ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY

300 W. Adams Street • Suite 200 • Chicago, Illinois 60606 • (312) 793-8550

AGENDA

Institutional Review Board
October 19, 2017 (1:00 – 3:00 PM)
Illinois Criminal Justice Information Authority
300 W. Adams Street, Suite 200
Chicago, IL 60606

I. Call to Order and Roll Call
II. Approval of July 7, 2017 Meeting Minutes
III. Applications for Review
   1. Evaluation of Pathway to Enterprise for Returning Citizens (PERC) Program: Focus Groups
      Jessica Reichert and Justin Escamilla
   2. Building capacity for recidivism analysis: Examining the recidivism of sex offenders using state criminal history and sex offender registry data
      Christine Devitt Westley
   3. Evaluation of a Countering Violent Extremism/Targeted Violence Prevention Workshop for Mental Health Professionals
      Megan Alderden and Lily Gleicher
IV. Old Business: None
V. New Business
   1. Exempt IRB applications: None
   2. Expedited IRB applications:
      a. Adult Redeploy Illinois: An assessment of performance incentive funding for alternatives to incarceration (renewal)
         Jessica Reichert
      b. Building capacity for producing unbiased estimates of recidivism: Examining the recidivism of firearm offenders using state criminal history and mortality data (renewal)
         Christine Devitt Westley
      c. Capacity and Victim Needs Assessment of Illinois Victim Service Providers and Criminal Justice Practitioners (renewal)
         Jaclyn Houston-Kolnik and Megan Alderden
      d. Illinois Department of Juvenile Justice Recidivism Study (renewal and amendment)
         Lily Gleicher
   3. IRB application amendments: None
   4. Upcoming IRB meetings:
      Rescheduling November 16th meeting to December 7th
VI. Adjourn

This public meeting will be accessible to persons with disabilities in compliance with Executive Order #5 and pertinent State and Federal laws upon anticipated attendance. Persons with disabilities planning to attend and needing special accommodations should contact by telephone or letter John Klaer, Associate Director, Office of Administrative Services, Illinois Criminal Justice Information Authority, 300 W. Adams St. Suite 200, Chicago, Illinois, 60606-5150 or at (312) 793-8550. TDD services are available at (312) 793-4170.

Illinois Criminal Justice Information Authority

IRB

APPROVAL APPLICATION for Research Involving Human Subjects

PROPOSAL INFORMATION

Co-Principal investigator(s): Jessica Reichert, Senior Research Analyst
Justin Escamilla, Research Analyst

Co-Principal investigator(s) email: Jessica.Reichert@illinois.gov
Justin.Escamilla@Illinois.gov

Office Address: Illinois Criminal Justice Information Authority
300 W. Adams Street, Suite 200

City, State, Zip code: Chicago, IL, 60606

Office phone: (312) 793-8550

Project staff and affiliation:

Start date of project: October 19, 2017

End date of project: October 19, 2018

Title of proposal: Evaluation of Pathway to Enterprise for Returning Citizens (PERC) Program: Focus Groups

Initial approval type: **Full IRB:** X **Expedited:** **Exempt:**

Is this IRB linked to other IRB approval? [ ] Yes [X] No

If **YES**, please explain:

Will the data be primary data or secondary data? [X] Primary [ ] Secondary

If **SECONDARY**, please briefly indicate the source of the data:

How is the end date of the study defined?

The publication of one or more evaluation reports on the Illinois Criminal Justice Information Authority (Authority) website and/or in a peer-reviewed journal.

I. VULNERABLE SUBJECTS

Will any of the following groups potentially be included in your sample?

	Yes	No
Minors under age 18		X
Adult prisoners or individuals in secure confinement		X
Juveniles in correctional or detention facilities		X
Probationers, parolees, or individuals under court or correctional supervision		X
Developmentally disabled, intellectually disabled, or cognitively impaired		X
Individuals held in residential treatment, locked facilities, or hospitalized		X
Pregnant women, if focus of research		X
Non-English speakers		X
Wards of the state		X
Other—please specify		X

II. PROJECT DESCRIPTION

A. PROJECT SUMMARY

1. Please provide a brief summary (3 – 5 sentences), in lay terms, of the purpose of the study and the procedures subjects will undergo.

Researchers will complete an evaluation of the PERC program. The program offers intensive business training and planning to formerly incarcerated/returning citizens and the opportunity to receive a business loan to start their own business. The first component of the evaluation is to conduct five focus groups with each of the five agencies that will conduct the business training (and possible follow up interviews). The purpose is to better understand the training aspect including its training structure and process.

B. PROCEDURES

2. Describe the procedures involving human subjects and list the steps you will take. Include the following information:

Component 1: Focus groups (n=5)

a.) Time involvement of subjects: Individuals will be asked to participate in a one hour focus group.
*In addition, r*esearchers may ask individuals to be interviewed but will limit questions to the ones used for the focus group; interviews will be used in the case of a key person being absent from the focus group or if a key question was not sufficiently answered and follow up is needed.

b.) Location(s) the study will be conducted with subjects, including a description, if applicable: The focus groups will be held a private conference room at each of the agencies in Chicago area.

c.) Amount of payment to subject, if any (consent form must note plan for payment if they withdraw voluntarily): None

d.) What subjects will experience or do: Subjects will be asked to participate in a focus group session regarding their process, experience, and opinions.

C. EQUITABLE SELECTION OF SUBJECTS

3. Please answer the following information about your proposed sample.

a.) Anticipated total number of subjects in study: 50
Up to 10 people per each focus group

b.) Number in age ranges: Under 18 0 18 and older 50

*c.) Potential inclusion: race/ethnicity (check **ALL** that apply). If known, provide number:*

African American	X	American Indian	X		
Asian	X	Hispanic	X		
White	X	Other		Bi-racial	X
Unknown		Comments			

d.) Prisoners or individuals in secure confinement(n): 0

e.) Probationers, parolees, or other individuals under court or correctional supervision: 0

4. Describe the procedures for subject recruitment

Administrative data _____ Recruitment X

An agency representative will be recruited through an email request. The agency representative will identify program staff to participate in the focus group.

5. Identify the criteria for inclusion/exclusion of subjects and provide a clear rationale for them.

Only the directors and staff directly involved with the PERC and the training program will have the opportunity to participate in the focus groups. Limiting the potential participants to this group is appropriate given the purpose of the activity is to learn more about their training program.

D. RISK/BENEFIT ASSESSMENT

6. Briefly describe the potential benefits of the project to subjects and/or to society. Note: Social science research typically does not provide a direct benefit to the subjects.

There are no direct benefits to participants. The results may influence programming, policies, and funding decisions in Illinois and inform similar jurisdictions.

7. Does this study involve any of the following?

Yes	No	
_____	X	Use of deception by researchers
_____	X	Use of punishment by researchers
_____	X	Use of drugs by subjects for study purposes
_____	X	Covert and/or participant observation
_____	X	Induction of mental and/or physical stress to subjects by researchers
_____	X	Procedures which risk physical harm to the subject
_____	X	Materials and behaviors commonly regarded as socially unacceptable
_____	X	Procedures by researchers that might be regarded as an invasion of privacy to subjects or cause a degree of discomfort
_____	X	Possible/probable disclosure of information by subjects to researchers that may be harmful to the subject (e.g., child abuse, criminal behavior, immigration status)

a.) If you checked YES to any of the above procedures, explain the procedure in detail, as well as provide the methods being used to control or minimize the danger to the subjects.

b.) Please indicate the theoretical and/or methodological necessity for employing each procedure(s) checked YES.

8. If the study involves deception, when and how will the subjects be debriefed? (Generally, the nature of the deception and its necessity should be explained to the subjects).

Does not apply.

9. Are provisions for subject's medical care available in the event of a personal (physical or mental) injury resulting solely from subject's participation in the research? Please explain.

Yes ____ No ____ Not applicable **X**

10. Will other care or counseling be available or referrals made to agencies for the subject should he or she become stressed, uncomfortable, angry, or experience other psychological difficulties as a result of participating in the research? Please explain.

Yes ____ No ____ Not applicable **X**

Minimal risk: A risk is minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are not greater, in and of themselves, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Greater than minimal risk: A risk is greater than minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

High risk: A risk is high when a moderate-to-high probability of serious adverse effects might occur as a result of participation in a research study. Risks and benefits that would result even if the research weren't undertaken should not be considered.

11. Indicate the overall degree of the research's *physical* risk to the subject, according to the definitions provided below.

__X__ Minimal

_____ Greater than minimal

_____ High

12. Indicate the overall degree of the research's *psychological* risk to the subject, according to the definitions provided below.

__X__ Minimal

_____ Greater than minimal

_____ High

13. Indicate the overall degree of any *other* risk to the subject the research may have (e.g., social, economic), according to the definitions provided below.

__X__ Minimal

_____ Greater than minimal

_____ High

E. COMPENSATION

14. Will the participants be compensated monetarily for entering the study?

Yes ____ No __X__

*a.) If **YES**, what is the amount and source of the funds?*

Amount $____ Source of funds _____

*b.) If **YES**, how will that money be distributed to subjects (e.g., gift cards, cash)? Explain.*

15. Are there other inducements planned to recruit subjects? If YES, describe other inducements.

Yes ____ No __X__

F. CONFIDENTIALITY

16. Will any data be gathered through photographic, video or sound recording devices?

Yes __X__ No ____

*a.) If **YES**, how will the confidentiality of the materials produced by such devices be protected?*
Note: A separate line of the consent form for the subjects to agree to be video/audio taped or photographed must be included.

The focus groups will be audio recorded. The inform consent form provided to individuals will inform the participants that the focus group will be audiotaped and how the audio recordings will be used, stored, and disposed of. The focus group facilitator will go over the informed consent document at the beginning of the focus group. All signed consent sheets will be stored in a locked cabinet accessible only to research staff located in a locked office.

Once the focus group is completed, the audio recording will be transferred from the recording device to a password protected folder on a secure server accessible only to research staff associated with this project. The audio recording will be deleted from the recording device after successful transfer to the secure server. The recording will be stored for 3 years, per federal regulation (45 CFR 46), at which point the audio recordings will be destroyed.

The focus group audio recording will be transcribed by research staff on the project. No identifying information will be included in the recording transcription. The transcripts will be maintained separately from the audio recordings and consent sheets in a password protected folder on a secure server accessible only to research staff on this project.

a.) What will be done with the still photos, video, or audio recordings after the study has been completed? Will this information be destroyed, kept xx number of years, used in publications, etc.? How does the investigator(s) define "completion" of the study?

