

**Economic Roundtable
Institutional Review
Board (IRB)**

Request for IRB Approval

Must be completed for all projects
involving human subjects

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Follow the format shown below to provide requested information

TITLE	<i>Economic Study of the Rent Stabilization Ordinance and the Local Housing Market</i>
PRINCIPAL INVESTIGATOR	<i>Daniel Flaming</i>
FUNDING	<i>City of Los Angeles Housing Department</i>
LEVEL OF REVIEW	<p>Indicate the level of IRB review you are requesting for this project:</p> <p><input type="checkbox"/> Level I: Exempt Research and Review (no foreseeable risk)</p> <p><input checked="" type="checkbox"/> Level II: Expedited Research and Review (minimal risk)</p> <p><input type="checkbox"/> Level III: Research and Full Board Review (more than minimal risk or protected subjects)</p> <p>The expedited review procedure may not be used where identification of the subjects and/or their responses would reasonably place them at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, insurability, reputation, or be stigmatizing, 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.</p>
RISK LEVEL	<p>Identify the level of risk that this project will create for human subjects as defined in Section VI of the Economic Roundtable policy on protection of human subjects:</p> <p><input type="checkbox"/> Less than minimal risk</p> <p><input checked="" type="checkbox"/> Minimal Risk</p> <p><input type="checkbox"/> Greater than minimal risk but with direct benefit to subjects</p> <p><input type="checkbox"/> Greater than minimal risk but no direct benefit to subjects</p> <p>Briefly summarize the facts that support the risk level you have identified. If the study involves greater than minimal risk, identify all direct benefits to the human subjects as well as any additional safeguards.</p> <p><i>This is a Level II project, posing no greater than minimal risk to human subjects. Two surveys will be conducted, one of tenants the other of landlords. Tenants will be asked questions about demographic characteristics, housing circumstances, income, and recommendations for city policy through a telephone survey. Landlords will be asked questions about their rental property, experiences with renters, and their recommendations for city policy through a mail survey with telephone follow-up with nonrespondents. Survey data will be linked with public property records, primarily Tax Assessor property records.</i></p> <p><i>None of the questions or merged data fields create risks of criminal or</i></p>

	<p><i>civil liability, or damage to respondents' employability. All respondents will be 18 years of age or older and provide informed consent before participating in the survey.</i></p> <p><i>Disclosure of information obtained from the tenant study could potentially cause some renters in overcrowded units to be evicted or lose benefits. Disclosure of information obtained from the landlord survey could potentially cause public embarrassment for some owners and managers because of property management practices.</i></p>
HEALTH INFORMATION	<p>Identifiable Health Information:</p> <p>(1) Do you need to access or use patient/subject identifiable health information (e.g. medical records, mental health information, lab reports, x-rays, tissue samples) for this research study? NO</p> <p>If yes, go to question (2).</p> <p>If no, you do not need to satisfy HIPAA education requirement.</p> <p>(2) Have all investigators and individuals authorized to obtain identifiable health information in this study completed an education program regarding federal (HIPAA) and state privacy requirements?</p> <p>If yes, Please provide certificates of completion and go to question (3).</p> <p>If no, Your study will not be reviewed until all of the requested information has been provided and your application may be returned to you for completion.</p> <p>(3) Describe the specific procedures and safeguards that will be used to de-identify health information of human subjects in this project</p>
INFORMED CONSENT	<p>Indicate the type of informed consent that will be utilized in the study. If a waiver of written informed consent is requested a script of the proposed verbal informed consent should be provided. If a waiver of informed consent is requested please make certain the protocol detail justifies this request.</p> <p><i>Informed consent will be obtained verbally in the tenant survey. It will be obtained verbally in telephone portion of the landlord survey and through a letter containing the elements of informed consent, followed by a voluntary decision to return the written questionnaire in the mail portion of the survey. The elements of informed consent for both surveys are:</i></p> <ul style="list-style-type: none"> <i>• introduce self and affiliation;</i> <i>• briefly describe the survey topic;</i> <i>• describe how we obtained the contact information;</i> <i>• identify the sponsor;</i> <i>• give a good-faith estimate of the time required to complete the interview;</i> <i>• promise confidentiality</i> <i>• mention that participation is voluntary;</i> <i>• mention that item-nonresponse is acceptable;</i>

