CENTER FOR DATA INSIGHTS AND INNOVATION
CALIFORNIA HEALTH & HUMAN SERVICES AGENCY

View xForm - Project Application v6

This form is for new projects that have not been previously approved by CPHS.

Data entry
- Submitted 07/15/2024 2:45 PM ET by Justin Harty, PhD, MSW, BA

New Submission Study Personnel

NEW CONTACT INSTRUCTIONS

August 2024 Cycle.

_____HSC Project_____

07/01/2024 • Sussan Atifeh • Internal

Dear Researchers: To accurately assess the CPHS oversight requirements for your project, could you please confirm in the application if any of the following conditions apply:

1. The study will be conducted by state staff.
2. The study receives funding from any departments under CalHHS.
3. The study involves subjects under state custodial care, such as those in state hospitals or regional centers.
4. You are requesting data from any state departments for the purpose of conducting your study.

A "Yes" response to any of the above inquiries would indicate that CPHS does indeed have jurisdiction over your project.

You can respond to these questions in the "Purpose" or "Procedures" sections of this application. Please copy each question and respond to them by "Yes" or "No" and if necessary a brief explanation.
Thanks.

07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

Researchers response to the note above:

To accurately assess the CPHS oversight requirements for my project, I confirm that the following conditions apply or do not apply:
1. The study will be conducted by state staff: No.

2. The study receives funding from any departments under CalHHS: No.

3. The study involves subjects under state custodial care,

such as those in state hospitals or regional centers: Yes. The study includes subjects who are non-minor dependents, ages 18–21, currently in extended foster care under the supervision of California's Department of Social Services.

4. You are requesting data from any state departments for the purpose of conducting your study: No.

07/15/2024 • Sussan Atifeh • Internal

Please see the attached support letter to this note:

07/22/2024 • Sussan Atifeh • Internal

Letter of Support - Study for Expectant & Parenting Youth..pdf	07/22/2024 9:03 PM ET

If personnel are not found by their email address while trying to complete the following questions, you can add them in the system with the link below. Click on the "New Contact Form" and complete it. Within a few minutes of completing the form, you will receive an email notifying you of the availability of the new contact. You should then be able to add them in the subsequent questions.

User had the option to start a different form here.

PRINCIPAL INVESTIGATOR (PI)

Enter the Principal Investigator's email address.

Justin Harty, PhD, MSW, BA

Email: justinharty@asu.edu **Business:** (602) 543-1877

Choose the institution with which the PI is affiliated (not the location at which the research is being conducted).

Arizona State University

Enter the city in which the PI's institution is located.

Phoenix

Enter the state in which the PI's institution is located.

Start typing in the state name to select the name from the list.

Arizona

Attach a copy of the PI's Curriculum Vitae.

Harty-CV-Jan2024.pdf PI Curriculum Vitae

CO-PRINCIPAL INVESTIGATOR (CO-PI)

Enter the Co-PI's email address by clicking on the "Add Contact" button.

Since the email address provided for the Co-PI does not indicate any affiliations with Arizona State University (main site of the project), please explain in the "Procedures" section of this application about the role of the Co-PI and how she can access data.

07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

Researchers' response to this note:

Co-PI Role and Data Access
Dr. Kristen Ethier, as the Co-investigator of the study, plays a significant role in the recruitment and consent processes. She will collaborate closely with designated California organizations that support Expectant and Parenting Youth (EPFY), such as the California Department of Social Services (CDSS) and County Welfare Directors Association of California (CWDA), to facilitate the recruitment of participants. Dr. Ethier, along with Dr. Justin Harty, is responsible for managing the consent processes, ensuring that all participant interactions comply with ethical standards. Regarding data access, Dr. Ethier will only access qualitative data through a secure file sharing protocol. The data management procedures for the study are closely controlled to ensure confidentiality and security. Only the Principal Investigator (Dr. Harty) and Co-Investigator (Dr. Ethier) will manage the digital data, employing ASU's "Encryption in Transit" protocols to minimize data interception risks. This involves using ASU ENCRYPTED wireless, SSLVPN for off-campus ASU system access, and encrypted protocols like https and ssh for networked system interactions. This access is critical for conducting thorough analyses and achieving the research objectives of the study.

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If there are multiple co-principal investigators, repeat this action for all Co-PIs. If there are no Co-PIs for this project, skip this question.

Kristen Ethier, PhD

Email: kristen.ethier@simmons.edu **Business:** (617) 521-2427

Attach a copy of each Co-PI's Curriculum Vitae.

Ethier-CV-Feb2024.pdf Co-PI Curriculum Vitae

ADMINISTRATIVE CONTACT

Enter the email address(es) for the administrative contact(s). If you are the administrative contact, enter your email address, and enter anyone else you want listed as an administrative contact.

Justin Harty, PhD, MSW, BA

Email: justinharty@asu.edu **Business:** (602) 543-1877

RESPONSIBLE OFFICIAL (RO)

Enter the RO's email address.

The RO must have supervisory authority, in the administrative structure of the same institution, over the PI. You listed Dr. Webster from UCB as the RO of the project. Please confirm in the "Purpose" or "Procedures" sections of the application that Dr. Webster has supervisory authority over Dr. Harty in the same PI's institution (Arizona State University). Thanks,

07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

Researchers' Response to this note:

In response to your query regarding the Responsible Official (RO) for the study, please note a recent update in the administrative structure. Dr. Elizabeth Lightfoot, Director of ASU's School of Social Work, now serves as the Responsible Official overseeing this project. Dr. Lightfoot has supervisory authority over Dr. Justin Harty, ensuring alignment with the institutional requirements. Therefore, Dr. Webster is no longer the Responsible Official for this study.

07/15/2024 • Sussan Atifeh • Internal

*The RO **cannot** be the same person as the PI or Co-PI. The RO must have supervisory authority, in the administrative structure of the institution, over the PI.*

Elizabeth Lightfoot, PhD

Email: Liz.Lightfoot@asu.edu **Business:** (602) 496-0800

OTHER RESEARCH STAFF

Enter the email address for any other research staff by clicking the "Add Contact" button.

Repeat this action for all other research staff not previously provided on this screen that should receive notifications about this project. If there are no additional research staff, skip this question.

No answer provided.

Check for PI same as RO (internal only question) *(Internal)*

False

Project Information

SUBMITTER

Application completed by:

Justin Harty, PhD, MSW, BA
Email: justinharty@asu.edu **Business:** (602) 543-1877

PREVIOUSLY APPROVED EXEMPTION

Is there a previously-approved exemption from CPHS for this project?

No

PROJECT TITLE

Enter the project title (please capitalize each word in your title).

Expectant and Parenting Youth in Foster Care: A Qualitative Inquiry

PROJECT SITE

Indicate the primary site at which the research will be conducted.

California Department of Social Services

STUDY PROCEDURES

Indicate the study procedures involved in this research. Check all that apply.

If you have requested data from any state departments, you need to select "Data Registry" as well. Thanks,

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Focus Groups
Interviews

TYPE OF RESEARCH REQUEST

Indicate which of the following applies to this research. Check all that apply.

*Death Data Only refers to health-related studies requesting existing mortality data from **within** the California Human Health Services Agency (CHHSA)*

*SB-13 (Information Practices Act) refers to health-related studies requesting existing data from **outside** the CHHSA (e.g. California Department of Corrections and Rehabilitation [CDCR], California Department of Education [CDE], etc.) **OR** studies requesting data **within** the CHHSA that are not state funded or involving state staff.*

Common Rule/Human Subjects refers to health-related studies that involve direct or indirect interaction with human subjects (e.g. recruitment, interviews, etc.)

*Common Rule Only refers to health-related studies requesting existing data from **within** the CHHSA (e.g. Office of Statewide Health Planning and Development [OSHPD], California Department of Public Health [CDPH], etc)*

Common rule/Human subjects

PROJECT TYPE DETAILS

Indicate which, if any, apply to this research. Check all that apply.

If the research does not involve any of following, choose "None of the above."

Minimal Risk
Consent form

VULNERABLE POPULATIONS

Indicate which vulnerable populations, if any, will be involved with this research. Check all that apply.

If vulnerable populations are not part of the research, choose "Not applicable."
Note regarding minors: in the United States, a minor is under 18 years of age. If research is conducted outside the United States, a minor is under the age of majority in the countries where research is to be conducted.

Not applicable

FUNDING

Is this research funded?

Yes

Indicate the funding source for this project.
Privately funded
University funded

EXPEDITED REVIEW CONSIDERATION

Please check the criteria below that you think your project meets to qualify for an expedited review. If none of these expedited criteria are appropriate for your project, choose 'not applicable'; your protocol will be reviewed by the full committee. Note that CPHS will make the final determination of whether the project meets the criteria for expedited review.

Protected Health Information/Personally Identifiable Data (PHI/PID) is defined as information in any format that identifies the individual, including demographic information collected from an individual that can reasonably be used to identify the individual. Additionally, PHI is information created or received by a healthcare provider, health plan, employer, or health care clearinghouse; and relates to the past, present, or future physical or mental health or condition of an individual, including any of the 18 HIPAA identifiers.

Note: Please be aware that individual participants may be identifiable by combining other items in the data even when none of the 18 HIPAA identifiers are present. Thus, a study may still contain PID even after removing or never acquiring the identifiers, and the investigator may still need to provide complete answers for the data security questions in the protocol.

***The Departments within the California Health and Human Services Agency (CHHSA) are: Aging, Alcohol and Drug Programs, Child Support Services, Community Services and Development, Developmental Services, Emergency Medical Services Authority, Health Care Services, Mental Health, Public Health, Rehabilitation, Social Services and Statewide Health Planning and Development.*

Not applicable

ANTICIPATED PROJECT START DATE

Projects cannot begin before they have been reviewed. The earliest possible start date is always the date of the next public meeting at which the project will be heard.

> Projects cannot begin before they have been reviewed. The earliest possible start date is always the date of the next public meeting at which the project will be heard. Please select 8/2/24 or a date after it within a few weeks. Thanks,
>
> 07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

For a list of public meeting dates, see the CPHS website

08/15/2024

ANTICIPATED PROJECT END DATE

08/15/2025

Project Details

PURPOSE

Include a brief statement, less than 500 words, describing the research project. Be sure to address the background for the project, including relevant literature, the major research questions to be addressed, and the expected end product (e.g., article, report or other publications). Include the location(s) where the project will take place. The summary should be understandable to the general public.

