Date

08/22/2022

Load CR/Mod into IRBManager
- Submitted 01/30/2023 6:38 PM ET by System, The

CR/Mod Processing
- Submitted 02/21/2023 2:29 PM ET by Corson, Adam

CR/Mod Processing

Ready for Review

Approve

Approval Date

02/21/2023

Approval Period (in number of months)

12

Existing Background Check Level

Level I

Existing Background Check Justification

Interactions in schools and with students.

Does background check level need to be updated?

No

Notes for Letter

No answer provided.

RRB Meeting Date for Notification

03/03/2023

Current School Sites

No answer provided.

School Sites Chosen Within Data Entry

School Contacts for Sites Chosen

No answer provided.

Are the Supplementary Sites the same?

True

Administrative Reviewer

Corson, Adam

Email: ACorson1@cps.edu

Phone:

Load Approved Modifications

- Submitted 02/21/2023 2:31 PM ET by System, The

Determination Letter Finalization**- Submitted 02/21/2023 4:56 PM ET by Corson, Adam****Review Generated Letter and Confirm Before Sending****RRB #**

2021-1705

Study Title

Who Belongs in Neighborhood Schools: Appropriate Student Services, Alternative High Schools, and Push-out

Principal Investigator

Guz, Samantha

Email: sguz@uchicago.edu**Business:** (210) 887-5004**Determination Letter**

In some cases you may see other determination letters attached by the submitter. However, only the generated determination letter will be sent in the decision email.

Name	Type	Date
RRB#2021-1705-Samantha Guz 2023-02-21.docx	Determination Letter	02/21/2023

This determination letter will be automatically attached to an email being sent to the principal investigator.

Please use the link below, click on the Attachments link on the left side of the page if you need to upload an edited version of the above letter.

Modification/Continuing Review defined 01/30/2023

Output Background Check Level

N/A

Additional Attachments to Decision Email*No answer provided.*

Notes for Determination Email

No answer provided.

Study Site Contact Background Check Expirations

Name	Role	Background Check Expiration
Guz, Samantha	Project Team Member	Missing
Guz, Samantha	Principal Investigator	Missing
Hinze-Pifer, Rebecca PhD	Project Team Member	Missing
Hull, Constance	Project Team Member	Missing
Johnson, David PhD	Project Team Member	Missing

Please use the text box above to indicate the background check level required or any other pertinent information.

Level I

Background Check Level Justification

Interactions in schools and with students.

Other Notes in Letter

N/A

The following text will be used to obtain informed consent from parents/legal guardians of high school students to participate in five one hour long interviews. Students will be recruited and parents contacted by district staff and school staff. Consent will be completed and collected electronically. Student assent will be confirmed verbally at the time of the interviews.

We are researchers at the University of Chicago Consortium on School Research and at the University of Illinois. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. We want to learn from you and understand your experiences as a guardian of a CPS student, we believe that your perspective is critically important to making school communities more inclusive, just, and humane places for young people and adults.

We are asking parents/guardians to grant permission student to participate five one hour long interviews to understand the transfer process from the student's perspective. Your child's participation is voluntary. Everything that your child shares during the interviews will be kept strictly confidential and will not affect their relationship with the school or staff, or the provision of education or related services. We are also asking that you for consent to participate in five one hour long interviews to understand the transfer process from your perspective. Your participation is completely voluntary and everything you share during the interview will be kept strictly confidential and will not affect your relationship with the school or staff, or the provision of your student's education or related services. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Incentives:

As an expression of our gratitude to you and your child for your participation in helping us understand your experiences, we will provide you both with \$10 in cash after each interview. If you or the student is only able to complete part of the interviews for whatever reason, you and the student will still receive the thank you gift (e.g. cash).

Risks and Benefits:

You and your child's participation in this study does not involve any risk to you beyond that of everyday life. Taking part in this study may not benefit you or your child personally, but we may learn new things from you both that could inform school policy.

Confidentiality:

Your and your child's participation in the interviews will be recorded electronically. The recording will be transcribed and stored securely on an encrypted server. The transcript will be de-identified and neither your name, your child's name, nor the name of their high school will be disclosed. The transcript of you and your child's participation in the interviews will be maintained on an encrypted server for up to five years after the conclusion of the study and then securely deleted.

If you or your child decides to withdraw from the study, researchers will ask whether data already collected can be used (e.g. their participation in the interviews). In the event that you or your child decline, any data collected to that point from you and your child will be securely deleted. Identifiable information (e.g. your child's name, the name of your child's high school) will never be shared publicly or in any future research. De-identified data -- stripped of names and other identifying details -- may be shared, both in publications and possible future research without your additional informed consent.

You and your child's de-identified interview transcript may be shown to other CPS parents not involved in the study and community organizations representing the interests of CPS parents. This is being done to engage participatory techniques in the research process to enhance the validity of the findings and the dissemination of the results.

Consent:

Participation is voluntary. Refusal to participate or withdrawing from the research will involve no penalty or loss of benefits to which you might otherwise be entitled.

