

CONFIDENTIALITY CERTIFICATE

MH-NICHD-99-08

issued to

RAND

conducting research known as

“Los Angeles Study of Families and Communities”

In accordance with regulations at 42 CFR Part 2a, this Certificate is issued in response to the request of the Principal Investigator, Anne R. Pebley, Ph.D., to protect the privacy of research subjects by withholding their identities from all persons not connected with this research. Dr. Pebley is primarily responsible for the conduct of this research which is funded by National Institute of Child Health and Human Development.

Under the authority vested in the Secretary of Health and Human Services by section 301(d) of the Public Health Service Act 42 U.S.C. 241(d), all persons who:

1. are enrolled in, employed by, or associated with the RAND organization and its contractors or cooperating agencies, and
2. have in the course of their employment or association access to information which would identify individuals who are the subjects of the research on mental health pertaining to the project known as “Los Angeles Survey of Families and Communities”,

are hereby authorized to protect the privacy of the individuals who are the subjects of that research by withholding their names and other identifying characteristics from all persons not connected with the conduct of that research.

This is a population-based longitudinal survey focused on the effects of neighborhood and family environment on children’s well-being. The main objective of the project is to produce a public use data set for the research community. Approximately 3,800 households will be included in the sample, with interviews of approximately 5,000 adults and 5,000 children. Children ages 3 to 17 will complete cognitive assessments. Children ages 9 to 17 will also complete a brief self-administered questionnaire.

A Certificate of Confidentiality is needed because researchers will obtain sensitive information on use of illegal substances, illegal use of firearms and other illegal activities, teenage pregnancy, behavior problems and other sensitive matters. The certificate will help researchers avoid involuntary disclosures which could expose subjects, and their families, to adverse economic, legal, psychological and social consequences.

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All subjects will be assigned a coded number and identifying information and records will be kept in locked files.

This research begins July 15, 1999 and will end November 30, 2004.


As provided in section 301(d) of the Public Health Service Act 42 U.S.C. 241(d):

"Persons so authorized to protect the privacy of such individuals may not be compelled in any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings to identify such individuals."

This Certificate does not govern the voluntary disclosure of identifying characteristics of research subjects but only protects subjects from compelled disclosure of identifying characteristics. Researchers are therefore not prevented from the voluntary disclosure of such matters as child abuse or a subject's threatened violence to self or others; however, the consent form should indicate clearly a researcher's intention to make any such voluntary disclosure.

This Certificate does not represent an endorsement of the research project by the Department of Health and Human Services. This Certificate is now in effect and will expire on November 30, 2004. The protection afforded by this Confidentiality Certificate is permanent with respect to subjects who participate in the research during the time the Certificate is in effect.

July 14, 1999


William T. Fitzsimmons
Executive Officer
National Institute of Mental Health