You are a graduate-level university researcher.

Your research must lie at the intersection shown here.
Key Definitions

Human Subjects

Research involving *interaction or intervention* with living individuals or the collection of *individually identifiable private information*

Utilizing data which contain *individually identifiable private information*

Institutional Review Boards

(SJSU’s is a 10-15 person committee)
What is the Purpose of IRBs?

Each individual has the autonomy to make their own decisions and can voluntarily enter into research without coercion.

Do no harm and maximize benefits and minimize risks for participants.

Benefits and burdens of research are equitably distributed. Participants are selected by criteria relevant to the research rather than convenience.
Key Historical Events

Nuremberg Military Trials of 23 Nazi Doctors

U.S. Public Health Service Syphilis Study at Tuskegee
Protecting People we Engage with in Research as Social Scientists

Informed Consent is Critical

Avoiding Reputational Harm
Three scenarios for 298 research

For each scenario, think........

• Is there any risk of harm to human subjects?
• Would you consent to participate or not?
1. A researcher asks you, an SJSU MUP student, to rate the reputation of the planning departments in ten Bay Area cities.

What risk do you face, and would participate if:

– You are going to be named in the report?
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What risk do you face, and would participate if:

– You are going to be named in the report?
– Your name and any identifying information will remain confidential?
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What risk do you face, and would participate if:

- You are going to be named in the report?
- Your name and any identifying information will remain confidential?
- Your response is anonymous?
2. A researcher asks to interview you, a resident in a high-crime neighborhood, about violent crimes you witnessed in your neighborhood and how the police responded.

What risk do you face, and would participate if:

– You are going to be named in the report as an interviewee?
2. A researcher asks to interview you, a resident in a high-crime neighborhood, about violent crimes you witnessed in your neighborhood and how the police responded.

What risk do you face, and would participate if:

- You are going to be named in the report as an interviewee?
- Your name and any identifying information will remain confidential?
- Your response is anonymous?
2. A researcher asks to interview you, a resident in a high-crime neighborhood, about violent crimes you witnessed in your neighborhood and how the police responded.

What risk do you face, and would participate if:

– You are going to be named in the report as an interviewee?

– Your name and any identifying information will remain confidential?

– Your response is anonymous?
3. A researcher asks to survey you, a homeowner, about whether you have ever failed to get required planning permits when making improvements to your property.

What risk do you face, and would participate if:

– The survey asks for your name?
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What risk do you face, and would participate if:

– The survey asks for your name?
– The survey does not ask for your name, but does ask for your home address?
3. A researcher asks to survey you, a homeowner, about whether you have ever failed to get required planning permits when making improvements to your property.

What risk do you face, and would participate if:

– The survey asks for your name?
– The survey does not ask for your name, but does ask for your home address?
– Your response is anonymous?
What is Included in Consent Documents?

• Explanation of what the research entails
• Explanation of risks vs. benefits
• Explanation of the measures you will use to protect confidentiality
• Information about participants’ rights
• A statement that participants can withdraw from the research at any time
• Information about whom to contact if participants have questions
Options for Avoiding Reputational Harm

**Think:** if you reveal what a person said, believes, or does, could this harm their professional reputation?

Will you **reveal or conceal** their identity? This **must** be explained in informed consent.

- Example: “Your name will not appear in the final report.”

- Example: “I will list your name in an appendix, but will not attribute any of your statements directly to you in the report.”

- Example: “I will quote you by name, BUT if you want to share certain information confidentially, I will be sure not to reveal those pieces of information.”
What IRB requirements must I meet?

<table>
<thead>
<tr>
<th>Research type</th>
<th>Complete an Exclusion Worksheet</th>
<th>Complete an IRB Application and Narrative</th>
<th>IRB response needed before you start research?</th>
<th>You as the researcher must protect human subjects’ rights</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excluded</td>
<td>✓</td>
<td></td>
<td>Nothing</td>
<td>✓</td>
</tr>
<tr>
<td>Exempt</td>
<td>✓</td>
<td>✓</td>
<td>You are “exempt” &amp; may begin work</td>
<td>✓</td>
</tr>
<tr>
<td>Subject to IRB</td>
<td>✓</td>
<td>✓</td>
<td>You are “subject” &amp; may begin work</td>
<td>✓</td>
</tr>
</tbody>
</table>

“Regardless of whether a project needs to be reviewed by the IRB, the rights and welfare of the participants involved in a project must be protected.” (SJSU IRB)
Due March 6 to your advisor: The IRB Exclusion Worksheet

Does it involve “human subjects”?

Does it meet the federal definition of “research”?

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To view the worksheet, please visit the website at [IRB Website].
Q1. Systematic?
- Yes: Usually Yes for 298 projects!
- No

Q2. Generalizable?
- Yes
- No

3. Interact with Human Subjects, or collect personally identifying info?
- Yes
- No

4. Existing personal data with identifying info?
- Yes
- No

5. Could researchers identify a living person?
- Yes
- No

Is your research “exempt” or “subject” to IRB?
- Subject: Submit protocol to IRB; IRB member reviews; staff emails permission to begin work. Done!
- Exempt if (1) survey data is anonymous OR (2) interviewing professionals about their professional opinions.

Exclusion worksheet: Submit Exclusion Worksheet to adviser, who files it in your URBP student folder. Done!