1.0 General Information

* Please enter the full title of your study. <br>For GSM projects, include the generic/trade name of the HUD; the name of the device/drug for Treatment Use; the name of the device for Compassionate Use; or the name of the device/drug for Emergency Use. The UTHSC IRB may add to your title using brackets; please do not amend the information within the brackets.

Governor's Chairs' Use of the University of Tennessee Libraries

* Please enter a working title up to 15 characters.

Gov. Chairs

Working Title

2.0 Add Department(s)

2.1 * List all departments and affiliate institutions associated with this study/project, and always mark the Principal Investigator's UTHSC department as the primary department. If any of your study/project activities are being conducted at the following sites, list these organizations as well: Methodist and/or Le Bonheur, Regional One Health, Clinical Research Center (CRC), Office of Clinical Research, UTMG, Graduate School of Medicine, University Health System, University of Tennessee, Knoxville, Oak Ridge National Laboratories, University Family Physicians, UT Genetics Center, etc. <br> <font color="#ff0000"> For UTK projects, please select the PI's home department as the primary department for this study (alter if it is not pre-selected)</font>

<table>
<thead>
<tr>
<th>Primary Dept?</th>
<th>Department Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>UTK - Libraries</td>
</tr>
</tbody>
</table>

3.0 Assign key study/project personnel (KSP) access to the project

3.1 * Please add a Principal Investigator for the project:

Jeanine M Williamson

Select if applicable

☐ Student ☐ Department Chair ☐ Resident ☐ Fellow

If the Principal Investigator is a Student, Resident, or Fellow, the name of the Faculty Advisor must be supplied below.

3.2 If applicable, please select the Research Staff personnel (for UTK, collaborators from outside the institution should not be listed here):

A) Additional Investigators
B) Research Support Staff

3.3 Please add a Project Contact:

Jeanine M Williamson

The Project Contact(s) will receive all important system notifications along with the Principal Investigator. (The project contact(s) are typically the Study Coordinator(s) and the Principal Investigator).

3.4 If applicable, please add a Faculty Advisor:

3.5 If applicable, please select the Designated Department Approval(s):

Chris L H Durman
Add the name of the individual authorized to approve and sign off on this protocol from your Department (e.g., the Department Review Chair, Dean, and/or Division Chief).

3.6 If applicable, please select the Research Administrative Specialist(s)

For UTHSC (Memphis) studies/projects: Add the appropriate Research Administrative Specialist if any of the following activities will occur at the institutions listed below: identification of subjects through review of their medical records; recruitment of subjects; consent of subjects; performance of screening procedures; interventions or interactions with subjects; follow-up visits; or collection of private information about subjects. If none of the activities described will occur at any of these locations, you do not need to complete this section of the application.

- Methodist Healthcare - Memphis Hospitals - Rexann G. Pickering, PhD, RN
- Le Bonheur Children's Hospital - Lisa Sentiff, MPH
- Regional One Health/UT Regional One Physicians (UTROP) - Maria van Werkhooven, BVM, FACHE

In addition, add Vivian Loveless, Pharm.D. as a Research Administrative Specialist if your project will include exposure to X-rays and other machine-produced ionizing radiation solely for research purposes, non-FDA approved radioisotopes solely for research purposes, and/or FDA approved radioisotopes solely for research purposes. Lastly, if you have any dosimetry questions related to machine-produced ionizing radiation or radioisotopes used solely for research purposes, please contact Thad Wilson, Ph.D. at (901) 448-8323 or at tawilson@uthsc.edu.

For UT GSM (Knoxville) studies/projects: Completed, signed collaboration forms and/or approval letters are required at the time of IRB submission. If the research activity will utilize any resources of the following: Nursing Administration, Pathology, Pharmacy and/or Radiology, then please add the applicable Research Administrative Specialist (RAS) to your study:

- Nursing Admin - Teresa Stephens, PhD, MSN, RN
- Pathology - Amila Orucevic, MD, PhD
- Pharmacy - Barbara Faircloth, PharmD, BCPS
- Radiology - Dustin Osborne, PhD
- Radiation Safety - Stephen Handley, MS

4.0 (300) UTK IRB Submission

4.1 * Project Classification: Provide an appropriate description (e.g., Research Project, Dissertation, Thesis, etc.) revised 8/13/2015

- 8 Research Project
- mDissertation
- mThesis
- mUndergraduate Honors Thesis
- mOther
- Specify

