

**Economic Roundtable
Institutional Review
Board (IRB)**

Request for IRB Approval
Must be completed for all projects
involving human subjects

244 S. San Pedro, #506
Los Angeles, CA 90015
Phone: 213-892-8104

Follow the format shown below to provide requested information

TITLE	<i>USC Service Workers Research Study</i>
PRINCIPAL INVESTIGATOR	<i>Daniel Flaming, President, Economic Roundtable</i>
FUNDING	<i>UNITE HERE! Local 11.</i>
LEVEL OF REVIEW	<p>Indicate the level of IRB review you are requesting for this project:</p> <p><input type="checkbox"/> Level I: Exempt Research and Review (no foreseeable risk)</p> <p><input checked="" type="checkbox"/> Level II: Expedited Research and Review (minimal risk)</p> <p><input type="checkbox"/> Level III: Research and Full Board Review (more than minimal risk or protected subjects)</p> <p>The expedited review procedure may not be used where identification of the subjects and/or their responses would reasonably place them at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, insurability, reputation, or be stigmatizing, unless reasonable and appropriate protections will be implemented so that risks related to invasion of privacy and breach of confidentiality are no greater than minimal.</p>
SCOPE OF WORK	<p>Layout the project tasks, detailing work processes for this project:</p> <p><i>The project team covered by this research protocol includes Economic Roundtable staff and a consultant, Professor Peter Dreier of Occidental College.</i></p> <p><i>Purpose of Study:</i></p> <p><i>Investigate economic outcomes for workers represented by UNITE HERE! who provide food and housing services at the University of Southern California (USC). The project includes analysis of secondary data from the U.S. Census Bureau (no risk to human subjects), as well as a questionnaire survey of workers (minimal risk to human subjects). The questionnaire survey of workers is the reason for this Request for IRB Approval.</i></p> <p><i>Study Population:</i></p> <p><i>Approximately 900 food service and housing workers currently employed at the USC main campus.</i></p> <p><i>Steps that will be carried out with human subjects in this project are as follows:</i></p> <p><i>Task 1. Analyze Membership Records</i></p> <p><i>Analyze UNITE HERE Local 11 membership records to obtain all possible information directly available from those records as well as through imputing data using linked records, if needed. This includes age, gender, ethnicity, place of residence, job description, wage level, work schedule, and length of job tenure.</i></p>

Task 6. Conduct Survey of USC Workers

Conduct an in-depth internet survey of the approximately 900 food service and housing workers at USC. Workers will decide whether to provide informed consent before beginning the survey and will have the option of declining to take the survey. The survey will be conducted by the research team in English and Spanish using an online internet survey platform. UNITE HERE! will support worker engagement with the survey through outreach to and communication with represented workers. The steps for designing and conducting the survey are:

6A. Focus group

Conduct a focus group with a small group of workers convened by UNITE HERE to learn about the experiences, living conditions and concerns of workers that should be addressed through the survey.

6B. Develop survey questions

Develop a set of survey questions about demographic attributes, household composition, employment conditions, housing, homelessness, food security, social safety net benefits, and transportation. Survey questions will be in English and Spanish.

6C. Define survey universe and sampling frame

Using data provided by UNITE HERE, define the survey universe and create a sampling framework. Data from membership records about gender, age, ethnicity, job classification, wage level, place of residence, and job tenure will be used to establish benchmarks for a representative sample of respondents.

6D. Develop and set up website and online survey

Design an online survey platform with secure, password-protected data collection. The survey will be available in English and Spanish.

6E. Conduct a pretest of the survey

Work with UNITE HERE to pretest the online survey with a small sample of workers. Revise questions and website as necessary.

6F. Survey data collection

Work with UNITE HERE to facilitate survey collection. This will include real time data tracking, maintaining the website, and working with UNITE HERE to increase survey participation. Conduct preliminary data analysis and brief stakeholders on initial findings.

6G. Monitor survey responses

Monitor the number and representativeness of survey responses throughout survey collection.

6H. Analyze Survey Data

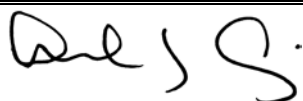
Analyze data collected using statistical software. Identify key findings within and across worker groups.

