AUM Research Protocol Review Form

Institutional Review Board for Research Involving Human Subjects

Office of Sponsored Programs (OSP), 109 Administration Bldg 334.244-3250

For IRB use only:
Date received in OSP: _____ PROTOCOL #_____
Date assigned IRB review: _____ Reviewed by: _____ Date of IRB approval: _____
Type of review: ___ Expedited, ___ Full Board, ___Exempt Interval for Continuing Review: _____

ONLY TYPEWRITTEN FORMS WILL BE ACCEPTED

1. **Proposed dates of study: from** 2/28 **to** 4/4/2014
2. **Project Title:** An Examination of External Political Efficacy and its Effect on Political and Campus Organizational Participation on a Southern Campus
3. **Principal Investigator:** [redacted]
4. **Title:** Student **Dept:** Political Science **Phone:** [redacted] **Email:** [redacted]u
5. **Source of Funding/Project Support:** ☒ **Internal** ☐ **External (list)** ☒
6. **Status of Funding/project support:** ☐ **received** ☐ **approved** ☐ **pending** ☒ **n/a**
7. **General research characteristics:**

A. Research Methodology	**B. Participant Information**
Please identify the descriptors that best apply to the research methodology. **Data collection will be:** ☒ **Prospective*** ☐ **Retrospective*** ☐ **both** **Data will be recorded so that participants can be directly or indirectly identified:** ☐ **Yes** ☒ **No** **Data collection will involve the use of:** ☐ Educational Tests (cognitive, diagnostic, aptitude, achievement) ☒ Surveys/Questionnaires ☐ Private Records/Files ☐ Interview/Observations ☐ Audiotaping ☐ Videotaping ☐ Physical/Physiologic Measurements or Specimens ☐ Other (explain Q.12a)	**Check all descriptors that apply to the participant population:** ☒ Males ☒ Females **Vulnerable Populations:** ☐ Pregnant Women ☐ Age 18 & under ☐ Prisoners ☐ Elderly ☐ Economically Challenged ☐ Physically Challenged ☐ Mentally Challenged **Do you plan to recruit AUM Students?** ☒ **Yes** ☐ **No** **Do you plan to remunerate participants?** ☐ **Yes** ☒ **No**
C. Research Content Area	**D. Risks to Participants**
Identify (list) 3 or 4 keywords to identify this research project. External Efficacy, Southern Campus, Greek Organization, Organization Participation, Student Involvement	**Please identify all risks that may reasonably be expected as a result of participating in this research:** ☐ Breach of Confidentiality ☐ Deception ☒ Social ☒ Psychological ☐ Coercion ☐ Physical ☐ Other (explain)

*(**Prospective** data collection involves new or original data. ***Retrospective** data involves the use of existing data.)*

8. **INVESTIGATORS:**
Identify each individual involved with the conduct of this project and describe his or her roles and responsibilities related to this project.

Principal Investigator (PI): the PI must have completed IRB-approved human research protections training through CITI. IRB staff must verify training before approval is granted. The CITI training site is available through the following link www.citiprogram.org ☒CITI completion report **attached**	
Name: [redacted]	Email: [redacted]
Department: Political Science	Phone: [redacted]
☐Faculty ☐Staff ☐Graduate Student ☒Undergraduate Student	
Role/Responsibility: Design survey instrument, organize and supervise data collection, take lead role in data analysis, and prepare written report on execution of project, its results, and conclusions based on the findings.	

Investigator: must have completed IRB-approved human research protections training through CITI. IRB staff must verify training before approval is granted. The CITI training site is available through the following link www.citiprogram.org ☒CITI completion report attached	
Name: Dr. [redacted]	Email: [redacted]
Department: Political Science	Phone: [redacted]
☒Faculty ☐Staff ☐Graduate Student ☐Undergraduate Student	
Role/Responsibility: Assist in design of survey instrument and data collection and analysis. Advise and support principal investigator in all aspects of the project and in preparation of the report on the results and analysis.	

Researcher: must have completed IRB-approved human research protections training through CITI. IRB staff must verify training before approval is granted. The CITI training site is available through the following link www.citiprogram.org ☐CITI completion report attached	
Name:	Email:
Department:	Phone:
☐Faculty ☐Staff ☐Graduate Student ☐Undergraduate Student	
Role/Responsibility:	

Research: must have completed IRB-approved human research protections training through CITI. IRB staff must verify training before approval is granted. The CITI training site is available through the following link www.citiprogram.org ☐CITI completion report attached	
Name:	Email:
Department:	Phone:
☐Faculty ☐Staff ☐Graduate Student ☐Undergraduate Student	
Role/Responsibility:	

9. **LOCATION OF RESEARCH: List all locations where data collection will take place and analyzed. Be as specific as possible.** AUM Campus, inside student facilities on campus or on the quad.