> Please identify all sites of this project. You named Arizona State University. Is it the only site of the study? (The site of the study is the location of the servers, data storage, linkage, and analysis.
> If this study has multiple sites, please note, for each site you need to provide a separate Data Security Letter (DSL).
> Thanks,
>
> 07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

This research project explores the nuanced experiences and needs of expectant and parenting youth (EPFY) within California's foster care system. By employing a qualitative research methodology known as interpretive description, this study aims to shed light on the unique challenges and support systems surrounding these young individuals as they navigate the dual transitions to adulthood and parenthood. The project seeks to engage a diverse group of participants, totaling 85, through individual interviews and focus group discussions, emphasizing inclusivity across variables such as gender, parental status, and ethnicity.

Eligibility criteria for participants include being aged 18-21, currently in California's foster care system, either expectant or actively parenting, proficient in English, and having internet access for participation in virtual discussions. This approach ensures a comprehensive understanding of EPFY's needs. The virtual format of interviews and discussions, conducted via Zoom, accommodates participants' geographic spread across urban and rural California and aligns with research practices for enhanced accessibility and engagement.

Central to our investigation are critical research questions aimed at unraveling the effectiveness and scope of existing support systems within the foster care system. The study probes into the adequacy of these supports in addressing the complex needs of EPFY, identifying gaps, and proposing actionable recommendations for policy and practice improvements. By focusing on personal narratives and collective experiences, the research aspires to contribute valuable insights into the social norms and dynamics affecting EPFY within the foster care context.

Anticipated products of this research include a report and a series of academic articles targeted at a wide audience range, from scholars and

practitioners in social work and child welfare to policymakers and advocates. Through disseminating our findings, the project aims to foster a deeper understanding of EPFY's challenges and support needs, advocating for enhanced policies and practices that can better serve this vulnerable population and their children.

All interviews conducted as part of this study will take place virtually via Zoom. This approach ensures that the location of each meeting is accessible and secure, providing a consistent environment for data collection while maintaining participant convenience and safety.

MAJOR RESEARCH QUESTION

What is the major research question to be addressed in this project?

The primary research is: What are the experiences and needs of expectant and parenting youth in the foster care system (EPFY) transitioning to early adulthood and young parenthood? This question aims to provide insight into the lived experience of EPFY.

STUDY PROCEDURES

Describe in detail all procedures for this research. Do not attach grant applications or similar documents. Information in this application must be sufficient to fully explain the procedures without such documents

Please clarify in this section whether you have requested any "state" data from any state departments for conducting this study. If yes, Please name the departments and the formal name of the data sets you requested from each department.

07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

Research Procedure Details: The study procedures encompass qualitative data collection methods, which will involve the active participation of the Principal Investigator (Dr. Harty) to conduct individual interviews and facilitate focus group discussions. A total of 40 Expectant and Parenting Youth (EPFY) participants will be engaged in individual interviews, while 45 EPFY participants will participate in focus group discussions. These discussions will be distributed across nine focus groups, each comprised of five participants. Recruitment will be conducted through established channels, including foster care agencies, caseworker referrals, and the endorsement of other child welfare and foster care staff authorized by institutional review boards. The study will exclusively involve EPFY participants aged between 18 and 21 years old, currently situated in California foster care, with proficient English communication skills. To ensure a comprehensive representation of diverse perspectives, purposive sampling will be employed, targeting variables such as gender, parental status, residency with child, race/ethnicity, and coparenting status.

Individual Interviews: In this phase, a total of 20 fathers and 20 mothers will be individually interviewed. The interviews will be conducted using an interview protocol (Form 5) by the Principal Investigator (Dr. Harty), ensuring an expert and consistent approach to data collection. Each interview will span approximately 60 minutes and will be facilitated through the use of the Zoom platform. Participants will be requested to share an email or cell phone number for receiving a Zoom meeting invitation with enabled password, waiting room, and automatic captioning features. The interviews will delve into various dimensions of parenting within the context of foster care, encompassing topics such as parental involvement, attitudes, identity, support, and competencies. The interviews will be meticulously transcribed using computer-generated live Zoom captioning.

Focus Group Discussions: The focus group discussions will also be led by the Principal Investigator (Dr. Harty) using a focus group protocol (Form 6), ensuring a cohesive and experienced approach to data collection. Participants will be requested to share an email or cell phone number for receiving a Zoom meeting invitation with enabled password, waiting room, and automatic captioning features. The nine focus groups will be structured,

with two groups comprising fathers and another two groups comprising mothers. Additionally, five more focus groups will feature fathers and mothers from distinct subpopulations, such as expectant parents, individuals not residing with their children, racial/ethnic minorities, single parents, and those engaged in specialized parenting services. Participants for each focus group will be drawn from participants who consented to participate in a focus group, based on their responses to focus groups they indicated they were interested in joining in the consent form (Form 2). Each focus group session will be allotted a duration of 90 minutes and will be conducted via the Zoom platform. The discussions will traverse deeper layers of the parenting experiences of EPFY, including interactions with the foster care system, the reception of messages about parenting, and the various needs arising as young parents.

Qualitative Data Analysis: The subsequent analysis phase of the collected data will be supervised by the Principal Investigator (Dr. Harty). The transcripts from both individual interviews and focus group discussions will undergo a rigorous two-phase thematic analysis process. In the initial phase, themes and patterns will be identified and labeled. The coding scheme will be collaboratively established by two independent coders, solidifying the methodological consistency and rigor of the analysis. The second phase will involve a multi-level coding approach that combines both inductive and deductive coding strategies. MAXQDA software will be employed to facilitate the qualitative analysis process, ensuring meticulous data management and organization.

Total Period and Span of Time for Research Procedures: The total time of engagement in this study can vary depending on participation choices. It can be as short as 60 minutes if only participating in an individual interview, 90 minutes if only taking part in a single focus group interview, 150 minutes if participating in both an individual interview and one focus group interview, and up to a maximum of 240 minutes if engaging in an individual interview and two focus group interviews. Research procedures do not include follow-up interviews.

CPHS Oversight Conditions
To accurately assess the CPHS oversight requirements for my project, I confirm that the following conditions apply or do not apply:
The study will be conducted by state staff: No.
The study receives funding from any departments under CalHHS: No.
The study involves subjects under state custodial care, such as those in state hospitals or regional centers: Yes. The study includes subjects who are non-minor dependents, ages 18–21, currently in extended foster care under the supervision of California’s Department of Social Services.
You are requesting data from any state departments for the purpose of conducting your study: No.

Co-PI Role and Data Access
Dr. Kristen Ethier, as the Co-investigator of the study, plays a significant role in the recruitment and consent processes. She will collaborate closely with designated California organizations that support Expectant and Parenting Youth (EPFY), such as the California Department of Social Services (CDSS)

and County Welfare Directors Association of California (CWDA), to facilitate the recruitment of participants. Dr. Ethier, along with Dr. Justin Harty, is responsible for managing the consent processes, ensuring that all participant interactions comply with ethical standards. Regarding data access, Dr. Ethier will only access qualitative data through a secure file sharing protocol. The data management procedures for the study are closely controlled to ensure confidentiality and security. Only the Principal Investigator (Dr. Harty) and Co-Investigator (Dr. Ethier) will manage the digital data, employing ASU's "Encryption in Transit" protocols to minimize data interception risks. This involves using ASU ENCRYPTED wireless, SSLVPN for off-campus ASU system access, and encrypted protocols like https and ssh for networked system interactions. This access is critical for conducting thorough analyses and achieving the research objectives of the study.

Responsible Official
In response to your query regarding the Responsible Official (RO) for the study, please note a recent update in the administrative structure. Dr. Elizabeth Lightfoot, Director of ASU's School of Social Work, now serves as the Responsible Official overseeing this project. Dr. Lightfoot has supervisory authority over Dr. Justin Harty, ensuring alignment with the institutional requirements. Therefore, Dr. Webster is no longer the Responsible Official for this study.

Date Requested from State Departments
This study is not requesting data from state departments.

Please upload here any tables or charts related to your study procedures and any materials (such as surveys or interview questions) that will be presented to participants.

Form5_Individual_v2_20230911.pdf	Instruments
Form6_Group_v2_20230911.pdf	Instruments

RECORDING

Will audio or video recording occur?

Yes

Describe how the recordings will be maintained during and upon completion of the project. Describe what will become of the recordings after use (e.g., shown at scientific meetings, erased, etc.).
We will not use video recording, only text captioning and audio recording, as described below.

Live Zoom Captioning: We will request participants' permission to employ Zoom's computer-generated live captioning for their interviews. Upon obtaining consent for this process, interviews will be conducted via Zoom and transcribed using the live Zoom captioning feature. These transcript files will exclusively consist of text and will not include the original audio or video recordings. To ensure security, the transcript files will undergo de-identification, encryption, and password protection. These encrypted and password-protected files will be stored on ASU's secure server, ASU's secure cloud storage, and a non-internet-connected computer within the PI's ASU locked office. The participant's name in the Zoom transcription file will be substituted with a pseudonym of their choice. Other specific names mentioned in the transcript will be redacted, including those of the child, child's other parent, partner, family, or any other individuals. Zoom transcription files are processed and stored within Zoom's encrypted cloud using Advanced Encryption Standard (AES) 256 with a one-time key post-meeting completion; access to these recordings is restricted to the PI. Subsequent to retrieval from Zoom's (AES) 256 secured and password-protected storage, the Zoom transcription files will be securely transferred to ASU's secure server, ASU's secure cloud storage, and the PI's ASU office computer (not connected to the internet) using the file transfer protocols outlined in Electronic Safeguard section of this IRB application. Following each interview, participants will have the option for us to erase their Zoom transcription file if they wish to withdraw their consent to Zoom transcription or participation in the study. De-identified transcripts of participants' interviews may be partially reproduced for use in presentations or written products arising from this study. No participant names or identifying information will be included in these presentations or written products. A pseudonym will be used to ensure confidentiality, chosen either by the participant or selected by the PI. Masked excerpts from participants' interviews may be quoted in future articles, books, presentations, or other publications.

Audio Recordings: We will seek participants' permission to audio record the interviews and focus groups. If participants grant consent for audio recording, interviews will be audio recorded. These audio recordings will be cross-referenced with the computer-generated live captioning provided by Zoom to ensure accuracy, a task carried out by the PI. In instances where participants authorize digital audio recording, all names mentioned or implied

in the audio will be excised, including those of the participant, participant's child, child's other parent, partner, family, or any other individuals. Additionally, any identifiable information contained in the audio file will be redacted. Each audio recording will be stored with a pseudonym. Subsequent to confirming the precision of Zoom's computer-generated live captioning, audio files will be deleted, no later than six months following the interview date. Upon interview completion, participants will have the option to request the deletion of their digital audio file if they decide to withdraw their consent for audio recording or participation in the study.