	(Tasks 2-5, and 7 do not involve primary research of human subjects.)
RISK LEVEL	<p>Identify the level of risk that this project will create for human subjects as defined in Section VI of the Economic Roundtable policy on protection of human subjects:</p> <p><input type="checkbox"/> Less than minimal risk</p> <p><input checked="" type="checkbox"/> Minimal Risk</p> <p><input type="checkbox"/> Greater than minimal risk but with direct benefit to subjects</p> <p><input type="checkbox"/> Greater than minimal risk but no direct benefit to subjects</p> <p>Briefly summarize the facts that support the risk level you have identified. If the study involves greater than minimal risk, identify all direct benefits to the human subjects as well as any additional safeguards.</p> <p><i>This is a Level II project, research with minimal risk involving human subjects. No direct benefits are likely to accrue to human subjects, although service workers at USC (regardless of whether they participate in the survey) may receive an indirect benefit if the research supports successful organizing by UNITE-HERE Local 11 to improve working conditions and compensation. It is also possible that the findings of this study will benefit other low-wage service workers as UNITE-HERE Local 11 seeks to expand its organizing campaign to other universities and major institutional employers.</i></p> <p><i>In Task 1, the Economic Roundtable team will analyze UNITE HERE Local 11 membership records report on workers' age, gender, ethnicity, place of residence, job description, wage level, work schedule, and length of job tenure. The team will only report aggregated, descriptive statistics about workers and not reveal any personal identifying information.</i></p> <p><i>In Task 6, the Economic Roundtable team survey workers who are all members of UNITE-HERE Local 11 and employed at USC as food service and housing workers on the main campus, via online questionnaire in English or Spanish. Aside from the focus group session(s) (Task 6A) and some field testing with UNITE-HERE Local 11 staff and shop stewards employed at the university, the research team will have no contact with survey respondents. UNITE-HERE Local 11 staff plan to support their members' participation in the survey, offering assistance in completing them on workers cell phones, and by sending email reminders complete it. The Economic Roundtable team will provide periodic updates to UNITE-HERE Local 11 staff about the overall response rate during the survey process.</i></p> <p><i>It is recommended that the IRB review this research project as "Level II" because there is minimal risk to the human subjects. Survey responses collected from workers will be safeguarded in the Economic Roundtable office, and will not be shared with any outside organizations, except in de-identified and aggregated form.</i></p> <p><i>The remainder of this study poses no greater than minimal risk to human subjects, because the analysis uses publicly-available data form the U.S. Census Bureau and other non-confidential, secondary sources. The final</i></p>

	<p><i>report and briefings will present only de-identified data, which are aggregated into summary charts and tables.</i></p>
<p>HEALTH INFORMATION</p>	<p>Identifiable Health Information:</p> <p>(1) Do you need to access or use patient/subject identifiable health information (e.g. medical records, mental health information, lab reports, x-rays, tissue samples) for this research study? NO</p> <p>If yes, go to question (2). If no, you do not need to satisfy HIPAA education requirement.</p> <p>(2) Have all investigators and individuals authorized to obtain identifiable health information in this study completed an education program regarding federal (HIPAA) and state privacy requirements?</p> <p>If yes, Please provide certificates of completion and go to question (3). If no, Your study will not be reviewed until all of the requested information has been provided and your application may be returned to you for completion.</p> <p>(3) Describe the specific procedures and safeguards that will be used to de-identify health information of human subjects in this project</p> <p><i>(Not applicable.)</i></p>
<p>INFORMED CONSENT</p>	<p>Indicate the type of informed consent that will be utilized in the study. If a waiver of written informed consent is requested a script of the proposed verbal informed consent should be provided. If a waiver of informed consent is requested please make certain the protocol detail justifies this request.</p> <p><i>A written informed consent will proceed the questions in the online survey, drawn from the U.S. National Institute of Health (NIH), as well as a template from UMass Amherst specifically designed for online surveys. These informed consent documents assume "minimal risk," and are fairly short. The version we plan to use is as follows:</i></p> <p>"INFORMED CONSENT:</p> <p><i>"You are invited to participate in a research survey of USC Auxiliary Services workers. The survey is being done by the Economic Roundtable.</i></p> <p><i>"The purpose of this research study is provide clear and accurate information about the economic condition of Auxiliary Services employees.</i></p> <p><i>"If you agree to take part in this study, you will be asked to complete this online survey. This survey will ask about the work you do, your family, your housing, and your ability to pay for basic costs. The survey will take approximately 15 to 30 minutes to complete.</i></p> <p><i>"To the best of our ability your answers in this survey will remain confidential. We will minimize any risks by preserving the anonymity of your response and storing data on a secure computer. No one who is not part of the Economic Roundtable research team will ever be allowed to see the survey records. After the research project is completed, all survey records will be destroyed.</i></p> <p><i>"If you have questions about this survey or if you have a research-related problem, you may contact Dr. Daniel Flaming, who is president of the Economic Roundtable at 213-892-8104 or danflaming@economicrt.org.</i></p>

