

Project Title:
The Criminal Record and The Pursuit of a Clean Record: A Qualitative Study

Principal Investigator:
Kanasha Blue

This is a: New Project Application
 Project Renewal. IRB Case Number:

IRB Application Date (mm/dd/yyyy): 3/24/2018

Anticipated Project Start Date (mm/dd/yyyy): 4/30/2018

Project End Date (mm/dd/yyyy): 8/31/18

Form Instructions:

Empty gray boxes (e.g.) will expand as you type in them. These boxes will accept cut-and-paste, formatting, etc.

Black squares (e.g.) are checkboxes. Clicking on the box will check/uncheck the box.

This Section for IRB Committee Use Only

Does the IRB approve this application?

- Yes, Exempt. This research is exempt under 45 CFR 46.101. Approval is not required.
- Yes, risks to subjects are either negligible or minimized with responsible research design and data management procedures are warranted by study goals.
- Yes, pending resubmission to the IRB Chair for approval with the following minor revisions:
- No. the applicant must address significant concerns before resubmitting for committee review:

P. R. J. Jr.
Signature of IRB Chairperson:

4/17/18
Date (mm/dd/yyyy)

2018-027
IRB Case Number

IRB Reviewer Form

Please review the attached IRB submission.

Check one box and sign the form at the bottom. Return all materials with this page. Describe any concerns you have below. You may also contact the investigator(s) yourself by sending them a copy of your concerns. Any communication from you to the investigator, however, must come back to the IRB chairperson as documentation of our work must be made. After receiving 2 signatures indicating approval, a committee member (typically the chairperson) will sign the cover sheet and return it to the investigator. Please call the chairperson if you feel that the full committee should review the submission.

Investigator: Kanasha Blue

Title of Project: The Criminal Records and the Pursuit of a Clean Record: A Qualitative Study

Date IRB Received Proposal:

Based on the submitted materials, I believe (check one):

- This research is exempt under 45 CFR 46.101 (approval not required).
- Risks to subjects are minimized and are reasonable in relation to anticipated benefits. Selection of subjects is equitable, and the privacy of the subjects and confidentiality of the data are adequately protected. Approval is given.**
- Approval is given under the following conditions:
- Approval is not given for the following reasons:

Collegial Comments:

There a number of typos throughout the application. (See pp. 4-6 on attached pdf)

Reviewer's Signature: Sylvia Valentín

Date: April 15, 2018

Send back all materials, & any correspondence regarding the study to the IRB chairperson.

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Investigator: Kanasha Blue

Title of Project: The Criminal Record and The Pursuit of a Clean Record: A Qualitative Study

Date IRB Received Proposal: 03/24/2018

Based on the submitted materials, I believe (check one):

- This research is exempt under 45 CFR 46.101 (approval not required).
- Risks to subjects are minimized and are reasonable in relation to anticipated benefits. Selection of subjects is equitable, and the privacy of the subjects and confidentiality of the data are adequately protected. Approval is given.
- Approval is given under the following conditions:
- Approval is not given for the following reasons:

Collegial Comments: The informed consent details the steps used to maintain confidentiality and the 'destruction' of the data but section #4 Participant Confidentiality has section 4.2 and 4.3 listed as N/A...These sections must be completed in agreement with the informed consent document.



Reviewer's Signature:

Date: 04/17/18

Send back all materials & any correspondence regarding the study to the IRB chairperson.

1. Personnel

The Principal Investigator (PI) on this application must be a current Niagara University faculty, staff member, or student. Graduate and undergraduate students may serve as a PI, but their advisor(s) must be listed as a Co-Investigator (CI). If you need to list more than two co-investigators, please include their information in the 'additional information' section on the last page of this IRB application.

If a Co-Investigator is not affiliated with Niagara University: Please include the IRB application submitted to their home institution with your completed NU IRB application. The approved IRB application from your CI's home institution(s) must be sent to the NU committee before you begin any human-subjects research.

Principal Investigator Name: Kanasha Blue

Status: Faculty at Niagara University Graduate Student
 Staff at Niagara University Undergraduate Student

Title/Position: Ph.D. Student

Email Address: kblue@mail.niagara.edu

Department: Ph.D. in Leadership and Policy

Telephone Number: 716-870-1595

Co-Investigator 1 Name: Leticia Hahn

Status (check one): Faculty at Niagara University Graduate Student
 Faculty at Other University Undergraduate Student
 Staff at Niagara University

I am a faculty advisor for the PI's student project: Yes No Not Applicable

Title/Position: Course Instructor

Email Address: lhahn@niagara.edu

Department: College of Education

Telephone Number: 716-286-8760

Home Institution & Mailing Address (if not at Niagara):

Co-Investigator 2 Name:

Status (check one): Faculty at Niagara University Graduate Student
 Faculty at Other University Undergraduate Student
 Staff at Niagara University

I am a faculty advisor for the PI's student project: Yes No Not Applicable

Title/Position:

Email Address:

Department:

Telephone Number:

Home Institution & Mailing Address (if not at Niagara):

2. Study Activities and Description

It is important that your responses are clear and understandable for reviewers. In your responses, please summarize the proposed research using non-technical language that can be readily understood by someone outside of your discipline.