10. **BACKGROUND: Briefly discuss the relevant literature and research findings that lead to the development of this project. Please cite relevant sources and include a "Reference List" as Appendix B.** Students of political behavior have long known that both the quality and quantity of citizen participation in political activities varies across groups of persons. Thus, one of the primary points of emphasis in research on political participation has been identifying the variables that differentiate those groups and individuals who are more likely to participate as well as those who are less likely to do so. Previous research has, for example, demonstrated clearly that socio-economic status (identified as some combination of levels of education and income as well as type of occupation) is a significant determinant of who does and who does not participate in all types of participation, ranging from voting to running for office. Other personal characteristics such as gender, race, and age have also been identified as variables that influence levels of participation. One of the most important sources of knowledge about influences on participation generally and on voting behavior specifically is the series of studies on voting patterns in American presidential elections conducted by the Center for Political Study at the University of Michigan since 1948. (Campbell, et al., 1960; Campbell, Gurin, and Miller, 1954). Rather soon after these studies began, the researchers realized that demographic variables such as those identified above would not provide a complete explanation of why participation varies from one group of individuals to another. As a result, they began to look for factors relating to individual attitudes and beliefs about governmental institutions and political processes that influenced participation. Beginningin 1952, they began to measure what is now termed "political efficacy," a term that has several varying definitions but which generally means "the feeling that an individual does have, or can have, an impact on the political process." (Campbell, Gurin, and Miller, 1954: 187). Shortly after, Robert Lane, in his late 1950's study of political involvement in the American political process, argued that the concept of political efficacy really had two components. The first was "external" political efficacy, which emphasizes that political and governmental office-holders and other influentials are responsive to the preferences and interests of the citizens that they represent while "internal" political efficacy refers to the individual's belief that she has the information and understanding required to engage, navigate, and influence governmental decisions. (Lane, 1959). While there has been much variation in the wording of the questions used to measure both external and internal political efficacy and some variation in the conclusions drawn from various research projects, one of the most common conclusions is that there is clearer evidence that external political efficacy is related to participation in electoral activities than is internal political efficacy—that is that the decision to vote or not to vote is more influenced by the perception that office-holders are responsive to citizens than by their perception that they have the knowledge and understanding required to participate. The study proposed here examines external political efficacy among college students in Alabama and will seek to determine whether participation in student organizations, such as fraternities, sororities, and student government organizations is related to participation in political activities and whether either or both of these are related to external political efficacy. The study will also examine the often-reported relationship between parental political activity, external political efficacy, participation in campus

organizations, and participation in political activities. (Plutzer, 2002; Niemi and Junn, 1998; Jennings, Stoker, and Bowers, 2009).

11. **PURPOSE & SIGNIFICANCE:**
    a. **Clearly state the objectives, goals, or aims of this project.** To examine the relationship between external political efficacy and participation in campus organizations. To examine the relationship between external political efficacy and participation on political activities.To examine the influence of parental organizational and political participation the external political efficacy and the organizational and political participation of students. To confirm or refute that : 1. Individuals who are active in campus organizations will also be more likely to participate in political activities. 2. Individuals who are active in campus organizations will report higher levels of external efficacy. 3. Individuals who participate at higher levels in political activities will report higher levels of external efficacy. 4. Individuals whose parents participated in campus organizations will be more likely to participate in campus organizations. 5. Individuals with parents who participate in political activities will be more likely to participate in political activities themselves. 6. Individuals with higher levels of external efficacy will be more likely to have parents who are active in politics and civic organizations.

    b. **How will the results of this project be used? (e.g., presentation? Publication? Thesis? Dissertation?)** The results of the research will be presented at the AUM School of Sciences Undergraduate Research Symposium on April 4, 2014.

12. **PARTICIPANTS:**
    a. **Describe the participant population you have chosen for this project.** Students who either are in undergraduate Political Science classes at AUM or who voluntarily and anonymously agree to participate on the AUM campus.

What is the minimum number of participants you need to validate the study? 50
What is the maximum number of participants you will include in the study? Unknown. There is no set maximum number of participants for this exercise.

    b. **Describe the criteria established for participant selection. (If the participants can be classified as a "vulnerable" population, please describe additional safeguards that you will use to assure the**

ethical treatment of these individuals.) Voluntary college student participation while on Campus during hours of academic activity. No vulnerable populations will be included.

c. **Describe all procedures you will use to recruit participants. Please include a copy of all flyers, advertisements, and scripts and label as Appendix C.**
We will be recruiting on the spot in on-Campus locations and will be distributing to some students while they are in class. A copy of the distributed survey and the descriptive letter of informed consent is attached as Appendix C.

d. **Describe how you will determine group assignments (e.g., random assignment, independent characteristics, etc.)** Individuals will be assigned to groups for analytic purposes based on independent characteristics as reported anonymously on a survey such as their gender, and religious and campus affiliation. Groups will not be used in the actual collection of data.

e. **Describe the type and amount and method of compensation for participants.** None.

