

IRB#: _____

DATE REC'D

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SYRACUSE UNIVERSITY Institutional Review Board

APPLICATION FOR DESIGNATION AS RESEARCH EXEMPT FROM IRB REVIEW

Initial review generally requires 5-7 business days from the date an exempt application is received by the IRB Office. Should modifications and/or clarifications be requested by the IRB, additional review time may be required.

On average the IRB advises it may take 4 weeks for the IRB exempt review process. (This includes the investigators response time.)

***NOTE*: The Principal Investigator (PI) must be a person who holds a faculty appointment or other administrative position of Director or higher. If you have any questions regarding this IRB requirement call the IRB office at 315.443.3013 for guidance.**

Principal Investigator/Faculty Member Information

First Name: Rebecca	Middle Initial: M	Last Name: Howard
Position: Professor		
Department: Writing Studies, Rhetoric, & Composition	College: A&S	
Campus Address: 229 HBC		
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Student/Research Staff Information NA

First Name: Jordan	Last Name: Canzonetta	
<input checked="" type="checkbox"/> Graduate Student	<input type="checkbox"/> Undergraduate Student	<input type="checkbox"/> Other:
Department: Writing Studies, Rhetoric, & Composition	College: A&S	
Local/Campus Address: 239 HBC		
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TITLE OF PROPOSAL: "Students and Their Sources: Undergraduate Information Literacy and Source Use"

NOTE: Collaborative Institutional Training Initiative (CITI) is *not* required for research determined to be exempt. CITI is required for researchers involved in expedited or full board studies.

1A. IS IT RESEARCH?

The definition of research as defined by the Department of Health and Human Services (DHHS) regulations: “Research means a *systematic investigation*, including research development, testing and evaluation, designed to develop or contribute to *generalizable knowledge*.” 45 CFR 46.102 (d)

To be considered a “systematic investigation”, the concept of a research project must:

- Attempt to answer research questions (in some research, this would be a hypothesis).
- Be methodologically driven, that is, it collects data or information in an organized and consistent way.
- Analyze data or information in some way, be it quantitative or qualitative data.
- Draw conclusions from the results.

A. **Is your project a systematic investigation?** Yes No

B. **Provide an explanation for your response:** This mixed-methods pilot study is designed to further educators' understanding of how undergraduate students in required or introductory composition courses choose and use research sources, and how they describe and explain that process. While other researchers have gathered data from isolated parts of the research process, no study has followed students from the beginning of the process to the end, collecting and coding artifacts of students' research processes and their interpretations of their research. This project draws on three existing and published studies (Appendices A, B, C), each of which researched isolated parts of the research process. Our research will be conducted in 10 sections of a Syracuse writing class, WRT 205/209. All students in these 10 sections will do the homework described below as part of the course, but they will have the option of not having their data included in this research. Instructors of the sections will not know which students are participating in the research. Researchers will not have access to data from non-participating students. We will follow the students' research process from the moment they first visit the library, when they will complete a confidential survey using Qualtrics (Appendix F) and use Camtasia screen capture software to record their search process and simultaneous reflection on that process (Appendix E). These components of the study employ the RAP (research aloud protocol) developed by the multi-site LILAC Project research team (Appendix A). Once students begin to incorporate information from those sources into a research project, they will use our modification of the RAP protocol to capture their process as they draft a paragraph using one or more sources (Appendix E) and later as they revise the same paragraph following instructor feedback. At the end of the semester, participating students will be invited to take part in an interview outside of the class using questions developed by Olsen and Diekema (Appendix F) and to submit their completed paper to the research team for analysis using citation context coding methods developed by the Citation Project (<http://citationproject.net/about/research-methods>). The combination of qualitative and quantitative data gathered from this research expand data already collected in previous studies, and they allow the research team to draw provisional conclusions about each stage of students' research processes.

“Generalizable knowledge” would include one or more of the following concepts:

- The knowledge contributes to a theoretical framework of an established body of knowledge.
- The primary beneficiaries of the research are other researchers, scholars and practitioners in the field of study.
- Publication, presentation or other distribution of the results is intended to inform the field of study.
- The results are expected to be generalized to a larger population beyond the site of data collection.
- The results are intended to be replicated in other settings.
- Web based publication for professional purposes.