DECEPTION

Will deception be used in this study?

No

CALIFORNIA HEALTH AND HUMAN SERVICES AGENCY (CHHSA) DEPARTMENTS LIST

Indicate any of the following CHHSA department(s)' involvement in providing research staff, funding and/or patients from State mental hospitals for this project.

> Since you clarified the study includes subjects who are non-minor dependents, ages 18–21, currently in extended foster care under the supervision of California's Department of Social Services, please select "CDSS."
> Thanks,
>
> 07/15/2024 • Sussan Atifeh • *Not* Internal

Not applicable

Study Population

POPULATION DESCRIPTION

Provide a full description of how human subjects will be involved in the research. Address characteristics of subjects such as: age; sex; ethnicity; and number of participants. Include requested participant number.

Number of Participants: The study plans to recruit between 40 to 85 expectant and parenting foster youth (EPFY) for participation. Participants can opt to be involved in both individual interviews and focus group discussions, based on their preference. A subset of 40 participants will be selected for one-on-one interviews. Additionally, these EPFY participants will have the opportunity to participate in any of the nine planned focus groups, each group consisting of five participants, amounting to a total of 45 participants in focus groups. If the initial group of 40 participants does not fulfill the required 45 slots for the focus group discussions, the study will aim to recruit up to an additional 45 participants to ensure complete representation in the study.

Inclusion and Exclusion Criteria: Participants will be identified for inclusion in this study based on the following criteria: (1) Between the ages of 18 to 21; (2) An expectant parent, biological parent, or both to at least one living child; (3) Currently in foster care; (4) Currently in care of the California Department of Social Services (CDSS); (5) Able to access the internet from a mobile device or computer; (6) Able to complete one 60-minute remote Zoom individual interview, one 90-minute remote Zoom focus group interview, or both (up to two 90-minute remote Zoom focus group interviews).

RATIONALE

What is the rationale for studying the requested group(s) of participants?

Inclusion and Exclusion Rationale: Participants who do not meet the six inclusion and exclusion criteria above will be excluded from the study. The rationale for study exclusion is listed below and in order of the criteria listed in the Population Description section. (1) This study aims to investigate the experiences and needs of transition-aged parents in CDSS extended foster care. Extended foster care allows foster youth to continue their support under the foster care system from age 18 to 21. As individuals younger than 18 years old are not part of extended foster care, they will not be included in this study. The focus will be solely on transition-aged parents within the specified age range. (2) The primary objective of this study is to investigate how CDSS supports and prepares young parents in foster care for parenthood. To be eligible for parenting preparedness and supportive services from CDSS, youth in foster care must either be expectant parents or have a living child. Consequently, participants who do not meet these conditions, such as females and males in care who are not expectant or do not have a living child, will be excluded from this study. (3) This study has been designed to delve into the aspects of parenthood among parents who are currently in foster care. By focusing on this group, we aim to gain insights into the present experiences and needs of transition-aged parents in CDSS extended foster care. Additionally, we will examine CDSS's current efforts in preparing these parents for parenthood. It is essential to note that parents who are foster care alumni will not be able to provide current experiences and needs while actively in foster care, as they are no longer served by the foster care system. As a result, individuals not currently in foster care will be excluded from this study to maintain its specific focus on current foster care parents. (4) This study is specifically focused on parents who are under the care of CDSS. Therefore, cases involving parents from foster care systems outside of California are beyond the scope of this research and will not be included in the study. The investigation is limited to parents within the jurisdiction of CDSS to ensure a targeted and comprehensive analysis. (5) This study will conduct interviews via Zoom, necessitating participants to have access to the internet through a mobile device or computer. As a result, parents who lack internet access from a mobile device or computer will be excluded from participating in this study. (6) The qualitative nature of this study necessitates conducting individual interviews lasting approximately 60 minutes and focus group interviews lasting approximately 90 minutes to delve deep into the experiences and needs of parents in CDSS foster care. As a result, parents who are unable to participate in an individual qualitative interview of around 60 minutes, a focus group interview of around 90 minutes, or both will not be included in this study.

RECRUITMENT DETAILS

Describe how potential subjects will be identified for recruitment. Examples include: class rosters; group membership; individuals answering an advertisement; organization position titles (e.g., presidents, web designers, etc.). How will potential participants learn about the research and how will they be recruited (e.g., flyer, email, web posting, telephone, etc.)?

Important to remember: subjects cannot be contacted before IRB approval.

Inclusion and Exclusion Rationale: Participants who do not meet the six inclusion and exclusion criteria above will be excluded from the study. The rationale for study exclusion is listed below and in order of the criteria listed in the Population Description section. (1) This study aims to investigate the experiences and needs of transition-aged parents in CDSS extended foster care. Extended foster care allows foster youth to continue their support under the foster care system from age 18 to 21. As individuals younger than 18 years old are not part of extended foster care, they will not be included in this study. The focus will be solely on transition-aged parents within the specified age range. (2) The primary objective of this study is to investigate how CDSS supports and prepares young parents in foster care for parenthood. To be eligible for parenting preparedness and supportive services from CDSS, youth in foster care must either be expectant parents or have a living child. Consequently, participants who do not meet these conditions, such as females and males in care who are not expectant or do not have a living child, will be excluded from this study. (3) This study has been designed to delve into the aspects of parenthood among parents who are currently in foster care. By focusing on this group, we aim to gain insights into the present experiences and needs of transition-aged parents in CDSS extended foster care. Additionally, we will examine CDSS's current efforts in preparing these parents for parenthood. It is essential to note that parents who are foster care alumni will not be able to provide current experiences and needs while actively in foster care, as they are no longer served by the foster care system. As a result, individuals not currently in foster care will be excluded from this study to maintain its specific focus on current foster care parents. (4) This study is specifically focused on parents who are under the care of CDSS. Therefore, cases involving parents from foster care systems outside of California are beyond the scope of this research and will not be included in the study. The investigation is limited to parents within the jurisdiction of CDSS to ensure a targeted and comprehensive analysis. (5) This study will conduct interviews via Zoom, necessitating participants to have access to the internet through a mobile device or computer. As a result, parents who lack internet access from a mobile device or computer will be excluded from participating in this study. (6) The qualitative nature of this study necessitates conducting individual interviews lasting approximately 60 minutes and focus group interviews lasting approximately 90 minutes to delve deep into the experiences and needs of parents in CDSS foster care. As a result, parents who are unable to participate in an individual qualitative interview of around 60 minutes, a focus group interview of around 90 minutes, or both will not be included in

this study.

Attach copies of all recruitment materials.

Form1_Screening_v2_20230911.pdf	Recruitment Materials
Form3_Flyer_v2_20230911.pdf	Recruitment Materials
Form3_Flyer_v2_20230911_Full.pdf	Recruitment Materials
Form4_Letter_v2_20230911.pdf	Recruitment Materials
Form7_Compensation_v2_20230911.pdf	Recruitment Materials
Form8_Receipt_v2_20230911.pdf	Recruitment Materials
Form9_Recruitment_v2_20230911.pdf	Recruitment Materials

SCREENING

Will subjects be screened prior to entry into the research?

Yes

Please address the criteria for exclusion and inclusion in the research during the screening process. Provide reasons for not including women or minorities. Provide justification for including vulnerable populations such as children or prisoners. Please also provide a statement regarding what will happen to the information collected about the individual should they not enter into the study.

Screening Procedures: It will be expressly communicated that only Dr. Harty is authorized to manage and oversee the screening process. If the potential participants want to learn more about or participate in this study, the recruitment materials will instruct then to contact Dr. Harty. When a potential participant initiates contact with the Principal Investigator (Dr. Harty), the meticulous screening procedure will be set into motion. This comprehensive screening process involves the utilization of the screening form (Form 1), which plays a pivotal role in assessing the eligibility of prospective participants and subsequently categorizing them for inclusion in the study. The screening process will be implemented through Qualtrics. We have specifically configured settings to ensure that Qualtrics does not record IP addresses, location data, or any contact information linked to our participants. This measure is made possible by enabling the 'Anonymize Responses' feature within Qualtrics, a tool designed to respect and protect participant anonymity. By using this feature, we can ensure that the screening process remains strictly confidential and untraceable to individual identities. Inclusion and Exclusion Criteria form the foundation of this screening process. The criteria guide the identification of participants who align with the study's objectives and parameters. Eligibility factors encompass criteria outlined in the Population Description section of this IRB application based on the rationale provided in the Rationale section of this IRB application. These criteria are meticulously designed to ensure that the study cohort aligns with the specific demographic and contextual focus of the research. By adhering to these criteria, the study aims to obtain a robust and representative sample that enriches the depth of insights garnered.

Inclusion and Exclusion Procedures: To determine the inclusion/exclusion of expectant or parenting youth in CDSS foster care, we will utilize a screening form (Form 1) implemented through Qualtrics. This form will contain specific criteria and questions relevant to the criteria listed in the Population Description section of this IRB application. We have specifically configured settings to ensure that Qualtrics does not record IP addresses, location data, or any contact information linked to our participants. This measure is made possible by enabling the 'Anonymize Responses' feature within Qualtrics, a tool designed to respect and protect participant anonymity. By using this feature, we can ensure that the screening process remains strictly confidential and untraceable to individual identities. Participants will be required to complete this screening form, and based on their responses, we

will assess whether they meet the defined criteria for inclusion in the study. Expectant or parenting youth in CDSS foster care who meet the criteria will be included, while those who do not fulfill the requirements will be excluded. This systematic approach will ensure that the study's sample represents the target population accurately and enables us to gather comprehensive data for the research objectives.

COMPENSATION

Will subjects be compensated for participating in the study?

Yes

Compensation type
Gift card

Explain the amount and schedule of compensation that will be paid for participation in the study. Include provisions for prorating payment. The amount should not be coercive.
Amount and Timing of Compensation: Participants who engage in interviews will receive compensation of $50.00. Those participating in focus group discussions will receive $40.00 for each focus group, with a maximum of two focus groups ($80.00). The compensation amount in this study is contingent upon participation choices. Compensation can range from $40.00 for a single focus group interview, $50.00 for an individual interview, $90.00 for both an individual interview and one focus group interview, up to a maximum of $130.00 for an individual interview and two focus group interviews. In accordance with ASU IRB guidelines, we have thoroughly reviewed and are in compliance with the Arizona State University's policy FIN 421-05: Human Subject Payments, which can be found at the following URL: https://www.asu.edu/aad/manuals/fin/fin421-05.html.