The audio recording will be wiped clear from the recording device after transfer to the computer. The recording will be stored for three years, per federal regulation (45 CFR 46), at which point the audio recordings will be destroyed. The grant study period is from October 19, 2017 to October 19, 2018. Completion of the study is determined by completion of a final evaluation report.

17. Will names or individual identifiers of subjects be recorded? If <u>YES</u>, answer *a* through *d* below.

Yes **X** No ____

a.) Where will the names or other individual identifiers be recorded (e.g., on test protocols, on a separate list with code numbers, etc.)?

Names of participants will be recorded on consent documents and a recruitment contact spreadsheet.

It is possible during the course of the focus groups that personal information is shared. In such cases, the information will be removed from all recording transcripts during the transcription process. Only the transcripts will be used during analysis. No identifying information will be recorded by researchers taking notes during the focus groups.

b.) Describe project procedures for maintaining the security of these records at every point in the data collection process.

Signed consent and survey paper copies will be kept secure in a lock file cabinet in a locked office.

Once the focus group is complete, the researcher will transfer the audio recordings from the

recording device to a password protected folder on a secure server accessible only to research staff associated with this project. The audio recording will be deleted from the recording device after successful transfer to the secure server. The recording will be stored for three years, per federal regulation (45 CFR 46), at which point the audio recordings will be destroyed. The transcripts will be maintained separately from the audio recordings and consent sheets in a password protected folder on a secure server accessible only to research staff on this project.

c.) Would it be possible to conduct the proposed project without recording names or other individual identifiers? Please explain why or why not.

Yes ____ No X

Researchers are conducting focus groups with specific individuals involved in the program. We will communicate through email using email addresses tied to those individuals to recruit the participants.

d.) Will access to names be under your exclusive control?

Yes ____ No X

*If **NO**, what will be done to protect the confidentiality of the subjects? Who would have access to names or other individual identifiers? Describe the procedures for maintaining security of paper files, automated files, and other records.*

It is possible that during the course of the focus groups that such information is shared. Moreover, the individuals participating in the focus groups are people known to each other.

e.) Will names of subjects be included in any publication based on this study? If YES, for what reason(s)?

Yes ____ No X

18. Sometimes research findings are presented in a manner that permits knowledgeable readers to infer the identity of a person used as a subject, even if names are omitted. Do you expect to present findings that may possibly provide such clues? If YES, explain.

Yes ____ No **X**

19. Will information be obtained pertaining to persons other than immediate subjects (e.g., their friends)? If YES, how will the confidentiality of such persons be protected?

Yes ____ No X

G. INFORMED CONSENT

20. Do you intend to obtain informed consent?

_____ Verbal X Written _____ No consent needed _____ Waiver of consent

If **NO CONSENT NEEDED** or **VERBAL**, please answer *a* through *c* below.

a.) Why do you not intend to use written forms?

b.) In what manner and to what extent would potential subjects be given advance information about the procedure in which they are asked to participate? If using a contact letter, please include it.

c.) In what manner would potential subjects be advised that their participation and continuation in the project would be entirely voluntary? Please provide a copy of the text to be used.

21. If receiving verbal or written consent, please attach a copy of the script or the consent form that you will use.

Attached **X** Unable to provide ____ Not applicable ____

a.) If you are unable to provide the script or consent form, please explain why.

22. Please give a detailed description of the process that will be used to obtain consent and answer all applicable questions:

a.) Who will obtain consent? ICJIA research staff

b.) How will consent be obtained? In person, before focus group starts.

c.) How often will consent be obtained (e.g., longitudinal or long-term field studies)? Only once for this study.

How will you verify the subject fully understands the consent?

There will be a consent form provided to individuals that explains the purpose of the focus group and what the researchers intend to do with the information. Participants will be able to ask questions and will also be provided the researchers' contact information should they have questions following the completion of the focus group. The facilitator will go over the informed consent form with participants and answer any questions.

d.) How will your investigators be trained to use the informed consent process?

All Authority research staff are certified in the National Institutes of Health Office of Extramural Research's web-based training course "Protecting Human Research Participants."

23. Will/is the consent form be translated for non-English speaking participants?

Yes ____ No **X**

*a.) If **NO**, please explain why.*

All participants are expected to be English speakers.

*b.) If **YES**, please provide an explanation of who will/did translate the forms and their qualifications.*

24. Does the consent form you have attached fully comply with the Authority's instructions for consent forms that are in compliance with general requirements as outlined in the *Code of Federal Regulations 46.116* and the Authority's IRB procedures? Please refer to the checklist.

Yes **X** No ____

*a.) If **NO**, please explain why.*

25. Will all project staff be IRB certified and trained to follow the basic guidelines for the ethical care of subjects?

Yes **X** No (explain below) ____

Attachments

1. Recruitment script for email
2. Consent: Focus group
3. Focus group questions

Recruitment Script for Email

To [Agency representative]:

Researchers at the Illinois Criminal Justice Information Authority are evaluating the Pathway to Enterprise for Returning Citizens (PERC) Program. We are inviting you to participate in a voluntary focus group to learn about your agency, its training model, and participation in PERC. This information will be used to document the program's training operations and inform state policy and funding decisions for business training reentry programs in Illinois. A consent form with more information about the focus group is attached; it will need to be signed by all who participate.

We would like to invite those directly involved in the program, but limit it to a maximum of 10 individuals. This would include managers, trainers, mentors, and other key program personnel. We would prefer a private room, like a conference room, to conduct the focus group.

We would like to hold the focus group at your agency at a time convenient for you. Please let me know if you are available on the following dates: [Dates provided].

Sincerely,
Jessica Reichert
Manager, Center for Justice Research and Evaluation
Illinois Criminal Justice Information Authority
300 W. Adams St. Chicago, IL 60606
312-793-8550

Justin Escamilla
Research Analyst
Center for Justice Research and Evaluation
Illinois Criminal Justice Information Authority
300 W. Adams St. Chicago, IL 60606
312-793-8550

Illinois Criminal Justice Information Authority
Research Information and Consent for Participation in Research
PERC Initiative Focus Group

You are being asked to participate in a research study. Researchers are required to provide a consent form such as this one to tell you about the research, to explain that taking part is voluntary, to describe the risks and benefits of participation, and to help you to make an informed decision. You should feel free to ask the researchers any questions you may have.

Principal Investigator Name and Title: Jessica Reichert, Senior Research Analyst
Department and Institution: Research and Evaluation Center, Illinois Criminal Justice Information Authority, 300 W. Adams St., Suite 200, Chicago, IL 60606 or (312) 793-8550. This project was funded by the Justice Assistance Program.

Why am I being asked?
You are being asked to be a subject in a research study about the Pathway to Enterprise for Returning Citizens (PERC), which offers returning citizens business training and planning and the opportunity to obtain a loan to start a business. You are being asked to participate in a focus group to discuss your training experience and work with the program. The focus group will last about one hour. You have been asked to participate in the research because you are involved in the training aspect of the program.

Your participation in this research is voluntary. Your decision to participate will not affect your current or future dealings with PERC or the Illinois Criminal Justice Information Authority (Authority). You may skip any question you do not want to answer. **If you decide to participate, you are free to withdraw at any time without affecting those relationships.** Five focus groups will be held with each of the five agencies involved with PERC with approximately 10 persons per focus group. A total of 50 people may be involved in this research with the Authority. The focus group will be audio recorded.

What is the purpose of this research?
Researchers at the Authority are evaluating PERC. PERC will offer returning citizens business training and planning and the opportunity to obtain a loan to start a business. The focus group will provide the Authority with information on the program.

What procedures are involved?
You will be asked to participate in a focus group discussion.

What are the potential risks and discomforts?
To the best of our knowledge, participating in the focus group will have no more risk of harm than you would experience in everyday life. It is possible that some questions may make you uncomfortable. It is your choice to answer any question. You may choose to participate in the focus group even if you choose not to answer some of the focus group questions.

Will I be told about new information that may affect my decision to participate?
During the course of the study, you will be informed of any significant new research information (either good or bad), such as changes in the risks or benefits resulting from participation in the research or new alternatives to participation, that might cause you to change your mind about continuing in the research. If new information is provided to you, your consent to continue participating in this research may be re-obtained.

Are there benefits to taking part in the research?
This study will not benefit you directly. This study is designed to learn more about the PERC. The study results may be used to help the program and other participants in the future.

What other options are there?
You have the option to not participate in this study.

What about privacy and confidentiality?
We will be audio recording the focus group. Researchers will do everything we can to protect your identity. This includes the following.

- Only the researchers working on this project will have access to the signed consent forms, interviewer notes, audio recordings, and audio transcripts.
- All interview notes and transcripts will be recorded in a manner that protects your identity. This includes ensuring that any names or other identifying information is removed.
- The interview notes, recordings, and transcripts will electronically stored on password-protected computers and servers that only the researchers have access to. The interviewer notes and transcripts will be maintained separately from the audio recordings and signed consent forms.
- No information will be included that would reveal your identity when the results of the research are published, discussed, or presented to persons outside the research team. This includes sharing specific, identifying information to those developing the program.
- Recordings and transcripts will be destroyed three years following the completion of the program evaluation.

Please know that although we will do everything possible to protect your identity, it is still possible that someone may guess that you participated in a focus group. Other participants in your focus group may share information with others about something you have said. Although the researchers are unable to prevent other participants from sharing information about what was discussed, we will do everything we can to ensure we do not release any information that can be directly linked to you.

What are the costs for participating in this research?
There are no costs to you for participating in this research.

Will I be reimbursed for any of my expenses or paid for my participation in this research?
There will be no payment or reimbursement for participation.

Can I withdraw or be removed from the study?
If you decide to participate, you are free to withdraw your consent and discontinue participation at any time without penalty. At any time, you can take a break or leave the focus group.

Who should I contact if I have questions?
Contact the researchers Jessica Reichert, Senior Research Analyst, at (312) 793-8550 or Jessica.Reichert@Illinois.gov if you have any questions about this study or your part in it, or, if you have questions, concerns or complaints about the research. If you have questions about the program you can contact Randy Kurtz at (312) 793-8550 or Randy.Kurtz@Illinois.gov.

What are my rights as a research subject?

If you feel you have not been treated according to the descriptions in this form, or if you have any questions about your rights as a research subject, including questions, concerns, complaints, or to offer input, you may contact the IRB secretary, Simeon Kim, Associate General Counsel, at (312) 793-8550 or Simeon.Kim@Illinois.gov.

Remember:
Your participation in this research is voluntary. Your decision whether or not to participate will not affect your current or future relations with the PERC or the Illinois Criminal Justice Information Authority. If you decide to participate, you are free to withdraw at any time without affecting those relationships.