If you consent to your child's participation in this research, please circle the sentence below marked "Yes -- I consent to my child's participation in this study." If you do not consent, please circle the sentence marked "No -- I do not consent to my child's participation in this study." By circling "Yes" below, you confirm that you have read the consent form, are yourself at least 18 years old, and give your consent for your child to participate in the study. You will receive a copy of your response.

- Yes -- I consent to my child's participation in this study

Signature:

- No -- I do NOT consent to my child's participation in this study

If you consent to participate in this research, please circle the sentence below marked "Yes -- I consent to participate in this study." If you do not consent, please circle the sentence below marked "No -- I do not consent to participate in this study." By circling "Yes" below, you confirm that you have read the consent form, are yourself at least 18 years old, and give your consent to participate in the study. You will receive a copy of your response.

- Yes -- I consent to participate in this study

Signature:

- No -- I do NOT consent to participate in this study

Transfer to Alternative High School—District Transfer Specialists & School Staff Interview Protocol

Preamble

Before we get started with this interview, there are a few important things for us to go over together. I want to remind you about why we're doing this interview and give you some important information about your participation in it.

Purpose of the Project

We are researchers at the University of Chicago Consortium on School Research and at the University of Illinois. This interview is part of a research project. This interview is part of a research project. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. In this interview we will focus on how the transfer process manifests in practice and your experience working on transfers. We want to learn from you and understand your experiences as a [school member or district transfer specialist], we believe that your perspective is critically important to making school communities more inclusive, just, and humane places for young people and adults. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Review of Participation & Confidentiality

Before asking for your consent, I want to take just a moment to review a few important things:

- First, participating in this interview is **completely voluntary**. You're free to stop at any time and you can decline to answer any question you choose.
- Second, this interview is **completely confidential**. No one outside of the folks here today and the folks in our research group will know what we discuss today. As a reminder, your choice to consent or decline this interview will not impact your employment with the district. Further, we explained during the consent process, the only time I would break that confidentiality would be if I had reason to believe someone is harming you or that someone else is being harmed or in danger of being harmed. By law, I am mandated to report that.
- Third, may we follow up with you for additional interviews? How can we get in touch with you for additional interviews?
- To be sure that I can pay complete attention to what you're saying, **I would like to record this conversation**. Altogether, this should take about 90 minutes.

Consent

If you consent participate in this research, please click the box below marked "Yes -- I consent to participate in this study." Also please sign below the box to indicate your consent. If you do not

consent, please mark the box below marked “No -- I do not consent to participate in this study.” By circling “Yes” below, you confirm that you have read the consent form, are over the age of 18, and give your consent to participate in the study. You will receive a copy of your response.

- Yes -- I consent participate in this study

- No -- I do NOT consent to participate in this study

Are there any questions or concerns before we begin?

[Begin recording the meeting here]

Are there any questions or concerns before we begin?

[Begin recording the meeting here]

Section 1: Participant Attributes (all participants)

- What office in the district do you work for? (Network placement, high school placement)
- What is your job title? (CPS district transfer specialist, high school teacher, school counselor, school social worker etc.)
- How long have you held your current position?
- What role do you play in the transfer process to Option Schools?

Section 2: Who Belongs in Neighborhood Schools?

District Transfer Specialists

- Tell me about the network you are assigned to.
 - From your perspective, what are the strengthens of this network?
 - What are the challenges?
 - How might your perception of the network’s strengthens and challenges differ from the district?
 - How do issues facing Chicago, such food and housing insecurity and, impact the network?
- From your perspective, what student needs can be served at neighborhood high schools?
 - Ideally what services should students have access to in neighborhood high schools?
 - How does reality differ from that ideal?
 - How do you think schools can or should go about meeting those students’ needs?
 - What impacts a school’s ability to meet students’ needs?
 - Probe: Ideological approach to schooling and schools being under resourced
- In this vein, what student needs or behaviors are outside the boundaries of neighborhood high schools?

- What makes these student needs outside the capacity of [name of high school in network]?
- In your opinion, are there any student needs neighborhood schools cannot meet or should not be expected to meet?
- From your perspective, how does a school determine the appropriate student population for neighborhood high schools?
 - To what extent do school administrations decide what social services and student needs should be provided in house?
 - What role do community partners play in this process?
 - What are your thoughts on these approaches?
 - What in your opinion should be different?
 - What do schools need to consider when deciding what types of students are appropriate for Option Schools?