Source Funds to Compensate Participants: The funding to compensate participants is derived from a grant provided by the Transition-Age Youth Research & Evaluation Hub at the University of California, Berkeley. This grant is supported by the Conrad N. Hilton Foundation, which has granted subawards for the execution of this research.

Compensation Justification: The compensation for participants in this study reflects their substantial time, effort, and lived expertise invested in interviews and focus group discussions. It aligns with ethical norms and research practices, considering potential inconveniences, costs, and time commitments. This approach values participants' input, ensuring genuine engagement beyond financial incentives. The compensation structure accommodates different participation levels, accounting for interview durations and focus group involvement.

Procedures for Distributing Compensation: Participants will receive compensation in the form of electronic gift card(s). Following each interview, the PI will provide participants with the specified compensation as detailed earlier. Participants will be requested to provide their email or cell phone number for sending a link to access their gift card using Qualtrics (Form 7). Additionally, participants will be asked to send a receipt of compensation (Form 8), using Qualtrics, to confirm receipt of their compensation. We have specifically configured our compensation settings to ensure that Qualtrics does not record IP addresses, location data, or any contact information linked to our participants. This measure is made possible by enabling the 'Anonymize Responses' feature within Qualtrics, a tool designed to respect

and protect participant anonymity. By using this feature, we can guarantee that our compensation responses remain strictly confidential and untraceable to individual identities. In the event that a participant concludes the interview prematurely, they will still receive the designated incentive in accordance with the aforementioned terms. Participants will not face any penalties for concluding or exiting an interview ahead of schedule; therefore, they will receive the full compensation amount rather than a prorated sum.

STUDY DURATION

Estimate the probable duration of the entire study. This estimate should include the total time each subject is to be involved and the duration of each data collection about the subject.

E.G., This is a two-year study. Participants will be interviewed three times per year; each interview will last approximately two hours. Total approximate time commitment for participants is 12 hours.

This is a one-year study. The total time of engagement in this study can vary depending on participation choices. It can be as short as 60 minutes if only participating in an individual interview, 90 minutes if only taking part in a single focus group interview, 150 minutes if participating in both an individual interview and one focus group interview, and up to a maximum of 240 minutes if engaging in an individual interview and two focus group interviews. Research procedures do not include follow-up interviews.

Risks and Benefits

RISK DESCRIPTION

Provide a description of possible risks to participants: physical, psychological, social, economic, loss of data security, and/or loss of confidentiality. Describe and justify whether the research is minimal risk or greater than minimal risk.

Identified Risks to Participants: The risks of participating in this study are minimal and involves no risks greater than participants are likely to experience in their everyday life. The main concerns are related to psychological or emotional distress, potential breaches of privacy, and confidentiality. Psychological effects could include fear, stress, confusion, guilt, lower self-esteem, depression, or triggering of past emotional experiences due to the nature of questions asked or topics discussed. Given the sensitive nature of questions about participants' experiences as expectant or parenting youth in foster care, there may be emotional sensitivity. Privacy risks involve the possibility that others may learn about participants' involvement. Confidentiality risks pertain to the potential that others may discover details about participants' actions, statements, or collected information during the study.

Precautions to Minimize Identified Risks to Participants: In terms of psychological or emotional distress or discomfort, we are asking participants to share with us personal and confidential information, and participants may feel uncomfortable talking about some of the topics. We will inform participants that they do not have to answer any question or take part in the interview if they don’t want to. Participants do not have to give us any reason for not responding to any question, or for refusing to take part in the interview. To safeguard confidentiality, we will use a pseudonym chosen by the participant rather than their real name to identify study information. The Zoom transcription file will only contain a pseudonym, and the file will be encrypted and password-protected to restrict access to the study researchers. Any names mentioned or implied in the Zoom transcription will be redacted, including those of the participant parent, child, child’s other parent, partner, family, or any other individual.

Mandated Reporting: In accordance with mandated reporting requirements of the State of California, we will report to 9-1-1 emergency services or California Department of Social Services (CDSS) if: (1) We learn or suspect that the participant is being abused; (2) We learn or suspect that the participant is abusing, neglecting, or has abandoned someone who depends on them for care; (3) We learn or suspect that the participant plans to harm themselves or someone else; or (4) In accordance with mandated reporting requirements of the State of California which extended coverage of mandated reporting requirements to adult residents (ages 18-22) who reside in any facility licensed by CDSS, we will report to the CDSS if we learn or suspect that the participant is being abused, neglected, or abandoned by the individuals responsible for the participants welfare or any individual residing in the same placement as the participant. Before we contact the authorities or CDSS, we will discuss it with the participants first. However,

we may be required to report incidents described above to the proper authorities with or without the subject's permission. As mandated reporters, if during the study we learn or have reasonable cause to believe that child abuse or neglect is occurring by the participant or others, we will report it to the CDSS as required by law.

AUDIO/VIDEO RECORDING RISKS

State if audio/video taking could increase potential risk to subject's confidentiality.

Video recording will not be used in this study. Audio recordings, including Zoom transcripts and audio recordings, could potentially increase the risk to subjects' confidentiality by creating records that might inadvertently capture identifiable information. However, this risk will be actively minimized through several carefully implemented precautions. Participants are given complete autonomy over their participation, with the assurance that they can choose not to answer any specific question or to discontinue their participation at any time without needing to provide a reason. To further protect participants' confidentiality, a pseudonym chosen by the participant will be used in all study materials instead of their real name. This applies to Zoom transcription files, which will be meticulously de-identified. The pseudonymization of data, combined with the encryption and password protection of files, ensures that access to sensitive information is strictly limited to the research team. Additionally, any names that could reveal the identity of the participant, their family members, or any other individuals mentioned during the interviews will be redacted from the Zoom transcriptions. These precautions collectively form a robust framework for minimizing the potential risks to subjects' confidentiality associated with audio and video recordings. By implementing these strategies, the research aims to safeguard the privacy and well-being of participants while enabling the collection of valuable data for the study.

MEDICAL SERVICE RISKS

Describe how medical services will be provided if subjects suffer adverse mental or physical effects as result of research activity. If no services provided, state that clearly.

If any psychological or emotional distress arises during an interview, we will remind the participant to utilize the available therapeutic services provided to them as foster youth under the care of California Department of Social Services. If participants suffer physical distress leading to imminent risk of harm to themselves or others, we will notify California 9-1-1 emergency services or California Department of Social Services, as required by mandated reporters. Additionally, the PI (Dr. Harty) and Co-I (Dr. Ethier) are both licensed clinical social workers with training in therapeutic crises intervention which may be used if psychological, emotional, or physical distress is observed in study participants.

INTERNATIONAL RESEARCH

Will this research occur outside of the United States or U.S. territories?

Check with client to see if they consider territories to be outside the U.S. or not, as this can vary between institutions.

No

LESS RISKY METHODS

Describe any less risky methods and why they are not being used.

Less risky research methodologies, such as quantitative surveys, are considered for this study. However, these methods are not utilized due to their limitations in capturing the full scope of lived experiences of expectant and parenting youth in foster care. Previous research on this population has predominantly employed quantitative surveys, which, while valuable for gathering broad data trends, often fall short in revealing the depth, richness, and nuanced understanding of individual experiences. Quantitative approaches may not fully capture the complex emotional, social, and systemic dynamics that influence the lives of these young individuals. Thus, to gain a more comprehensive and empathetic understanding of their circumstances, qualitative research methods, specifically interviews and focus groups, have been chosen for this study. These methods allow for a deeper exploration into the personal narratives, challenges, and support systems of expectant and parenting youth in foster care, facilitating insights that are vital for informing more effective and responsive care and support policies.

BENEFITS

Describe the benefits, if any, to the subjects or to society that will be realized as a result of this project. Discuss the benefits that may accrue directly to the subjects as well as to society. If there is no direct benefit anticipated for the subjects, state that clearly.

Although there are no direct benefits to participants, this study holds potential benefits in the form of enhancing services for expectant or parenting youth in foster care (EPFY) as they transition out of care. Specifically, the study aims to shed light on the experiences of EPFY in care, the adequacy of the foster care system in meeting their needs, and strategies for effectively equipping EPFY to navigate parenthood as they exit the foster care system. These insights could contribute to the betterment of services for EPFY in care and contribute to more positive outcomes for parents in care, their partners and children, and society overall. The identified risks to participants are minimal and justifiable in light of the anticipated benefits. The significance of understanding EPFY's needs is rationalized by its potential to improve the preparedness of foster care systems, thereby enhancing the prospects of EPFY and their children, generally.

JUSTIFICATION OF RISKS

Explain why study risks are reasonable in relation to the potential benefits to subjects and to society.

The risks associated with this study, while minimal, are acknowledged and carefully considered, particularly those related to psychological or emotional distress, privacy, and confidentiality. These risks stem from the engagement with sensitive topics that might evoke emotional discomfort or reveal personal experiences of expectant and parenting youth in foster care. To address these concerns, comprehensive risk mitigation strategies are implemented. Participants are empowered to control their engagement, capable of refraining from answering specific questions or withdrawing from the study without needing to provide reasons. The employment of pseudonyms, along with stringent data encryption and secure storage protocols, ensures participants' anonymity and the confidentiality of the information they share. Moreover, the study adheres to mandated reporting laws to protect participants and others from harm, with clear communication of these obligations upfront. Despite the existence of less risky research methodologies, such as quantitative surveys, this study employs qualitative methods to capture the nuanced and rich experiences of its participants. This choice is justified by the significant potential benefits of the research, both to the participants and to society at large. Through a deeper, qualitative exploration, the study aims to uncover the intricate challenges and support systems that shape the lives of expectant and parenting youth in foster care. This approach is expected to yield valuable insights that can inform the development of more effective policies and support mechanisms, directly benefiting the participant group and contributing to societal well-being by enhancing the care and support available to a vulnerable population. Thus, the carefully managed risks of this study are deemed reasonable in light of its potential to effect meaningful, positive change.

Adminstrative Safeguards

PERSONALLY IDENTIFIABLE DATA (PID) INSTRUCTIONS

Protected Health Information/Personally Identifiable Data (PHI/PID) is defined as information in any format that identifies the individual, including demographic information collected from an individual that can reasonably be used to identify the individual. Additionally, PHI is information created or received by a healthcare provider, health plan, employer, or health care clearinghouse; and relates to the past, present, or future physical or mental health or condition of an individual, including any of the 18 HIPAA identifiers.