I have read (or someone has read to me) the above information. I have been given an opportunity to ask questions and my questions have been answered to my satisfaction. I agree to participate in this research. **I understand that the focus group will be audio recorded for research purposes only.** I will be given a copy of this signed and dated form.

_____ _____
Signature Date

_____
Printed Name

_____ _____
Signature of Person Obtaining Consent Date (must be same as subject's)

_____
Printed Name of Person Obtaining Consent

Focus Group

PERC Focus Group

Hello and welcome. My name is Justin, I will be asking questions, and Jessica will be taking notes. ICJIA will be evaluating PERC process, as well as effectiveness in training returning citizens in business and starting their own business. What we are going to do today is to talk about your agency, training program, and curriculum. The objective of this group activity is to gain a better understanding of the characteristics and operations of your training component of PERC.

Please note that there is no right or wrong answer. We expect that you will have different points of view and we are interested in hearing from each of you. All of your opinions are important to us. If possible, please speak one at a time, avoiding interrupting each other. This session is expected to last about an hour.

We will audio record this session for analysis purposes. Jessica will also take notes of your comments. Your opinions and comments are confidential and will be aggregated in the analysis. Your personal information will not be included in any reports. Please review and sign the consent forms so we can start the discussion and audio recording.

[START AUDIO RECORDING]

Before we start let's introduce ourselves. Please say your name, title, role in the training program for PERC.

Focus group questions

Agency

1. Please tell us about your agency including mission, history, programs offered
   PROBE: population served, experience with returning citizens, location(s)
2. How and why did your agency get involved with PERC?

Training model

3. Please tell us about the training curriculum.
   PROBE: created or purchased (and why); main components/modules, skills taught
4. Please tell us about the training structure.
   PROBE: length of training, days/hours, mentoring/coaching, follow up post-training
5. What paperwork/data for the training do you use? PROBE: tests, assessments, intakes, data entered

Trainers

6. Please tell us about the trainers who conduct the trainings.
   PROBE: How chosen/hired/selected? Qualifications? Volunteers, part-time, full-time, interns?

Trainees

7. Please tell us about the candidates for the training program.
   PROBE: How are training candidates typically chosen? Who does well and who fails? Who are the best candidates?

Lessons learned/ PERC involvement

8. How do you typically define or measure success for the training program?
9. What are some success stories? What are some lessons learned?
10. What are some challenges? Would you change anything if you could?
11. Do you anticipate any challenges to PERC? Any concerns or issues?

Research

12. Have ever been part of a research project or evaluation in the past? If so, what did you think about that experience?

Anything else you would like to share?

Thank you for your time.

Illinois Criminal Justice Information Authority

IRB

APPROVAL APPLICATION: for Research Involving Human Subjects

SIGNATURE PAGE

PROJECT NAME: Evaluation of Pathway to Enterprise for Returning Citizens (PERC) Program: Focus Groups

This page is to be signed by the principal investigator.

_____ _____

Signature of Principal Investigator Date

IRB ACTION:

Request Approved _____ **Request Denied** _____

IRB Requests Modifications (see explanation below) _____

_____ _____

Signature of IRB Chair **Date**

Modifications Requested by IRB:

IRB Expiration:

The IRB approval granted for this project expires on _____

Date

Illinois Criminal Justice Information Authority

IRB

APPROVAL APPLICATION for Research Involving Human Subjects

PROPOSAL INFORMATION

Principal investigator(s): Christine Devitt Westley

Principal investigator(s) email: Chirstine.Devitt@Illinois.gov

Office Address: 300 W. Adams St., Suite 200

City, State, Zip code: Chicago, IL 60606

Office phone: 312-793-8646

Project staff and affiliation: _____R&A__

Start date of project: 10/19/2017

End date of project: 9/31/2018

Title of proposal: Building capacity for recidivism analysis: Examining the recidivism of sex offenders using state criminal history and sex offender registry data

Initial approval type: **Full IRB:** X **Expedited:** _____ **Exempt:** _____

Is this IRB linked to other IRB approval? [ ] Yes [X] No

If **YES**, please explain:

Will the data be primary data or secondary data? [ ] Primary [X] Secondary

If **SECONDARY**, please briefly indicate the source of the data:
Illinois Sex Offender Registry (SOR) data; Illinois Criminal History Record Information (CHRI) data; Illinois Department of Corrections (IDOC) data; Illinois Department of Juvenile Justice (IDJJ) data; Illinois Department of Public Health (IDPH) death certificate data

How is the end date of the study defined?
End of the grant funding period and publication of the final report.

I. VULNERABLE SUBJECTS

Will any of the following groups potentially be included in your sample?

	Yes	No
Minors under age 18	X	
Adult prisoners or individuals in secure confinement	X	
Juveniles in correctional or detention facilities	X	
Probationers, parolees, or individuals under court or correctional supervision	X	
Developmentally disabled, intellectually disabled, or cognitively impaired		X
Individuals held in residential treatment, locked facilities, or hospitalized		X
Pregnant women, if focus of research		X
Non-English speakers		X
Wards of the state		X
Other—please specify		X

II. PROJECT DESCRIPTION

A. PROJECT SUMMARY

1. Please provide a brief summary (3 – 5 sentences), in lay terms, of the purpose of the study and the procedures subjects will undergo.

The Illinois Criminal Justice Information Authority (ICJIA) has received a federal grant from the U.S. Department of Justice, Bureau of Justice Statistics to determine the historic recidivism rates of the 29,620 individuals currently on the Illinois Sex Offender Registry (SOR), using multiple sources of data. Of particular interest will be whether these recidivism rates differ by type of sexually motivated crime, particularly regarding the characteristics of victims (child vs. adult, male vs. female, etc.). Criminal History Record Information (CHRI) data will be matched to persons listed on the SOR as of February 1, 2017, to determine their rates of re-arrest since their first offense that mandated registration as a sex offender in Illinois. These records will also be matched to any corresponding prison records from Illinois Department of Corrections (IDOC) and the Illinois Department of Juvenile Justice (IDJJ) data, to allow for determination of incarceration periods during which there was no risk of reoffending in the community. As a further refinement of recidivism estimates, the 29,620 registrants will also be linked to Illinois

Department of Public Health (IDPH) death certificate records. From these records, it will be possible to determine if some proportion of SOR registration non-compliance is due to the death of the person. Further, the manner and causes of death will be identified to potentially inform more effective sex offender management. As most SOR registrants have lifetime registration requirements, building systematic conduits for information on registrant deaths will be important as the SOR population continues to age. The State Police will be informed of the magnitude of underreporting of death events in the SOR, if any, at the end of the project. The State Police Sex Offender Registration Unit will also provide another snapshot of the Sex Offender Registry on February 1, 2018, in order to be able to assess the extent to which registrant information changes over the typical yearly registration period. This new registrant list (estimated to be of similar magnitude to the 29,620 individuals registered in 2017) will be matched to the 2017 registrant list, as well as the CHRI, corrections and death record systems in order to determine any changes to recidivism rates established on the 2017 registrant group. It is estimated that 1,000 more unique individuals will appear on the 2018 SOR compared to the 2017 list, bringing the total number of subjects to an estimated 30,620 individuals.

B. PROCEDURES

2. Describe the procedures involving human subjects and list the steps you will take. Include the following information:

This study involves the analysis of secondary, administrative records, without contact with the actual involved individuals.

a.) *Time involvement of subjects:*

b.) *Location(s) the study will be conducted with subjects, including a description, if applicable:*

c.) *Amount of payment to subject, if any (consent form must note plan for payment if they withdraw voluntarily):*

d.) *What subjects will experience or do:*

C. EQUITABLE SELECTION OF SUBJECTS

3. Please answer the following information about your proposed sample.

a.) Anticipated total number of subjects in study: 30,620

b.) Number in age ranges: Under 18 2,000 18 and older 28,620

*c.) Potential inclusion: race/ethnicity (check **ALL** that apply). If known, provide number:*

African American	x	American Indian	x		
Asian	x	Hispanic	x		
White	x	Other		Bi-racial	

Unknown [x] Comments _____

d.) Prisoners or individuals in secure confinement(n): 7,500

e.) Probationers, parolees, or other individuals under court or correctional supervision: Unknown at this time

4. Describe the procedures for subject recruitment

Administrative data X Recruitment _____

5. Identify the criteria for inclusion/exclusion of subjects and provide a clear rationale for them.

All persons listed on the Illinois Sex Offender Registry as of February 1, 2017 and February 1, 2018 will be included in the study.

D. RISK/BENEFIT ASSESSMENT

6. Briefly describe the potential benefits of the project to subjects and/or to society. Note: Social science research typically does not provide a direct benefit to the subjects.

Subjects will not be aware of the study, so they will not directly benefit. Society may see the potential benefit of more effective sex offender management as a result of more precise information on this population of offenders, and a consequent positive effect on public safety.

7. Does this study involve any of the following?

Yes	No	
	X	Use of deception by researchers
	X	Use of punishment by researchers
	X	Use of drugs by subjects for study purposes
	X	Covert and/or participant observation
	X	Induction of mental and/or physical stress to subjects by researchers
	X	Procedures which risk physical harm to the subject
	X	Materials and behaviors commonly regarded as socially unacceptable
	X	Procedures by researchers that might be regarded as an invasion of privacy to subjects or cause a degree of discomfort
	X	Possible/probable disclosure of information by subjects to researchers that may be harmful to the subject (e.g., child abuse, criminal behavior, immigration status)

a.) If you checked YES to any of the above procedures, explain the procedure in detail, as well as provide the methods being used to control or minimize the danger to the subjects.

N/A

b.) Please indicate the theoretical and/or methodological necessity for employing each procedure(s) checked YES.

N/A

8. If the study involves deception, when and how will the subjects be debriefed? (Generally, the nature of the deception and its necessity should be explained to the subjects).

9. Are provisions for subject's medical care available in the event of a personal (physical or mental) injury resulting solely from subject's participation in the research? Please explain.

Yes ____ No ____ Not applicable X

10. Will other care or counseling be available or referrals made to agencies for the subject should he or she become stressed, uncomfortable, angry, or experience other psychological difficulties as a result of participating in the research? Please explain.

Yes ____ No ____ Not applicable X

Minimal risk: A risk is minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are not greater, in and of themselves, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Greater than minimal risk: A risk is greater than minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

High risk: A risk is high when a moderate-to-high probability of serious adverse effects might occur as a result of participation in a research study.

Risks and benefits that would result even if the research weren't undertaken should not be considered.

11. Indicate the overall degree of the research's *physical* risk to the subject, according to the definitions provided below.