School Staff

- How would you describe [name of high school]?
 - [name of high school] is a neighborhood school. Tell me about community surrounding the school.
 - What are the strengths of the community?
- Tell me about the population of students [name of high school] serves?
 - Generally, what do you see as the needs of the student population?
- Describe to me a typical student at [name of high school].
 - How does [name of high school] support this type of student?
 - Probe: menu of social services, built in tiered level supports, availability for more intensive supports
 - How do issues facing Chicago, such as food insecurity and homelessness, impact students' needs?
 - How do you think high schools can or should go about meeting those students' needs?
 - What student needs or behaviors are outside the capacity of [name of high school]?
 - What makes these student needs outside the capacity of [name of high school]?
 - In your opinion, are these student needs outside the capacity of neighborhood high schools generally or specifically [name of high school]?
- From your perspective, how does [school name] determine the appropriate student population for mainstream high schools?
 - To what extent does the administration of [name of high school] decide what student needs can be served in house?
 - What are your thoughts on these approaches?
 - What in your opinion should be different?

- What does the school need to consider when deciding what types of students belong in traditional high schools?

Section 3: The Transfer and Push Out Process

District Transfer Specialists

- Tell me how you were trained in this updated transfer policy
 - What is the reality of the policy in practice?
 - How aligned is this reality with the district's original intention?
 - How does the policy's intention and reality diverge?
- From your perspective, how did schools in your network respond to the policy?
 - What made them respond that way?
 - Did their responses differ by the schools' resources or pre-existing supports?
- As you have been implementing this policy, what has surprised you?
- In your experience, what are school's motivations in the transfer process?
 - Do you think there are other motivations for transfer? (behavioral, test scores etc.)
 - From your perspective do individual staff members use of the transfer process differ from the schools?
 - Is there a specific case you are thinking of?
- From your perspective, to what extent does racism impact the transfer process?
 - How does racism impact the perception of students who may be vulnerable to transfer?
 - Does the school respond to the transfer process differently based on student IEP status?
- What is in your opinion an appropriate referral for transfer?
 - What is an inappropriate referral for transfer?
- What has made you pause a transfer process?
 - Tell me about a time you weren't confident that transfer to Option School was the best thing for the student.
 - Tell me about a case where you were confident that transfer to Option School was the right thing for the student.
- In your opinion, how are students' and their families involved in the process?
 - To what extend are students' preferences taken into account?
 - What about families preferences?
 - How are families able to stop or speed up the transfer process?
 - Is a specific case coming to mind?
- From your perspective, how do students and their families initially respond to the transfer process?
 - Does their response change over time?
- Generally you think the policy accomplishes its goal?
 - How so?

School Staff

- CPS recently updated its Option School transfer policy. What do you think was the motivation for this updated policy?
 - To what extent do you agree with the district's motivation?
- How does the school decide if a student should be transferred to an Option School?
 - What does the school look for when deciding if a student should be transferred? (student request, behavioral, academic performance, attendance, additional supports etc.)
 - How does this differ from what you look for?
 - What information does the school use to decide if a student should be transferred? (GPA, attendance, social service supports etc.)
 - How does the school collect this information?
- From your perspective, to what extent does racism impact the transfer process?
 - Does the school respond to the transfer process differently based on student IEP status?
- What would make the school pause the transfer process?
 - Tell me about a time you weren't confident that transfer to Option School was the best thing for the student.
 - Tell me about a case where you were confident that transfer to Option School was the right thing for the student.
- In your opinion, how are students' and their families involved in the process?
 - To what extent are students' preferences taken into account?
 - What about families preferences?
 - How are families able to stop or speed up the transfer process?
 - Is a specific case coming to mind?
- From your perspective, how do students and their families initially respond to the transfer process?
 - Does their response change over time?
- Generally you think the policy accomplishes its goal?
 - How so?

Section 4: The Function of Option Schools in the District

District Transfer Specialists

- What do you know about Option Schools?
 - What information do you not know that you would like to know?
- In your opinion, how would Option Schools ideally function in CPS?
 - How does this differ or align with their actual function?

- Community organizing and advocacy have a strong presence in Chicago around education. However, there has not been a consistent visible movement or public conversation around Option Schools in CPS, why do you think that is?
- What concerns do you have about Option Schools?
- Have you ever thought about Option Schools in relation to the school-prison-pipeline?

School Staff

- How does [name of school] perceive Option Schools?
 - Does that perception align with the districts?
 - Does that perception align with the surrounding communities' perception?
- What is your perception of Option Schools?
 - Where did you get information about Option Schools?
 - What information do you not know that you would like to know?
- In your opinion, how would Option Schools ideally function in CPS?
 - How does this differ or align with their actual function?
- What concerns do you have about Option Schools?
- Have you ever thought about Option Schools in relation to the school-prison-pipeline?

Section 5: Conclusion

- We are coming to the end of the interview. Is there anything I did not ask you about that you need I should know about Option Schools and the transfer process?
- Lastly, what do policy makers and district leadership need to know about Option Schools and the transfer process?

Transfer to Alternative High School—Student Interview First Time Point

Preamble

Before we get started with this interview, there are a few important things for us to go over together. I want to remind you about why we're doing this interview and give you some important information about your participation in it.