C. Will your project contribute to generalizable knowledge? Yes No

D. Provide an explanation for your response: This research contributes to and expands the understanding of information literacy, source use, and intertextuality practices already developed in the fields of writing and information literacy studies. As noted, the methods and analysis replicate and slightly modify those of three existing and published studies (Appendices A, B, C), making this study of value to other researchers, teachers, and administrators involved with student research and plagiarism. The research team expects to publish the findings of this pilot study in academic journals, as well as making them available via the Citation Project website (citationproject.net). Researchers will modify the methods as necessary to allow expansion to other institutions and replication by other researchers. The findings from the pilot study may be generalized with regard to Syracuse University students and compared with the data from other studies to suggest broader conclusions and to generate hypotheses regarding the larger population; the expanded research will be generalizable to US undergraduates from a cross-section of backgrounds and institutions.

If “yes” to question A. **AND** C above the activity is considered research. Continue completing the application.

1B. IS IT HUMAN SUBJECTS RESEARCH?

- A. Is the data that is being obtained about living individuals? Yes No
- B. Are data collected through interaction or intervention with individuals (e.g., interviews, surveys, or any direct contact)? Yes No
- C. Is identifiable individual private information being obtained (e.g., chart reviews, information from data or tissue repositories)? Yes No
- D. Are data or specimens received by the investigator with identifiable private information? Yes No
- E. Are the data/specimens coded with a link back to the individual? Yes No

If “yes” to question A. above **AND** “yes” to one or more questions from B-E in section 1B, the activity is considered human research. Continue completing the application.

Protocols that do not meet the criteria for *research* **AND** *human subjects research* need not be submitted to the IRB for review or for a determination that the project falls into an exempt category.

Additional guidance for publically available data:

Some research involves the analysis of data about humans for which the regulatory definition of “human subject” is not met. One example is research that involves only the analysis of de-identified data contained within publicly available datasets (available to any one regardless of occupation, purpose, or affiliation, and those individuals who are responsible for posting the dataset had legitimate access to the data and have employed the necessary mechanisms to ensure the privacy and confidentiality of the individuals about whom the data were collected).

While the activity described above meets the regulatory definition of research, the definition of human subject is not met because data about a living person is not obtained through interaction or intervention, and no private, identifiable information about a living individual is obtained.

2. CATEGORIES FOR EXEMPTION

I/We certify that the above research project involves human subjects only in one or more of the following categories, and will be carried out using standard methods. Please check the number next to category(ies) pertinent to the research.¹

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as:
- (a) research on regular and special education instructional strategies, or
 - (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods, and
 - (c) the research must not involve prisoners as participants
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior unless:
- (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
 - (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
 - (c) If the research involves children, the procedures must be limited to educational tests and observation of public behavior where the investigators do not participate in the activities being observed.
 - (d) The research must not involve prisoners as participants.
3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (2) of this section, if:
- (a) the human subjects are elected or appointed public officials or candidates for public office; or
 - (b) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
 - (c) The research must not involve prisoners as participants.
4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. [Note: *To qualify for this exemption ALL of the data, documents, records, or specimens must be in existence before the project begins.*]
- (a) The research must not involve prisoners as participants.
5. Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:
- (a) public benefit or service programs;
 - (b) procedures of obtaining benefits or services under those programs;
 - (c) possible changes in or alternatives to those programs or procedures; or
 - (d) possible changes in methods or levels of payment for benefits or services under those programs.
 - (e) The protocol must be conducted pursuant to specific federal statutory authority.
 - (f) The protocol must have no statutory requirements for IRB review.
 - (g) The protocol must not involve significant physical invasions or intrusions upon the privacy interests of the participants.
 - (h) The protocol must have authorization or concurrence by the funding agency.
 - (i) The research must not involve prisoners as participants.

¹ The Federal Regulations also include a sixth category for exempt research, the Institutional Review Board has the discretion to determine what categories to recognize and does not recognize research under category 6 as qualifying for exemption. If you have questions, please contact the IRB at 315.443.3013 or orip@syr.edu.

