Please refer to the UIC HSPP policy [Research Involving Prisoners](https://go.uic.edu/irb0911) for definitions, University policies and procedures, and information regarding the federal, state, and local laws. You must complete this form if prisoners, Federal Bureau of Prisons, and/or Illinois Department of Corrections will be involved.

**I. Research Title:**

**II. Description of Research**

**A. Select the item(s) below that describe the proposed research.** *At least one item must be selected.* **Note: For all prisoner research that is funded or conducted by HHS,** both IRB approval and OHRP certification must be obtained before the research may begin**. This information will be reflected in your IRB approval letter.**

The study of the possible causes, effects, or processes of incarceration and of criminal behavior, provided that the study presents no more than minimal risk and no more than inconvenience to the subjects.

The study of prisons as institutional structures or of prisoners as incarcerated persons, provided that the study presents no more than minimal risk and no more than inconvenience to the subjects.

Research on conditions particularly affecting prisoners as a class of people (for example, research on hepatitis which is much more prevalent in prisons than elsewhere; and research on social and psychological problems such as alcoholism, drug addiction, and sexual assaults).

Research on practices, both innovative and accepted, which have the intent and reasonable probability of improving the health or well-being of the subject.

An epidemiologic study whose purposes are to: (1) to describe the prevalence or incidence of a disease by identifying all cases or (2) to study potential risk factor associations for a disease; provided the study presents no more than minimal risk and no more than inconvenience to the subjects and prisoners are not a particular focus of the research. *[The range of studies to which this category may apply includes epidemiological research related to chronic diseases, injuries, and environmental health. The study methods could include interviews, surveys and the collection of biological specimens (i.e. blood samples, sputum samples, buccal smears), as long as the study methods entail minimal risk procedures.]*

**B. Facility Details**

1.Provide the name and type of the correctional facility where the research will be carried out.

2.The facility is:

Local

State

Federal

3.Provide a description of the facility where the research will be carried out.

4.Describe the criteria, if any, used in selecting this facility.

### C. Describe the procedures for the selection of subjects. *The selection of subjects within the prison should be fair to all prisoners and not expose either participants or those who decline participation to stigmatization, harassment, prejudice, or retaliatory treatment. In addition, the procedures for assignment to various groups within the research should also be designed to be fair (e.g., experimental, control groups).*

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### D. Describe the possible advantages for prisoners if they participate. *Advantages may not be of such magnitude that they will unduly influence the prisoner’s ability to weigh the risks of the research against the value of such advantages.*

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**E.** Discuss the risks to the prisoners involved in the research and compare them (similarities and differences) to the risks that would be likely to be deemed minimal or reasonable by non-prisoner volunteers.

### F. Describe how the investigator will ensure that there is no arbitrary influence or intervention by prison authorities regarding the selection, assignment, and withdrawal of prisoners over the course of the study.

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### G. Describe the provisions made to ensure that the parole boards will not have access to information pertaining to the prisoners’ participation in the research. If the parole board will have access, verify that the parole board will not use such information when considering the prisoner’s parole. *Reminder: The informed consent and/or oral instructions must include a statement informing potential subjects that participation will have no effect on his or her parole.*

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### H. Information regarding follow-up examination/care

### 1. Based upon the research design and the type of research intervention, do you anticipate the need for follow-up examinations or care for participants after the end of their research participation (e.g., psychological counseling)?

### No – *Skip to item I*

### Yes

### 2. Describe the provisions for follow-up examinations or care of participants after their participation in the research has ended. Include detailed information about the follow-up exams or care, including how often, how long they will be available, and under what conditions (taking into account the varying lengths of individual prisoners’ sentences).

### 

### 3. Provide detailed information regarding the type and source of resources available for follow-up care, as well as how the participants will be informed of, and given access to, the follow-up care.

### I. Describe what plans are in place for prisoners who are released, transferred, or moved from the primary research site during their research participation and before the completion of the full research study. (For example, would there be any attempt to follow-up with these individuals and continue to collect information or data?)

### 

1. **Research Involving the Bureau of Prisons**

*Researchers are responsible for communicating with the Bureau of Prisons to ensure that all Bureau requirements are met prior to starting this research.*

**A.** Does the research involve the Bureau of Prisons?

### No – *Skip to item IV*

### Yes – Approval letter from the Bureau Research Review Board is attached or pending (Note: Documentation of final approval from the Bureau Research Review Board will be required prior to initiating the research).

### B. Describe how the project contributes to the advancement of knowledge concerning corrections:

**C.** Is the selection of subjects within any one organization equitable?

### No – Explain:

### Yes

**D.** 1. Explain how the research design is compatible with the operation of the prison facilities.

2. Describe your academic preparation or experience in the area of study of the proposed research.

**E.** Describe the incentives:

Not Applicable – There are no incentives

Incentives for participants are limited to:

1) soft drinks and snacks to be consumed at the testing site and

2) reasonable accommodations such as nominal monetary recompense for time and effort to non-confined research participants who are no longer in Bureau of Prisons custody and participating in authorized research being conducted by Bureau employees or contractors.

**F.** Confidentiality

1. Check the box(es) that appropriately describe records being requested from the Bureau of Prisons.

No Bureau of Prisons’ records are being requested

De-identified data

Indirectly identifiable (or coded) data

Directly, personal or private identifiable data

1. Describe the use of the data that is being requested from the Bureau of Prisons:

Used solely as a statistical research or reporting record (only allowable with de-identified data).

Used for other purposes. Describe:

1. Do you plan to provide, if requested, identifiable information on the research participants to other individuals (e.g. as evidence in a suit or other administrative, judicial, or legislative proceeding)?

No

Yes - Describe the information you will provide and to whom below. *This information must be clearly stated in the informed consent document.*

1. Will records that contain directly identifiable (personal or private) information be stored in, or introduced into, an electronic retrieval system at other than an official Department of Justice site?

No

Yes - *This is not allowed by Department of Justice regulations.*

**G.** Bureau of Prisons Required Elements of Consent. The following items are required to be included in the informed consent document(s):

* Identification of the researchers
* Anticipated uses of the results of the research
* Statement that participation is completely voluntary and that the subject may withdraw consent and end participation in the project at any time without penalty or prejudice (the inmate will be returned to regular assignment or activity by staff as soon as practicable)
* Statement regarding the confidentiality of the research information and exceptions to any guarantees of confidentiality required by federal or state law. For example, a Researcher may not guarantee confidentiality when the participant indicates intent to commit future criminal conduct or harm himself or herself or someone else, or, if the participant is an inmate, indicates intent to leave the facility without authorization
* Statement that participation in the research project will have no effect on the inmate participant's release date or parole eligibility

*Refer to the* [*Social and Behavioral Consent Template*](https://go.uic.edu/irbBehavioral_Consent_Template) *and the* [*Guidance for Investigators: Informed Consent*](https://go.uic.edu/irb0923) *for additional information.*

1. **Research Involving Illinois Department of Corrections (IDOC)**

*Researchers are responsible for:*

* *Communicating with the Illinois Department of Corrections to ensure that all requirements are met prior to starting this research;*
* *Ensuring the study does not involve medical experimentation, cosmetic research or pharmaceutical testing; and*
* *Ensuring the research is ethical, feasible, and methodologically sound.*

**A.** Does the research involve the Illinois Department of Correction (IDOC)?

### No – *This form is complete; upload form with OPRS Live submission materials*

### Yes – Attach the approval letter from IDOC

### B. Describe how the project meets the relevant needs of IDOC:

**C.** Does the research involve employees of IDOC?

### No

### Yes – Attach the IDOC specific consent document for employees