4.2 * Please indicate the correct status of this submission:

- 8 I am requesting initial approval for research.
- mI am registering research that was originally approved on paper by the UTK IRB. (Do not select this option unless instructed to do so by the IRB)

5.0 (415) UTK Key Project Study Contact Information

5.1 For the Principal Investigator and all Study Contacts (as listed in section 3.3 above) provide the following contact information: e-mail address; whether he/she will obtain consent from participants; and whether he/she will have access to research records of participants. ALL OTHER key study personnel (as listed in section 3.2A & B) must be added to the chart below if they will obtain consent or have access to research records; however, you do not have to complete any other columns for those persons (except the last 2 columns). Note: All iMedRIS correspondence will be sent automatically to your UT email account. You may contact the HELP Desk at (865) 974-
9900 to have your UT email forwarded to another account.

<table>
<thead>
<tr>
<th>Name</th>
<th>E-mail Address</th>
<th>Obtain Informed consent</th>
<th>Access to research records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Williamson, Jeanine M</td>
<td><a href="mailto:jwilliamson@utk.edu">jwilliamson@utk.edu</a></td>
<td>NA</td>
<td>8 Yes mNo mNA</td>
</tr>
</tbody>
</table>

6.0 (417) UTK Key Study Personnel (KSP) Credentials

6.1 Please list the names and credentials and ROLES for all KSP on this study. (Examples include John Smith, PhD-Statistician; Mary Jones, MD-Surgeon; Jane Doe, MD-Patient Recruitment) Note: Investigators must specify their relevant qualifications and those of other investigators involved in this project to perform the proposed research. Include qualifications of personnel working on portions of the research where special training, certification, or licensing is required for the performance of their tasks. Experience and expertise is required when involving participants classified as vulnerable, such as children, pregnant women, prisoners, cognitively impaired, or institutionalized individuals.

KSP Name          | KSP Credentials and Roles
---                | ---
Williamson, Jeanine M | Engineering Librarian and Professor; has conducted IRB-approved survey research in the past; Master of Library Service and PhD in Information Science

7.0 (420) Review Board Routing Questions

7.1 * Additional Research Compliance.

Does this research involve animal subjects?
  mYes
  8 No

* Check All of the following items that apply to this study.
  □ Radioactive Materials
  □ Potential Biological Hazards (viruses, recombinant DNA, etc.)
  □ Chemical Hazards (poisons, explosives, reagents, flammables, carcinogens, etc.)
  □ Use of Botulinum Neurotoxins, Botulinum Neurotoxin Producing Species of Clostridium, Preparations, or Pharmaceuticals Containing Botulinum Neurotoxins
  R Not Applicable

8.0 (468) Funding Source

8.1 * Is there a funding source associated with the study/project?
  mYes
  8 No

9.0 (485) Study/Project Information

9.1 * Are you requesting Full Board, Expedited or Exempt review by the IRB?
  mFull Board
  8 Expedited
  mExempt
  mNot Sure
9.2 * A drug, device, and/or biologic is being administered and evaluated as part of the study/project procedures.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>
15.0 (750) Category 5: Use Non-Research Materials

15.1 * Does this proposal involve using materials (data, documents, records, or specimens) that have been collected solely for non-research purposes?

**Yes.** This proposal involves using materials (data, documents, records, or specimens) that have been collected solely for non-research purposes.

**No.** This proposal DOES NOT involve using materials (data, documents, records, or specimens) that have been collected solely for non-research purposes.

16.0 (760) Category 6: Recordings

16.1 * Does this proposal involve the collection of data from voice, video, digital or image recordings made for research purposes?

**Yes.** This proposal does involve data from recordings as noted above.

**No.** This proposal does NOT involve data from recordings as noted above.

17.0 (770) Category 7: Characteristic, Behavioral, Methodology Research

17.1 * Is this research on individual or group characteristics or behavior (including but not limited to research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies?

**Yes.** This research is on characteristics, behaviors and/or involves one of the specified methodologies.

**No.** This research DOES NOT fall into the behavior, characteristic or methodology categories above.

18.0 (925) Study/Project Synopsis

18.1 * Click on the bar below and provide a synopsis of the research study/project addressing the following FOUR items USING these numbered subheadings: Purpose/Objectives of the Study/Project, Study/Project Population, Study/Project Procedures, and Outcome Measures.

1. The purpose of the study is to gather data on the Governor’s Chairs’ and their designees’ use of the University of Tennessee Libraries. The responses may be reported on in an internal library report and possibly later research publications.

