Date: 1-5-2021

IRB #: IRB-FY2021-23
Title: Electoral Gender Quotas and Democratic Legitimacy
Creation Date: 7-31-2020
End Date:
Status: Approved
Principal Investigator: Diana O'Brien
Review Board: Institutional Review Board
Sponsor:

Study History

Submission Type Initial	Review Type Limited	Decision Exempt - Limited IRB

Key Study Contacts

Member Diana O'Brien	Role Principal Investigator	Contact do14@rice.edu
Member Diana O'Brien	Role Primary Contact	Contact do14@rice.edu

Initial Submission

1 Personnel

Principal Investigator

Please note that PI must be a faculty member at Rice University.
Name: Diana O'Brien
Organization: Political Science
Address: 6100 Main Street MS24, Houston, TX 77005-1827
Phone:
Email: do14@rice.edu

Administrative Contact

Please note that multiple Primary Contacts are allowed.
Name: Diana O'Brien
Organization: Political Science
Address: 6100 Main Street MS24, Houston, TX 77005-1827
Phone:
Email: do14@rice.edu

Co-Investigator(s)

Other

*Please note that people who are listed under this section will **not** have access to this submission.*

Non-Rice Affiliate Collaborator(s)

Complete the form for researchers who are NOT Rice faculty, staff and/or students. This form can be found at https://compliance.rice.edu/irb/resources/forms/

Clayton Non-Rice Affiliated Study Member Form copy.pdf

Piscopo Non-Rice Affiliated Study Member Form.pdf

Training Certificate(s)

Please upload all required training certifications for all personnel. Please contact IRB Administrator if you are not sure which training is required for this study.
IRB2020.pdf

Citi Piscopo copy.pdf

1-1 Research Determination

A. Does your research meet the definition of research?

"Research" means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalize knowledge.

- ✓ Yes
- No

B. Does the research include human participants?

"Human Subject/ Participant" means a living individual about whom an investigator (whether professional or student conducting research)
(i) Obtains information or bio-specimen through intervention or interaction with the individual, and uses, studies, or analyzes the information or bio-specimens; or
(ii) Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable bio-specimens.

- ✓ Yes
- No

1-2 Research Category

A. **What research category is this submission for?**

- ✓ Faculty or Staff Research
- Graduate Student Research
- Undergraduate Student Research
- Student/Faculty Collaboration
- Course related Student Research
- Other

1-3 Multi-Institution Collaboration

A. Is this a Multi-Institution Collaboration?

✓ Yes

No

Types of Reliance

Rice IRB will serve as the IRB of Record for all institutions.

Rice relies on another IRB for a study

✓ Each institution will conduct its own IRB review.

Please list the collaborating institutions.

Vanderbilt University; Occidental College

1-4 Study Information

1. Study Dates

Start Date

10/01/2020

End Date

09/01/2022

2. Performance Sites

- ✓ Rice University
- Prison
- International
- ✓ Other

Please describe:

A letter of support is required for research done at community centers, organizations, etc.

This is a survey that will be administered electronically by a survey firm. Individual respondents will complete the survey on their computers or smart phones in a location of their choosing. Anonymized data will be analyzed by the PI in her Rice University office.

Please upload the letter of support that indicates leadership at the research location has reviewed the research.

Is this study funded?

✓ This study is externally funded.

Cayuse Proposal Number:

If there are multiple grants, please list them using comma.

20-0174

Sponsor:

This study will externally funded but proposal has not been submitted.

This study is internally funded. (e.g. Departmental funds, Start-up funds)

There is no funding for this study.

1-5 COVID-19 Safety Plan

1. **Does this protocol seek to begin or restart in-person (face-to-face) research procedures with participants?**

Yes

✓ No

2 Exemption Screen

Does the research involve any of the following

A. 1. Involves the collection of sensitive data and/or questions (i.e. questions regarding drug use, emotional status, etc.)
2. Use of drugs or medical devices?
3. Target prisoners as research participants?
4. Collection of biospecimens from participants (included tissue, blood, saliva, cheek swabs)

Yes

✓ No

2-1 Exempt Research

1. **Exempt Categories**

✓ [45CFR46.101(b)(1)Research, conducted in established or commonly accepted educational settings that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies, and research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods

A. Will there be randomization to an unproven educational technique?

Yes

✓ No

B. Please confirm that there will not be any impact of the participants' opportunity to learn or any negative impact if the research involves evaluation of the instructors.

I confirm

I am not able to confirm that this will not be apart of the conclusion of the research

This research does not meet this exemption. Please continue with the expedited/full review application.