__X__ Minimal

_____ Greater than minimal

_____ High

12. Indicate the overall degree of the research's *psychological* risk to the subject, according to the definitions provided below.

__X__ Minimal

_____ Greater than minimal

_____ High

13. Indicate the overall degree of any *other* risk to the subject the research may have (e.g., social, economic), according to the definitions provided below.

__X__ Minimal

_____ Greater than minimal

_____ High

E. COMPENSATION

14. Will the participants be compensated monetarily for entering the study?

Yes ____ No __X__

*a.) If **YES**, what is the amount and source of the funds?*

Amount **$** _____ Source of funds _____

*b.) If **YES**, how will that money be distributed to subjects (e.g., gift cards, cash)? Explain.*

15. Are there other inducements planned to recruit subjects? If YES, describe other inducements.

Yes ____ No __X__

F. CONFIDENTIALITY

16. Will any data be gathered through photographic, video or sound recording devices?

Yes ____ No **X**

*a.) If **YES**, how will the confidentiality of the materials produced by such devices be protected?*

Note: A separate line of the consent form for the subjects to agree to be video/audio taped or photographed must be included.

b.) What will be done with the still photos, video, or audio recordings after the study has been completed? Will this information be destroyed, kept xx number of years, used in publications, etc? How does the investigator(s) define "completion" of the study?

17. Will names or individual identifiers of subjects be recorded? If YES, answer *a* through *d* below.

Yes **X** No ____

a.) Where will the names or other individual identifiers be recorded (e.g., on test protocols, on a separate list with code numbers, etc)?

The names and dates of birth of subjects are recorded on the Sex Offender Registry files. These are necessary for matching to other data sources for the calculation of recidivism estimates.

b.) Describe project procedures for maintaining the security of these records at every point in the data collection process.

SOR datasets provided by ISP, along with the IDOC, IDJJ, CHRI and death certificate files will be placed on secure, password protected servers and computers as they are received, accessible only to the project staff. Once the datasets are matched, the working analysis files will be stripped of all identifiers. The final report will not identify any results for fewer than 10 individuals, to preserve the confidentiality of the underlying individuals. Following publication of the final report, project data will be maintained on a secure, password protected server accessible only to the project manager for the federally mandated three-year period. All data files will be destroyed when that time has elapsed.

c.) Would it be possible to conduct the proposed project without recording names or other individual identifiers? Please explain why or why not.

Yes ____ No X

d.) Will access to names be under your exclusive control?

Yes X No ____

*If **NO**, what will be done to protect the confidentiality of the subjects? Who would have access to names or other individual identifiers? Describe the procedures for maintaining security of paper files, automated files, and other records.*

e.) Will names of subjects be included in any publication based on this study? If YES, for what reason(s)?

Yes ____ No X

18. Sometimes research findings are presented in a manner that permits knowledgeable readers to infer the identity of a person used as a subject, even if names are omitted. Do you expect to present findings that may possibly provide such clues? If YES, explain.

Yes ____ No **X**

19. Will information be obtained pertaining to persons other than immediate subjects (e.g., their friends)? If YES, how will the confidentiality of such persons be protected?

Yes ____ No **X**

G. INFORMED CONSENT

20. Do you intend to obtain informed consent?

_____ Verbal _____ Written _____ No consent needed X Waiver of consent documentation

If **NO CONSENT NEEDED** or **VERBAL**, please answer *a* through *c* below.

a.) Why do you not intend to use written forms?

The study will use secondary data exclusively. The study subjects will not be aware of the study, and any attempt to contact them to obtain written consent might cause more harm should their prior criminal history not involving their registration sex offense become revealed through the process. Further, some portion of the research sample will have moved out of state or be deceased, making it impossible to obtain their consent.

b.) In what manner and to what extent would potential subjects be given advance information about the procedure in which they are asked to participate? If using a contact letter, please include it.

c.) In what manner would potential subjects be advised that their participation and continuation in the project would be entirely voluntary? Please provide a copy of the text to be used.

21. If receiving verbal or written consent, please attach a copy of the script or the consent form that you will use.

Attached ____ Unable to provide ____ Not applicable **X**

a.) If you are unable to provide the script or consent form, please explain why

22. Please give a detailed description of the process that will be used to obtain consent and answer all applicable questions:

a.) Who will obtain consent?

b.) How will consent be obtained?

c.) How often will consent be obtained (e.g., longitudinal or long-term field studies)?

d.) How will you verify the subject fully understands the consent?

e.) How will your investigators be trained to use the informed consent process?

23. Will/is the consent form be translated for non-English speaking participants?

Yes ____ No ____

*a.) If **NO**, please explain why.*

The trainings are delivered in English and the training materials are in English. To date, no program applicants have indicated they are non-English speaking.

*b.) If **YES**, please provide an explanation of who will/did translate the forms and their qualifications.*

24. Does the consent form you have attached fully comply with ICJIA instructions for consent forms that are in compliance with general requirements as outlined in the *Code of Federal Regulations 46.116* and the Authority's IRB procedures? Please refer to the checklist. **N/A**

Yes ____ No ____

*a.) If **NO**, please explain why.*

25. Will all project staff be IRB certified and trained to follow the basic guidelines for the ethical care of subjects?

Yes **X** No (explain below) ____

Illinois Criminal Justice Information Authority

IRB

APPROVAL APPLICATION: for Research Involving Human Subjects

PROJECT NAME: Building capacity for recidivism analysis: Examining the recidivism of sex offenders using state criminal history and sex offender registry data

This page is to be signed by the principal investigator.

_____ _____

Signature of Principal Investigator Date

IRB ACTION:

Request Approved _____ **Request Denied** _____

IRB Requests Modifications (see explanation below) _____

_____ _____

Signature of IRB Chair **Date**

Modifications Requested by IRB:

IRB Expiration:

The IRB approval granted for this project expires on _____

Date

https://www.policefoundation.org/publication/outside-the-academy-learning-community-policing-through-community-engagement/Illinois Criminal Justice Information Authority

IRB

PROPOSAL INFORMATION

Principal investigator(s): Megan Alderden, PhD and Lily Gleicher

Principal investigator(s) email: Megan.alderden@illinois.gov; lily.gleicher@illinois.gov

Office Address: 300 W Adams, St. 200

City, State, Zip code: Chicago, IL 60606

Office phone: 312-793-8550

Project staff and affiliation: __ICJIA_____

Start date of project: 10/15/17

End date of project: 10/15/18

Title of proposal: Evaluation of a CVE/TVP Workshop for Mental Health Professionals

Initial approval type: **Full IRB:** x **Expedited:** _____ **Exempt:** _____

Is this IRB linked to other IRB approval? [ ] Yes [x] No

If **YES**, please explain:

Will the data be primary data or secondary data? [x] Primary [ ] Secondary

If **SECONDARY**, please briefly indicate the source of the data:

How is the end date of the study defined? Completion of an evaluation report and report for ICJIA website.

I. VULNERABLE SUBJECTS

Will any of the following groups potentially be included in your sample?

	Yes	No
Minors under age 18		x
Adult prisoners or individuals in secure confinement		x
Juveniles in correctional or detention facilities		x
Probationers, parolees, or individuals under court or correctional supervision		x
Developmentally disabled, intellectually disabled, or cognitively impaired		x
Individuals held in residential treatment, locked facilities, or hospitalized		x
Pregnant women, if focus of research		x
Non-English speakers		x
Wards of the state		x
Other—please specify		x

II. PROJECT DESCRIPTION

A. PROJECT SUMMARY

1. Please provide a brief summary (3 – 5 sentences), in lay terms, of the purpose of the study and the procedures subjects will undergo.

The research will measure if the workshop met its goals. The findings may be used to improve future workshops and inform other jurisdictions on holding workshops/training on countering violent extremism (CVE) and targeted violence prevention (TVP).

There are four components to the study:

1. Workshop observations: Workshop observations to document workshop content and questions asked during the workshop.
2. Pre-workshop and post-workshop surveys: Paper and pen pre- and post-workshop surveys will be used to document knowledge attainment and perceptions of the workshop.
3. 3-month post-workshop follow-up survey: An online, 3-month post-workshop follow-up survey will be used to gauge knowledge retention and information use.
4. 3-months post-workshop phone interviews: 3-month post-workshop phone interviews to obtain additional detail about information usage and how the workshop can be

improved.

B. PROCEDURES

2. Describe the procedures involving human subjects and list the steps you will take. Include the following information:

a.) *Time involvement of subjects:*
Workshop observations: N/a

Pre-workshop and post-workshop surveys: The pre/post surveys will take approximately 5 minutes each.

3-month post-workshop follow-up survey: The follow-up survey will take approximately 8 minutes to complete.

3-months post-workshop phone interviews: The interviews will take approximately 30 minutes to complete.

b.) *Location(s) the study will be conducted with subjects, including a description, if applicable:*

Workshop observations: Observations will occur on site at the designated workshop location.

Pre-workshop and post-workshop surveys: The pre/post surveys will be handed out to participants at the workshop.

3-month post-workshop follow-up survey**:** The follow-up survey will be web-facilitated and can be completed in a location convenient to the participant.

3-months post-workshop phone interviews: Follow-up interviews will be completed over the phone at a location/date/time convenient to the participant.

c.) *Amount of payment to subject, if any (consent form must note plan for payment if they withdraw voluntarily):*

There will be no payment to subjects for any component of this study.

d.) *What subjects will experience or do:*

Workshop observations: N/a

Pre-workshop and post-workshop surveys: Participants will be asked to complete the surveys prior to and after the workshop. The surveys will focus on their knowledge about key issues/concepts/processes related to serving individuals who may be at risk for ideologically inspired violence, concerns they may have serving these individuals, and perceptions of the workshop content.

3-month post-workshop follow-up survey**:** Participants will be asked to complete the on-

line survey. The survey will focus on whether the knowledge obtained during the workshop has been retained and whether the information has been useful or shared with others.

3-months post-workshop phone interviews: Individuals may opt in to participating in a phone interview. They may also choose to be audio recorded. Interviews will focus on whether the knowledge obtained during the workshop has been retained, whether the information has been useful or shared with others, and how the workshop could be improved.

C. EQUITABLE SELECTION OF SUBJECTS

3. Please answer the following information about your proposed sample.

a.) Anticipated total number of subjects in study: 70

b.) Number in age ranges: Under 18 0 18 and older 70

*c.) Potential inclusion: race/ethnicity (check **ALL** that apply). If known, provide number:*

African American	x	American Indian	x		
Asian	x	Hispanic	x		
White	x	Other		Bi-racial	x
Unknown	x	Comments			

d.) Prisoners or individuals in secure confinement(n): 0

e.) Probationers, parolees, or other individuals under court or correctional supervision: 0

4. Describe the procedures for subject recruitment

Administrative data _____ Recruitment x

5. Identify the criteria for inclusion/exclusion of subjects and provide a clear rationale for them.

Participants will be recruited from those who register for and attend the workshop.