2. The study population consists of the 14 Governor's Chairs at the University of Tennessee. ([http://govchairs.utk.edu/](http://govchairs.utk.edu/))

3. The Governor's Chairs will be contacted via email inviting them to participate in the study. A three-question Qualtrics survey will be administered to the participating Governor's Chairs asking what library services they use; how many and what types of personnel are associated with them who use the UT Libraries; and how the Libraries may improve services to the Governor's Chairs.

4. A report assessing the impact of the Governor’s Chairs on the Libraries will be prepared for the Dean of Libraries. Also research publications may be written on the library use behavior of the Governor's Chairs.

19.0 (1075) Background & Current Status of Work in the Field

19.1 * Provide a discussion of the background and current status of work in the field.

I could locate no studies of the library use behavior of eminent scientists and scholars such as the Governor's Chairs, although there were several articles on the use of libraries by faculty members in general.

20.0 (1200) Site Information

20.1 * Please list sites and procedures where the study/project will occur.
University of Tennessee Knoxville

20.2 * Is this a multi-site study/project?

mYes. This is a multi-site study/project
8 No. This is NOT a multi-site study/project
mNot applicable

20.3 * Are any of the locations listed above non-UTK facilities? If a project is to be conducted in a non-UT Facility, an original letter of permission to use the non-UT facility must accompany the submission. Letters of permission must be on the letterhead of the organization and signed by authorized officials. If public school or school system facilities are to be used, letters of permission from authorized officials in the superintendent of schools office, and possibly from school principals must accompany the submission.

mYes 8 No

If Yes, then what is the status of the other IRB's review?

mFuture plans
mIn process
mReady to process

Describe the research setting (e.g. classroom, clinic, laboratory, office, park, personal computer).

21.0 (1400) Participant Population

21.1 Please state the anticipated number and age range of the participants to be studied. (The first two numbers will be the same if you are not collaborating with other institutions.)

Overall number of participants [This is the total number of participants that the protocol states will participate in the study across all centers.]:

14

* Number of participants to be accrued by UTK investigators. [This is the total number of participants you expect to accrue (consent), including anticipated screen failures and withdrawals. For studies that have been approved for a waiver of consent, participants are considered accrued at the time ANY study interventions are performed, including medical record abstraction and screening procedures.]:

14

* Age range of participants to be accrued locally:

over 18

Is any racial/ethnic group excluded?

mYes
8 No

Provide an explanation if any racial/ethnic group is excluded.

22.0 (1488) Vulnerable Participants

22.1 * Does your study require the inclusion of (i.e., are you targeting) any of the following categories of vulnerable participants? Check all that apply.

☐ Children (0-17 years) Who Are Not Wards of the State
☐ Children (0-17 years) Who Are Wards of the State
☐ Pregnant Females and Their Fetuses
☐ Neonates Who Are Nonviable or of Uncertain Viability
22.2 Might any of the following categories of vulnerable participants be incidentally included in your study, even though their inclusion is not necessary? Check all that apply.

- Children (0-17 years) Who Are Not Wards of the State
- Children (0-17 years) Who Are Wards of the State
- Pregnant Females and Their Fetuses
- Neonates Who Are Nonviable or of Uncertain Viability
- Prisoners
- Developmentally Disabled Persons (who are not institutionalized)
- Developmentally Disabled Persons Who Are Institutionalized
- Persons Who Are Mentally Ill (but who are not institutionalized as mentally ill)
- Persons Who Are Institutionalized as Mentally Ill
- International Populations
- Students of a School Associated with this Project
- Employees of an Institution/Agency Associated with this Project
- Other Vulnerable Population Not Identified Above Vulnerable
- Not Applicable Participants not Classified as Vulnerable

Please explain how a certain category of vulnerable participants might be incidentally included:

I am unaware of any of these categories being incidentally applicable to the study population, but it is possible that these populations may included.

23.0 (1494) Study/Project Duration

23.1 * What is the anticipated duration of a single participant's participation in the study/project?