C. Will student records be obtained?

Yes

No

[45CFR46.101(b)(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) if *at least one* of the following criteria is met:

- (i)The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects;

✓
- (ii)Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or

- (iii)The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a *limited IRB review*.

A. Will collection of sensitive information be collected?

Sensitive information is personal data that can be identifiable

Yes

✓ No

B. Will your research involve children in survey procedures, interview procedures, or observation of public behavior where the investigator or any study team member will participate in the activities being observed?

Yes

✓ No

C. Will your research involve the collection of sensitive information from children?

Sensitive information is personal information that is identifiable.

Yes

✓ No

D. Could any disclosure of the participants? responses outside the research reasonably place the participants at risk of criminal or civil liability or be

damaging to the participants? financial standing, employability, insurability or reputation?

Yes

✓ No

[45CFR46.101(b)(3)]
Research involving benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses (including data entry) or audiovisual recording if the subject prospectively agrees to the intervention and information collection and at least one of the following criteria is met: (i) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects; (ii) Any disclosure of the human subjects' responses outside the research would not reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, educational advancement, or reputation; or Effective January 19, 2018 Page 2 of 6 (iii) The information obtained is recorded by the investigator in such a manner that the identity of the human subjects can readily be ascertained, directly or through identifiers linked to the subjects, and an IRB conducts a limited IRB review. For the purpose of this provision, benign behavioral interventions are brief in duration, harmless, painless, not physically invasive, not likely to have a significant adverse lasting impact on the subjects, and the investigator has no reason to think the subjects will find the interventions offensive or embarrassing. Provided all such criteria are met, examples of such benign behavioral interventions would include having the subjects play an online game, having them solve puzzles under various noise conditions, or having them decide how to allocate a nominal amount of received cash between themselves and someone else. If the research involves deceiving the subjects regarding the nature or purposes of the research, this exemption is not applicable unless the subject authorizes the deception through a prospective agreement to participate in research in circumstances in which the subject is informed that he or she will be unaware of or misled regarding the nature or purposes of the research.

[45CFR46.101(b)(4)] Secondary research for which consent is not required: Secondary research uses of identifiable private information or identifiable biospecimens, if at least one of the following criteria is met: (i) The identifiable private information or identifiable biospecimens are publicly available; (ii) Information, which may include information about biospecimens, is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained directly or through identifiers linked to the subjects, the investigator does not contact the subjects, and the investigator will not re-identify subjects; (iii) The research involves only information collection and analysis involving the investigator's use of identifiable health information when that use is regulated under 45 CFR parts 160 and 164, subparts A and E, for the purposes of "health care operations" or "research" as those terms are defined at 45 CFR 164.501 or for "public health activities and purposes" as described under 45 CFR 164.512(b); or (iv) The research is conducted by, or on behalf of, a Federal department or agency using government-generated or government-collected information obtained for non-research activities, if the research generates identifiable private information that is or will be maintained on information

technology that is subject to and in compliance with applicable federal privacy standards found in the E-Government Act, Privacy Act and the Paperwork Reduction Act.

[45CFR46.101(b)(5)] Research and demonstration projects that are conducted or supported by a Federal department or agency, or otherwise subject to the approval of department or agency heads (or the approval of the heads of bureaus or other subordinate agencies that have been delegated authority to conduct the research and demonstration projects), and that are designed to study, evaluate, improve, or otherwise examine public benefit or service programs, including procedures for obtaining benefits or services under those programs, possible changes in or alternatives to those programs or procedures, or possible changes in methods or levels of

✓ payment for benefits or services under those programs. Such projects include, but are not limited to, internal studies by Federal employees, and studies under contracts or consulting arrangements, cooperative agreements, or grants. Exempt projects also include waivers of otherwise mandatory requirements using authorities such as sections 1115 and 1115A of the Social Security Act, as amended. Each Federal department or agency conducting or supporting the research and demonstration projects must establish, on a publicly accessible Federal website or in such other manner as the department or agency head may determine, a list of the research and demonstration projects that the Federal department or agency conducts or supports

[45CFR46.101(b)(6) and 21 CFR 56.104(d)] Taste and food quality evaluation and consumer acceptance studies,(i) if wholesome foods without additives are consumed; or (ii) if a 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 Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Research Description: Part I

2

Site Performance

A.

Enter locations where research is conducted and/or where data is stored and analyzed.

Research will be conducted online and data will be stored on the PI's secure Rice University computer

Purpose

Provide a brief description, in lay terms, of the purpose of the proposed project.

In this study we are fielding a survey to 2000 respondents in four countries: Ireland, New Zealand, the United Kingdom, and the United States.