	<p><i>“By clicking “I agree” below you are indicating that you are at least 18 years old, have read this consent form and agree to participate in this survey. You are free to skip any question that you choose.</i></p> <ul style="list-style-type: none"> <i>○ I Agree</i> <i>○ I Do Not Agree”</i> <p><i>The Economic Roundtable team will collect and store the consent of survey participants in the same database as their responses to the subsequent 63-question survey, which takes approximately 20 minutes to complete.</i></p>
<p>LOCATION</p>	<p>Indicate the location where the human subjects involvement will occur.</p> <p><i>In-person contact with survey participants will take place in Tasks 6A (focus group) and 6E (questionnaire pretesting) in meeting spaces arranged by UNITE-HERE Local 11 staff, and will include:</i></p> <ul style="list-style-type: none"> <i>• Parkside International Residential College (IRC), 3771 McClintock Ave., Los Angeles, CA 90089</i> <i>• USC Hotel, Room 201, 3540 S Figueroa St., Los Angeles, CA 90007</i> <p><i>All confidential data for project participants will be kept at the Economic Roundtable office:</i></p> <p style="padding-left: 40px;"><i>Economic Roundtable 244 S. San Pedro Street, Suite 506 Los Angeles, California 90012</i></p> <p><i>No confidential data will leave these offices. All data will be managed in conformance with ERT’s data security policy.</i></p>
	<p>Carefully indicate the characteristics of the human subjects that will be involved in the project. When special populations are included or when some or all of the subjects are likely to be vulnerable to coercion or undue influence, indicated what additional safeguards have been included in the study to protect the rights and welfare of these subjects.</p> <p><i>The population to be studied is food service and housing workers currently employed at the USC main campus where there are approximately 900 of these workers. The population includes all workers represented by UNITE-HERE Local 11. These workers tend to be paid low-wages and are women and men of color; we will learn other characteristics about them through the research.</i></p> <p><i>Data obtained about these individuals will include:</i></p> <ul style="list-style-type: none"> <i>• Economic Conditions (Rent burden, household overcrowding, experiences of homelessness and food insufficiency, reliance on food stamps)</i> <i>• Economic Inequality (workers compared to USC administrators, trustees and students)</i> <i>• Community Impacts (displacement of affordable housing, gentrification, housing developed by USC for faculty, students, and workers)</i>

	<ul style="list-style-type: none"> • <i>Profile of Workers (demographics, family size and age, occupation, wage and benefit levels, work schedules and hours, secondary jobs, length of employment)</i> • <i>Assessment of Job (pride in work, fair and unbiased treatment and advancement, respect, sexual harassment, adequate and stable work hours)</i> <p><i>Disclosure of information assembled for this study could cause embarrassment and workplace reprisal from the employer and/or work supervisors. It is also possible that the public release of identified survey responses could negatively affect participants' ability to find future employment at USC or elsewhere. Safeguards that will be used to protect this potentially vulnerable population include:</i></p> <p><i>The research team will follow all procedures set forth in the Economic Roundtable's Confidential Data Management Policy and Policy on the Protection of Human Subjects, and this Request for IRB approval to ensure that no information that can be linked to specific individuals is seen by anyone other than authorized members of the research team.</i></p>
REPORTING AND MONITORING	<p>Describe the protocols that will be followed for reporting back to the Institutional Review Board and monitoring data security.</p> <p><i>The research team will follow all of the procedures set forth in the Economic Roundtable's Confidential Data Management Policy as well as in agreements with organizations providing confidential data.</i></p> <p><i>Any study-related events that endanger human subjects or adverse data security events will be promptly reported to the IRB as well as any other organizations whose data is affected.</i></p> <p><i>Reports on protection of human subjects, data security and project design will be submitted to the IRB semi-annually or more often if requested.</i></p>
ATTACHMENTS	<p><i>The following additional documentation supports this request for IRB approval:</i></p> <ol style="list-style-type: none"> <i>1) Transmittal letter.</i> <i>2) Copy of the funding contract with UNITE-HERE Local 11, including the scope of work.</i> <p><i>NIH certificates of completion for the principal investigator and research staff are posted on the IRB web site: http://www.economicrt.org/irb/</i></p>



Signature of Principal Investigator

Daniel Flaming

Print Name of Principal Investigator

January 7, 2020

Date of Signature

President

Title