2.1 Describe the purpose and goals of this study (100-250 words):

The purpose of this phenomenological study will be to describe and interpret the lived experiences of a group of former offenders finding legal employment after the sealing of their under the New York State new record closure law. This study will be examined using the disability inquiry perspective lens; the focus will be on former offenders and their lived experience within the labor market. Through the process of phenomenological reflection and interviews, former offenders will share their stories and memories of social and economic exclusion as a result of their criminal record and the experience after a clean record. ✓

2.2 Explain the activities and tasks that participants will do as a part of your study (100-250 words):

Study participants will meet with principal investigator in a public setting such as coffee shop or public library. An interview with study participants will be conducted to describe the experiences of find employment with a criminal record and finding employment after having their criminal record sealed

2.3 Discuss any potential risks to participants that may result from your research and how you will minimize them:

Potential risk to participants includes transitory feelings of guilt, stress, embarrassment and lost of self-esteem. These feelings may arise during the interview process from thinking or talking about attitudes and behavior related to criminal experiences. Risks will be minimized by following ethical research procedures and informing and ensuing participants understand what the study entails. Before the interview beginning, participants will be informed that they have the option to not answer any question that makes them feel uncomfortable or end the interview at anytime. The researcher will also be able to provide participants with a list of services that can assist with managing emotional risk.

2.4 Discuss any potential benefits to society that may result from your research:

Potential benefits of this research to society may include introducing new research to the field regarding the lived experience after having a criminal record sealed. As recording sealing is new in New York State the data from this research could be use to evaluate success of the law and collobarate the need for the lam,w. It is also the intent of this researcher to publish the finding of this research in journals such as the Journal of Criminal Justice and the Journal of Contemporary Criminal Justice.

3. Research Participants

Please include a copy of all study procedures and documents with your IRB application (e.g. survey questionnaires, scripts, informed consent forms, etc.). These must be the final copy that will actually be used in your study; Drafts are not acceptable.

Please note: Answering affirmatively on any of the following questions will not automatically disqualify your IRB application (e.g. researching vulnerable populations, using deception, etc.). Each question is part of the IRB risk-assessment procedure, and will be taken in context of the rest of the study and its activities.

Non-Vulnerable Populations:

Adults (18 years or older)

Vulnerable Populations:

- Minors (Younger than 18 years)
- Medical or other clinical patients
- Individuals who may lack fluency in the language of the study
- Mentally or developmentally disabled or impaired individuals
- Prisoners, parolees, or incarcerated individuals
- Pregnant women or fetuses
- Native American/First Nations/Other indigenous persons
- Other vulnerable populations (please list):

3.1 Research Subjects

The primary research participants will include: (check all that apply)

Please provide a rationale for the involvement of vulnerable individuals and why alternative approaches cannot be used:

3.2 Data Sources:

The data collected will include: (check all that apply)

- Interviews (Face-to-face, online videoconference, telephone, etc.)
- Questionnaires or surveys (paper, online, electronic, etc.)
- Existing data banks, archives, or documents
- Physiological measurements, medical tissue, or blood samples
- Public records
- Educational tests
- Other (please explain):

3.3 Estimated number of participants (if any):

7

3.4 Estimated time for a participant to complete study procedures (if any):

2 months

3.5 Will there be any incentives offered for participation in your study? (e.g. cash, class points or extra credit, entry in prize drawing, etc.)

- No.
- Yes. Please describe what incentives will be offered, and how you will deal with compensating participants that choose to withdraw from your study:

3.6 Please briefly discuss how you will recruit participants, if any.

Participants will be recruited by word of mouth

If you are plan on using recruitment letters, posters, mass email/web materials, or oral scripts, please include along with this IRB application.

3.7 Will all participants be required to complete informed consent procedures prior to participating in the study?

Yes. Please include your informed consent form or statement as an attachment with your IRB application.

No. Please provide a rationale for why informed consent will not be required of study participants. Also include a script, statement, or other documentation as an attachment with your IRB application.

3.8 Will any participants be deceived as part of your study's activities or procedure?

No.

'Deception' is defined as intentionally misleading the participants in a research study in order to obscure the actual purpose of the study, and may only be used when effective nondeceptive alternative procedures are not feasible.

Yes. Please describe the details of the deception, and provide a rationale for deception. Please also include your debrief documentation or procedure with your IRB application.

4. Participant Confidentiality

4.1 Who will have access to individually identifiable data for this project (if any)? Please be specific about each person, their roles, and their level of access.

nj

4.2 What steps will you take to ensure confidentiality of individually identifiable data (if any)? Please be specific about your steps in collecting, storing, analyzing, anonymizing, and publishing information.