B. We are interested in citizens' attitudes towards women in politics. This is an extension from previously published work in which we find that American citizens express more trust in government decisions and decision-making procedures when women are involved in the decision-making process. This project extends this research in two ways: first, it examines countries outside of the United States. Second, we investigate whether women confer the same legitimizing effects when they are elected through gender quotas, which are present in all four countries in which we are conducting the survey. Through a survey experiment embedded in the attached survey, we ask respondents to consider a hypothetical election that consists of: (1) a gender-balanced legislative council, (2) an all-male legislative council, or (3) a gender-balanced council that was elected through a gender quota. The council is discussing either a gendered issue (sexual harassment) or a non-gendered issue (the mistreatment of animals on commercial farms). This 3 x 2 survey experiment yields six experimental conditions. The respondent then assesses the extent to which they believe the hypothetical council is democratically legitimate.

Eligibility Criteria

C. *State the eligibility criteria for qualification as a research participants, record or specimen in the project.*

Participants must be 18 years of age and residents of one of four English-speaking countries (the United States, United Kingdom, Ireland, and New Zealand)

3. Research Description: Part II

Methods

List Methods in which you will obtain data about or from participants.

A. Participants will provide data via an online survey. Participants will answer basic demographic information (their self-identified gender) and basic political information (such as their party identification). Then they will be asked to read a short newspaper article about a city council. The experimental design varies the article on two dimensions (2x3). First, we vary the gender-composition of a hypothetical eight-member city council to either consist of i) only men, ii) four men and four women, with no information about how the women were elected, or ii) four men and four women, with information that the women were elected via a quota policy.

Second, we also vary the policy area under consideration. Though all vignettes explain that the city council recently adopted a policy requiring workplace training for public employees, we vary whether that training applies to a gendered issue (sexual harassment) or a not directly gendered issue (animal mistreatment).

B. **Are you conducting any part of your research in a language other than English?**

Yes

✓ No

Recruitment

C.

Explain the recruitment process.

Survey Experiment Recruitment: Participants will be recruited via Lucid. Lucid is the world's largest audience platform for sourcing survey respondents. Researchers can contract with Lucid to recruit respondents to participate in studies ranging from surveys, experiments, and testing apps. It is similar to Qualtrics or YouGov. Participants must be 18 years of age and residents of one of four English-speaking countries (the United States, United Kingdom, Ireland, and New Zealand).

Per Lucid's IRB guidelines (see attached), Lucid manages relationships with suppliers who handle incentives to participants directly. Researchers pay Lucid a cost per completed interview (CPI) and Lucid pays suppliers who then provide a portion of those earnings to participants in the form of cash, gift cards, or loyalty reward points. Thus, in the Lucid model the researchers do not pay respondents directly.

Statistical power analyses of previous analyses suggest that 1500 respondents per country is more than adequate to expect conclusive results regarding differences attributable to candidate gender, as well as sufficient to provide the power needed for the post hoc comparisons of greatest interest. Finally, no identifiable data will be collected by the survey. Subjects' anonymous responses will be stored on the PI's password protected computer

D. Consent Process

Consent not applicable (secondary data research)

✓ Consent sought through paper consent/online consent

Explain how you will obtain fully inform participants without undue influence.

Participants will view an information sheet on theirpersonal computer prior to entering the study.

Please upload the Consent document that will be used for the study.

Consent templates can be found at compliance.rice.edu/irb under Forms & Guidance.
RiceInformedConsent.pdf

E. **Will you be audio or video recording?**

Yes

✓ No

F. **Will participants be paid?**

✓ Yes

Explain the payment arrangements, please ensure this is included in the information sheet.

We have quotes from Lucid to field the survey in each country for $3 per respondent for 10 minute surveys.

No

G. **Will you include any individuals with diminished autonomy in your project?**

Yes

✓ No

Conflict of Interest

Do you or any investigator(s) participating in this study have a financial interest related to this research project?

Yes

✓ No

Other

Please upload other relevant documents or information. (i.e. surveys, interview questions, etc.

SurveyInstrument.pdf

Lucid-IRB-Methodology.pdf

Attachments - for Office Use Only

Training Certificate(s)

IRB2020.pdf

Citi Piscopo copy.pdf

Required Documents when Rice is the Relying IRB

These documents are only required if Rice is the Relying IRB.

IRB Centralized Review Form

Please upload the IRB Centralized Review Form here.

Outside IRB Approval

Please upload the approval from the Reviewing IRB.

Study Protocol

Informed Consent Form

Please attach the Informed Consent Form from other institution(s).

Informed Consent Forms

Informed Permission Document

Assent Form

Informed Consent Form

Other Study Materials

Recruitment Materials

Interview Questions

Surveys

Other

SurveyInstrument.pdf

Lucid-IRB-Methodology.pdf