

Please use this form for all new initial applications for the Institutional Review Board.

### Initial Application Data Entry

#### Instructions

**Most applications at La Verne fall under exempt review. Please review our [exempt decision charts website](#) and [exempt application policy](#) before starting your application to ascertain if you have an exempt study.**

#### Human Subjects Research

Are you a researcher who is **NOT** affiliated with University of La Verne?

No

Are you currently staying in the European Economic Area (EEA; for list of countries, see guide on the right)?

No

*The EEA is comprised of: Austria, Belgium, Bulgaria, Croatia, Republic of Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, the UK, Iceland, Leichtenstein, and Norway*

Is this human subjects research?

Yes

*Select "No" if this is a secondary data study or other type of research that does not use human subjects (e.g., analysis of policy).*

#### Review Type Determination

**The worksheet below will help you determine if you should apply for an exemption (exempt review) or if your application is better suited for an expedited or standard review.**

**Does your study completely fall into any of the exemption categories listed below?**

Category 2: Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior (including visual or auditory recording)

*You must have reviewed the federal regulations at §   .104 prior to making a selection as the categories are summarized from the regulations and are not comprehensive.*

**Please select the appropriate description of your study.**

Anonymous - this means there is no identifiable information in the data that can be traced back to a specific individual

*If you have designed a study that is **only** confidential **or** anonymous, please be consistent throughout the application and only use the appropriate term (i.e., don't use the terms interchangeably)*

**Would "any disclosure of the human subjects' responses outside the research... reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation" in your study?**

No

**Does your study contain children (persons under the age of 18)?**

No

**Does your proposed study target prisoners and/or adults with cognitive impairment?**

No

**Your study appears to be qualified to apply for an exemption. As such you may use an information sheet in lieu of an informed consent. Please see examples of information sheets on the [La Verne IRB website](#).**

**Please check the Exempt box to continue.**

Exempt

***Please check the Exempt box to continue.***

**Application Header and Instructions**

**Submitter**

Guerrero, Amanda

**Email:** aguerrero@laverne.edu

**Phone:** \_\_\_\_\_

**Title of proposed research study:**

A Change in the Electoral System Structure from an At-Large to a District Structure

**Principal Investigator (PI) email address: the name will populate once you move to the next question.**

Putter, Natasha

**Email:** nputter@laverne.edu **Phone:**

*Please enter the email address of the principal investigator. If you are the principal investigator please enter your own email address.*

**Choose the most appropriate research category for this application**

Doctoral Dissertation

*If you are an **external researcher wishing to conduct research at La Verne**, select "Outside Research by Non-Affiliated Researcher"*

**Principal Investigator (PI) Position:**

Doctoral Student

*Enter the appropriate position for the principal investigator.*

**Chair/Advisor/Mentor email address:**

Chrisco, Kanya Godde Ph.D.

**Email:** kgodde@laverne.edu **Phone:**

*Provide the email address of your supervisor. If you receive a message stating "**Contact not found.**" it simply means your Chair/Advisor/Mentor does not yet have an IRBManager login. You can [click here](#) to create a new contact for them right now, and then continue filling out this form.*

**Mentor Email Status**

No

**Please list the names of all members of your Masters or Dissertation Committee**

P. Walley

J. Doe

**Which type of training did you complete?**

CITI

**Do you have a funding agency associated with this proposed research study?**

No

**In which doctoral program are you enrolled?**

DPA

**In which college is your program/department housed?**

College of Business and Public Management

**What is your anticipated semester of graduation? You may round to the first of the month.**

5/23/2018

**Have you reviewed the La Verne IRB policies and procedures located on the on the IRB website?**

Yes

*If you have not reviewed the website, please make sure to review it (<http://sites.laverne.edu/institutional-review-board/policies-and-procedures/>) prior to submission of your application.*

**Do you have additional proposed research personnel associated with this study?**

No

*Additional proposed research personnel may include; advisor, students, mentor, other investigators, research coordinators, etc...*

**This field automatically populates the date of your first submission. No action is required by you.**

5/16/2017

## Study Details

**Briefly describe the purpose(s) of the study:**

This research is a study in one municipality's change in its electoral system structure from an At-Large to a District structure. The study will also examine the public process leading up to the policy change.

