Submitting a Proposal to the Research Review and Ethics Committee (RREC)

General Instructions:

The process for applying includes a new online application as well as updated required supplemental forms described below. As a subcommittee of the University IRB, the RREC adheres to the Federal Policy for the Protection of Human Subjects (aka the Common Rule) as well as the American Psychological Association (APA) Ethical Principles of Psychologists and Code of Conduct.

- During the academic year, the RREC makes every effort to provide feedback regarding proposals for new research, requests for minor changes, and requests for renewal of approval within **7 days of receipt**.
- Revised proposals that have satisfactorily addressed RREC comments/requested changes will be provided within an **additional 7 days.**
- In the event that review by the full IRB is required, these turnaround times may be extended.
- Please allow for extra time for review, feedback and approval during the summer and university breaks.

All RREC proposals should be submitted through the RREC application portal. **Before** submitting an application via the portal, complete all required supplemental forms and submit them through the portal as a single zip file. You cannot save your progress within the portal so make sure supplemental forms are in order before beginning a new application in the portal. Supplemental forms should include:

- **Research narrative form (required)**
- **Online *or* in-person consent form (required)**
- **Debriefing form *or* script (required)**
- **CITI certificates (required unless already on file)**
- COVID precautions form (required for in-person research)
- Minor participant assent form (if applicable)
- Copies of measures, surveys/questionnaires (if applicable)
- Advertisements or invitations to participate (if applicable)
- Compensation forms (if applicable)
- Any other relevant information for the RREC to consider

Required supplemental forms are available via links in this document, via links in the submission portal, and via the RREC Google drive. To request access to the Google drive for yourself or students, email the RREC chair at rrec@udayton.edu.

It is requested that ALL communication regarding RREC proposals only be between the faculty advisor and chair of the RREC.

Research Categories that Do Not Require Full University IRB Review:

The RREC can review studies in two categories (exempt and expedited studies) that do not require full University IRB review, both of which entail no more than minimal risk[1] to participants. In general, studies should pose the least risk possible while still answering the questions that the study has set out to answer. Research that involves more than minimal risk or that employs vulnerable populations (e.g., pregnant or incarcerated individuals) must be evaluated by the full University IRB, but is also reviewed first by the RREC to ensure they meet APA guidelines. The RREC will review your submission and make a determination of which category best fits your submission. The following are simplified descriptions of each category:

- **Exempt studies** do not pose more than minimal risk[1] and involve the use of educational tests, survey procedures, interview procedures, or observation of public behavior. If the information obtained could allow for participants to be identified, their responses must not reasonably place them at risk of criminal or civil liability or be damaging to their financial standing, employability, or reputation. (In other words, if you ask for information that could place them at risk, they must not be identifiable. However, you can ask for information that would allow them to be identifiable, if you do not ask for information that would place them at risk. You can ask one or the other, but not both.)

  Because of UD's size and lack of diversity (especially with regard to age), it is sometimes tricky to make sure that responses will not allow participants to be identified if they are atypical from the majority of UD's student population. Do not ask for demographic information that you do not need. If you do need demographic information, consider using categorical responses for age restricting who can participate to those who are under 25. In addition, consider adding the following sentence to the directions of the demographics section: "If you feel atypical from the majority of the University of Dayton student population, please do not answer the question below regarding race." These are simply helpful ideas – you may find other creative ways to keep participants' information from being identifiable.

- **Non-Exempt, Expedited studies** involve no more than minimal risk[1] and can involve many more procedures than those used in exempt studies (e.g., collection of blood, video data, etc.). Identification of participants or their responses must not reasonably place them at risk of criminal or civil liability or be damaging to their financial standing, employability, or reputation, **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.

  Studies that employ deception or the use of vulnerable populations (including minors under the age of 18) must be reviewed using the expedited, non-exempt procedure.

Other Things to Remember:

- All materials should be carefully proofread and relatively free of typographical and grammatical errors. Errors on the Research Narrative form are not an issue. Errors on material that participants will see are more of an issue and will often be reported to you.

- The materials should be logically consistent with themselves. That is, don't say one thing in one place, and contradict that statement in another place of your proposal.

- Design your studies to minimize their impact on the subject pool. The subject pool is a shared resource.
  - Note that one half research credit is the minimum amount awardable via SONA; studies that take less than 30 minutes to complete warrant one half research credit.

- All individuals who interact with participants and/or see the raw data must have completed the CITI Social & Behavioral Research Investigators course prior to submitting your proposal to the committee. For detailed instructions, click here.
  - Complete the "Social/Behavioral Research Course." You DO NOT need to complete the "Social and Behavioral Responsible Conduct of Research Course."
  - A refresher course must be completed every three years.

---

[1] *Minimal risk* means that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

- Each researcher's completion report (saved as pdf) should be included with the application or emailed to rrec@udayton.edu

- When a study is completed, a final report must be completed and submitted (please do not spend much time on this report).

Online data collection: If you ask questions that might be harmful to a participant's reputation, employability or financial standing if there were a breach of confidentiality then you must ensure the following (for further information/clarification regarding these issues, please ask the RREC):

- When the participant is answering the questions that all communication between the participant's browser and the web server are secured through an SSL connection. In simple terms, that means using a web address that starts with https instead of http. Note that SONA and Qualtrics meet this standard, whereas the free version of SurveyMonkey does *not* meet this criterion. It is the researcher's responsibility to assure the committee of this for the particular survey software that you use.
- When the data are stored in a database online, the data must either be anonymous – no personally identifiable information (this includes IP address which are recorded by default in SurveyMonkey, keys that link the data to a person's name (such as might be generated by an email solicitation that is unique for each participant), or sufficient demographic information to make the participant identifiable given the population), – stored with public key encryption (so that employees of the survey company cannot decode the information), or that the employees have been trained in the treatment of confidential, research data.
- When you download the data, the data must either be encrypted (see the previous point) or transferred through an SSL connection (using a web address that starts with https instead of http).
- If you used deception, there must be a way for you to remove a participant's data from the database and from the backups that the survey company generates.

Compensation or incentives for participation (other than course credits)**:** Compensation/incentives include, but are not limited, to cash/checks, gift cards, in-kind incentives such as a book or t-shirt, or entry into a raffle to win a prize(s) with any monetary value. The IRB has divided payments into three categories, each with its own procedures for tracking/moving/distributing compensation and with distinct tax reporting requirements.

- Micro payments up to $10.00
- De Minimis payments - $10.01 - $100.00
- Standard payments –$100.01 and above

- Depending on the type of payment, modifications to the consent form will be necessary. Click here for details.
- For all studies involving payments to participants, the researcher must maintain an "Incentive Payment Log." A sample tracking log can be found on the IRB Forms and Documents page.
  - Online survey tools such as Amazon's Mechanical Turk (MTurk) do not require the participant's name. However, a unique identifier (such as worker ID) is collected. A report showing worker ID, date of payment, and payment amount may act as a log of study participation.
- Micro payments and de minimis payments (i.e., all payments less than $10.01) must be distributed via Runway.
- Standard payments (i.e., studies involving payments to participants over $10.01), require the researcher to collect signatures from participants upon receipt of the incentive, either on the log or via a separate document.

- Payment records/logs should be kept for 7 years for IRS reporting requirements. Logs may be subject to audit but will maintain participant confidentiality
- Raffles involve supplemental guidance. The IRB raffle policy can be found here.
- The University strongly discourages the use of physical gift cards. When possible E-gift cards are preferred and should be purchased individually following each participant's completion of the study.

Special thanks to Dr. Greg Elvers and Dr. Lee Dixon for crafting earlier drafts of this document