6. Taste and food quality evaluation and consumer acceptance studies a) if wholesome foods without additives are consumed or (b) if food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe by the Food and Drug Administration or approved by the Environment Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

3. SCREENING QUESTIONS

- A. Does any part of the research require that subjects be deceived? Yes No
- B. Will research expose human subjects to discomfort or harassment beyond levels encountered in daily life? Yes No
- C. Could disclosure of the 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? Yes No
- D. Will individuals involuntarily confined or detained in penal institutions be subjects of the study? Yes No
- E. For research proposed under category 2, will research involve surveys, interview procedures, or observation of public behavior with children where the researcher will interact with the children? Yes No
- F. For research proposed under category 4, will any of the data, documents, records, pathological specimens, or diagnostic specimens be collected or come into existence after the date you apply for exemption? Yes No
- G. For research proposed under category 4, will any of the information obtained from data, documents, records, pathological specimens, or diagnostic specimens that come from private sources be recorded by the investigator in such a manner that subjects can be identified directly or through identifiers linked to the subjects? Yes No

If you checked **YES** to **ANY** of the questions above, your research is **NOT EXEMPT**. Do not complete this application. Submit an [Application for Expedited or Full Board Review](#).

If you have checked **NO** to **ALL** of the questions above, your research may be exempt. Please complete the remainder of the exempt application.

4. RATIONALE FOR EXEMPTION

Please briefly describe the proposed research and explain in clear language why you believe this research should be exempted from IRB review.

The study is informed by prior research into how students select and use sources in academic writing and how they perceive that process (Head & Eisenberg 2012, 2014; Jamieson & Howard 2013; Walker, Bohannon, & Li 2016, 2017; Olsen & Diekema 2018). Each of these studied a different group of students. While replicating selected aspects of earlier research, our proposed research differs from its predecessors in its multimodality, combining the methods and analysis of the three previous studies to a single university writing course (WRT 205/209) through the process of researching, selecting sources, drafting, and revising a researched project assigned in the class. Researchers will collect both artifacts (screen captures of the research process, drafting, and revising; and sample paragraphs) and student reflections and explanations of their process (survey; research/write-aloud-protocols [RAPS]; and interview). Combining the qualitative and quantitative data from these various parts of this study will produce an in-depth picture of student researched writing, allowing us to generalize about the population under scrutiny and develop replicable methods.

Participation will be optional, and instructors will not know which of their students are participating. Each part of the project will be assigned a unique identifier, allowing researchers to study artifacts from individual students, but the identity of those students will remain confidential. The goal of the study is to gain deeper understanding of student writing and information literacy processes so that instructors can develop more effective pedagogies. It can in no way harm participants directly or indirectly; hence our request for exemption under the guidelines in this document.

5. RECRUITMENT

Please submit all recruitment materials including but not limited to: recruitment flyers, e-mails, letters and/or scripts.

Describe plans for recruitment and how contact will be made:

Experienced instructors of WRT 205 will be invited to volunteer to be participating researchers via email (Appendix G) and, if they express interest, through followup conversation. Those who agree to participate will be provided with assignments and due dates that each participating section of the course will follow (Appendix E). All students will complete all parts of this process (except the final interview, which will take place once the class is over), but only those students who agree to participate in the research will share their work with the research team. Those whose work is to be coded will be randomly selected from this pool to generate the same amount of data from each section. All participants will be entered into a drawing once for each piece of data they submit, and may win one of several pre-identified prizes. Participants will not be paid nor receive additional credit for participation.

A statement in the syllabus will alert students to this research project (Appendix H), and a member of the research team will visit each participating section, explain the research, and invite students to participate and sign informed consent forms (Appendix I). The instructor will not be present for this process so will not know who has agreed to participate. Those agreeing to participate will receive instructions for sharing their work with the research team. At any point in the study they may withdraw.

Will you be contacting participants through a contact list or list server provided by a department, organization, company or school? If yes, provide a letter of support from the individual authorized to provide you with this information. More than one letter may be required.