13. **PROJECT DESIGN AND METHODS:**
Describe the procedures you will plan to use in order to address the aims of this study. (NOTE: use language that would be understandable to a layperson. Without a complete description of all procedures, the AUM IRB will not be able to review the protocol.

a. **Project overview (Briefly describe the scientific design.)** To measure external political efficacy, campus organization and political participation of the respondents and their parents, this research will use a survey instrument that will include 10 questions as well as items asking participants about their gender and religious and campus affiliation. Using the data collected from this instrument, the study will determine overall levels of external political efficacy, organizational and political participation, and the relationship among these variables as well as the influence of parental organizational and political participation on that of their offspring. The respondents will also be divided and compared on the basis of gender and religious and campus affiliation.

b. **Describe all procedures and methods used to address the purpose.** A survey instrument as described previously to be distributed to undergraduate Political Science classes at AUM, to student government and Greek organizations, and to students located in campus gathering locations on both campuses.

c. **List all instruments used in data collection. (e.g., surveys, questionnaires, educational tests, data collection sheets, outline of interviews, scripts, audio and/or video methods, etc.) Please include a copy of all data collection instruments that will be used in this project and label as *Appendix C*.** The survey/questionnaire described previously. (See Appendix C)

d. **Data Analysis: Explain how the data will be analyzed.** Statistical correlation analysis will determine whether a relationship exists between reported participation in certain groups and expressions of political efficacy on student campuses.

e. The percentages of respondents in different levels of external political efficacy will be compared in regard to their organizational and political participation in an effort to determine whether external political efficacy influences either organizational or political participation and whether organizational participation influences political participation. Organizational and political participation levels of the respondents will also be compared to that of their parents to determine if there is any relationship. Finally, the same types of analyses will be performed after dividing the respondents into different gender, major, and religious and campus groups.

14. **RISKS AND DISCOMFORTS:**

List and describe all of the reasonable risks that participants might encounter if they decide to participate in this research. If you are using deception in this study, please justify the use of deception and be sure to attach a copy of the debriefing form you plan to use and label as *Appendix D*. Social risks, psychological risks might be encountered by some students who decide to participate in the study due to public solicitation of the survey in front of other students, a lack of privacy, or discomfort aswering certain questions.

15. **PRECAUTIONS:**

Describe all precautions you have taken to eliminate or reduce risks that were listed in #14. In order to compensate for the social and psychological risks we will inform all participants that they may stop taking the survey at any point. All participants will be invited to move to a more comfortable (ie: private, quiet) location before beginning the survey. All participants will be asked to sign a consent form in order to ensure they are fully informed, and to explain the purpose of the survey. The letter of consent will also ensure the participant knows his/her rights to anonymity and to discontinue participation at any point. The survey/questionnaire does not ask for highly personal, sensitive, or identifiable information.

16. **BENEFITS:**

a. **List all realistic benefits participants can expect by participating in this study.** The satisfaction that might result from assisting a fellow student in carrying out a research project. The satisfaction that might result from having one's attitudes being subject of attention and concern.

b. **List all realistic benefits for the general population that may be generated from this study.** Better understanding of why Americans are often apathetic, uninformed, and often lacking in trust of their government and especially why these characteristics apply to some students and not to oters.Better understanding of what might be done to increase the interest, knowledge, understanding, and participation in governmental and political processes among young people.

17. **PROTECTION OF DATA:**

a. **Will data be collected as anonymous?** ☒ Yes ☐ No

b. **Will data be collected as confidential?** ☐ Yes ☒ No

c. **If data is collected as confidential, how will the participants' data be coded or linked to identifying information?** _____

d. **Justify your need to code participants' data with identifying information.** _____

e. **Where will code lists be stored?** _____

f. **Will data collected as "confidential" be recorded and analyzed as "anonymous"?** ☐ Yes ☐ No

g. **Describe how the data will be stored (e.g. hard copy, audio recording, electronic data, etc), where the data will be stored, and how the location where data is stored will be secured in you absence.** Electronic and hard copy. Stored either in 209 J Goodwyn or in Political Science Department.

h. **Who will have access to participants' data?** [redacted] the Head of the Political Science Department or a representative of that person.

i. **When is the latest date that the data will be retained?** Unknown.

j. **How will the data (hard copies, electronic and other) be destroyed?** Unknown.