15 minutes

23.2 * How long will the entire study last?

one year after IRB approval

24.0 (1500) Inclusion Exclusion Criteria

24.1 Identify inclusion criteria.

<table>
<thead>
<tr>
<th>Order Number</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Participants must be Governor's Chairs at the University of Tennessee.</td>
</tr>
</tbody>
</table>

24.2 Identify exclusion criteria.

| Order Number | Criteria |
25.0 (1600) Participant Selection and Recruitment

25.1 How will participants be selected? Check all that apply.

☐ Participants identified through medical record screening
☐ Participants recruited from among students and/or employees
☐ Telephone pre-screening
☐ Website pre-screening
☐ Advertising
R Other

If you selected "Other," please explain:
Governor's Chairs have been identified through the University of Tennessee website.

25.2 * Recruitment Materials At the end of this application, you are required to attach all recruitment materials which you intend to use for this study/project.

m No recruitment materials will be used in this research.
8 Recruitment materials to be used in this research will be attached at the end of this application.
m Recruitment materials will be submitted at a later date.

If you selected the 2nd option above, describe how/where EACH of your recruitment materials (by name) will be used, in the text box below; e.g., on a website, sent to an emailing list, posted on campus, in a newspaper, etc.

26.0 (1710) Study/Project Procedures

26.1 * Describe any procedures that have not already been described in the synopsis.

After receiving an email invitation, the Governor's Chairs who wish to participate will click on a link to a Qualtrics survey. Informed consent information will precede the survey questions, with a statement that filling out the survey constitutes participants' informed consent. The participants will then answer three questions about their use of the University Libraries. The first question is a multiple choice question about library services that the Governor's Chairs have used. The second question asks the Governor's Chairs how many personnel use the Libraries on behalf of them. It also asks participants to specify what types of personnel these are, such as graduate students, ORNL affiliates, and staff. The third question is an open-ended question asking how the UT Libraries can serve the Governor's Chairs better in the future.

26.2 * Describe the procedures that will be performed to determine whether prospective participants satisfy inclusion/exclusion criteria for study/project participation.

Email invitations will only be sent to the Governor's Chairs.

27.0 (2000) Risks & Benefits

27.1 * Describe the possible risks to participants (including psychological harm, economic harm, social stigmatization, legal harm and physical harm if applicable). Include justification of those known risks.

There should be no harm to the participants. The questions are uncontroversial and any information that could identify individual Governor's Chairs will not be included in research or internal publications.

27.2 Describe ways in which this risk, if any, will be minimized.

Any information that could identify individual Governor's Chairs will not be included in research or internal publications.
### 27.3 Is there potential for direct benefit to the participant?

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<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td><strong>8</strong></td>
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</table>

**8** Yes  
**m** No

### 27.4 Will there be benefit to the class of participants?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td><strong>8</strong></td>
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</table>

**8** Yes  
**m** No

### 27.5 Is there societal/scientific benefit?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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<td><strong>8</strong></td>
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</table>

**8** Yes  
**m** No

### 27.6 If yes to any of the last three questions, explain:

- Individual Governor's Chairs could receive improved library services once the data from the survey are analyzed. Also the group of Governor's Chairs could benefit. Finally, there may be some potential for indirect benefit to the University and the State since the Governor's Chairs produce economic benefits and scientific discoveries, and possibly having better library services could make them more productive.

### 28.0 (2800) Confidentiality 1

#### 28.1 * Will all paper research records containing data from individual participants be locked and stored and be accessible only to research personnel?*

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<th>No</th>
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</table>

**m** Yes. All paper research records containing data from individual participants will be locked and stored and will be accessible only to research personnel.  
**m** No. Not all paper research records containing data from individual participants will be locked and stored and will be accessible only to research personnel.  
**8** Not applicable. There will be no paper research records containing data from individual participants.  
* If you answered "No," please explain: Otherwise, type "n/a."

#### 28.2 * Will all electronic research records containing data from individual participants be computer password protected and be accessible only to research personnel?*

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<th>Yes</th>
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<td><strong>8</strong></td>
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<td></td>
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</table>

**8** Yes. All electronic research records containing data from individual participants will be computer password protected and accessible only to research personnel.  
**m** No. Not all electronic research records containing data from individual participants will be computer password protected and accessible only to research personnel.  
**m** Not applicable. There will be no electronic research records containing data from individual participants.

#### 28.3 * Will biological specimens from individual participants maintained at the local investigative site be labeled with a code? Explanatory note: "Labeled with a code" means that identifying information (such as a name or social security number) which would permit easy identification of an individual has been replaced with a number, letter, symbol, or some combination thereof.*

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<th>Yes</th>
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</table>

**m** Yes. Biological specimens from individual participants maintained at the local investigative site during the study/project will be labeled with a code.  
**m** No. Biological specimens from individual participants maintained at the local investigative site will not be labeled with a code.  
**8** Not applicable. There are no biological specimens being collected in this study/project.  
**m** Not applicable. Biological specimens are being collected, but they are not being maintained at the local investigative site.  
* If you answered "No," please explain: Otherwise, type "n/a."