Note: Please be aware that individual participants may be identifiable by combining other items in the data even when none of the 18 HIPAA identifiers are present. Thus, a study may still contain PID even after removing or never acquiring the identifiers, and the investigator may still need to provide complete answers for the data security questions in the protocol.

If the researcher demonstrates that he or she is unable to comply with any of the requirements below, he or she may request an exception from these requirements. The researcher should indicate any measures that will be taken to address this requirement. The exception request should be made in the text box of the corresponding requirement. An exception will only be granted if the researcher can demonstrate that adequate alternative measures have been taken to minimize risks so as to justify the exception.

HIPAA IDENTIFIERS

Please identify which HIPAA Identifiers you plan to request as part of your submission.

Name
Telephone numbers
Email address
Any other characteristic that could uniquely identify the individual

TRAINING PROCEDURES

Describe the procedures for training all research staff who have access to PID on privacy and security. Indicate if staff are required to sign a confidentiality statement related to general use, security, and privacy.

This research study is conducted exclusively by the Principal Investigator (PI; Dr. Harty) and the Co-Investigator (Co-I; Dr. Ethier), without the involvement of additional research staff. Both the PI and Co-I have successfully completed the Collaborative Institutional Training Initiative (CITI) modules on Human Research and Social & Behavioral Research. These modules provide comprehensive training on standards in research ethics, compliance, data security, and data monitoring, ensuring that both investigators are well-versed in the principles of responsible research conduct and the protection of research participants. Furthermore, both the PI and Co-I are bound by signed contracts, Subagreements 00011332 and ASUB00001413, respectively. These contracts include specific confidentiality statements that cover the use, security, and privacy of data collected during the study. These agreements underscore the commitment of both investigators to maintaining the highest standards of data protection and confidentiality, in alignment with ethical research practices and regulatory requirements.

STAFF VETTING PROCEDURES

Describe procedures, either background check or thorough reference check, for vetting staff who will have access to PID.

Dr. Harty (PI) and Dr. Ethier (Co-I) are the sole members of the research team for this study, with no other staff having access to personally identifiable data. Both investigators have undergone comprehensive background checks as part of their appointments as tenure-track faculty members at Arizona State University and Simmons University, respectively. Additionally, their licensure as clinical social workers in Illinois and Maryland, respectively, also involved thorough background checks. These measures ensure the highest standards of integrity and trustworthiness in handling sensitive participant information.

SUPPORT LETTER

Obtain and submit a department support/data release letter.

Please provide a Support Letter from the State department(s) that you have requested data from to conduct this study following the format specified on CPHS website. Applications without a Support Letter cannot be assigned to the CPHS committee members.
Please note, a Support Letter can be a "pre-approval" letter that certifies a "preliminary or initial review" has been done by the data-source department and the release of data will be in compliance with all applicable state statutes.
You can refer to the CPHS webpage for information regarding Letter of Supports (LOS) and other resources at: https://www.cdii.ca.gov/committees-and-advisory-groups/committee-for-the-protection-of-human-subjects-cphs/ under "FORMS AND BULLETINS."
For your convenience a copy of an acceptable template for Support Letter has been attached to this comment below:

07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

Departmental Support Letter Template-Revised on September 10th 2023.pdf — 07/01/2024 12:39 PM ET

A Support Letter from CDSS should be attached in this section as soon as it is obtained from CDSS. Thanks,

07/17/2024 • Sussan Atifeh • *Not* Internal • Resolved

A support Letter from CDSS was obtained on 7/22/24:

07/22/2024 • Sussan Atifeh • Internal

Letter of Support - Study for Expectant & Parenting Youth..pdf — 07/22/2024 9:04 PM ET

This is a statement from the state agency or department you are receiving data from. It must be on that agency's/department's letterhead and should include both

1) *that the release of the desired data is legal and*

2) *that the entity is willing to release the desired data to you, the researcher.*

If you are not receiving data, this letter should indicate that you are supported.

***For VSAC requests, if you do not have a Departmental Letter of Support (LOS)/Data Release, you may upload a copy of the Data Request Form (application) from the department to secure a review for the upcoming cycle. The protocol will not be approved until the LOS is uploaded to the protocol.*

Please also review the CPHS Statement for Birth and Death Data.

No Date Requested from State Departments.pdf	Department Letter of Support

PREVENTING RE-USE AND UNAUTHORIZED ACCESS

Explain how you will ensure that data will not be reused or provided to any unauthorized person or entity.

Unauthorized means that the person or entity does not have a need to access the data for purposes of the research project approved by CPHS.

To ensure the protection of the data collected in this study from unauthorized access or reuse, several stringent measures will be implemented. Firstly, all data will be stored on secure, encrypted servers accessible only through authentication protocols that require unique, strong passwords. Arizona State University maintains these servers with robust security measures, including regular updates and monitoring for unauthorized access attempts. Drs. Harty and Ethier are the sole members of the research team. No other individuals or entities will be granted access to the personally identifiable or de-identified data, thereby preventing any potential for unauthorized use or dissemination. Furthermore, all qualitative data will be anonymized, with any personally identifiable information removed or coded to ensure that individual participants cannot be identified. This process further safeguards against the misuse of data. To prevent the reuse of data for purposes not explicitly approved by the study's ethical guidelines, a detailed data management plan will be followed, as detailed in the Physical Safeguards and Electronic Safeguards sections of this IRB application. This plan outlines the specific uses of the data, the duration of its storage, and the conditions under which it will be destroyed after the study's conclusion. Contracts signed by both Dr. Harty and Dr. Ethier, including confidentiality statements, explicitly prohibit the sharing of data with unauthorized parties and detail the legal and ethical ramifications of such actions. Regular training sessions on data security and ethical research practices will be conducted through the Collaborative Institutional Training Initiative to reinforce the importance of these measures. Lastly, all electronic software and devices used to access the data will be equipped with up-to-date security software and firewalls to prevent hacking or phishing attempts. Regular audits and security checks will be conducted to ensure the continued integrity of the data protection measures in place. By implementing these comprehensive strategies, we will ensure that the data collected in this study is protected from unauthorized access or reuse, upholding the highest standards of research ethics and data security.

CONFIDENTIALITY OF PUBLISHED DATA

Indicate whether information will be published that could possibly be used to identify an individual subject.

De-identified transcripts of participants' interviews may be partially reproduced for use in presentations or written products arising from this study. No participant names or identifying information will be included in these presentations or written products. A pseudonym will be used to ensure confidentiality, chosen either by the participant or selected by the PI. Masked excerpts from participants' interviews may be quoted in future articles, books, presentations, or other publications.

DATA REQUEST JUSTIFICATION

Provide adequate justifications for the quantity of the data, the years and the variables being requested. Have you requested no more than the minimum necessary data to perform the research?

In conducting our research, we are committed to adhering to the principles of data minimization and privacy protection, particularly concerning the collection of information from expectant and parenting foster youth (EPFY). We are not requesting any protected health information or personally identifiable data from California organizations that support EPFY, such as the California Department of Social Services (CDSS), County Welfare Directors Association of California (CWDA), California foster youth advocacy groups, and California foster youth advisory boards. Our approach is to collaborate with these designated organizations to facilitate the recruitment process indirectly. We will provide them with recruitment materials to distribute among the EPFY they serve, enabling those interested in participating in the study to contact us directly. This method ensures that no unnecessary data is requested or collected at the recruitment stage. For EPFY who choose to participate in our study, our data collection efforts are precisely tailored to gather only the qualitative data necessary to address our research questions comprehensively. The scope of the data we seek is intentionally limited to the lived experiences of these youth as parents, focusing on their months of expectancy and their years as parents. By concentrating on these specific aspects of their lives, we aim to capture valuable insights into their experiences, challenges, and support systems without overextending the breadth of data collection beyond what is essential for the study's objectives. This approach underlines our commitment to requesting no more data than the minimum required to fulfill our research aims. It reflects our dedication to conducting ethical research that respects the privacy and confidentiality of participants, aligning with best practices in data protection and ethical standards in research involving vulnerable populations.

LIMITATIONS TO DATA ACCESS

Indicate if access to data is limited only to those with a need to know for purposes of implementing or evaluating the research.

Access to data within this study is strictly limited to individuals with a direct need to know for the purposes of implementing or evaluating the research. This ensures that only Dr. Harty and Dr. Ethier, the Principal Investigator and Co-Investigator respectively, who are directly involved in the study's design, execution, analysis, and dissemination of findings, will have access to the collected data. This limitation on data access is a fundamental part of our data management and security plan, designed to protect the confidentiality and integrity of the data while also adhering to ethical research practices and compliance with relevant privacy regulations. This restricted access policy is critical for maintaining the trust of participants and the legitimacy of the research process, especially considering the sensitive nature of the information being collected from expectant and parenting foster youth. By ensuring that data is accessible only to those directly involved in the research, we minimize the risk of unauthorized access, use, or disclosure, thereby safeguarding the privacy and welfare of our participants.

PROTECTION AGAINST SMALL CELL SIZES AND ASSOCIATED PROBLEMS

Describe appropriate and sufficient methods to protect the identity of individual subjects when small cells or small numbers and/or data linkage to another data set are involved in the research project.

To protect the identity of individual subjects, especially when dealing with unique identifiable qualitative data or small cases/unique experiences, at least eight rigorous methods will be employed throughout this research project, including: (1) Pseudonymization: All participants will be assigned pseudonyms from the outset of data collection. These pseudonyms will replace real names in all research documents, transcripts, and publications, ensuring that personal identities are not disclosed. The key linking pseudonyms to actual identities will be encrypted and accessible only to the Principal Investigator and Co-Investigator. (2) Data Redaction: In addition to pseudonymization, any potentially identifying information mentioned during interviews or focus groups will be carefully redacted. This includes specific locations, dates, or other details that could indirectly reveal a participant's identity. (3) Thematic Analysis: The research will focus on thematic rather than case-specific analysis. By concentrating on the identification and analysis of themes that emerge across the dataset rather than individual narratives, the research minimizes the risk of identification of participants with unique experiences. (4) Aggregated Reporting: When reporting findings, data will be presented in aggregated form whenever possible. This approach dilutes the specificity of any single participant's data, further protecting individual identities. (5) Sensitivity Review: Before any dissemination of findings, all materials will undergo a sensitivity review to ensure that no indirect identifiers are present. This review will be conducted by the Principal Investigator and Co-Investigator, who will meticulously check for any content that could compromise participant anonymity. (6) Participant Review: Participants will be given the opportunity to review excerpts of their contributions prior to publication. This allows individuals to identify and request the removal or alteration of any information they feel could lead to their identification. (7) Limiting Detail in Unique Cases: For particularly unique cases or experiences, the level of detail shared in publications or presentations will be carefully controlled. By abstracting the specifics and focusing on the broader implications or themes, the research can include these valuable insights without compromising participant confidentiality. (8) Secure Data Storage: All qualitative data, including audio recordings, transcripts, and analysis notes, will be stored on encrypted, password-protected devices or secure cloud services. Access to this data will be strictly limited to the Principal Investigator and Co-Investigator. These methods collectively ensure a robust protection framework for participants' identities, particularly in qualitative research where the richness of data can inadvertently lead to identification risks. By implementing these strategies, the study upholds the highest ethical standards in protecting the confidentiality and privacy of its participants.