Purpose of the Project

We are researchers at the University of Chicago Consortium on School Research and at the University of Illinois. This interview is part of a research project. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. In this interview we will focus on how you experience and engage with the transfer process. We want to learn from you and understand your experiences as a CPS student, we believe that your perspective is critically important to making school communities more inclusive, just, and humane places for young people and adults. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Review of Participation & Confidentiality

Before asking for your consent, I want to take just a moment to review a few important things:

- First, participating in this interview is **completely voluntary**. You're free to stop at any time and you can decline to answer any question you choose. Further if this interview is occurring remotely a CPS employee will be present in the interview and this interview will be hosted by a CPS employee through CPS Google Meet.
- Second, this interview is **completely confidential**. No one outside of the folks here today and the folks in our research group will know what we discuss today. As a reminder, your choice to consent or decline this interview will not impact your standing with the district. Your participation in this interview will not hurt or help your experience in the transfer process. Further, we explained during the consent process, the only time I would break that confidentiality would be if I had reason to believe someone is harming you or that someone else is being harmed or in danger of being harmed. By law, I am mandated to report that.
- Third, may we follow up with you for additional interviews? How can we get in touch with you for additional interviews?
- Fourth, we may share your de-identified transcripts with CPS parents not participating in the study and community organizations representing the interests of parents. This is done to amplify the validity of the findings and disseminate information.
- To be sure that I can pay complete attention to what you're saying, **I would like to record this conversation**. Altogether, this should take about 60 minutes.

Consent

If you consent to participate in this research, please click the box below marked “Yes -- I consent to participate in this study.” Also please sign below the box to indicate your consent. If you do not consent, please mark the box below marked “No -- I do not consent to participate in this study.” By circling “Yes” below, you confirm that you have read the consent form and give your consent to participate in the study. You will receive a copy of your responses.

- Yes -- I consent participate in this study

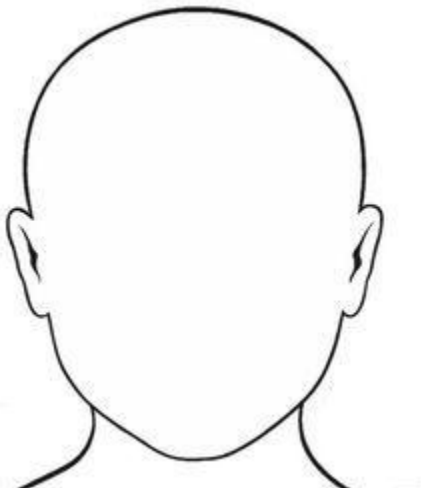
- No -- I do NOT consent to participate in this study

Are there any questions or concerns before we begin?
[Begin recording the meeting here]

Section 1: Participant Attributes

- Tell me about yourself as a CPS student
 - Probe: age, student identities, education trajectory through preschool-8th, extracurricular club participation
- What do you like about school?
- What was your 8th grade experience like?
 - Probe: social services, classroom experience, IEP status
 - What were your hopes for high school at that time?
- How about the transition to high school?
 - Probe: social services, classroom experience, IEP status

Section 2: If My Neighborhood High School Were A Person, What Would That Person Look Like?



If [neighborhood school] were a person, what would that person look like? You can include words, pictures, places, your feelings, your thoughts and the things you see. You can include things that work for you and things that don't. The colors, stickers, and materials are here to be used in anyway you would like. I will create one with you, so you won't be doing this alone. You will get the chance to explain your portrait to me and ask me about mine.

- If [neighborhood school] were a person, what would that person look like?
 - Probe: joy in school, peers and friendships, meaningful relationships with adults, learning about interesting topics and oneself, experience in the classroom, experience getting social services, IEP status, racialized ability, discipline, student voice and leadership, family engagement with school,
- What are your hopes for this person?
 - Probe: increased capacity and material resources, perception of students
- How has the transfer process impacted this person?
 - Probe: is it represented on the image, student's perception and engagement with transfer process, interaction with staff and school routines
 - How has the transfer process impacted you?
- What questions do you have about my portraits?
 - What is similar about our portraits? What is different?
 - What makes our perception different?

Example:

Section 3: Conclusion

- We are coming to the end of our time together. Is there anything I did not ask you about that you need I should know your experiences?
- Lastly, what do other students need to know about the transfer process?

Transfer to Alternative High School—Guardian Interview

Preamble

Before we get started with this interview, there are a few important things for us to go over together. I want to remind you about why we're doing this interview and give you some important information about your participation in it.

Purpose of the Project

This interview is part of a research project. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. In this interview we will focus on how you experience and engage with the transfer process. We want to learn from you and understand your experiences as a guardian of a CPS student, we believe that your perspective is critically important to making school communities more inclusive, just, and humane places for young people and adults. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Reminder of Participation & Confidentiality

Thank you again for agreeing to participate in this interview. I want to take just a moment to remind you of a few important things:

- First, participating in this interview is **completely voluntary**. You're free to stop at any time and you can decline to answer any question you choose.
- Second, this interview is **completely confidential**. No one outside of the folks here today and the folks in our research group will know what we discuss today. As a reminder, your choice to consent or decline this interview will not impact your student's standing with the district. Further, we explained during the consent process, the only time I would break that confidentiality would be if I had reason to believe someone is harming you or that someone else is being harmed or in danger of being harmed. By law, I am mandated to report that.
- Third, I would like to contact you to invite you to participate in another interview. How should I get in contact with you?
- To be sure that I can pay complete attention to what you're saying, **I would like to record this conversation**. Altogether, this should take about 90 minutes.