PROTOCOL REVIEW CHECKLIST (for researcher to fill out)
All protocols must include at least items 1-5.
Items 6-10 as applicable.

1. ☐ IRB Protocol Form is complete

2. ☐ IRB Protocols Assurances page has all necessary signatures

3. ☐ Verification of CITI Training for all researchers: indicated on page 2 and completion reports attached.

4. ☐ **Appendix A:** Informed Consent Form/s

5. ☐ **Appendix B:** Reference List (Literature Review)

6. ☐ **Appendix C:** if flyers, advertisements, generalized announcements or scripts are used for data collection.

7. ☐ **Appendix C:** if data collection sheets, surveys, tests, or other recording instruments will be used for data collection. Be sure to mark each of the data collection instruments as they are identified in section #13 , part c.

8. ☐ **Appendix D**: if debriefing form is used.

9. ☐ If research is being conducted at sites other than AUM or in cooperation with other entities, a letter from the site/program director must be included indicating their cooperation or involvement in the project. NOTE: if the proposed research is a multi-site project, involving investigators or participants at other academic institutions, hospitals or private research organizations, a letter of IRB approval from each entity is required prior to initiating the project. **Include in Appendix A**.

10. ☐ Written evidence of acceptance by the host country if research is conducted outside of the United States (approval by host country IRB). **Include in Appendix A.**

Principal Investigator's Assurance

1. I certify that all information provided in this application is complete and correct.
2. I understand that, as Principal Investigator, I have ultimate responsibility for the conduct of this study, the ethical performance for this project, the protection of the rights and welfare of human subjects, and strict adherence to any stipulations imposed by the AUM IRB. I certify that all individuals involved with the conduct of this project are qualified to carry out their specified roles and responsibilities and are in compliance with AUM IRB policies regarding the collection and analysis of the research data. I have completed CITI training.
3. I certify that all individuals involved with the conduct of this project are qualified to carry out their specified roles and responsibilities & are in compliance with AUM IRB policies regarding the collection & analysis of the research data.
4. I agree to comply with all AUM IRB policies and procedures, as well as with all applicable federal, state, and local laws regarding the protection of human subjects, including, but not limited to the following:

a. Conducting the project by qualified personnel according to the approved protocol
b. Implementing no changes in the approved protocol or consent form without prior approval from the Office of Sponsored Programs (OSP) (except in an emergency, if necessary to safeguard the well-being of human subjects)
c. Obtaining the legally effective informed consent from each participant or his or her legally responsible representative prior to their participation in this project using only the currently approved, stamped consent form.
d. Promptly reporting significant adverse events and/or effects to the OSP in writing within 5 working days of the occurrence.

5. If I will be unavailable to direct this research personally, I will arrange for a co-investigator to assume direct responsibility in my absence. This person has been named as co-investigator in this application, or I will advise OSP, by letter, in advance of such arrangements.
6. I agree to conduct this study only during the period approved by the AUM IRB**.**
7. I will prepare and submit a renewal request and supply all supporting documents to OSP before the approval period has expired if it is necessary to continue the research project beyond the time period approved by the AUM IRB.
8. I will prepare and submit a final report upon completion of this research project.

_____ _____ _____

Principal Investigator (Please type or print) Principal Investigator Signature Date

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Faculty Sponsor's Assurance

1. By my signature as sponsor on this research application, I certify that the student or guest investigator is knowledgeable about the regulations and policies governing research with human subjects and has sufficient training and experience to conduct this particular study in accord with the approved protocol. This requirement includes CITI training.
2. I certify that the project will be performed by qualified personnel according to the approved protocol using conventional or experimental methodology.
3. I agree to meet with the investigator on a regular basis to monitor study progress.
4. Should problems arise during the course of the study, I agree to be available, personally, to supervise the investigator in solving them.
5. I assure that the investigator will promptly report significant adverse events and/or effects to the OSP in writing within 5 working days of the occurrence. If I will be unavailable, I will arrange for an alternate faculty sponsor to assume responsibility during my absence, and I will advise the OSP by letter of such arrangements.
6. I have read the protocol submitted for this project for content, clarity, and methodology

_____ _____ _____

Faculty Sponsor (Please type or print) Faculty Sponsor Signature Date

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Department Head's Assurance

By my signature as department head, I certify that every member of my department involved with the conduct of this research project will abide by all AUM policies and procedures, as well as with all applicable federal, state, and local laws regarding the protection and ethical treatment of human participants.

_____ _____ _____

Department Head (Please type or print) Department Head Signature Date