



National Institutes of Health  
National Institute of Mental Health  
6001 Executive Boulevard  
Bethesda, Maryland 20892

May 7, 2008

Beth-Ellen Pennell, M.A.  
University of Michigan Survey Research Center  
G358, Perry  
Ann Arbor, MI 48106-1248

Dear Ms Pennell:

Enclosed is the Confidentiality Certificate protecting the identity of research subjects in your project entitled, "Final Impact Evaluation for the Moving to Opportunity Demonstration (MTO)". Please note that the Certificate expires on March 31, 2010.

Please be sure that the consent form given to research participants accurately states the intended uses of personally identifiable information and the confidentiality protections, including the protection provided by the Certificate of Confidentiality with its limits and exceptions.

If you determine that the research project will not be completed by the expiration date, March 31, 2010, you must submit a written request for an extension of the Certificate three (3) months prior to the expiration date. If you make any changes to the protocol for this study, you should contact me regarding modification of this Certificate. Any requests for modifications of this Certificate must include the reason for the request, documentation of the most recent IRB approval, and the expected date for completion of the research project.

Please advise me of any situation in which the certificate is employed to resist disclosure of information in legal proceedings. Should attorneys for the project wish to discuss the use of the certificate, they may contact the Office of the NIH Legal Advisor, National Institutes of Health, at (301) 496-6043.

Correspondence should be sent to:

Ms. Olga Boikess  
Office of Resource Management  
National Institute of Mental Health  
6001 Executive Boulevard, Room 8102 (MSC 9653)  
Bethesda, Maryland 20892-9653  
Telephone: (301) 443-3877  
Fax: (301) 443-2578

Sincerely,

Olga Boikess

Enclosure

# CONFIDENTIALITY CERTIFICATE

MH-08-068

issued to

University of Michigan

conducting research known as

**“Final Impact Evaluation for the Moving to Opportunity Demonstration (MTO)”**

In accordance with the provisions of section 301(d) of the Public Health Service Act 42 U.S.C. 241(d), this Certificate is issued in response to the request of the Principal Investigator, Beth- Ellen Pennell, M.A., to protect the privacy of research subjects by withholding their identities from all persons not connected with this research. Ms. Pennell is primarily responsible for the conduct of this research, which is funded by multiple entities including the National Institute of Mental Health, National Institute on Child Health and Human Development National Institute on Aging, Centers for Disease Control, National Science Foundation and the Department of Housing and Urban Development.

Under the authority vested in the Secretary of Health and Human Services by section 301(d), all persons who:

1. are enrolled in, employed by, or associated with the University of Michigan and its contractors or cooperating agencies, and
2. have in the course of their employment or association access to information that would identify individuals who are the subjects of the research pertaining to the project known as “Final Impact Evaluation for the Moving to Opportunity Demonstration (MTO)”,

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 longitudinal behavioral research study examines factors that help low-income families with housing needs. The study compares outcomes of three groups to which families were assigned: Experimental, Section 8, or control groups. The study examines overall well-being, mental and physical health factors, and social processes through which neighborhood environments influence behavior. Parents and children are recruited as subjects.

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A Certificate of Confidentiality is needed because sensitive information about mental health, substance use, illegal activity and psychological well-being will be collected during the course of the study. The certificate will help researchers avoid involuntary disclosure that could expose subjects or their families to adverse economic, legal, psychological and social consequences.

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

This research is underway, and is expected to end on March 31, 2010.

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 protect you from being compelled to make disclosures that: (1) have been consented to in writing by the research subject or the subject's legally authorized representative; (2) are required by the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301 et seq.) or regulations issued under that Act; or (3) have been requested from a research project funded by NIH or DHHS by authorized representatives of those agencies for the purpose of audit or program review.

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 March 31, 2010. The protection afforded by this Confidentiality Certificate is permanent with respect to any individual who participates as a research subject (i.e., about whom the investigator maintains identifying information) during any time the Certificate is in effect.

Date of Issuance: May 7, 2008



Patrick Shirdon  
Associate Director for Management, NIMH