Are there any questions or concerns before we begin?

[Begin recording the meeting here]

Section 1: Participant Attributes

- Tell me about yourself as a guardian/parent to a CPS student
 - Probe: age, racial identities in the family, timeline of students' IEP status, preschool-8th grade trajectory, student's current needs

- What was your experience in high school like?
 - Were you a CPS graduate?
 - How was your experience different or similar to [student's name]?

Section 2: Transition to High School

- What was the transition from 8th grade to high school like for your family?
 - What services did your student have access to in their 8th grade school?
 - To what degree did you think those services were helpful?
 - From your perspective, were you able to have a voice in your student's services?
- Tell me about the enrollment process at [name of neighborhood high school]
 - In the process of choosing a high school what did your family consider?
 - Probe: social services, transportation, discipline, academics
 - What do remember being important to [student's name] during that process?
 - How did your family approach enrolling [students name] in high school?
 - Is there a particular part of the process that stands out to you?
 - CPS calls the transition to high school a choice process, what choices did you feel like your family had?
- How did [students name] IEP status impact the transition process to high school?
 - Probe: IEP process, diagnostic changes, IEP status changes

Section 3: Experiences in the Neighborhood School

- How did you go about advocating for [student's name] before high school?
 - Probe: advocating for services, advocating for academics, experience engaging with the school, where they learned these strategies
 - Is there a specific story that is coming to mind?
- How has this changed since [student's name] entered high school?
- From your perspective, what has high school been like for [student's name]?
- How does [neighborhood high school] approach providing [student's name] services?

Section 3: Beginning the Transfer Process

- Tell me about how your family has experienced the transfer process
- What were you told about the reason for transfer?
 - Probe: who started transfer process, events that prompted the transfer, use of school data, interaction with district specialists
 - How does that align with your perspective?
- What do you know about transfer process?
 - How did you get that information?
- How has the school engaged you in the transfer process?
 - From your perspective are guardian perspective taken into account in the process?
- What do you know about Option Schools?
 - Where did you get that information?

Section 4: Conclusion

- We are coming to the end of the interview. Is there anything I did not ask you about that you need I should know your experiences in the transfer process?
- Lastly, what does CPS leadership need to know about this transfer process?

PI Name: David W. Johnson

Title: Alternative High School Transfers

Protocol Number:

Hello, my name is David Johnson. I'm a senior research analyst at the University of Chicago Consortium on School Research. I'm conducting a research project about transfers to Option Schools in Chicago Public Schools (CPS). We are interested in speaking with students and their families about their experience and perception of the transfer process. Your experience will provide important information about the transfer process that will help the district better serve families.

Your participation in this research includes taking part in 5 interviews that will each last no longer than 60 minutes. As a thank you for your participation, you will receive 10 dollars in cash.

A member of the research team will conduct the interviews. The research team must adhere to this research study's rules on confidentiality; everything that you share in the interview will be kept strictly confidential and will not affect your student's educational or related services. Megan Hougard, Chief of Schools at CPS and University of Illinois graduate student, is on the project. However she will not have a role in our interview nor will she have access to your information. She will not know if you participated and she will not know what you said in the interview if you choose to participate. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

If you have any questions or concerns, I can be reached at dwjohnso@uchicago.edu or 773.573.5936.

Thank you,

David W. Johnson

PI Name: David W. Johnson

Title: Alternative High School Transfers

Protocol Number:

Hello, my name is David Johnson. I'm a senior research analyst at the University of Chicago Consortium on School Research. I'm conducting a research project about transfers to Option Schools in Chicago Public Schools (CPS). We are interested in speaking with staff about their experience and perception of the transfer process. Your experience will provide important information about the transfer process that will help the district better serve families.

Your participation in this research includes taking part in an interview that will last no longer than 90 minutes.

A member of the research team will conduct the interviews. The research team must adhere to this research study's rules on confidentiality; everything that you share in the interview will be kept strictly confidential and will not affect your employment with the district. Megan Hougard, Chief of Schools at CPS and University of Illinois graduate student, is on the project. However she will not have a role in our interview nor will she have access to your information. She will not know if you participated and she will not know what you said in the interview if you choose to participate. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

If you have any questions or concerns, I can be reached at dwjohnso@uchicago.edu or 773.573.5936.

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Your participation in this research includes taking part in 5 interviews that will each last no longer than 60 minutes. As a thank you for your participation, you will receive 10 dollars in cash.