*Give as many details as possible for study purpose. If this is a **Senior Thesis** or **Graduate Capstone** that you plan on publishing/presenting, you are **required** to state this in your application, here.*

**What are your research questions, hypotheses, and key variables?**

Research Questions

#1: What precedents lead to the call for change in the structure of Narnia's electoral system?  
#2: What factors led to the policy window of opportunity opening when it did to accomplish this change?

Since this is a qualitative study, there are no hypotheses or variables.

*If your study does **NOT** have research questions, hypotheses, and/or variables as a result of experimental design, please state this for auditing purposes (e.g. state, "A XX (study type) study does not require the use of variables").*

**Will all participants be age 18 or older?**

Yes

**Describe the characteristics of the expected sample of human participants (i.e., inclusion and exclusion criteria):**

In addition to secondary data analysis, approximately 50 interviews will be conducted and transcribed to create documents for analysis. The secondary analysis will be done using public records obtained from the City of Gotham, California's website and City Clerk archives. City council agendas from regular, special or workshop meetings from January 2012 through November 2014 will be examined as well as newspaper reports from the Pumpkin Valley Register during the same time frame. The articles will be accessed from the newspaper's website public archives. No special permissions are required for the documents being analyzed. Participants will be identified from the same public records and serve in roles such as elected officials, city administrators or community advocates. This purposive technique is designed to select participants that will bring increased meaning and understanding to the setting, events, actors and the processes that are related to the research questions. Those interviewed will not be identified by name, but rather by an assigned study number.

*Please make sure to include all characteristics associated with the population (e.g., American or International resident, age range, total number of participants, gender, inclusion or exclusion criteria, how you plan to gain access to the potential participants, etc...)*

**What is your expected (maximum) sample size?**

50

*Number of total (or maximum) participants expected to recruit for this study.*

**Select any of the following vulnerable populations/populations that require special considerations included in your proposed sample.**

No Vulnerable Populations

*Proposing to study any of these populations may require full (standard) La Verne IRB review.*

**Recruitment**

**By signing below you are agreeing to the following: 1) you have reviewed the University policies prohibiting misappropriation of research and agree to conduct your proposed research in accordance with such policies; 2) you understand that it is your responsibility for determining and obtaining appropriate and correct permission(s) for recruiting participants, using an organization's name, employees, and/or other resources, and to conduct your research at a specific location; 3) that you have already determined and obtained the appropriate permissions for the items listed in 2) and which you also describe in this IRB application; 4) you understand that the La Verne IRB does not provide approval for or take any responsibility for the acquisition of necessary permissions for the items in 2); and 5) you agree to indemnify and hold harmless the University, the La Verne IRB and individual members of the La Verne IRB for any claims and liabilities resulting from your failure to obtain the necessary and correct permissions for the study as submitted in this application.**

Signed Thursday, August 9, 2018 7:57:01 PM ET by Guerrero, Amanda

### Proposed Protocol

#### Data Collection Method (check all that apply)

Interview - In Person (face to face)  
Interview - Telephone  
Sound/Video recording

*Please review the **Data Protection Policy** concerning which online platforms are allowable for electronic questionnaires.*

**Please attach the final version of the survey, interview script, focus group materials, physiological or behavioral protocol, etc. you propose to administer.**

Survey:Interview.docx Survey/Interview Script

#### What will you do with the human participants?

1) Interviews will be conducted and transcribed to create documents for analysis.  
2) Interviews will be conducted in person at public buildings or spaces determined by discussion with the interview subject.  
3) Questions will be asked to measure factors that led to electoral change.  
4) Each interview will last approximately forty-five minutes, however, individual interviews could extend longer based on any follow up questions that occur during the interview. If a participant is unable to meet in person, then a telephone interview will be conducted. If requested, interview questions will be provided to the participant in advance of the interviews.

