**Winkelmes, Mary-Ann**

**From:** Carson, Lea Ann
**Sent:** Monday, November 19, 2012 3:08 PM
**To:** Winkelmes, Mary-Ann
**Subject:** IRB protocol #10015 - Amendment approval

Dr. Winkelmes,

Thank you for letting the IRB know about the modifications to your study: minor revisions to survey

The modifications do not affect the status of the IRB original determination of exemption on your protocol, it still remains exempt. Please save a copy of this email for your records as the IRB notice of approval of these modifications and that they have been documented satisfactorily.

LeaAnn Carson

LeaAnn Carson
Human Subjects Research Specialist
UIUC Institutional Review Board
Suite 203, MC-419
528 E. Green St.Champaign, IL 61820
Phone: 217-333-0722
Fax: 217-333-0405
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University of Illinois
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Institutional Review Board Office
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528 East Green Street
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Web: www.irb.uiuc.edu

# Research Amendment

## For Submitting Changes to Previously Approved Human Subjects Research

**All applications must be completed, signed by the RPI, and submitted either electronically or single-sided hard copy. Please - No Staples**

Form Version 1.05

**All modifications to human subjects research must be reviewed and approved prior to implementation.**

**Minor modifications** Minor modifications to previously approved projects include those that do not alter the risk–benefit assessment for the research. Examples include changes in the investigators; minor changes in the consent form(s), recruiting materials, measures, or procedures; minor changes in compensation, time of participation, or subject recruitment; or the use of a new site that is not materially different from a previously approved site. Minor modifications may also include changes to other parameters, whereby the investigator provides the subjects with more accurate information as a result of additional experience with the protocol.

**Major modifications** Major modifications include significant protocol changes that would cause subjects to engage in activities not previously approved; or that involve an increased level of risk to the physical, emotional, or psychological well-being of participants (including the loss of confidentiality); or that involve a decreased benefit; or that otherwise result in alteration of the risk–benefit assessment for the research. For example, adding a new subject population, adding new measures that significantly differ from those currently approved, changing inclusion or exclusion criteria, changing the informed consent process, and changing procedures affecting subject confidentiality are all potentially major modifications.

**1. DATE THIS REPORT WAS COMPLETED:** 11/8/2012 **AMENDMENT NUMBER (START WITH 01):** 10015

**2. RESPONSIBLE PROJECT INVESTIGATOR (RPI) AT UIUC**

| | | | |
|---|---|---|---|
| Last Name: Winkelmes | First Name: Mary-Ann | Academic Degree(s): PhD, MA, BA | |
| Dept. or Unit: Provost and VC Academic Affair | Office Address: IUB:Illini Union Bookstor | | Mail Code: MC317 |
| Street Address: 807 S Wright St, rm 580 | City: | State: | Zip Code: |
| Phone: 217 244 5108 | Fax: 217 265 4183 | E-mail: mawink@illinois.edu | |
| UIUC Status: Non-visiting member of (Mark One) ☐ Faculty ☐ Staff | | | |

**3. PROJECT TITLE** **IRB PROTOCOL NUMBER:** 10015

Illinois Initiative on Transparency in Teaching and Learning in Higher Education

**4. MAJOR OR MINOR MODIFICATION?** In the RPI's judgment, which category of modification is this?

☒ Minor ☐ Major ☐ Uncertain

5. REVISED MATERIALS: For revisions to currently approved procedures (including discontinuation of previously approved procedures, measures, etc.), or to add new procedures that were not previously approved, please resubmit the IRB-1 or Application for Exemption incorporating the revisions as appropriate throughout the form. Amendments often require modification of consent forms, assent forms, measures and other relevant attachments.

**PLEASE SUPPLY THE FOLLOWING** with this Research Amendment:

a) A marked up version of the IRB-1 Application or Application for Exemption and any modified attachments or consent documents. NOTE: If your computer does not allow "strike-throughs" or other editing on the IRB-1 or Application for Exemption, it is acceptable to cross off deleted sections with a pen and use a highlighter to emphasize changes.
b) The entire IRB-1 Application or Application for Exemption reflecting the revisions.
c) Revised consent documents and other relevant attachments that have changed as a result of the amendment

→ Mark One: Changes marked versions and final versions are: ☒ Attached ☐ Will Follow.

**6. DESCRIBE THE AMENDMENT.** Describe the requested change(s) and clearly reference materials submitted with this form. Provide a clear rationale for the proposed change(s). Explain whether the risk–benefit assessment for the research is likely to change as a result of the proposed amendment(s). Justify changes that will affect risks, benefits, informed consent, inclusion or exclusion criteria, the subject population(s), research sites, or the confidentiality of private, identifiable subject information.

Online survey questions #30 and #31 have been slightly revised . Current and proposed/revised versions of both questions are attached.