A member of the research team will conduct the interviews. The research team must adhere to this research study's rules on confidentiality; everything that you share in the interview will be kept strictly confidential and will not affect your educational or related services with the district. Further if this interview is occurring remotely a CPS employee will be present in the interview and this interview will be hosted by a CPS employee through CPS Google Meet. Megan Hougard, Chief of Schools at CPS and University of Illinois graduate student, is on the project. However she will not have a role in our interview nor will she have access to your information. She will not know if you participated and she will not know what you said in the interview if you choose to participate. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Thank you,

David W. Johnson

This document was created in response to revision requests. It has been submitted as an amendment to the University of Chicago IRB and is awaiting approval.

CPS Observation Consent Preamble

Before we review consent for an observation, there are a few important things for us to go over together. I want to remind you about why we're doing this observation and give you some important information about your participation in it.

Purpose of the Project

We are researchers at the University of Chicago Consortium on School Research and at the University of Illinois. This observation is part of a research project. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. In this observation we will focus on how the transfer process manifests in practice and your experience with transfer to Options Schools.

We are asking parents/guardians to grant permission student to participate in an observation of a conversation about transfer. Your child's participation is voluntary. Everything that your child shares during the observation will be kept strictly confidential and will not affect their relationship with the school or staff, or the provision of education or related services. We are also asking that you for consent to participate an observation understand the transfer process from your perspective. Your participation is completely voluntary and everything you share during the observation will be kept strictly confidential and will not affect your relationship with the school or staff, or the provision of your student's education or related services. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Risks and Benefits:

You and your child's participation in this study does not involve any risk to you beyond that of everyday life. Taking part in this study may not benefit you or your child personally, but we may learn new things from you both that could inform school policy.

Confidentiality:

Your and your child's participation in the observation will not be recorded and will only be documented through researcher notes. The notes will be stored securely on an encrypted server. The notes will be de-identified and neither your name, your child's name, nor the name of their high school will be disclosed. The notes of you and your child's participation in the observation will be maintained on an encrypted server for up to five years after the conclusion of the study and then securely deleted.

If you or your child decides to withdraw from the study, researchers will ask whether data already collected can be used (e.g. their participation in the interviews). In the event that you or your child decline, any data collected to that point from you and your child will be securely deleted. Identifiable information (e.g. your child's name, the name of your child's high school) will never be shared publicly or in any future research. De-identified data -- stripped of names

and other identifying details -- may be shared, both in publications and possible future research without your additional informed consent.

Megan Hougard, Chief of Schools at CPS and University of Illinois graduate student, is on the project. However she will not have a role in our interview nor will she have access to your information. She will not know if you participated and she will not know what you said in the interview if you choose to participate.

Contacts & Questions:

If you have questions or concerns about the study, you can contact the researchers directly

David W. Johnson, PhD (Primary Investigator)

University of Chicago Consortium on School Research

1313 E. 60th Street

Chicago IL, 60637

dwjohnso@uchicago.edu

(773) 573-5936

If you have any questions about your rights as a participant in this research, feel you have been harmed, or wish to discuss other study-related concerns with someone who is not part of the research team, you can contact the University of Chicago Crown Family School of Social Work, Policy, and Practice and Chapin Hall Institutional Review Board (Crown-CH IRB) Office by phone at (773) 834-0402, or by email at irb@crownschool.uchicago.edu.

Consent:

Participation is voluntary. Refusal to participate or withdrawing from the research will involve no penalty or loss of benefits to which you might otherwise be entitled.

If you consent to your child's participation in this research, please circle the box below marked "Yes -- I consent to my child's participation in this study" and sign below. If you do not consent, please mark the box below marked "No -- I do not consent to my child's participation in this study." By circling "Yes" below, you confirm that you have read the consent form, are yourself at least 18 years old, and give your consent for your child to participate in the study. You will receive a physical copy of your consent form.

- Yes -- I consent to my child's participation in this study

Signature:

- No -- I do NOT consent to my child's participation in this study

If you consent participate in this research, please click the box below marked "Yes -- I consent to participate in this study." If you do not consent, please mark the box below marked "No -- I do not consent to participate in this study." By clicking "Yes" below, you confirm that you have

read the consent form, are yourself at least 18 years old, and give your consent to participate in the study. You will receive an electronic copy of your responses after you click “Submit.”

- Yes -- I consent participate in this study
- No -- I do NOT consent to participate in this study

CPS Observation Consent

Preamble

Before we review consent for an observation, there are a few important things for us to go over together. I want to remind you about why we're doing this observation and give you some important information about your participation in it.

Purpose of the Project

We are researchers at the University of Chicago Consortium on School Research and at the University of Illinois. This observation is part of a research project. This observation is part of a research project. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. In this observation we will focus on how the transfer process manifests in practice and your experience working on transfers. We want to learn from you and understand your experiences as a [school staff member or district transfer specialist], we believe that your perspective is critically important to making school communities more inclusive, just, and humane places for young people and adults. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Review of Participation & Confidentiality

Before asking for your consent, I want to take just a moment to review a few important things:

- First, participating in this observation is **completely voluntary**. You're free to stop at any time and you can decline to answer any question you choose.
- Second, this observation is **completely confidential**. No one outside of the folks here today and the folks in our research group will know what we discuss today. As a reminder, your choice to consent or decline this observation will not impact your employment with the district. Further, we explained during the consent process, the only time I would break that confidentiality would be if I had reason to believe someone is harming you or that someone else is being harmed or in danger of being harmed. By law, I am mandated to report that.