D. RISK/BENEFIT ASSESSMENT

6. Briefly describe the potential benefits of the project to subjects and/or to society. Note: Social science research typically does not provide a direct benefit to the subjects.

There are no direct benefits to the subjects. The information gathered during the study will be used to evaluate the training program and may be used to inform future training programs around CVE and TVP.

7. Does this study involve any of the following?

Yes	No	
_____	x	Use of deception by researchers
_____	x	Use of punishment by researchers
_____	x	Use of drugs by subjects for study purposes
_____	x	Covert and/or participant observation
_____	x	Induction of mental and/or physical stress to subjects by researchers
_____	x	Procedures which risk physical harm to the subject
_____	x	Materials and behaviors commonly regarded as socially unacceptable
_____	x	Procedures by researchers that might be regarded as an invasion of privacy to subjects or cause a degree of discomfort
_____	x	Possible/probable disclosure of information by subjects to researchers that may be harmful to the subject (e.g., child abuse, criminal behavior, immigration status)

a.) If you checked <u>YES</u> to any of the above procedures, explain the procedure in detail, as well as provide the methods being used to control or minimize the danger to the subjects.

N/A

b.) Please indicate the theoretical and/or methodological necessity for employing each procedure(s) checked <u>YES</u>.

N/A

8. If the study involves deception, when and how will the subjects be debriefed? (Generally, the nature of the deception and its necessity should be explained to the subjects).

N/A

9. Are provisions for subject's medical care available in the event of a personal (physical or mental) injury resulting solely from subject's participation in the research? Please explain.

Yes ____ No ____ Not applicable **x**

10. Will other care or counseling be available or referrals made to agencies for the subject should he or she become stressed, uncomfortable, angry, or experience other psychological difficulties as a result of participating in the research? Please explain.

Yes ____ No ____ Not applicable **x**

Minimal risk: A risk is minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are not greater, in and of themselves, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Greater than minimal risk: A risk is greater than minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

High risk: A risk is high when a moderate-to-high probability of serious adverse effects might occur as a result of participation in a research study.

Risks and benefits that would result even if the research weren't undertaken should not be considered.

11. Indicate the overall degree of the research's *physical* risk to the subject, according to the definitions provided below.

__x__ Minimal

_____ Greater than minimal

_____ High

12. Indicate the overall degree of the research's *psychological* risk to the subject, according to the definitions provided below.

__x__ Minimal

_____ Greater than minimal

_____ High

13. Indicate the overall degree of any *other* risk to the subject the research may have (e.g., social, economic), according to the definitions provided below.

__x__ Minimal

_____ Greater than minimal

_____ High

E. COMPENSATION

14. Will the participants be compensated monetarily for entering the study?

Yes ____ No __x__

*a.) If **YES**, what is the amount and source of the funds?*

Amount **$** _____ Source of funds _____

*b.) If **YES**, how will that money be distributed to subjects (e.g., gift cards, cash)? Explain.*

N/A

15. Are there other inducements planned to recruit subjects? If YES, describe other inducements.

Yes ____ No **x**

F. CONFIDENTIALITY

16. Will any data be gathered through photographic, video or sound recording devices?

Yes **x** No ____

*a.) If **YES**, how will the confidentiality of the materials produced by such devices be protected?*

Workshop observations: N/a

Pre-workshop and post-workshop surveys: N/a

3-month post-workshop follow-up survey: N/a

3-months post-workshop phone interviews: Individuals will be asked to voluntarily agree to participate in follow-up phone interviews. Those who choose to participate will also be asked if the interview can be audiotaped.

There will be an inform consent document (*see Phone Interview Consent Form*) provided to individuals who voluntarily agree to participate in follow-up phone interviews. This inform consent document will tell participants about their right to choose to be audiotaped and how the audio recordings will be used, stored, and disposed of should they consent to being audio recorded. The participant will be provided the informed consent document several days in advance of their scheduled phone interview. The interviewer will go over the informed consent document prior to the interview. If the individual verbally agrees to participate, the interviewer will separately ask permission to audio record the interview. The interview will be audiotaped only if the participant verbally consents to being audiotaped.

Once the interview is completed, the audio recording will be transferred from the recording device to a password protected folder on a secure server accessible only to research staff associated with this project. The audio recording will be deleted from the recording device after successful transfer to the secure server. The recording will be stored for 3 years, per federal regulation (45 CFR 46), at which point the audio recordings will be destroyed.

The interviews will be transcribed by research staff on this project. No identifying information will be included in the recording transcription. The transcripts will be maintained separately from the audio recordings in a password protected folder on a secure server accessible only to research staff on this project.

Note: A separate line of the consent form for the subjects to agree to be video/audio taped or photographed must be included.

b.) What will be done with the still photos, video, or audio recordings after the study has been completed? Will this information be destroyed, kept xx number of years, used in publications, etc? How does the investigator(s) define "completion" of the study?

Audio recordings will be deleted from ICJIA's secure server after 3 years. The grant study period is July 1, 2017 through June 30, 2018.

17. Will names or individual identifiers of subjects be recorded? If <u>YES</u>, answer *a* through *d* below.

Yes **x** No ____

a.) Where will the names or other individual identifiers be recorded (e.g., on test protocols, on a separate list with code numbers, etc)?

<u>Workshop observations</u>: No names or individual identifiers will be recorded during the observations. Researchers will document the workshop content and questions asked by participants. Researchers will record all information in a manner that protects the identities of the participants, including details in any questions that could be potentially identifying. This includes, but is not limited to, documenting participant names, agencies where they work, or service areas.

<u>Pre-workshop and post-workshop surveys</u>: No names or individual identifiers will be recorded. Participants will be asked to create a private identification code known only to them. This code will be used to match the pre/post surveys.

<u>3-month post-workshop follow-up survey</u>: Workshop organizers will provide the researchers the participants' e-mails on a separate excel spreadsheet. The e-mails will be used to administer the follow-up surveys. The e-mails will only be used to distribute the online survey; all survey responses are anonymous using the same private identification code noted above (see *Pre-workshop and Post-workshop surveys*).

<u>3-months post-workshop phone interviews</u>: At the end of the follow-up survey they will be asked if they are interested in participating in a phone interview. If the individual responds they would like to participate, the individual will be prompted to provide contact information. The contact information will be recorded in a separate file from the survey data using Qualtrics, an on-line survey software. This information will only be used to follow-up with the participant for the phone interview.

b.) Describe project procedures for maintaining the security of these records at every point in the data collection process.

<u>Workshop observations</u>: N/a

<u>Pre-workshop and post-workshop surveys</u>: N/a

<u>3-month post-workshop follow-up survey</u>: The e-mails provided to the researchers will be

maintained in password protected folder on a secure server accessible only to research staff on this project separate from all other research materials.

3-months post-workshop phone interviews: At the end of the follow-up survey participants will be asked if they are interested in completing a phone interview. If the individual responds they would like to participate, the individual will be prompted to provide contact information. The contact information will be recorded in a separate file from the survey data using Qualtrics, an on-line survey software. This information will only be used to follow-up with the participant for the phone interview and will be maintained in a password protected folder on a secure server accessible only to research staff on this project separate from all other study materials. Those who agree will be emailed a copy of the informed consent materials.

Individuals who agree to participate in the phone interview will be given pseudonyms in lieu of writing their name on any transcription of the audio recording.

c.) Would it be possible to conduct the proposed project without recording names or other individual identifiers? Please explain why or why not.

Yes ____ No x

The researchers will need the e-mail addresses to distribute the online, follow-up survey. In addition, the researchers will need contact information from the participant if s/he decide to voluntarily engage in the phone interview.

d.) Will access to names be under your exclusive control?

Yes x No ____

*If **NO**, what will be done to protect the confidentiality of the subjects? Who would have access to names or other individual identifiers? Describe the procedures for maintaining security of paper files, automated files, and other records.*

e.) Will names of subjects be included in any publication based on this study? If YES, for what reason(s)?

Yes ____ No x

18. Sometimes research findings are presented in a manner that permits knowledgeable readers to infer the identity of a person used as a subject, even if names are omitted. Do you expect to present findings that may possibly provide such clues? If YES, explain.

Yes ____ No x

19. Will information be obtained pertaining to persons other than immediate subjects (e.g., their friends)? If YES, how will the confidentiality of such persons be protected?

Yes ____ No x

G. INFORMED CONSENT

20. Do you intend to obtain informed consent?

X	Verbal	X	Written	x	No consent needed		Waiver of consent documentation

If **NO CONSENT NEEDED** or **VERBAL**, please answer *a* through *c* below.

a.) Why do you not intend to use written forms?

Workshop observations: This component presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

Pre-workshop and post-workshop surveys: The present research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context. The written consent form would be the only document linking the participants to the research study.

3-month post-workshop follow-up survey: The present research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context. The written consent form would be the only document linking the participants to the research study.

3-months post-workshop phone interviews: Researchers will ask interview participants to verbally consent to the interview and the audio recording of the interview. The present research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context. The written consent form would be the only document linking the participants to the research study.

b.) In what manner and to what extent would potential subjects be given advance information about the procedure in which they are asked to participate? If using a contact letter, please include it.

Workshop observations: Researchers will be observing the workshop to document content and questions asked of workshop panel members. Researchers and subjects will not interact subjects during this part of the study.

Pre-workshop and post-workshop surveys: An informed consent sheet will be given to participants to review. Researchers will be available for questions. See *Workshop Consent Information Sheet*.

3-month post-workshop follow-up survey: An informed consent information will be provided to participants after which they will be instructed that by clicking "agree" they will be giving their consent to use the data collected through the survey. See *Workshop Follow-up Survey Information Sheet*.

3-months post-workshop phone interviews: Individuals who self-identified as being interested in completing an interview will be contacted via telephone using the *Phone Interview Contact Script*. The informed consent document pertaining specifically to the interview will be mailed or e-mailed to potential participants in advance of the interview. Researchers will go over the

informed consent document on the date of the interview with participants.

c.) In what manner would potential subjects be advised that their participation and continuation in the project would be entirely voluntary? Please provide a copy of the text to be used.

Workshop observations: Researchers will be observing the workshop to document content and questions asked of workshop panel members. Researchers and subjects will not interact for this part of the study.

Pre-workshop and post-workshop surveys: Individuals will be advised of their rights via the *Workshop Consent Information Sheet*.