*Describe in detail all the methods and procedures that involve human participants. This section should help the La Verne IRB Committee understand from initial contact to completion of the research protocol what will happen to participants and is the **most important part of your application**. State the following in chronological order and number your answer: 1) what the participants will be asked to do, 2) where the research will occur, 3) what measures will be used (e.g. test), what data and information will be collected, and how, and 4) how long it will take to complete the instrument and/or task (if multiple items, break down by item).*

#### Will you be using audio/visual recording?

Yes

**What type of recording will you be using?**

Audio

**Will participant name be recorded?**

No

*It is highly suggested to not record participant name as it increases the identity risk if the recordings were ever obtained outside of your study.*

**How will you identify participants on the recordings?**

Use of a study number

**If participants do not agree to be recorded, can they still participate?**

Yes

**How will you handle participants who do not wish to be recorded?**

I will take handwritten notes

**Is an off-site location IRB involved with the review of this application?**

No

**All permissions from the off-site IRB are required to be submitted with your application. Please refer to the IRB Policies and Procedures for more information.**

**Copyright Permissions Signature**

**By signing below you are agreeing to the following: 1) you have reviewed the University policies prohibiting misappropriation of research and agree to conduct your proposed research in accordance with such policies; 2) you understand that it is your responsibility for determining and obtaining appropriate and correct permission(s) to use instruments, measurements, scales, etc. as dictated by each individual item created by someone other than you that you use in your study, 3) you are following the La Verne policy on Copyright, which can be reviewed by clicking [here](#), 4) that you have already determined and obtained the appropriate permissions for the materials you have attached as a part of this IRB application, 5) you understand that the IRB does not provide approval for or take any responsibility for the acquisition of necessary permissions for using work by someone other than yourself, and 6) you agree to indemnify and hold harmless the University, the IRB and individual members of the IRB for any claims and liabilities resulting from your failure to obtain the necessary and correct permissions for the study as submitted in this application.**

Signed Thursday, August 9, 2018 7:58:28 PM ET by Guerrero, Amanda

**Are incentives being offered to participants?**

No

*Will you offer money or other incentives for participants' time?*

**Proposed Risk**

**Describe any benefits to the participant(s) and/or society that may reasonably be expected from the research.**

As government and community leaders, this narrative, descriptive case study could provide a broader perspective on the community as a whole. This research could be beneficial in future policy processes and decision making.

*Provide a summary of research findings where appropriate, benefits to organizations, professionals, the discipline, or others.*

**Please select the appropriate description of your study.**

Anonymous - this means there is no identifiable information in the data that can be traced back to a specific individual

*Most studies are **EITHER** confidential **OR** anonymous. If you have designed a study that is **only** confidential **or** anonymous, please be consistent throughout the application and only use the appropriate term (i.e., don't use the terms interchangeably)*

**Which document will you be using?**

Informed Consent

**Check all confidentiality/anonymity procedures you have put in place. Per the La Verne IRB Policies and Procedures, signed informed consent forms must be stored for 3 years.**

Use of protocol numbers that do not link participants to answers  
Signed consents will be stored separate from data so they cannot be re-associated  
Audio/visual transcription will be conducted by you

**Are you using an app on a cell phone, tablet, or any unprotected device to record participants?**

Yes

**By signing below you are agreeing to: 1) transfer recordings from an unprotected app/software/device to a non-mobile, password protected device upon completion of recording, and 2) describing this process in your informed consent/information sheet.**

Signed Thursday, August 9, 2018 7:59:11 PM ET by Guerrero, Amanda

**Do you need to request permission from La Verne to use their name in your research as the institution at which you conducted the research?**

No



**Please mark the box below to add the safeguard that you will not be naming the institution in your research.**

Institution at which research is conducted will not be named

**Please sign here to 1) agree to storing the signed consent forms (if applicable) and data for 3 years upon which time they will be destroyed, and 2) agree to put this information in the confidentiality section of your information sheet/informed consent.**

Not signed

**Please select from the storage options for data and consents approved by the IRB. These are the only options allowable under IRB policy and procedure as they are compliant with federal and international law.**

Paper forms: locked in a University of La Verne filing cabinet, also locked in a University of La Verne office  
A password-protected computer stored in a locked University of La Verne office

*For more information, refer to the [Data Protection Policy](#).*

**Do these data fall under HIPAA protections (e.g., medical data)?**

No

**Who all will have access to the data and/or consents/assents?**

myself and mentor

*Please name all people and their association to this study with access to the data and/or consents/assents.*

**Will a form of debriefing be needed for this study protocol or for this population?**

No

*If sensitive issues are raised in the research protocol, or if deception or incomplete disclosure is used, mark "Yes."*