If additional Item 6 information is attached, check here: ☐

**7. INVESTIGATOR ASSURANCES** The original, inked signature of the Responsible Project Investigator is required before this form can be processed. Other investigators are also responsible for these assurances and are encouraged to sign. Neither stamps nor proxy signatures are accepted in this section.

I certify that the information supplied in this form, with attachments, is complete and correct, that the modified protocol has not yet been used with any human subject, and that it will not be implemented until IRB approval has been obtained.

NOTE: **The signature of the RPI must be submitted before IRB Review (scanned or faxed signatures are acceptable).**

Mary-Ann Michelsen 11-8-12

Responsible Principal Investigator Date

Investigator Date

Investigator Date

Investigator Date

~~30. With which of the following racial/ethnic groups do you identify? Please select **all** that apply.~~

- ~~Hispanic/Latino~~
- ~~Indigenous Native~~
- ~~Asian~~
- ~~Asian-American~~
- ~~Hawaiian or Pacific Islander~~
- ~~Black~~
- ~~African American~~
- ~~Caucasian~~
- ~~Multiracial~~
- ~~I prefer not to respond.~~
- ~~Additional: Please describe how you identify your race/ethnicity?~~

30. With which of the following racial/ethnic groups do you identify? Please select **all** that apply.

- Part of a majority racial/ethnic group in this course
- Part of an underrepresented racial/ethnic group in this course
- Hispanic/Latino
- Black
- Asian
- Indigenous Native
- Caucasian
- Multiracial
- I prefer not to respond.
- Additional: Please describe how you identify your race/ethnicity?

Enter text

~~31. Of which country / countries are you a citizen?~~

- ~~I prefer not to answer~~
- ~~United States~~
- ~~another country~~
- ~~both the United States and another country~~
- ~~Additional: Please indicate your country/countires of citizenship.~~

~~Enter text~~

31. Are you a citizen of the country in which this course is taught?

- Yes
- No
- I prefer not to answer

| | University of Illinois at Urbana-Champaign<br><br>**IRB Application for Exemption** | Institutional Review Board<br>Suite 203, MC– 419<br>528 East Green Street<br>Phone: 217.333.2670 Fax: 217.333.0405<br>irb@uiuc.edu www.irb.uiuc.edu |
|---|---|---|

**All forms must be completed, signed by the RPI, and submitted by FAX, Email, or single-sided hard copy.**
**NO STAPLES PLEASE!**

Verson 1.01

**Project Title:** Illinois Initiative on Transparency in Learning and Teaching

**1.1 Responsible Project Investigator.** The RPI must be a non-visiting member of UIUC faculty or staff who will serve as project supervisor at UIUC. Students, interns, post-doctoral researchers, and visiting faculty from other campuses may not serve as RPI, but should be listed as investigators, if applicable.

| | | |
|---|---|---|
| Last Name: Winkelmes | First Name: Mary-Ann | Academic Degrees: PhD, MA, |
| Dept. or Unit: Office of the Provost and Chancellor for Academic Affairs | Office Address: 534 Illini Union Bookstore,807 S. Wright St | Mail Code: 317 |
| Street Address: 807 S. Wright St | City: Champaign | Zip Code: 61820 |
| Phone: 217 244-5108 | Fax: 217 265-4183 | E-mail: mawink@illinois.edu |
| UIUC Status (please mark one): Non-visiting member of ☐ Faculty | | ☒ Staff |

**1.2 Investigators.** Please list: All investigators who are different from the RPI, including those from other institutions. Include all persons who will be directly responsible for the project's design or implementation, the consent process, data collection, data analysis, or follow-up.

| | | |
|---|---|---|
| Last Name: | First Name: | Academic Degrees: |
| Dept. or Unit: | Office Address: | Mail Code: |
| Street Address: | City: | Zip Code: |
| Phone: | Fax: | E-mail: |
| UIUC Affiliation (please mark one): ☐ Faculty ☐ Staff ☐ Student ☐ Visiting Scholar ☐ Non-UIUC Affiliate of (Institution) | | |

☐ Please check here and attach a list of Additional Investigators, if applicable.

**1.3 Please review the 6 categories of exemption listed below and indicate the category or categories that apply to your research. (Note: Exemptions do NOT apply for prisoners, or for research that specifically targets persons who are cognitively impaired or persons who are economically or educationally disadvantaged.)**

☒ 1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as: research on regular and special education instructional strategies, *or* research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

☒ 2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, ***unless:***

- information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; ***and***
- 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. **Note:** This category does not apply to the following types of research involving children: surveys, interviews, and observations of public behavior when the investigator is a participant in the activities being observed.

☐ 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 in category 2 above if: human subjects are elected or appointed public officials or candidates for public office; ***or*** federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

☒ 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: In order to be eligible for this exemption, all data, documents, records or specimens must exist prior to IRB review and must have been collected for purposes other than the proposed research. (To qualify for an exemption in this category, the proposed research must be strictly retrospective.)**

☐ 5. Research and demonstration projects that are conducted by or subject to the approval of department or agency heads. The program under study must deliver a public benefit or service (e.g., Social Security Act or Older Americans Act). Such research or demonstration projects must be conducted pursuant to specific federal statutory authority; there must be no statutory requirement that the project be reviewed by an Institutional Review Board (IRB); and the project must not involve significant physical invasions or intrusions upon the privacy of participants.