3-month post-workshop follow-up survey: Individuals will be advised of their rights via the *Workshop Follow-up Survey Information Sheet*.

3-months post-workshop phone interviews: Individuals will be advised of their rights via an informed consent document provided to them before the interview. See *Phone Interview Consent Form.*

21. If receiving verbal or written consent, please attach a copy of the script or the consent form that you will use.

Attached **x** Unable to provide ____ Not applicable ____

Workshop observations: Researchers will be observing the workshop to document content and questions asked of workshop panel members. Researchers and subjects will not interact for this part of the study.

Pre-workshop and post-workshop surveys: Individuals will be advised of their rights via the *Workshop Consent Information Sheet*.

3-month post-workshop follow-up survey: Individuals will be advised of their rights via the *Workshop Follow-up Survey Information Sheet*.

3-months post-workshop phone interviews: Individuals will be advised of their rights via an infor consent document provided to them before the interview. See *Phone Interview Consent Form.*

a.) If you are unable to provide the script or consent form, please explain why

22. Please give a detailed description of the process that will be used to obtain consent and answer all applicable questions:

a.) Who will obtain consent?

The researchers for the study, Dr. Alderden and Ms. Gleicher.

b.) How will consent be obtained?

Workshop observations: N/a

Pre-workshop and post-workshop surveys: An informed consent sheet will be given to participants to review. Researchers will be available for questions. Participants will be informed that by submitting the surveys they are consenting to have their data used. See

Workshop Consent Information Sheet.

3-month post-workshop follow-up survey: An informed consent information will be provided to participants after which they will be instructed that by clicking "agree" they will be giving their consent to use the data collected through the survey. See *Workshop Follow-up Survey Information Sheet*.

3-months post-workshop phone interviews: Individuals who self-identified as being interested in completing an interview will be contacted via telephone using the *Phone Interview Contact Script*. The informed consent document pertaining specifically to the interview will be mailed or e-mailed to potential participants in advance of the interview. Researchers will go over the informed consent document on the date of the interview with participants.

c.) How often will consent be obtained (e.g., longitudinal or long-term field studies)?
Consent will be obtained once for the pre- and post-workshop surveys, once for the online survey, and once for the phone interview.

d.) How will you verify the subject fully understands the consent?
Researchers will ask participants if they have any questions about the research and provide their contact information if participants have any further or future questions related to the study. The consent forms will be worded at an appropriate reading level using layperson language.

e.) How will your investigators be trained to use the informed consent process?
Researchers have been trained on human subject issues in research as well as how to complete the informed consent process.

23. Will/is the consent form be translated for non-English speaking participants?

Yes ____ No **x**

*a.) If **NO**, please explain why.*

The trainings are delivered in English and the training materials are in English. To date, no program applicants have indicated they are non-English speaking.

*b.) If **YES**, please provide an explanation of who will/did translate the forms and their qualifications.*

24. Does the consent form you have attached fully comply with ICJIA instructions for consent forms that are in compliance with general requirements as outlined in the *Code of Federal Regulations 46.116* and the Authority's IRB procedures? Please refer to the checklist. N/A

Yes **x** No ____

*a.) If **NO**, please explain why.*

25. Will all project staff be IRB certified and trained to follow the basic guidelines for the ethical care of subjects?

Yes **x** No (explain below) ____

SIGNATURE PAGE

Illinois Criminal Justice Information Authority

IRB

APPROVAL APPLICATION: for Research Involving Human Subjects

PROJECT NAME: Evaluation of a CVE/TVP Workshop for Mental Health Professionals

This page is to be signed by the principal investigator.

_____ _____

Signature of Principal Investigator Date

IRB ACTION:

Request Approved _____ **Request Denied** _____

IRB Requests Modifications (see explanation below) _____

_____ _____

Signature of IRB Chair **Date**

Modifications Requested by IRB:

IRB Expiration:

The IRB approval granted for this project expires on _____

Date

Illinois Criminal Justice Information Authority
Research Information and Consent for Participation in Research
Workshop Pre- and Post-Test Information Sheet

You are being asked to take part in a research study to evaluate the workshop goals and knowledge gained from the workshop. Each survey will take approximately 5 minutes. Researchers are required to provide a consent form such as this to tell you about the research, to explain that taking part is voluntary, and to describe the risks and benefits of participation. Although this is being provided to you to help inform your decision to participate, you should feel free to ask the researchers questions you may have at any time.

Who is doing this research study?

Principal Investigator Name and Title:	Megan Alderden, PhD, Research Director Lily Gleicher, M.S., Research Analyst
Department and Institution:	Research & Analysis Unit, ICJIA 300 W. Adams St., Suite 200, Chicago, IL 60606 (312) 793-8550

What is the purpose of this research?

The purpose of this research study is to evaluate whether the workshop met its goals, obtain feedback from participants to improve or develop future workshops, and inform other jurisdictions holding workshops on targeted violence prevention (TVP).

Why am I being asked?

You are being asked to participate because you are attending the workshop titled: *A Workshop on the Roles of Mental Health Professionals in Preventing Ideologically Inspired Targeted Violence Using a Public Health Approach.*

What am I being asked to do?

You are being asked to complete a pre-workshop survey and post-workshop survey. It will take about 5 minutes to complete each survey. An online, follow-up survey will be distributed via e-mail 3-months post-workshop. A separate consent sheet like this will accompany that survey.

What are the potential risks and discomforts to participating?

To the best of our knowledge, completing the survey will have no more risk for harm than you would experience in everyday life. Some questions, however, may make you uncomfortable. Please remember, you may choose to not participate in this survey. Even if you choose to participate in this survey, you can choose not to answer any question any time.

Will I be told about new information that may affect my decision to participate?

During the course of our research, you will be informed of any significant new research information (either good or bad), such as changes in the risks or benefits resulting from participation in the interviews or new alternatives to participation, that might cause you to change your mind about participating. If new information is provided to you, your consent to continue participating in this research may be re-obtained.

Are there benefits to taking part in the research?
There are no direct benefits for participating in this study. The information gathered through the survey, however, will be used to evaluate the workshop. Such information may be used to improve the workshop or develop additional trainings for mental health professionals related to ideologically inspired targeted violence.

What about privacy and confidentiality?
The data will be collected in a manner that will prevent researchers from knowing your identity. Each survey will request the respondent to use a unique ID that only they will know. No identifying information will be requested.

Completed surveys will be entered onto a database located on a password protected, secure server in which only researchers have access. Paper copies of the surveys will be filed separately in a locked filing cabinet in a private, locked officer accessible to only research staff.

What other options are there?
You have the option to participate or not participate in this study.

What are the costs for participating in this research?
There are no associated monetary costs for participating in this research.

Will I be reimbursed for any of my expenses or paid for my participation in this research?
There will no reimbursement for any expenses or payment for participation in this study.

Can I withdraw or be removed from the study?
If you decide to participate, you are free to withdraw your consent and discontinue participation at any time without penalty. Even if you decide to participate, you may choose not to answer any question.

Who should I contact if I have questions about the research?
Contact the researchers: Lily Gleicher at lily.gleicher@illinois.gov or Megan Alderden, PhD Megan.Alderden@illinois.gov or via phone at 312-793-8550 if you have any questions about this study or your part in it, or, if you have questions, concerns or complaints about the research.

Who should I contact about my rights as a research subject?
The Authority's Institutional Review Board reviews all research projects involving human participants to be sure the rights and welfare of participants are protected. If you feel you have not been treated according to the descriptions in this form, or if you have any questions about your rights as a research subject, including questions, concerns, complaints, or to offer input, you may contact the IRB secretary, Simeon Kim, Associate General Counsel, at (312) 793-8550 or Simeon.Kim@Illinois.gov.

By submitting your pre-workshop survey and post-workshop survey to the researchers, you indicate your consent for your answers to be used in the research study. Please keep this information sheet for your reference.

Mental Health Pre-Workshop Survey

Please create your Unique ID using the following: first 3 letters of your first name, your birth month (00), birth year (0000), and first 3 letters of your mother's maiden name. (Ex. LIL111988RIB)

Unique ID: _____

1. What kinds of services do you currently provide? *Please check all that apply.*

   - ☐ Individual counseling
   - ☐ Group counseling
   - ☐ Family counseling
   - ☐ Mental health assessments
   - ☐ Psychiatric care
   - ☐ Interpersonal violence counseling/victim services (including domestic violence)
   - ☐ Substance use disorder treatment or services
   - ☐ Parenting classes or counseling
   - ☐ Psychoanalysis
   - ☐ Violence prevention education
   - ☐ Art therapy
   - ☐ Child abuse counseling/services
   - ☐ Other:_____

2. Who do you currently provide services to? *Please check all that apply.*

   - ☐ Adults (ages 25+)
   - ☐ Children (age 10 or younger)
   - ☐ Youth (ages 11-17)
   - ☐ Homeless
   - ☐ People of color
   - ☐ Undocumented immigrants
   - ☐ Young adults (ages 18-25)
   - ☐ Males
   - ☐ Females
   - ☐ LGBTQ
   - ☐ Non-English speaking populations
   - ☐ Other:_____

3. When thinking about the services you offer overall, what percentage are dedicated to violence prevention or intervention?

   _____%

4. How much do you know about ideologically inspired targeted violence?

None at all	A little	A moderate amount	A lot	A great deal
☐	☐	☐	☐	☐

If the answer to the previous question (#4) is "none at all", please SKIP to question #7, otherwise, please continue to #5.

5. If you know at least a little about ideologically inspired targeted violence, what are your 2 main sources of information?

   - ☐ Newspaper
   - ☐ Television
   - ☐ Friends or relatives
   - ☐ Social media
   - ☐ Colleagues or workplace
   - ☐ Educational courses or other training
   - ☐ Other internet resources
   - ☐ Other:_____

6. If you know at least a little about ideologically inspired targeted violence, please describe what you know.

7. How much do you know about countering violent extremism (CVE) programs?

None at all	A little	A moderate amount	A lot	A great deal
☐	☐	☐	☐	☐

If the answer to the previous question (#7) is "none at all", please SKIP to question #10, otherwise, please continue to #8.

8. If you know at least a little about countering violent extremism (CVE) programs, what are your 2 main sources of information?

- ☐ Newspaper
- ☐ Television
- ☐ Friends or relatives
- ☐ Social media
- ☐ Colleagues or workplace
- ☐ Educational courses or other training
- ☐ Other internet resources
- ☐ Other:_____

9. If you know at least a little about countering violent extremism (CVE) programs, please describe what you know.

10. How prepared do you feel to intervene with someone who is at higher risk for ideologically inspired targeted violence?