**n/a**

#### 28.4 * Will any research records containing data on individual participants or any specimens from individual participants be transmitted to an external site during the study/project? An external site is any site not listed in
section (1200) Site Information, and this includes emailing data to yourself or to another party.

- Yes. Research records containing data on individual participants or specimens from individual participants may be transmitted to an external site.
- No. Neither research records containing data on individual participants nor specimens from individual participants will be transmitted to an external site.

### 29.0 (3045) Payment

**29.1 * Will any type of payment (money, gift card, or other item) be provided to the participant for participation?***

- Yes
- No

### 30.0 (3100) Financial Obligations

**30.1 * Will participants be charged as a result of participating in this research study?***

- Yes
- No

If yes, please describe the charges the participants will incur.

### 31.0 (3200) Research Injuries

**31.1 * Does the research include procedures that have the potential to cause physical injury to the participants?***

- Yes. The research includes procedures that have the potential to cause physical injury to the participants.
- No. The research DOES NOT include procedures that have the potential to cause physical injury to the participants.

### 32.0 (3230) Compensation for Non-Physical Injuries

**32.1 * Will compensation be available to participants for any non-physical injuries that may be incurred as a result of research participation, such as exposure to criminal or civil liability, or damage to their reputation, financial standing, or employability?***

- Yes. Compensation will be available to participants for any non-physical injuries that may be incurred as a result of research participation, such as exposure to criminal or civil liability, or damage to their reputation, financial standing, or employability.
- No. Compensation will NOT be available to participants for any non-physical injuries that may be incurred as a result of research participation, such as exposure to criminal or civil liability, or damage to their reputation, financial standing, or employability.

### 33.0 (3300) Conflict of Interest

**33.1 * For publically traded entities, have any individuals among the key research personnel (including their spouses, parents, and children) received salary for services or any other payments (e.g., consulting fees, honoraria, paid authorship) from the sponsor of the research during the previous 12 months, and/or hold equity interest in the sponsor, where the value, when combined, exceeds $5,000?***

- Yes. Key study personnel (or their spouses, parents, or children) have received remuneration from the sponsor and/or hold equity interest in the sponsor, that when aggregated, exceeds $5,000.
- No. Key study personnel (or their spouses, parents, or children) will NOT receive remuneration from the sponsor and/or do not hold equity interest in the sponsor, that when aggregated, exceeds $5,000.
- Not Applicable. There is no commercial sponsor for this research study/project.

**33.2 * For non-publically traded entities, have any individuals among the key research personnel (including their spouses, parents, and children) received salary for services or any other payments (e.g., consulting fees, honoraria,***
paid authorship) from the sponsor of the research during the previous 12 months which exceeds $5,000, or hold any equity interest in the sponsor of the research?

| Yes. Key study personnel (or their spouses, parents, or children) have received remuneration from the sponsor during the previous 12 months, which exceeds $5,000, or hold equity interest in the sponsor of the research. |
| No. Key study personnel (or their spouses, parents, or children) have NOT received remuneration from the sponsor during the previous 12 months, which exceeds $5,000 or hold equity interest in the sponsor. |
| Not Applicable. There is no commercial sponsor for this research study/project. |

Do any individuals among the key research personnel (including their spouses, parents, and children) have intellectual property rights (patents, trademarks, or copyrights) in the entity being evaluated in the research and received income related to such rights and interests?

| Yes. Key study personnel or their spouses, parents, or children do have intellectual property rights related to the entity being evaluated and received income related to such rights and interests. |
| No. Key study personnel (or their spouses, parents, or children) do not have intellectual property rights related to the entity being evaluated. |
| Not Applicable. |

34.0 (3329) Informed Consent

34.1 * Check each of the following that apply to your study/project:

- Informed consent will be secured from adult participants who are able to consent for themselves.
- Informed consent will be secured from legally authorized representatives for adult participants who are not able to consent for themselves.
- Permission will be secured from legally authorized representatives for children who are participants.
- Assent will be secured from children 7 years of age and older who are participants.
- A request is being made to WAIVE consent for some or all participants. (Note: If you select this option, you will be prompted to respond to specific prompts that will allow the IRB to determine if you qualify for a waiver of consent.)
- A request is being made to ALTER consent for some or all participants, e.g., consent will be obtained, but signed consent forms will not be maintained. (Note: If you select this option, you will be prompted to respond to specific prompts that will allow the IRB to determine if you qualify for an alteration of consent.)
- Non-English speaking participants will be included in the study population.