Consent

If you consent participate in this research, please circle the box below marked "Yes -- I consent to participate in this study." Also please sign below the box to indicate your consent. If you do not consent, please mark the box below marked "No -- I do not consent to participate in this study." By circling "Yes" below, you confirm that you have read the consent form, are over the age of 18, and give your consent to participate in the study. You will receive copy of your responses.

- Yes -- I consent participate in this study

Signature:

- No -- I do NOT consent to participate in this study

This document was created in response to revision requests. It has been submitted as an amendment to the University of Chicago IRB and is awaiting approval.

CPS Observation Consent Preamble

Before we review consent for an observation, there are a few important things for us to go over together. I want to remind you about why we're doing this observation and give you some important information about your participation in it.

Purpose of the Project

We are researchers at the University of Chicago Consortium on School Research and at the University of Illinois. This observation is part of a research project. The purpose of the project is to get a better understanding of Chicago Public School's (CPS) new transfer policy to Option Schools. In this observation we will focus on how the transfer process manifests in practice and your experience with transfer to Options Schools.

We are asking students to participate in observations about transfer. Your participation is voluntary. Everything that you share during the observation will be kept strictly confidential and will not affect their relationship with the school or staff, or the provision of education or related services. Data collected as part of this project will be kept for 36 months and used for various products such as journal articles and reports.

Risks and Benefits:

Your participation in this study does not involve any risk to you beyond that of everyday life. Taking part in this study may not benefit you or your child personally, but we may learn new things from you both that could inform school policy.

Confidentiality:

Your participation in the observation will not be recorded and will only be documented through researcher notes. The notes will be stored securely on an encrypted server. The notes will be de-identified and neither your name, your parent's name, nor the name of your high school will be disclosed. The notes of your participation in the observation will be maintained on an encrypted server for up to five years after the conclusion of the study and then securely deleted.

If you decide to withdraw from the study, researchers will ask whether data already collected can be used (e.g. their participation in the interviews). In the event that you decline, any data collected to that point from you will be securely deleted. Identifiable information (e.g. your name, the name of your high school) will never be shared publicly or in any future research. De-identified data -- stripped of names and other identifying details -- may be shared, both in publications and possible future research without your additional informed consent.

Megan Hougard, Chief of Schools at CPS and University of Illinois graduate student, is on the project. However she will not have a role in our interview nor will she have access to your information. She will not know if you participated and she will not know what you said in the interview if you choose to participate.

Contacts & Questions:

If you have questions or concerns about the study, you can contact the researchers directly

David W. Johnson, PhD (Primary Investigator)

University of Chicago Consortium on School Research

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Consent:

Participation is voluntary. Refusal to participate or withdrawing from the research will involve no penalty or loss of benefits to which you might otherwise be entitled.

If you consent participate in this research, please click the box below marked “Yes -- I consent to participate in this study.” If you do not consent, please mark the box below marked “No -- I do not consent to participate in this study.” By clicking “Yes” below, you confirm that you have read the consent form, are yourself at least 18 years old, and give your consent to participate in the study. You will receive an electronic copy of your responses after you click “Submit.”

- Yes -- I consent participate in this study
- No -- I do NOT consent to participate in this study

Statement of Work: Who Belongs in Mainstream Schools? The Role of District Policy in Reducing Inequitable Transfer to Alternative Schools

This Statement of Work outlines work to be conducted by the University of Chicago Consortium on School Research (CCSR) as part of the proposed grant from the WT Grant Reducing Inequality Officer's Grant program. CCSR will support the work of the grant in four ways:

- 1) CCSR staff (Dr. David W. Johnson) will work with Sam Guz, a doctoral student at the UChicago Crown School of Social Work, Policy, and Practice, to conduct qualitative portions of the proposed research. The majority of that work (Sam Guz's time, other RA time, transcription) is funded by existing UChicago funding sources; the portion funded by this grant is limited to Dr. Johnson's time in weekly meetings and participation in research design and analysis.
- 2) CCSR will hold qualitative and quantitative data on their secure servers and manage Data Use Agreements with the Chicago Public Schools (CPS) to allow for access to administrative data. CCSR staff (Todd Rosenkrantz) will transfer new data for this project from CPS to project folders on the CCSR server, as well as provide access to and initial cleaning of administrative data files typically collected by CCSR under their existing Umbrella Data Sharing Agreement with CPS. CCSR will provide remote login access to their secure servers for Dr. Hinze-Pifer and one doctoral student (Sam Guz) to access these data, as well as provide standard data analysis software (Stata, NVivo) to allow for analysis of the data.
- 3) The research design includes direct interviews with students and families, as well as a Community Advisory Board structure to provide guidance in framing and analysis. CCSR will process participant compensation payments for these two groups.
- 4) CCSR will produce and release a report of research findings at the end of the project. CCSR staff (Dr. David Johnson) will collaborate with Dr. Hinze-Pifer and Sam Guz to write the report, and CCSR staff (Jessica Tansey, Jessica Puller) will provide support in development of the report, drafting, layout, editing, publishing, and public dissemination.