Not at all prepared	Slightly prepared	Somewhat prepared	Moderately prepared	Extremely prepared
☐	☐	☐	☐	☐

11. If you feel prepared, why? If you do not feel prepared, why not?

12. How confident would you be in intervening with someone who is at higher risk for ideologically inspired targeted violence?

Not at all confident	Slightly confident	Somewhat confident	Moderately confident	Extremely confident
□	□	□	□	□

13. If you feel confident, why? If you do not feel confident, why not?

14. How concerned are you about the legal or ethical considerations surrounding "duty to warn" as it relates to individuals at higher risk for ideologically inspired targeted violence?

Not at all concerned	Slightly concerned	Somewhat concerned	Moderately concerned	Extremely concerned
□	□	□	□	□

15. If you are concerned, why? If you are not concerned, why not?

16. How concerned are you about the legal or ethical considerations surrounding confidentiality requirements as it relates to individuals at higher risk for ideologically inspired targeted violence?

Not at all concerned	Slightly concerned	Somewhat concerned	Moderately concerned	Extremely concerned
□	□	□	□	□

17. If you are concerned, why? If you are not concerned, why not?

18. Please answer the following true/false statements.	**True**	**False**
Social workers and other mental health professionals can work with individuals who are at higher risk for ideologically inspired targeted violence without additional legal or ethical concerns.	☐	☐
All communities are vulnerable to radicalization to violence.	☐	☐
Mental health professionals can contribute to prevention and intervention efforts by drawing upon a threat assessment model.	☐	☐
In certain circumstances, the US Dept. of Homeland Security (including US Secret Service) OR the Illinois Department of State Police can ask you to break practitioner-client confidentiality for those that are at higher risk for ideologically inspired targeted violence.	☐	☐
The threat assessment model uses a fixed approach to determine general violence, resulting in law enforcement intervention.	☐	☐
There is a well-established link between radicalization and mental health issues.	☐	☐
Use of multi-disciplinary resources is a way for the mental health providers to collaborate with the FBI to gather information.	☐	☐
Off-ramping is designed with the intention of redirecting the individual to community-based organizations before the act escalates to violence.	☐	☐
Ideological teaching/training content used by foreign and domestic terrorists is available online, but law enforcement often has a difficult time detecting it.	☐	☐

Thank you for completing this survey. Please hand this survey to one of the researchers at any time.

Mental Health Post-Workshop Survey

Please create your Unique ID using the following: first 3 letters of your first name, your birth month (00), birth year (0000), and first 3 letters of your mother's maiden name. (Ex. LIL111988RIB)

Unique ID: _____

For the Panel 1 Presentation: *What can communities do to protect their own?*

1. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
The topic covered was relevant to me.	1	2	3	4	5
The content was organized and easy to follow.	1	2	3	4	5
The content was useful for me in my work.	1	2	3	4	5
The trainers communicated clearly and effectively.	1	2	3	4	5
I will be able to apply the knowledge learned in this panel.	1	2	3	4	5

For Panel 2 Presentation: *How can mental health professionals help prevent the next attack*?

2. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
The topic covered was relevant to me.	1	2	3	4	5
The content was organized and easy to follow.	1	2	3	4	5
The content was useful for me in my work.	1	2	3	4	5
The trainers communicated clearly and effectively.	1	2	3	4	5
I will be able to apply the knowledge learned in this panel.	1	2	3	4	5

For Panel 3 Presentation: *What are mental health professionals' legal and ethical responsibilities when working in violence prevention?*

3. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
The topic covered was relevant to me.	1	2	3	4	5
The content was organized and easy to follow.	1	2	3	4	5
The content was useful for me in my work.	1	2	3	4	5
The trainers communicated clearly and effectively.	1	2	3	4	5
I will be able to apply the knowledge learned in this panel.	1	2	3	4	5

4. Please answer the following true/false statements.	**True**	**False**
Social workers and other mental health professionals can work with individuals who are at higher risk for ideologically inspired targeted violence without additional legal or ethical concerns.	☐	☐
All communities are vulnerable to radicalization to violence.	☐	☐
Mental health professionals can contribute to prevention and intervention efforts by drawing upon a threat assessment model.	☐	☐
In certain circumstances, the US Dept. of Homeland Security (including US Secret Service) OR the Illinois Department of State Police can ask you to break practitioner-client confidentiality for those that are at higher risk for ideologically inspired targeted violence.	☐	☐
The threat assessment model uses a fixed approach to determine general violence, resulting in law enforcement intervention.	☐	☐
There is a well-established link between radicalization and mental health issues.	☐	☐
Use of multi-disciplinary resources is a way for the mental health providers to collaborate with the FBI to gather information.	☐	☐
Off-ramping is designed with the intention of redirecting the individual to community-based organizations before the act escalates to violence.	☐	☐
Ideological teaching/training content used by foreign and domestic terrorists is available online, but law enforcement often has a difficult time detecting it.	☐	☐

5. Overall, how prepared to you feel to intervene with someone who is at higher risk for ideologically inspired targeted violence?

Not at all prepared	Slightly prepared	Somewhat prepared	Moderately prepared	Extremely prepared
□	□	□	□	□

6. Overall, how confident would you be intervening with someone who is at higher risk for ideologically inspired targeted violence?

Not at all confident	Slightly confident	Somewhat confident	Moderately confident	Extremely confident
□	□	□	□	□

7. Overall, how concerned are you about the legal or ethical considerations surrounding "duty to warn" as it relates to individuals at higher risk for ideologically inspired targeted violence?

Not at all concerned	Slightly concerned	Somewhat concerned	Moderately concerned	Extremely concerned
□	□	□	□	□

8. Overall, how concerned are you about the legal or ethical considerations surrounding confidentiality requirements as it relates to individuals at higher risk for ideologically inspired targeted violence?

Not at all concerned	Slightly concerned	Somewhat concerned	Moderately concerned	Extremely concerned
□	□	□	□	□

9. If you still have concerns, what are they?

10. How well would you rate the workshop overall in the following areas…

	Poor	1	2	3	4	5	6	7	8	9	*Excellent*
Quality?	0	1	2	3	4	5	6	7	8	9	10
Content?	0	1	2	3	4	5	6	7	8	9	10
Clarity?	0	1	2	3	4	5	6	7	8	9	10
Relevance to your work?	0	1	2	3	4	5	6	7	8	9	10

11. What was the most useful part of the workshop?

12. What was the least useful part of the workshop?

Illinois Criminal Justice Information Authority
Research Information and Consent for Participation in Research
Mental Health Professional Workshop on Ideologically Inspired Targeted Violence

Our records indicate that you recently attended a workshop on ideologically inspired targeted violence. This e-mail pertains to a follow-up survey related to that workshop. This survey is part of a larger study evaluating the workshop. The feedback from participants like you may also be used to improve future workshops and inform other jurisdictions holding workshops on targeted violence prevention (TVP).

By clicking the link below, you will be routed to a website that provides information about the research, explains that taking part is voluntary, and describes the risks and benefits of participation. Once you have reviewed that information, you can choose to complete a short anonymous on-line survey.

Should you have any questions regarding this e-mail or this project, please feel free to contact Dr. Megan Alderden at megan.alderden@illinois.gov or 312-793-8947.

[Link to web consent form and on-line survey]

Mental Health Workshop Follow-Up Survey

You are being asked to take part in a research study to evaluate the workshop goals and participant knowledge gained from the workshop. This form pertains to a follow-up survey for the workshop you attended. It will take approximately 8 minutes. Researchers are required to provide a consent form such as this to tell you about the research, to explain that taking part is voluntary, and to describe the risks and benefits of participation. Although this is being provided to you to help inform your decision to participate, you should feel free to ask the researchers questions you may have at any time.

Who is doing this research study?

Principal Investigator Name and Title:	Megan Alderden, PhD, Research Director Lily Gleicher, M.S., Research Analyst
Department and Institution:	Research & Analysis Unit, ICJIA 300 W. Adams St., Suite 200, Chicago, IL 60606 (312) 793-8550

What is the purpose of this research?

The purpose of this research study is to measure if the workshop met its goals, get feedback from participants to help improve future workshops, and inform other jurisdictions holding workshops on targeted violence prevention (TVP).

Why am I being asked?

You are being asked to participate because you attended the workshop titled: *A Workshop on the Roles of Mental Health Professionals in Preventing Ideologically Inspired Targeted Violence Using a Public Health Approach.*

What am I being asked to do?

You are being asked to complete a follow up online survey. It will take about 8 minutes to complete.

What are the potential risks and discomforts to participating?

To the best of our knowledge, completing the survey will have no more risk for harm than you would experience in everyday life. Some questions, however, may make you uncomfortable. Please know that you can choose not to answer any question at any time.

Will I be told about new information that may affect my decision to participate?

During the course of our research, you will be informed of any significant new research information (either good or bad), such as changes in the risks or benefits resulting from participation in the interviews or new alternatives to participation, that might cause you to change your mind about participating. If new information is provided to you, your consent to continue participating in this research may be re-obtained.

Are there benefits to taking part in the research?
There are no direct benefits for participating in this study. The information gathered through the survey, however, will be used to evaluate the workshop. Such information may be used to improve the workshop or develop additional trainings for mental health professionals related to ideologically inspired targeted violence.

What about privacy and confidentiality?
The data will be collected in a manner that will prevent researchers from knowing your identity. Each survey will request the respondent to use a unique ID that only they will know. No identifying information will be requested. The data will be stored on a password protected server that only the researchers can access.

What other options are there?
You have the option to participate or not participate in this study.

What are the costs for participating in this research?
There are no associated monetary costs for participating in this research.

Will I be reimbursed for any of my expenses or paid for my participation in this research?
There will no reimbursement for any expenses or payment for participation in this study.

Can I withdraw or be removed from the study?
If you decide to participate, you are free to withdraw your consent and discontinue participation at any time without penalty. Even if you decide to participate, you may choose not to answer any question.

Who should I contact if I have questions about the research?
Contact the researchers: Lily Gleicher at lily.gleicher@illinois.gov or Megan Alderden, PhD Megan.Alderden@illinois.gov or via phone at 312-793-8550 if you have any questions about this study or your part in it, or, if you have questions, concerns or complaints about the research.

Who should I contact about my rights as a research subject?
The Authority's Institutional Review Board reviews all research projects involving human participants to be sure the rights and welfare of participants are protected. If you feel you have not been treated according to the descriptions in this form, or if you have any questions about your rights as a research subject, including questions, concerns, complaints, or to offer input, you may contact the IRB secretary, Simeon Kim, Associate General Counsel, at (312) 793-8550 or Simeon.Kim@Illinois.gov.