N/A

4.3 When and how will individually identifiable data be destroyed? If you are required by a funding agency or academic publication to retain data for an extended period of time, please explain.

N/A

5. Funding and Conflicts of Interest

5.1 Funding Sources: Have any of the researchers received or applied for any form of funding, including grants, fellowships, or contracts (please include internal NU grants)?

No

Yes. Please provide the funding source(s) and grant/contract numbers (if any):

5.2 Financial Conflict of Interest: A financial conflict of interest may exist whenever financial considerations or publication rights have the potential to compromise or have the appearance of compromising one's professional judgment and independence in the design, conduct or publication of research.

Does any investigator (including principal or co-investigator), key personnel, or their immediate family members have a financial interest (including salary or other payments for services, equity interests, or intellectual property rights) that would reasonably appear to be affected by the research, or an interest any entity whose financial situation would reasonably appear to be affected by the research?

No

Yes. Please provide:

Name of the person with the potential conflict of interest:

Explain the potential financial conflict of interest:

Explain how the potential conflict of interest will be managed:

6. Applicant Comments

6.1 Please use the space below to provide any additional comments that you think might be of use to the committee in reviewing your IRB application (optional).

N/A

7. Primary Investigator Signature & Assurance

7.1 Please check the following boxes, and sign and date.

I confirm that I am familiar with and abide by the guidelines and best practices of ethical research involving human subjects, and I agree to comply with the conditions outlined in university, state, and federal regulations.

I confirm that should this study need to CHANGE ANY procedure, measurement device, process, population, or other aspect of this study involving human subjects before or after IRB approval, I must notify the IRB Director prior to implementing these changes, and additional reviews may be required.

I understand that ethics approval is only granted until the application's expiration date. Should this project require renewal, I confirm that it is my responsibility to submit the annual renewal ONE MONTH prior to the expiry date of this application.

I confirm that should an ADVERSE EVENT (i.e. an unanticipated negative consequence or result affecting participants) should occur, I will report it to the IRB director within three days.

/Kanasha Blue/
Signature of the Principal Investigator. [type a slash on either side of your name to indicate signature, e.g. /jane smith/]

3/24/2018
Date (mm/dd/yyyy)

Informed Consent
The Criminal Record and The Pursuit of a Clean Record: A Qualitative Study

Dear [Participant]

Commented [v3]: insert person's name

Thank you for taking the time to offer your knowledge and experiences with this study. The purpose of this study is to examine the lived experience of finding employment with a criminal record and then finding paid work once a criminal record was sealed. This study is a means of gathering data as part of the dissertation process for Niagara University Doctor of Philosophy in Leadership and Policy. As criminal record sealing is a new law in New York State, the findings from this research will benefit lawmakers and the overall criminal justice system to better understand this uncharted territory.

This document is a written request for your informed consent to ensure confidentiality and understanding of partaking in this study. This written consent will be kept separately from other material collected during the study. Participants will not be identified by name in any record but by number code. All records collected will be secured in two locked file cabinets in the researcher's home office. Records will be maintained for 5 years after publication and then destroyed by shredding.

The study will include participants being interviewed by Niagara University researcher Kanasha Blue. The interviewing process will last approximately between 30 and 45 minutes, where participants will be asked open ended questions. In person interviews will be scheduled for a time and location that is mutually agreed upon by both participants and interviewer within one month of signing this consent.

At any time during the interview process if participant feel uncomfortable in any way, they have the right to not answer any question or end the interview all together. Participant's contribution to this study is voluntary and participants will not be compensated. By signing this consent participants understand their right to withdraw and discontinue participation from this study at any time without penalty.

During the interview, notes will be written, and an audio tape of the dialogue will be created for accuracy. The researcher will not identify participants by name in any reports to ensure confidentiality. Subsequent use of collected data and information will be used in accordance with the best practices which protect the identify and anonymity of participants.

For research problems or question please do not hesitate to contact me by phone at 716-870-1595 or by e-mailing me at me at kblue@mail.niagara.edu. This research study has been reviewed and approved by the International Review Board at Niagara University. The International Review Board chair is Dr. Paul Schupp and he may be reached at 716 286 8335 or pschupp@niagara.edu.

I have read and understand the explanation provided to me. I have had all my questions answered to my satisfaction, and I voluntarily agree to participate in this study. I also have been given a copy of this consent form.

Participant's signature _____ Date _____

Investigator's signature _____ Date _____

PRS
4/17/18

Approved by the
Niagara University
IRB Committee
Approval Date: 4/17/18
Expiration Date: _____

Interview Instrument

Race:

Age:

Gender:

Do you have a criminal record?

Has your criminal record been seal or expunged?

What encourage you to get your criminal record sealed?

What is your current employment status?

How do you feel having a criminal record affected your ability to find employment?

Do you feel at a disadvantage because of your criminal record relative to employment?

Did anything make it easier for you to find employment post incarceration?

Do you feel at a disadvantage with regard to employment with having a sealed criminal record?

Other comments regarding record sealing and employment?