LINKAGES

Will the data set be linked with any other data sets?

No

DESTRUCTION OF PID VERIFICATION

Indicate that you will provide CPHS with a letter certifying that PID has been destroyed and/or returned to the data source once research is concluded.

Yes

DATA SECURITY LETTER

Please provide a new Data Security Letter (DSL) following the format specified on the CPHS website.

Please do not delete the already attached document in this section.

Kindly refer to the CPHS webpage for information regarding DSL and other resources at: https://www.chhs.ca.gov/cphs/#irbmanager , under "IRBMANAGER" and "FORMS AND BULLETINS."
For your convenience a copy of "Data Security Requirement" and "Data Security Template" have been attached to this comment (below):

07/01/2024 • Sussan Atifeh • *Not* Internal • Resolved

Data-Security-Requirements-2012-04-20 (1).pdf	07/01/2024 12:04 PM ET
Data-Security Letter Template.pdf	07/01/2024 12:04 PM ET

Upload a certification/statement from the Chief Information Officer, Privacy Officer, Security Officer or equivalent position of the researcher's institution that CPHS Data Security Standards are met.

- *Data security letters cannot be signed by the Principal Investigator or Responsible Official.*
- *The data security letter must be on your institution's letterhead.*
- *Example of data security letter*

DataSecurityLetter.pdf	Data Security Letter
Harty-Data_Security_Letter Signed.pdf	Data Security Letter

Physical Safeguards

DATA PROTECTION

Indicate that research records and physical samples will be protected through the use of locked cabinets and locked rooms; PID in paper form will not be left unattended unless locked in a file cabinet, file room, desk, or office.

Yes

Yes

DATA DESTRUCTION

Will data/samples will be destroyed or returned as soon as it is no longer needed for the research project.

Yes

RETAINED DATA

Will the retained data/samples have personal identifiers or be de-identified?

data will be de-identified

Explain what identifiers will be removed and how.
We will utilize pseudonyms instead of participants' actual names for de-identifying study documents and data. In all files, the participant's name will be replaced with a pseudonym of their choosing. If participants consent to live Zoom captioning, audio recording of their interviews, or both, the file names will only contain pseudonyms, and we will encrypt and password-protect the text and audio files to ensure restricted access solely by the PI. Names mentioned or implied in the Zoom transcription will also be redacted, including those of the child, child's other parent, partner, family, or any other individuals. The received data will be devoid of personal identifiers. For screening, participant consent collection for focus group interviews, and compensation, we use Qualtrics. Our screening and consent settings in Qualtrics are configured to prevent recording of IP addresses, location data, or any contact information linked to participants. This is achieved by activating the 'Anonymize Responses' feature within Qualtrics, which upholds participant anonymity and confidentiality by ensuring that responses cannot be traced back to individual identities. This approach guarantees the utmost

protection of participant screening, consent, and compensation data.

DESTRUCTION METHODS

Describe how you will ensure the PID in paper form is disposed of through confidential means, such as cross cut shredding or pulverizing.

The research data will be comprised primarily of only digital files, including Zoom transcript files, coded transcripts, and participant study documents. Physical copies of signed informed consent forms will be printed, securely stored in the PI's locked ASU office within a locked file cabinet accessible only to the PI. To ensure the integrity of the physical copies, tamper-evident seals will be placed on the envelopes, protecting participant confidentiality. The retention period for these forms will be 3 years following the study's conclusion, serving the purpose of addressing unforeseen issues or complaints. After this period, the printed consent forms will be securely destroyed through cross-cut shredding and disposed of in a secured an locked recycling bin at ASU.

FAXING

Describe how you will ensure that faxes with PID are not left unattended and fax machines are in secure areas.

No research data or documents will be faxed.

MAILING

Indicate whether mailings of PID are sealed and secured from inappropriate viewing; and whether mailings of 500 or more individually identifiable records of PID in a single package, and all mailings of PID to vendors/contractors/co-researchers, are sent using a tracked mailing method, which includes verification of delivery and receipt, such as UPS, U.S. Express Mail, or Federal Express, or by bonded courier.

No research data or documents will be mailed

No research data or documents will be mailed.

ELECTRONIC STORAGE

State whether PID in paper or electronic form, e.g., stored on laptop computers and portable electronic storage media (e.g., USB drives and CDs), will ever be left unattended in cars or other unsecured locations.

Data Storage: The research data will be comprised of only digital files, including Zoom transcript files, coded transcripts, and participant study documents. All digital files will undergo de-identification, encryption, and password protection. All digital files will be securely stored on the Arizona State University (ASU) secure server, which features robust security measures for data confidentiality and integrity. Backup copies of these digital files will be securely stored on a computer within the PI's locked Arizona State University School of Social Work office. This computer will be equipped with encryption and password protection, and it will operate offline without internet connectivity. Data retention will span one year after study completion, aligning with institutional and ethical guidelines. Upon this period's conclusion, the data will undergo systematic and secure destruction, following the procedures.

Data Management Procedures: The data management procedures for this study are closely controlled to ensure confidentiality and security. Only the Principal Investigator (Dr. Harty) will have access to and manage the digital data. They will use ASU's "Encryption in Transit" protocols to minimize the risk of data interception during transfer. Specific security practices will be observed, such as utilizing ASU ENCRYPTED wireless, employing SSLVPN for off-campus ASU system access, and using encrypted protocols like https and ssh for networked system interactions. Regarding data destruction, stringent measures will be implemented to protect participant confidentiality. All digital data will be permanently deleted one year after the study's conclusion in accordance with institutional and ethical guidelines. Secure methods, including file deletion and overwriting, will be employed to ensure the irretrievability of digital data.

Sensitive Data Protection: To safeguard extremely sensitive data, multiple robust measures will be implemented. All digital files, including Zoom transcript files, coded transcripts, and participant study documents, will be de-identified, encrypted, and password protected. These files will be stored encrypted and password protected on ASU's secure server, ASU’s secure cloud storage, and a computer within the PI’s ASU locked office that is isolated from internet connectivity. The utilization of ASU's "Encryption in Transit" protocols will ensure secure data sharing. Folders and files stored on ASU's secure server, ASU’s secure cloud storage, and the PI’s ASU office computer (which is not connected to the internet) will not include personally identifiable information (sensitive information associated with a specific person which can be used to identify or locate that individual), protected health information (individually identifiable health information), or sensitive

identifiable human subject research data (identifiable sensitive disclosures of data that would pose increased social/reputational, legal, employability, or insurability risk to subjects).

Live Zoom Captioning: We will request participants' permission to employ Zoom's computer-generated live captioning for their interviews. Upon obtaining consent for this process, interviews will be conducted via Zoom and transcribed using the live Zoom captioning feature. These transcript files will exclusively consist of text and will not include the original audio or video recordings. To ensure security, the transcript files will undergo de-identification, encryption, and password protection. These encrypted and password-protected files will be stored on ASU's secure server, ASU's secure cloud storage, and a non-internet-connected computer within the PI's ASU locked office. The participant's name in the Zoom transcription file will be substituted with a pseudonym of their choice. Other specific names mentioned in the transcript will be redacted, including those of the child, child's other parent, partner, family, or any other individuals. Zoom transcription files are processed and stored within Zoom's encrypted cloud using Advanced Encryption Standard (AES) 256 with a one-time key post-meeting completion; access to these recordings is restricted to the PI. Subsequent to retrieval from Zoom's (AES) 256 secured and password-protected storage, the Zoom transcription files will be securely transferred to ASU's secure server, ASU's secure cloud storage, and the PI's ASU office computer (not connected to the internet) using the file transfer protocols outlined in Section 11.3 (Data Management Procedures). Following each interview, participants will have the option for us to erase their Zoom transcription file if they wish to withdraw their consent to Zoom transcription or participation in the study. De-identified transcripts of participants' interviews may be partially reproduced for use in presentations or written products arising from this study. No participant names or identifying information will be included in these presentations or written products. A pseudonym will be used to ensure confidentiality, chosen either by the participant or selected by the PI. Masked excerpts from participants' interviews may be quoted in future articles, books, presentations, or other publications.

Audio Recordings: We will seek participants' permission to audio record the interviews and focus groups. If participants grant consent for audio recording, interviews will be audio recorded. These audio recordings will be cross-referenced with the computer-generated live captioning provided by Zoom to ensure accuracy, a task carried out by the PI. In instances where participants authorize digital audio recording, all names mentioned or implied in the audio will be excised, including those of the participant, participant's child, child's other parent, partner, family, or any other individuals. Additionally, any identifiable information contained in the audio file will be redacted. Each audio recording will be stored with a pseudonym. Subsequent to confirming the precision of Zoom's computer-generated live captioning, audio files will be deleted, no later than six months following the interview date. Upon interview completion, participants will have the option to request the deletion of their digital audio file if they decide to withdraw their consent for audio recording or participation in the study.

Consent and Permission Forms: Individuals who participate in an individual interviews will provide verbal consent only. Individuals who participate in a focus group will provide an electronically signed consent form via Qualtrics. We have specifically configured settings to ensure that Qualtrics does not record IP addresses, location data, or any contact information linked to our participants. This measure is made possible by enabling the 'Anonymize Responses' feature within Qualtrics, a tool designed to respect and protect participant anonymity. By using this feature, we can ensure that our participant consent forms remain strictly confidential and untraceable to individual identities. The electronically signed informed consent forms will be securely stored in encrypted and password-protected folders on ASU's secure server, ASU's secure cloud storage, and the PI's ASU office computer (which is not connected to the internet), maintaining separation from the rest of the study data. Additionally, physical copies of signed informed consent forms will be printed, securely stored in the PI's locked ASU office within a locked file cabinet accessible only to the PI. To ensure the integrity of the physical copies, tamper-evident seals will be placed on the envelopes, protecting participant confidentiality. The retention period for these forms will be 3 years following the study's conclusion, serving the purpose of addressing unforeseen issues or complaints. After this period, the printed consent forms will be securely destroyed through cross-cut shredding and disposed of in a secured an locked recycling bin at ASU.