- Does not apply
 Letter(s) attached

Comments:

Will you require support from the University for selection or contact information of participants? If the answer is yes, you will be required to obtain a letter of cooperation from the Office of Institutional Research and Assessment (OIRA).

- Does not apply
 Letter attached

Will this research be conducted in a school or is it funded by the US Department of Education?

- No. **(Skip to Section 6)**
 Yes. If yes, complete the form found at: <http://researchintegrity.syr.edu/wp-content/uploads/2016/10/Department-of-Education-Schools-Form.doc>

6. METHODS

All research measures which will be used during this study including sample questions, questionnaires, recruitment scripts, etc. must be included with the application.

Provide a detailed description of what participants will be required to do.

Participants will be asked to share artifacts that they have produced as part of the normal operation of the course. All students in the class will complete the same tasks; those participating in the study will submit them to the research team. Students will be asked to do the following:

- 1) Complete an anonymous survey using Qualtrics (Appendix D);
- 2) Install Camtasia screen capture and voice-over software on whatever device they use for research (laptop, iPad, or smart device) (Appendix J)

- 3) Use Camtasia to record 20 minutes of preliminary research for a class assignment using the Syracuse library database or search engines of their choice. Camtasia will record the screen as they conduct their research and their voice talking researchers through the process (Appendix J)
- 4) Use Camtasia to record 20 minutes of preliminary drafting for their research project. Students will be asked to begin recording as they start incorporating ideas and information from a source and to record themselves writing and talking about their process (Appendix J)
- 5) Use Camtasia to record 20 minutes of revision of the material drafted in (4). Students will be asked to begin recording as they start revising and to record themselves writing and talking about their process (Appendix J)
- 6) Students participating in the research will be asked to submit their final research project to the team at the same time as they submit it to the course instructor.
- 7) Students participating in the research will be invited to participate in an optional 30-minute interview about their writing and research processes at the end of the semester (Appendix F)

Will this research be conducted by SU investigators in foreign countries?

No.

Yes. If yes, an additional form related to international research must be completed and submitted with this application: [International Research Appendix](#).

7. INFORMED CONSENT REQUIREMENT

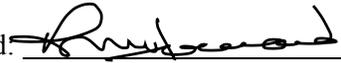
*(This is **not** required for Category 4)*

Please provide a copy of the written or electronic informed consent document or oral consent script you will use in your study. Please note this document must include the following minimum required elements:

1. A statement that clearly explains that the study is research. The purpose of the research should be described in lay language, avoiding the use of technical terms and using language appropriate to the targeted subject group.
2. A statement that describes what procedures will be followed, clearly explaining what participation in the study will involve.
3. It must be clear that participation is voluntary and participants can withdraw from the study at any time without penalty.
4. Contact information for the investigator.
5. For adult participants, a statement that the subject is 18 years or older must appear as part of the consent.
6. For internet research add the following statement:
Whenever one works with email or the internet there is always the risk of compromising privacy, confidentiality, and/or anonymity. Your confidentiality will be maintained to the degree permitted by the technology being used. It is important for you to understand that no guarantees can be made regarding the interception of data sent via the internet by third parties.

8. SIGNATURES

This is to acknowledge that I take full responsibility for the conduct of the research. **Investigators of studies exempt from IRB review are responsible for the ethical conduct of research and obtaining informed consent when appropriate.** (If this study is being conducted by a student, a faculty member must sign in the space provided). Electronic and /or faxed signatures are acceptable.

Signed:  Date: 1/15/2018
(Faculty member)



Name (printed): Rebecca Moore Howard

Signed: Jordan Canzonetta Date: 1/15/2018
(Student, if applicable)

Name (printed): Jordan Canzonetta

Graduate Undergraduate

All notifications will be sent via email. Hard copies will be only be provided upon request.

RETURN ONE COPY OF THE COMPLETED APPLICATION TO:

**SYRACUSE UNIVERSITY
INSTITUTIONAL REVIEW BOARD
Office of Research Integrity and Protections
214 Lyman Hall
Syracuse, New York, 13244-1200
Phone: 443-3013
orip@syr.edu**