By clicking yes to the question below, you indicate your consent for your answers to be used in the research study.

Do you agree to participate in this follow-up survey? Yes No

Please indicate the extent to which you agree or disagree with the following questions.

1. Since the workshop on targeted violence prevention (TVP) and countering violent extremism (CVE)…

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
The information learned in the workshop has been useful for my job.	☐	☐	☐	☐	☐
I have used the information learned in my work since the workshop.	☐	☐	☐	☐	☐
I think the information learned in the workshop would be important for people in my line of work to know.	☐	☐	☐	☐	☐
I have shared information learned in the workshop with other coworkers/colleagues.	☐	☐	☐	☐	☐
I have shared information learned in the workshop with people other than coworkers/colleagues.	☐	☐	☐	☐	☐
I feel confident using the information learned in the workshop within my work.	☐	☐	☐	☐	☐
I feel able to use the information learned in the workshop within my own work.	☐	☐	☐	☐	☐

2. Please answer the following true/false statements.

	True	False
Social workers and other mental health professionals can work with individuals who are at higher risk for ideologically inspired targeted violence without additional legal or ethical concerns.	☐	☐
All communities are vulnerable to radicalization to violence.	☐	☐
Mental health professionals can contribute to prevention and intervention efforts by drawing upon a threat assessment model.	☐	☐
In certain circumstances, the US Dept. of Homeland Security (including US Secret Service) OR the Illinois Department of State Police can ask you to break practitioner-client confidentiality for those that are at higher risk for ideologically inspired targeted violence.	☐	☐
The threat assessment model uses a fixed approach to determine general violence, resulting in law enforcement intervention.	☐	☐
There is a well-established link between radicalization and mental health issues.	☐	☐
Use of multi-disciplinary resources is a way for the mental health providers to collaborate with the FBI to gather information.	☐	☐
Off-ramping is designed with the intention of redirecting the individual to community-based organizations before the act escalates to violence.	☐	☐
Ideological teaching/training content used by foreign and domestic terrorists is available online, but law enforcement often has a difficult time detecting it.	☐	☐

3. Since the workshop, do you feel supported within your agency to intervene with individuals who may be at higher risk for ideologically inspired targeted violence?

Not supported at all	Minimally supported	Somewhat supported	Moderately supported	Extremely supported
☐	☐	☐	☐	☐

4. Since the workshop, have you used any of the information learned with any of your client(s)?
   - ☐ Yes
   - ☐ No

5. If so, what information learned have you utilized and how?

6. Would you recommend this workshop to other mental health professionals?
   - ☐ Yes
   - ☐ Maybe
   - ☐ No

7. Why would you recommend this workshop to other mental health professionals? Why wouldn't you recommend this workshop to other mental health professionals?

8. We would like to know more detailed information about targeted violence prevention (TVP) and countering violent extremism (CVE) as it relates to your work and community. We are looking for individuals who would be willing to participate in a phone interview in order to gain better insight.

   Would you be interested in participating in a phone interview? Contact information would only be used for the purpose of following-up with you for more detailed information about the workshop and information learned. Your contact information would not be shared or distributed.

   Your contact information will not be connected in any way to your unique ID.

   - ☐ Yes (*Will take individual to a new, separate form to enter contact information)*
   - ☐ No

Follow-up Survey Contact Information Form

First Name: E-mail Address:

Last Name: Phone Number:

Illinois Criminal Justice Information Authority
Research Information and Consent for Participation in Research
Mental Health Professional Workshop on Ideologically Inspired Targeted Violence

Hello, my name is [Megan Alderden/Lily Gleicher] and I'm a researcher with the Illinois Criminal Justice Information Authority. Our records indicate that you have expressed interest in participating in a follow-up interview about the workshop you recently attended on ideologically inspired targeted violence. I'm calling to schedule your phone interview.

What dates/times are you available? [Schedule interview date/time]

I would also like to send you a copy of the informed consent document about your interview. That document provides information about the research, explains that taking part is voluntary, and describes the risks and benefits of participation. I am required to provide this document to you. Although this is being provided to you to help inform your decision to participate, you should feel free to ask me any questions you may have at any time. We will also go over the document prior to the interview on [scheduled date/time].

How would you like me to send this to you? [address or e-mail]. Great. I will send it to you shortly. In the meantime, please feel free to contact me at [telephone number] if you have any questions.

Illinois Criminal Justice Information Authority
Research Information and Consent for Participation in Research
Mental Health Professional Workshop on Ideologically Inspired Targeted Violence

You are being asked to take part in a research study to evaluate the workshop goals and participant knowledge gained from the workshop. This form pertains to a follow-up interview about the workshop you attended. It will take approximately 30 minutes. Researchers are required to provide a consent form such as this to tell you about the research, to explain that taking part is voluntary, and to describe the risks and benefits of participation. Although this is being provided to you to help inform your decision to participate, you should feel free to ask the researchers questions you may have at any time.

Who is doing this research study?

Principal Investigator Name and Title: Megan Alderden, PhD, Research Director
Lily Gleicher, M.S., Research Analyst

Department and Institution: Research & Analysis Unit, ICJIA
300 W. Adams St., Suite 200, Chicago, IL 60606 (312) 793-8550

What is the purpose of this research?
The purpose of this research study is to measure if the workshop met its goals and to get feedback from participants to help improve future workshops and inform other jurisdictions holding workshops on targeted violence prevention (TVP).

Why am I being asked?
You are being asked to participate because you attended the workshop titled: *A Workshop on the Roles of Mental Health Professionals in Preventing Ideologically Inspired Targeted Violence Using a Public Health Approach.*

What am I being asked to do?
You are being asked to participate in a follow up interview. It will take about 30 minutes to complete. The interview will be scheduled at your convenience and conducted over the telephone or in-person, whichever you prefer.

What are the potential risks and discomforts to participating?
To the best of our knowledge, participating in the interview will have no more risk for harm than you would experience in everyday life. Some questions, however, may make you uncomfortable. You can choose not to answer any question that you do not want to answer at any time. You may also choose to stop the interview at any time.

Will I be told about new information that may affect my decision to participate?
During the course of our research, you will be informed of any significant new research information (either good or bad), such as changes in the risks or benefits resulting from participation in the interviews or new alternatives to participation, that might cause you to change your mind about participating. If new information is provided to you, your consent to continue participating in this research may be re-obtained.

Are there benefits to taking part in the research?
There are no direct benefits for participating in this study. The information gathered through the survey, however, will be used to evaluate the workshop. Such information may be used to improve the workshop or develop additional trainings for mental health professionals related to ideologically inspired targeted violence.

What about privacy and confidentiality?
Only the members of the research team will have direct knowledge that you participated in this study. *With your permission, we would like to audio-record the interview. This is to make sure we capture everything you tell us and convey your responses accurately.* You may choose not to have the interview audiotaped. Researchers will do everything we can to protect your identity. This includes the following.

- Only the researchers working on this project will have access to the interviewer notes, audio recordings, and transcripts.
- All interview notes and transcripts will be recorded in a manner that protects your identity. This includes ensuring that any names or other identifying information is removed.
- The interview notes, recordings, and transcripts will be electronically stored on password-protected computers and servers that only the researchers have access to. The interviewer notes and transcripts will be maintained separately from the audio recordings and signed consent forms.
- No information will be included that would reveal your identity when the results of the research are published, discussed, or presented to persons outside the research team. This includes sharing specific, identifying information to those developing the program.
- Recordings and transcripts will be destroyed five years following the completion of the program evaluation.

What other options are there?
You have the option to participate or not participate in this study.

What are the costs for participating in this research?
There are no associated monetary costs for participating in this research.

Will I be reimbursed for any of my expenses or paid for my participation in this research?
There will no reimbursement for any expenses or payment for participation in this study.

Can I withdraw or be removed from the study?
If you decide to participate, you are free to withdraw your consent and discontinue participation at any time without penalty. Even if you decide to participate, you may choose not to answer any question.

Who should I contact if I have questions about the research?
Contact the researchers: Lily Gleicher at lily.gleicher@illinois.gov or Megan Alderden, PhD Megan.Alderden@illinois.gov or via phone at 312-793-8550 if you have any questions about this study or your part in it, or, if you have questions, concerns or complaints about the research.

Who should I contact about my rights as a research subject?
The Authority's Institutional Review Board reviews all research projects involving human participants

to be sure the rights and welfare of participants are protected. If you feel you have not been treated according to the descriptions in this form, or if you have any questions about your rights as a research subject, including questions, concerns, complaints, or to offer input, you may contact the IRB secretary, Simeon Kim, Associate General Counsel, at (312) 793-8550 or Simeon.Kim@Illinois.gov.

Do you have any questions related to the consent form?

- **If yes**: Respond to questions. Once all questions are answered proceed.
- **If no**: Proceed.

Given the above information, are you still willing to participate in an interview pertaining to the workshop titled: *A Workshop on the Roles of Mental Health Professionals in Preventing Ideologically Inspired Targeted Violence Using a Public Health Approach*.

- **If yes**: Thank you for agreeing to participate. Is it okay to audio-tape the interview?
    - **If yes**: Thank you. I am now turning on the recording device. Start interview.
    - **If no**: No problem. I will take written notes instead.

- **If no**: No problem. Thank you for speaking with me today. End contact.

Mental Health Workshop Phone Interview Questions

1. What types of violence prevention or intervention services do you provide?
    a. How frequently do you provide direct violence prevention or intervention services to your clients?
    b. Generally, what does your clientele base look like (demographically, types of services, etc…)
2. How frequently do you encounter individuals at higher risk for ideologically inspired targeted violence?
    a. Did this contact occur prior to or after the workshop?
    b. If after, was the workshop information helpful?
    c. If prior, how might the workshop been useful?
    d. Since the workshop, have you used any of the information learned with your other clients (i.e. those who are not at higher risk for ideologically inspired targeted violence)?
        i. If yes, what and how?
        ii. Was it helpful?
3. How useful was the workshop to your job and in what ways?
    a. In what ways was the workshop not useful?
4. Since the workshop, how prepared do you feel in identifying or intervening with a client who may be at higher risk for ideologically inspired targeted violence?
    a. How so?
    b. What part of the workshop was most helpful in feeling prepared (or not)?
    c. What was not helpful?
5. What are your greatest concerns related to clients at higher risk for ideologically inspired targeted violence?
    a. Why?
    b. What do you think would be most helpful to know related to these concerns?
6. How supportive is your agency with regard to intervening with individuals who may be at higher risk for ideologically inspired targeted violence?
    a. How supportive are your coworkers?
7. What more would you like to know about ideologically inspired targeted violence?