	<ul style="list-style-type: none"> • <i>offer contact information for the principal investigator;</i> • <i>ask permission to begin.</i> <p><i>The written script for the telephone survey and transmittal letter for the mail survey are part of the attachments.</i></p> <p><i>Compensation in the form of a \$10 gift card (\$12 for cell phone respondents, to offset the additional cost receiving the call) will be offered to respondents to the renter survey. The purpose of this compensation is to offer reciprocity for the time and information provided by renters, many of whom have low incomes, yet not unduly influence decisions about participation by offering a level of compensation that might be seen as lucrative.</i></p> <p><i>No compensation is being offered to respondents to the landlord survey because this survey population has a more clearly defined financial stake in the outcome of the study than renters. All of the respondents in the landlord sample own or manage rent-controlled buildings, but many of the respondents in the renter sample are not in rent control buildings. The landlord population is strongly motivated to participate in the survey without being offered compensation.</i></p>
LOCATION	<p>Indicate the location where the human subjects involvement will occur.</p> <p><i>The Social Science Research Center, California State University, Fullerton, will conduct the telephone survey of renters. After the survey is completed, records of survey responses will be transferred to the Economic Roundtable.</i></p> <p><i>The Economic Roundtable will conduct the first phase of the landlord survey through two cycles of mailed surveys (an initial mailing to a survey sample of approximately 4,000 landlords with a follow-up mailing to nonrespondents). The balance of the 1,932 landlord responses being sought for this survey will be obtained through telephone interviews (using the same survey questions) that will be conducted by Quantum Marketing Research in Oakland, California.</i></p> <p><i>All confidential data will be transferred to and kept at the Economic Roundtable office located at 315 West Ninth Street, Suite 1209, Los Angeles, California 90015. No confidential data will leave this office.</i></p>
SUBJECTS	<p>Carefully indicate the characteristics of the human subjects that will be involved in the project. When special populations are included or when some or all of the subjects are likely to be vulnerable to coercion or undue influence, indicated what additional safeguards have been included in the study to protect the rights and welfare of these subjects.</p> <p><i>The two populations being surveyed are individuals 18 years of age</i></p>

	<p><i>or older who are:</i></p> <ol style="list-style-type: none"> 1. <i>4,750 members of renter households located in the City of Los Angeles.</i> 2. <i>1,932 owners or managers of rental property in the City of Los Angeles that is regulated by the Rent Stabilization Ordinance.</i> <p><i>Safeguards that will be used to protect both survey populations include:</i></p> <ol style="list-style-type: none"> 1. <i>Securely storing confidential data in compliance with procedures for Security Oversight, Physical Security, Security of Electronic Data, Security of Printed Data, and Transmission of Data set forth in the Economic Roundtable’s Confidential Data Management Policy.</i> 2. <i>Ensuring that only authorized employees and collaborating researchers are allowed access to confidential data in compliance with procedures for Access to Data set forth in the Economic Roundtable’s Confidential Data Management Policy.</i> 3. <i>De-identifying records containing individually identifiable data in working files.</i> 4. <i>Ensuring that no individual or business entity that responded to a survey is identified in publishing information.</i> 5. <i>Specifying geographic identities only for areas that include five or more respondents in order to protect confidentiality.</i> 6. <i>Following all procedures set forth in the Economic Roundtable’s Confidential Data Management Policy and Policy on the Protection of Human Subjects to ensure that no information that can be linked to specific individuals is seen by anyone other than authorized members of the research team.</i>
<p>REPORTING AND MONITORING</p>	<p>Describe the protocols that will be followed for reporting back to the Institutional Review Board and monitoring data security.</p> <p><i>The research team will follow all of the procedures set forth in the Economic Roundtable’s Confidential Data Management Policy and Policy on Protection of Human Subjects.</i></p> <p><i>Any study-related events that endanger human subjects or adverse data security events will be promptly reported to the IRB.</i></p> <p><i>Reports on protection of human subjects, data security and project design will be submitted to the IRB semi-annually or more often if requested.</i></p>
<p>ATTACHMENTS</p>	<p>The following additional documentation to support this request for IRB approval is attached:</p> <ol style="list-style-type: none"> 1) <i>A transmittal letter stating that no funds will be disbursed to individuals to do research involving human subjects until the</i>

	<p><i>proposed project has been reviewed and approved by the IRB.</i></p> <p>2) <i>A copy of the scope of work in the contract with the City of Los Angeles for this project.</i></p> <p>3) <i>Copies of source instruments:</i></p> <ul style="list-style-type: none"> a. <i>Renter survey questionnaire (in English, Spanish translation available upon request, Korean translation in progress) with interview script, including information for obtaining informed consent.</i> b. <i>Transmittal letter to landlords for mail surveys, including information that allows informed consent.</i> c. <i>Survey questionnaire for landlords (in English, Spanish translation in progress)</i>
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September 13, 2007

Signature of Principal Investigator

Daniel Flaming

Print Name of Principal Investigator

Date of Signature

President

Title