35.0 (3352) Participants Under Waiver and/or Alteration of Consent

35.1 * Describe the group(s) of participants for which the waiver and/or alteration of consent is being requested. If you have requested both a waiver and an alteration of consent, please describe the participants for each request.

All participants will receive an altered informed consent request.

36.0 (3360) Describe Alteration of Consent

36.1 * Describe the nature of the alteration in consent being requested. For example, will you be using the survey consent elements instead of a full consent form for a survey study, or will you be mailing a consent form and conducting the informed consent interview over the phone and asking the participant to mail the signed consent form back to you?

A study information section will be present at the beginning of the survey. It will contain the statement that submission of the survey constitutes participants' consent to participate.

37.0 (3365) Practicality Without Alteration of Consent

37.1 * Why can the research not be practicably carried out without the alteration of consent?

- Prospective participants cannot be contacted in person to secure their consent, but can be contacted by other means, such as telephone.
Achieving the objectives of the research requires that the consent disclosure not include some key elements of information about the study. The research is minimal risk, the number of participants is large, and funds and personnel do not exist to conduct the consent interview utilizing a full consent form.

* If you answered "Other," please explain: Otherwise, type "n/a."

There will be less chance of the researcher being able to identify participants if there is no signed informed consent. Participants may be more willing to be forthcoming in their answers if this is the case. Also, since the project has only minimal risk, it should not be necessary to obtain signed informed consent.

<table>
<thead>
<tr>
<th>38.0 (3385) Risk/Consent</th>
</tr>
</thead>
<tbody>
<tr>
<td>38.1 * Does the research involve more than minimal risk?</td>
</tr>
<tr>
<td>☑ Yes. The research involves more than minimal risk.</td>
</tr>
<tr>
<td>☐ No. The research does NOT involve more than minimal risk.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>39.0 (3393) Consent Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>39.1 * Will the participant be provided with a written consent summary about the research study?</td>
</tr>
<tr>
<td>☑ Yes. The participant will be provided with a written consent summary about the research study.</td>
</tr>
<tr>
<td>☐ No. The participant will NOT be provided with a written consent summary about the research study.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>40.0 (3450) HIPAA</th>
</tr>
</thead>
<tbody>
<tr>
<td>40.1 * In order to conduct this research, or to identify or recruit potential participants, are you requesting to use SOURCE DOCUMENTS or SOURCE MATERIALS that contain the Protected Health Information of persons without their authorization (or with their limited authorization) AND/OR are you obtaining Protected Health Information of persons without their authorization (or with their limited authorization), such as through telephone screening? Note: Source documents/materials are documents/materials from which you are going to abstract information in order to conduct this research or to identify or recruit potential participants, for example, a patient's medical record.</td>
</tr>
<tr>
<td>☑ Yes. I am requesting to use source documents/materials that contain Protected Health Information (PHI) of persons (living or dead) without their authorization (or with limited or altered authorization) to conduct the study, or to identify or recruit potential participants.</td>
</tr>
<tr>
<td>☐ No. I am not requesting to use source documents/materials that contain Protected Health Information (PHI) of persons (living or dead) without their authorization (or with limited or altered authorization) to conduct the study, or to identify or recruit potential participants.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>41.0 (3500) FERPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>41.1 * In order to conduct this research, or to identify or recruit potential participants, are you requesting to use documents or materials that contain information protected under the Family Educational Rights &amp; Privacy Act (FERPA) without obtaining the permission of the participants?</td>
</tr>
<tr>
<td>☑ Yes</td>
</tr>
<tr>
<td>☐ No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>42.0 (5000) References</th>
</tr>
</thead>
<tbody>
<tr>
<td>42.1 * Please list all references in support of this research.</td>
</tr>
</tbody>
</table>


43.0 (10000) Form Completed

43.1 The following text box is provided in the event that you need to share additional information with the Review Board.

43.2 After clicking the “Save and Continue” button, you will advance to the routing form in order to attach any supporting documents (such as consent forms) and to send the submission to the necessary personnel for their signatures. Please Click on “Save and continue...”