Notification of Expedited Approval

Date of Letter: 11/16/2021

Protocol [IRB21-1277](#)

Number/Submission

Link:

Type of New Study

Submission:

Status: **Approved** (with stipulation)

Principal Investigator: David Johnson

Samantha Guz

Primary Contact:

Protocol Title: Who Belongs in Neighborhood Schools? Appropriate Student Services, Alternative High Schools, and Push-Out

Risk Level: Minimal Risk

Consent Type: Waiver of Consent
Waiver of Documentation of Consent
Parental Permission Waived
Assent Waived
Parental Permission Obtained
Written Assent Waived

Authorization Type: There are no items to display

Vulnerable Populations: Children

Funding: Private

Protocol Version: 46.110 (5-7)

Approval Date: 11/16/2021

The above-referenced new study was approved by the IRB with the following stipulation(s):

The Crown - Chapin IRB will serve as the IRB of Record for UIUC researchers for this study upon receipt of an executed IRB Reliance Agreement between UIUC and UChicago.

The IRB reviewed this study under the University of Chicago's Federal wide Assurance **FWA00005565**.

Funding Changes: It is the principal investigator's responsibility to notify the IRB if a study's funding status changes. If the study receives external funding at any point, you must notify the IRB. Funding can alter review requirements.

Amendments: It is the Principal Investigator's responsibility to submit any proposed change to the IRB for approval prior to its implementation to the study. Any significant new finding that human subjects should know about must also be submitted via an amendment application.

Closure of Study: When all study activities are complete or the study is no longer active, please submit a termination request to formally close it. Termination requests are submitted in AURA by selecting "Termination by PI".

Any unanticipated problems, adverse events, protocol deviations, and breaches in data security must be reported to the IRB via an Unanticipated Problem application under this protocol number as soon as practicable or within ten (10) days following the event, whichever is earlier.

The study personnel agree to abide by all University of Chicago or Chapin Hall research policies including, but not limited to, the policies on data use agreements, responsible conduct in research, conflict of interest, training and education, and maintenance of project data/materials as required.

If you have any questions, please contact the IRB office in the Crown Family School of Social Work, Policy and Practice at (773) 834-0402 or email us at irb@crownschool.uchicago.edu. For additional information, please visit our website at <https://crownschool.uchicago.edu/institutional-review-board>

Dear [Principal],

I am Samantha Guz a doctoral student at the University of Chicago and social worker. I am reaching out because I am interested in partnering with [School Name] to interview staff involved in Options School transfer. The interviews are part of a larger research-practice partnership between CPS and the University of Chicago to understand student transfer to Options Schools. These specific interviews are focused on staffs' experiences with transfer and their insight into the new policy.

I am reaching out because [School Name] is [provide insight into sampling selection]. As part of the data collection process and partnership, I would be happy to share the results with the school administration at the end of the academic year via a memo or presentation. Sharing these results with the administration would [provide specific information on how research could support particular school]. If this is a partnership [School Name] would be interested in, a next step would be set up a time to talk about recruitment and a process that does not disturb the staff's schedule.

I can be flexible to your schedule and look forward to hearing from you!

Sincerely,
Sam Guz



42 W. Madison | 2nd Floor | Chicago, IL 60602
Telephone: (773) 553-4444
Fax: (773) 553-2421

02/21/2023

Samantha Guz

Dear Guz,

Thank you for your interest in conducting research in The Chicago Public Schools. The Research Review Board has reviewed your Modification proposal 01/30/2023 for research, titled: Who Belongs in Neighborhood

Schools: Appropriate Student Services, Alternative High Schools, and Push-out.

The Research Review Board has completed the review of your Modification proposal and has approved your request to conduct this research. Although your study is approved, school principals have final authority over activities that are allowed to take place in the school. If data collection continues beyond a year from this approval, please complete the Modification & Continuing Review Process Form through IRBManager.

Please note the following--

Background Check Level Required: Level I

Other Notes: Interactions in schools and with students.

Upon completion of the research study, a copy of the final report or summary of the results must be provided to the Research Review Board. The Board reserves the right to use the information in the research report or summary for planning, solicitation or grants, and staff development.

Please note that your study has been assigned Project ID #2021-1705. If you have any questions, please contact our office by email at research@cps.edu.

Sincerely,

A handwritten signature in black ink, appearing to read "Sarah Dickson".

Sarah Dickson
Co-Chair, Research Review Board