



NYU Shanghai Procedures for Human Subjects Research Protection Section 12 Special Topics

12.1.1 Recruitment and Enrollment of NYU Shanghai Students in Research Conducted by NYU Shanghai Faculty

12.1.1 Recruitment and Enrollment of NYU Shanghai Students in Research Conducted by NYU Shanghai Faculty

As a university with a small student population, NYU Shanghai has specifically developed this policy for the recruitment and enrollment of NYU Shanghai students in research. NYU Shanghai faculty may recruit and enroll NYU Shanghai students in research so long as the research is approved (or determined exempt as the case might be) by the IRB. The following outlines some of the ethical concerns that arise when students are recruited or enrolled as subjects in research, and guidelines to help manage these concerns.

Definition:

NYU Shanghai defines a student as an individual who has registered within any academic division of NYU Shanghai, regardless of whether s/he is enrolled in courses or studied away or on authorized leave; or an individual who has an advisee or mentee relationship with NYU Shanghai faculty, if s/he is not registered within any academic division of NYU Shanghai.

Ethical Concerns:

Power Relationships:

As it relates to participation as subjects in research conducted by faculty, it is important to recognize that students may feel an obligation to participate, that refusal to participate may reflect negatively on their academic performance, or, conversely, that participation may reflect positively on their academic performance. This effect is compounded when the research is being conducted by faculty from whom they are or will be taking courses or with whom they have an advisee or mentee relationship. These perceptions may exist regardless of faculty intent.

Peer Influence:

When students are recruited in group settings, such as classrooms or meetings, or are recruited by fellow students, they may agree to participate in research simply because their peers agree to participate and they do not want to stand out, or because they feel an obligation to help a fellow student. Conversely, if friends of a student, influential students, or a majority of students in a group setting decline participation in a research study, a student who would actually like to participate in a research study may refuse.

Inducements:

Students may agree to participate in research when an inducement such as course credit or extra credit is offered. The incentive of securing academic credit or improving academic

performance is powerful for many students and may cause them to accept risks or agree to procedures or use of their data that they would otherwise find objectionable.

Privacy & Confidentiality:

When students agree to participate in research conducted by faculty, they may presume that their research data is subject to the same protections as their academic records and not fully appreciate how their information may be used and who may have access in the research context. Faculty must be cognizant of this and be certain to fully inform student participants about what information will be used, who will have access, and how their information will be protected.

Guidelines:

The following guidelines apply to the recruitment and enrollment of NYU Shanghai students in research conducted by NYU Shanghai faculty. The IRB may grant exceptions to these guidelines when appropriate justification has been provided by the faculty and circumstances warrant.

Justification for Targeting Students:

An investigator who plans to limit the subject population to NYU Shanghai students must be able to provide a rationale, other than convenience, for restricting the study population to NYU Shanghai students. The investigator should propose adequate methods and guidelines for recruitment and participation to minimize the ethical concerns outlined above.

Recruitment:

An investigator may not directly solicit any NYU Shanghai student whom the investigator currently teaches, mentors, advises or academically supervises for participation in his/her research project. This guideline applies even if the student has previously indicated willingness to be contacted about the possibility of participating in research; for instance, by allowing her name to be posted within a research pool.

One exception to the above rule is that faculty may direct recruit their own students as subjects in their research ONLY after grades have been posted. If a sequence class is offered, the recruitment may start ONLY after grades for the sequence class have been posted.

NYU Shanghai students may be recruited through indirect methods such as the posting of IRB-stamped approved flyers and/or the placement of IRB-stamped approved advertisements. Acceptable methods include: posting flyers to bulletin boards (analog or digital); or posting advertisements to departmental and/or academic unit's website that contains a section labeled research participation opportunities. Investigators should avoid sending bulk email to mailing lists that are held by the university and/or departmental and/or academic units for research recruitment and advertisement.

Students who submit their names to a research subject pool may be directly contacted by phone or email if neither the recruiter nor the investigator teaches, mentors, advises, or academically supervises the student.

Recruitment in group settings is only permissible when the investigator has provided justification and a plan to promote voluntariness and to minimize the issues identified above to the IRB and the IRB has reviewed and approved the recruitment plan.

Recruitment of Students under the Age of Eighteen:

In addition, research involving NYU Shanghai students under the age of eighteen is subject to the same regulations and guidance as all research involving minors. Prior to enrolling minors in research, investigators have the responsibility of ensuring that the IRB has approved the inclusion of minors in the research, that any potential student participants who are minors are identified as such, and that the students enrollment and participation complies with the regulations (45 CFR 46 Subpart D) for such research.

Incentives:

The use of monetary incentives for soliciting NYU Shanghai student participation in research is permissible if the incentive is not of such magnitude that it may unduly influence a student's decision whether or not to participate in the research. All incentives must be reviewed and approved by the IRB prior to being offered or communicated to potential participants.

The use of extra credit or academic credit as an incentive for participation is not allowed at NYU Shanghai. The only exception is if participation in research is an integral part of an approved course curriculum. To submit a request to offer academic credit in exchange for participation, the investigator must: a) obtain support from the appropriate academic dean for the use of course credit as an incentive in courses where participation in research is part of the learning experience for the students; b) offer non-research alternatives by which students may earn an equivalent amount of course credit (appropriate non-research alternatives may include activities such as attending a departmental seminar or event, watching an educational film, reviewing some research articles and providing abstracts, attending or viewing research presentations, or reviewing literature and submitting an abstract or written summary of the event or materials; and alternatives must be easily accessible and must not entail more time and effort on the part of the student than the research activity); and c) any credit must be small in proportion to a student's overall grade; and a student's final grade should still reflect his/her mastery of course material, not his/her participation as a research subject. The IRB has discretion to place other restrictions on the use of course credit as an incentive to participation. As above, all incentives must be reviewed and approved by the IRB prior to being offered or communicated to potential participants.

Minimal Risk and Greater than Minimal Risk Research:

Enrollment in research activities that have been designated as "minimal risk" by the IRB are open to all students who satisfy the inclusion criteria for the research. While investigators may not directly recruit their own students, mentees, or advisees, they may enroll their students as research participants in minimal risk research should the students respond to non-direct recruitment methods such as IRB-approved flyers or advertisements posted outside of the investigator's classroom.

When research has been determined to be "greater than minimal risk" by the IRB, the IRB may place additional restrictions on how students may be recruited, and on which students may be recruited or included in the research. For example, the IRB may not permit inclusion of undergraduates in a particular research study.

Informed Consent:

Unless the requirement has been waived by the IRB, students must be provided with informed consent for participation in research conducted by the faculty. The consent, whether verbal or written, must clearly describe the proposed activity as research, the

purposes of the research, the fact that participation is purely voluntary and that student's academic performance and academic relationships will not be impacted, positively or negatively, describe any incentives and alternatives to achieve the same incentive, and describe what information about the student will be accessed and used for the research, who will have access, and how the information will be used and protected. When the research is not eligible for exempt status, the consent must also include all additional elements of consent required by regulations (45 CFR 46.116).

Privacy and Confidentiality:

Whenever NYU Shanghai students participate in research, or their academic records or private information is used for research, investigators must provide the IRB with specific plans for ensuring that the privacy and confidentiality of students will be respected. These plans must take into account and adequately address concerns specific to conducting research in an educational environment, such as ensuring the study does not compromise the privacy of the students/families or disrupt the work of the students and teachers, and specifically address how and by whom students or their records will be identified, the recruitment plan, the circumstances under which informed consent will be sought, and how research records will be used, shared, and protected.