PHYSICAL STORAGE

Describe whether facilities, which store PID in paper or electronic form, have controlled access procedures, and 24 hour guard or monitored alarm service.

All digital files will be securely stored on the Arizona State University (ASU) secure server, which features robust security measures for data confidentiality and integrity. Backup copies of these digital files will be securely stored on a computer within the PI's locked Arizona State University School of Social Work office. This computer will be equipped with encryption and password protection, and it will operate offline without internet connectivity. All data facilities and the PI's office require an ID badge for faculty and staff to scan for entry. Physical copies of signed informed consent forms will be printed, securely stored in the PI's locked ASU office within a locked file cabinet accessible only to the PI. To ensure the integrity of the physical copies, tamper-evident seals will be placed on the envelopes, protecting participant confidentiality. The retention period for these forms will be 3 years following the study's conclusion, serving the purpose of addressing unforeseen issues or complaints. After this period, the printed consent forms will be securely destroyed through cross-cut shredding and disposed of in a secured an locked recycling bin at ASU. ASU Colleges and Departments can have their physical servers placed in the UTO Data Center. This service provides multiple benefits, including physical security, 24 hour staffing, assistance with best practices on server security, and redundant power and cooling. Physical security in a controlled data center environment helps protect against unauthorized access or exposure of university

information.

SERVER SECURITY

Provide a description of whether all servers containing unencrypted PID are housed in a secure room with controlled access procedures.

Servers containing unencrypted PID are housed within a secure room. This room is equipped with controlled access procedures to safeguard against unauthorized entry and potential data breaches. Access to this secure environment is strictly limited to authorized personnel, who are granted entry through a rigorous authentication process involving key cards, biometric verification, or passwords. Furthermore, the secure room is monitored continuously to ensure compliance with established security protocols and to maintain the integrity of the data stored within.

STORING IDENTIFIERS

Indicate whether identifiers will be stored separately from analysis data.

Contact information, encompassing participant email addresses, phone numbers, or both, will be gathered solely for the purposes of recruitment and compensation. This collected contact information will be securely stored on ASU's secure server, ASU’s secure cloud storage, and a computer located within the PI’s ASU office (not connected to the internet). Access to this information will be restricted to the PI, ensuring utmost confidentiality and protection.

DISK STORAGE

State whether all disks with PID will be destroyed.

Regarding data destruction, stringent measures will be implemented to protect participant confidentiality. All digital data will be permanently deleted one year after the study's conclusion in accordance with institutional and ethical guidelines. Due to the nature of cloud-based data storage, secure methods, including file deletion and overwriting, will be employed to ensure the irretrievability of digital data. For data stored on disk drives not connected to the internet, all disks with PID will be destroyed at the end of the study.

Electronic Safeguard

COMPUTER ACCESS OVERVIEW

State whether all computer access will be protected through the use of encryption, passwords, and other protections.

Folders and files stored on Arizona State University's (ASU) secure server, ASU's secure cloud storage, and the PI's ASU office computer (which is not connected to the internet) will have access restrictions, document protections, and data security in place using industry-standard encryption protocols (a minimum of TLS 1.2 and AES-256 encryption) to protect the privacy of participants and maintain confidentiality of human subject data.

FIPS 140-2 COMPLIANCE: WORKSTATIONS

Indicate whether all workstations that contain PID have full disc encryption that uses FIPS 140-2 compliant software. If not, explain why not and what encryption will be used.

For workstations that contain Personally Identifiable Data (PID), Arizona State University (ASU) ensures the security of folders and files stored on ASU's secure server, ASU's secure cloud storage, and the PI's ASU office computer (which is not connected to the internet). Access restrictions, document protections, and data security measures are in place using industry-standard encryption protocols, including a minimum of TLS 1.2 and AES-256 encryption. These protocols protect the privacy of participants and maintain the confidentiality of human subject data across all workstations.

FIPS 140-2 COMPLIANCE: LAPTOPS

Indicate if all laptops that contain PID have full disc encryption that uses FIPS 140-2 compliant software. If not, explain why not and what encryption will be used.

Laptops containing PID will be secured with encryption that includes a minimum of TLS 1.2 and AES-256 encryption standards. This ensures the safeguarding of sensitive information against unauthorized access, thereby upholding the integrity of the data and the privacy of research participants

upholding the integrity of the data and the privacy of research participants.

FIPS 140-2 COMPLIANCE: REMOVABLE MEDIA DEVICES

Indicate if PID on removable media devices (e.g. USB thumb drives, CD/DVD, smartphones, backup recordings) are encrypted with software that is FIPS 140-2 compliant.

For removable media devices (e.g., USB thumb drives, CD/DVDs, smartphones, backup recordings) containing PID will have encryption with a minimum of TLS 1.2 and AES-256. This comprehensive approach to data security extends to all forms of data storage used within the project, guaranteeing that all participant data is effectively protected throughout the research lifecycle.

SECURITY PATCHES

Indicate if all workstations, laptops and other systems that process and/or store PID have security patches applied in a reasonable time frame.

All workstations, laptops, and other systems that process and/or store Personally Identifiable Data (PID) at Arizona State University (ASU) will have security patches applied within a reasonable time frame. This policy ensures that all devices involved in the handling of sensitive information are protected against known vulnerabilities, maintaining the integrity and confidentiality of human subject data.

PASSWORD CONTROLS

Indicate if sufficiently strong password controls are in place to protect PID stored on workstations, laptops, servers, and removable media.

Sufficiently strong password controls are in place to protect Personally Identifiable Data (PID) stored on workstations, laptops, servers, and removable media at Arizona State University (ASU). These controls include the implementation of complex passwords that must meet specific criteria for length, character types, and unpredictability. Additionally, ASU mandates regular password changes and prohibits the reuse of previous passwords to further enhance security.

further enhance security.

ELECTRONIC SECURITY CONTROLS

Indicate if sufficient system security controls are in place for automatic screen timeout, automated audit trails, intrusion detection, anti-virus, and periodic system security/log reviews.

Sufficient system security controls are in place at Arizona State University (ASU) to ensure the protection of Personally Identifiable Data (PID) across all digital platforms used in research. These controls include automatic screen timeout features to prevent unauthorized viewing of sensitive information on unattended devices. Automated audit trails are maintained for all system activities, enabling detailed reviews of data access and handling, ensuring accountability and traceability. Intrusion detection systems are deployed to monitor and alert on potential security threats in real-time, providing an essential layer of defense against unauthorized access. Comprehensive anti-virus solutions are in place to protect against malware and other malicious software that could compromise data integrity or confidentiality. Additionally, periodic system security and log reviews are conducted to assess the efficacy of existing security measures and identify areas for improvement. These proactive and preventive security measures collectively safeguard PID, upholding the highest standards of data protection and privacy for research participants.

protection and privacy for research participants.

FIPS 140-2 COMPLIANCE: ELECTRONIC TRANSMISSION

Explain whether all transmissions of electronic PID outside the secure internal network (e.g., emails, website access, and file transfer) are encrypted using software which is compliant with FIPS 140-2.

Electronic PID transmitted outside Arizona State University's (ASU) secure internal network is transmitted through robust encryption protocols for all such external data transmissions. This includes a wide range of electronic communications and data transfers, such as emails, accessing websites, and transferring files. The intention behind these encryption measures is to significantly reduce the likelihood of unauthorized interception or access to sensitive information during its transit over networks. To maintain the highest level of data security and confidentiality, ASU adheres to several key practices: (1) Utilization of ASU ENCRYPTED Wireless: For wireless communications within ASU premises, the exclusive use of ASU's encrypted wireless network is mandated. This specialized network ensures a secure and protected means of transmitting sensitive data. (2) Mandatory SSLVPN for Remote Access: When accessing ASU systems from any non-campus location, employing the SSLVPN is obligatory for all users. This secure connection protocol ensures that data transmitted between the remote user’s device and ASU systems is fully encrypted, safeguarding it from potential security threats. (3) Adoption of Encrypted Protocols for Networked System Access: ASU mandates the use of encrypted communication protocols, such as HTTPS for web access and SSH for secure shell access, to ensure the security of data transmissions. These protocols encrypt the data during transit, creating a secure pathway for handling PID and safeguarding it against unauthorized access.

INTERNET ACCESSIBILITY

Note if PID in an electronic form will be accessible to the internet.

No PID will be accessible to the internet in an electronic form.

DISPOSING OF PID

When disposing of electronic PID, indicate whether sufficiently secure wiping, degaussing, or physical destruction will be used.

Stringent measures will be implemented when disposing of PID. All PID in digital data will be permanently deleted one year after the study's conclusion in accordance with institutional and ethical guidelines. Secure methods, including file deletion and overwriting, will be employed to ensure the irretrievability of digital PID.

irretrievability of digital PID.

Conflict of Interest Information

CONFLICT OF INTEREST (COI) INSTRUCTIONS

A COI is defined as any financial or other relationships of the researcher(s) or the institution that could be perceived as affecting the objective conduct of the research, including the interpretation and publication of the findings. Researchers must disclose any COI, including perceived COI.

Financial relationships to be disclosed include but are not limited to the following:

- **Present or anticipated ownership of stock, stock options, or other financial obligations of the source of funding.**
- **Receipt or expectation of payment of any sort in connection with papers, symposia, consulting, editing, etc. from the source of funding.**
- **The sale or licensing or anticipated sale or licensing of medical or other products or intellectual property, such as patents, copyrights, or trade secrets to the source of funding or other entities.**
- **Any past, present or anticipated receipt of money or other valuable consideration from the source of research funding by the researcher(s), the family of the researcher(s), the research institution, or by an institution in which the researcher(s) or the family of the researcher(s) has an interest as owner, creditor, or officer.**

DISCLOSURES

Does any member of the study team, members' spouses, or members' dependent children have any significant financial interests related to the work to be conducted as part of the above-referenced project?

No

Informed Consent Procedures

INFORMED CONSENT PROCEDURES

Provide a description of procedures to be used in obtaining and documenting informed consent from participants.

See instructions and examples on CPHS website.

Consent Responsibility: Only the Principal Investigator, Dr. Justin Harty, will responsible for consenting participants.

Consent Procedures: It will be expressly communicated that only Dr. Harty is authorized to manage and oversee the consent process. Upon successful completion of the screening process and meeting the established eligibility criteria, participants will be invited to engage in the informed consent process. This pivotal phase will be facilitated through the utilization of the consent form (Form 2). The consent form plays a critical role in articulating the study's overarching objectives, the procedures involved, the potential risks and benefits inherent to participation, and the rights granted to participants. Through this form, participants are granted the opportunity to pose inquiries, seek clarifications, and engage in dialogue, reinforcing the commitment to informed and voluntary participation. Of utmost significance is the act of informed consent itself, upheld as an ethical imperative. The consent form underscores the rights of participants to deliberate participation, stressing that their engagement is voluntary and devoid of coercion. This ethical foundation accentuates the research's respect for participants' autonomy and their role as active agents in the study. Verbal consent will be obtained for individual Zoom interviews and written consent will be sought for focus group interviews. As the focus group will be conducted via Zoom, the consent form will be emailed to focus group participants prior to the focus group taking place. Participants will be asked to provide an electronic signature. Individuals who participate in a focus group will provide an electonically signed consent form via Qualtrics. We have specifically configured settings to ensure that Qualtrics does not record IP addresses, location data, or any contact information linked to our participants. This measure is made possible by enabling the ’Anonymize Responses’ feature within Qualtrics, a tool designed to respect and protect participant anonymity. By using this feature, we can ensure that our participant consent forms remain strictly confidential and untraceable to individual identities. The electronically signed consent forms will be stored on an Arizona State University (ASU) secured network drive that is password protected and only accessible to the research team. Prior to beginning interviews and focus groups, the PI will read the consent and ensure that consent has been obtained by all participants. Participants will be provided with options to consent to an individual interview, focus group interview(s), or both.

Location of the Consent Process: The consent process will be facilitated remotely through the use of Qualtrics, a secure online platform. Participants will receive electronic copies of the consent form and will be able to review it at their convenience. The Principal Investigator (Dr. Harty) will be available to address any questions participants may have about the consent form via

email or phone.

Method of Obtaining Consent: The consent process will be conducted electronically via Qualtrics, providing participants with a comprehensive consent form outlining the study's purpose, procedures, potential risks, benefits, and confidentiality considerations. Explicit consent will be obtained either verbally (for individual interview participants) or electronically (for focus group interview participants) before proceeding with the interviews. For individual interview participants, the consent form will be available in Qualtrics for review and will also be re-read at the time of their individual interview, where they will provide verbal consent to be interviewed, have their interview live captioned through Zoom, audio recorded, or all three, as desired. Focus group participants will provide electronically signed consent forms via Qualtrics. Specifically configured settings in Qualtrics will ensure that no IP addresses, location data, or contact information linked to participants will be recorded, preserving anonymity. This confidentiality measure is facilitated by the 'Anonymize Responses' feature within Qualtrics. This approach guarantees that participant consent forms remain confidential and untraceable to individual identities. Ahead of each focus group, the Principal Investigator (PI) will re-read the consent and confirm that electronic written consent has been obtained from all participants. Participants will have the option to consent to individual interviews, focus group interviews, or both, aligning with their preferences. Please be aware that the individuals I am targeting for this study are non-minor wards of the state of California, at the age of majority.

Sites Where Consent Will Occur: Interactions with participants in this study will primarily take place in California through remote online platforms. Recruitment will be conducted both in California and remotely by designated organizations as outlined. Research procedures, including individual and focus group interviews, will be executed remotely using Zoom video conferencing. Screening, consent, and compensation processes will also occur remotely, facilitated by Qualtrics' secure online platform. Participants situated in California will engage in these research activities from the convenience of their chosen locations, utilizing their personal computers or mobile devices.

CONSENT FORMS

Attach copies of consent forms and any other documents or oral scripts used to inform potential research subjects about the study. See examples of consent and assent forms on the CPHS website.

Be sure to include a concise explanation of key information for participants at the beginning of your consent form, as shown in the examples on the website. Also attach the Participant's Bill of Rights (download the revised version from the same CPHS website). CPHS may approve the use of a consent procedure which does not include, or which alters, some or all of the elements of informed consent. If a waiver or alteration of informed consent is being requested, attach a document that explains how all of the criteria below will be satisfied.

Form2_Consent_v2_20230911.pdf Consent Form

HIPAA Determination

HIPAA INSTRUCTIONS

To determine if this project is covered by HIPAA, answer the following questions.

COVERED ENTITY

Will health information be obtained from a covered entity, known as a clearinghouse, such as Blue Cross, that processes or facilitates processing health data from another entity, including but not limited to state databases?

No

HEALTHCARE PROVISIONS

Will the study involve the provision of healthcare by a covered entity, such as the UCD Medical Center?

No

OTHER HIPAA CRITERIA

Will the study involve other HIPAA criteria not listed above?

No

Cover Letter and PI Signature for PI Submission

BUDGET

Does this project have a budget?

Yes

Attach a copy of your project budget here

FP37075_Harty_ASUF(HiltonFd) BU.xlsx Project Budget

FP37073_Harty_ASOF(Hilton Fd) BOJ.pdf Project Budget

COVER LETTER

Attach a copy of your project cover letter.

Cover letter must have the requesting institution's letterhead.

Cover Letter.pdf Cover Letter

To sign this form, enter your IRBManager password. By signing this form, you are indicating that the information within this application is accurate and reflects the proposed research and that you attest to the conflict of interest disclosures for all study team members.

Signed Monday, July 15, 2024 2:45:21 PM ET by Justin Harty, PhD, MSW, BA

In order to submit this form, click "Next" and "Submit." At that time, the application will be routed to the Responsible Official (if this is the first submission) for review and

signature.

Responsible Official Signature
- Submitted 06/19/2024 7:59 PM ET by Daniel Webster, PhD

Responsible Official Signature

After reviewing this application, is it ready for submission to the CPHS IRB?

Yes, ready for submission to IRB.

Enter your password to sign this protocol. By signing this protocol, you are attesting that the information within is accurate and reflects the details of the proposed research project.

Signed Friday, March 1, 2024 9:28:20 PM ET by Daniel Webster, PhD

After choosing whether or not the submission is ready for CPHS IRB review, please click "next" and "submit" (on the next screen) to move the form forward to the CPHS IRB or

back to the Researcher.

Notify IRB for Pre-Screening
- Submitted 07/15/2024 4:18 PM ET by Sussan Atifeh

Internal IRB Screening

CPHS Office: The questions on this page will appear every time the project is resubmitted to the CPHS IRB (even after review). Once the project has been reviewed by a committee member, unless researcher has changed questions on the form that impact the level of review, you do not need to update the questions here. If the changes made are not clear and require additional clarification change the 'ready for review' to 'no' and require changes. When you change the answer back to yes, it will remember your previous answers.

Is this study ready to be reviewed by the CPHS panel?

Yes

Choose the IRB committee to review this study (this defaults to CPHS)

CPHS

CPHS

Level of Review Determination (once the level of review is assigned for this project, do not change this answer unless the reviewer/committee has decided that the study requires a different level of review)

Full Board Minimal Risk

Please provide a rationale for your level of review preliminary determination

Researchers from Arizona State University have submitted this application to request approval for a project with human subjects' contacts components that is aimed to investigate the nuanced experiences and needs of expectant and parenting youth (EPFY) within California's foster care system (state custodia care under the supervision of CDSS). By using a qualitative research methodology known as interpretive description, the study will explore the unique challenges and support systems for these young individuals as they transition to adulthood and parenthood. The project seeks to engage a diverse group of 85 participants through individual interviews and focus group discussions, ensuring inclusivity across variables such as gender, parental status, and ethnicity.

Eligibility Criteria: Participants must be aged 18-21, currently in California's foster care system, expectant or actively parenting, proficient in English, and have internet access for participation in virtual discussions. This approach allows for a comprehensive understanding of EPFY's needs.

Data Collection: The study will conduct 40 individual interviews (20 fathers and 20 mothers) and nine focus group discussions with 45 participants.

Interviews: Conducted via Zoom, lasting approximately 60 minutes, focusing on parenting experiences within foster care.

Focus Groups: Conducted via Zoom, lasting approximately 90 minutes, covering deeper aspects of parenting and foster care experiences.

Recruitment: Participants will be recruited through foster care agencies, caseworker referrals, and child welfare staff endorsements.

Expected Outcomes: The project aims to produce a report and academic articles to be disseminated among scholars, social work practitioners, policymakers, and advocates. The goal is to foster a deeper understanding of EPFY's challenges and support needs, advocating for improved policies and practices to better serve this vulnerable population.

Choose the CPHS Chair

Darci Delgado, PsyD

Select the vice chair of the committee

[illegible]

Larry Dickey, MD, MPH, MSW

Assign to Cycle

August

Assign to cycle year

2024

2024

Load into IRBManager (Initial Submission)

Load into IRBManager (Initial Submission)
- Submitted 07/15/2024 4:18 PM ET by The System

Chair Review and Full Board Set-Up
- Submitted 07/17/2024 12:51 PM ET by Sussan Atifeh

Full Board Set Up

Project number

2024-128

The office will complete the questions on this page and submit the form after the teleconference with the chairs regarding this project is

completed.

Confirmation of level of review

Full Board Minimal Risk

Provide the rationale for the level of review determination
Researchers from Arizona State University have submitted this application to request approval for a project with human subjects' contacts components that is aimed to investigate the nuanced experiences and needs of expectant and parenting youth (EPFY) within California's foster care system (state custodia care under the supervision of CDSS). By using a qualitative research methodology known as interpretive description, the study will explore the unique challenges and support systems for these young individuals as they transition to adulthood and parenthood. The project seeks to engage a diverse group of 85 participants through individual interviews and focus group discussions, ensuring inclusivity across variables such as gender, parental status, and ethnicity.

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Assign SME to study

Carrie Kurtural, JD

Enter the meeting date for this project

08/02/2024

06/02/2024

SME Review

SME review

After reviewing the application, complete the question(s) below. If you wish to make comments on the application for the researcher, use the 'add note' feature on each question (be certain to unmark the internal only box and do not mark changes required). To navigate the application, you can either use the 'previous' button at the bottom of the page or from the drop down at the top of this page choose 'view previous stages'. Once you have completed the questions that appear on this page (different questions will appear depending on your answer to the first question), you will need to click 'next' (from either the top of the bottom of the screen) and then click 'submit'.

If you are requiring revisions before the full committee review, the form will be returned to the researcher for revisions and returned to you upon re-submission.

Does the researcher need to provide additional information/revisions before the committee meeting? If there is insufficient time for the researcher to make changes prior to the committee meeting, choose 'no' in order to route the form correctly.

No answer provided.

In order to either return this application to the researcher or to move forward for the full meeting review, click 'next' and 'submit' on the next screen.