☐ 6. Taste and food quality evaluation and consumer acceptance studies: if wholesome foods without additives are consumed; ***or*** 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 (FDA) or approved by the Environmental Protection Agency (EPA) or the Food Safety and Inspection Service of the US Department of Agriculture (USDA).

If the proposed research does not qualify in any of these categories, please complete the IRB 1 application form at www.irb.uiuc.edu.

**2. Research Summary.** In layman's language, please summarize the objectives and significance of the research.

The Illinois Initiative on Transparency in Learning and Teaching provides a structure for faculty who wish to contribute to a large and significant research project on students' learning, while relying on others to provide the education-research expertise and administrative support. It also brings teachers and students into dialogue about the processes of teaching and learning.

The premise of the research is that students learn more deeply and retain information longer when they understand how and why they are learning course content in particular ways. Further, students' critical thinking abilities and their capacity to monitor and take responsibility for their own learning will increase, both during "transparent" courses and long afterward. Faculty satisfaction and effectiveness should increase as a result of this purposeful dialogue about their students' particular learning styles and procedures. Students' satisfaction with their courses and their teachers will likely be enhanced, along with their performance in "transparent" courses.

Ultimately, this research will identify which small changes to teaching and learning practices produce the greatest beneficial impact on students' learning, with results specific to: the past experience of the student, the size of the course, the level of the course (beginning college through advanced degree) and the discipline. Longer-term results may include higher retention and graduation rates for undergraduate students, including community college students who transfer into four-year institutions, and greater participation of diversely prepared students in Masters and PhD degree programs..

☐ Please check here and attach additional Research Summary information, if applicable.

**3. Participants.** Describe who will participate in this research and how these persons will be recruited.
Participants will be students enrolled in Bus 101, FSHN 120, Law 31957 and other courses in subsequent semesters, at the University of Illinois, University of Chicago, and perhaps other institutions. An amendment will be filed to indicate participating courses/institutions each semester.

☐ Please check here and attach additional Participant information, if applicable.

**4. Research Procedures.** Specifically describe what the participants will do and where the activities will take place. Outline the approximate dates and durations for specific activities, including the total number of treatments, visits, or meetings required and the total time commitment. Please include a copy of each of your measures as attachments.

All potential student participants will receive an electronic invitation from the principal investigator during the last week their participating or control group course is in session. Clicking on a link provided in the invitation will lead a student to an Information and Consent form (attached). Clicking "I agree" will lead to the online survey. Students who agree to participate will complete an online survey (attached) of approximately thirty multiple-choice questions about their awareness of their learning experience in the course. The survey takes approximately seven or eight minutes to complete.

At the three-year, five-year and ten-year marks (when possible), some of these student participants will receive an electronic invitation (sent broadly to alumni lists provided by participating institutions) to complete online surveys about their retention of what they learned and the value of the Transparency experiment to their capacity for life-long learning. These followup surveys will consist of approximately fifteen questions (to be filed by the principal investigator in an amendment) and will take approximately six minutes to complete.

☒ Please check here and attach additional Research Procedures information, if applicable.

**5. Data Collection**. Please explain how confidentiality will be maintained during and after data collection. If appropriate, address confidentiality of data collected via e-mail, web interfaces, computer servers and other networked information.

Data from online surveys will be stored on the Swanlund Server, maintainted by Swanlund System Services in the Provost's Office at the University of Illinois, and on a flash drive kept in a locked drawer in the office of the Campus Coordinator for Programs on Teaching and Learning, Office of the Provost and Vice Chancellor for Academic Affairs, at the University of Illinois.

Students' anonymity will be preserved. No key or other identifier will link students' answers with their identity. Data from the survey will be preserved for the duration of this ten-year study (2009-2019).

☐ Please check here and attach additional Data Collection information, if applicable.

**6. Consent Process** Describe when and where voluntary consent will be obtained, how often, by whom, and from whom. Attach copies of all consent forms (as well as assent forms for those under age 18 if any).
All potential student participants will receive an electronic invitation from the principal investigator. Clicking on the invitation will lead a student to an Information and Consent form (attached). Clicking "I agree" will lead to the online survey.

☐ Please check here and attach additional Consent Process information, if applicable.

**7. Dissemination of Results.** What is (are) the proposed form(s) of dissemination (e.g., journal article, thesis, academic paper, conference presentation, sharing within the industry or profession, etc.)?
Results in aggregate form (with no individuals identifed) will be shared with instructors after grades are submitted to the registrar and will likely be disseminated via conference presentations, white papers, journal publications and perhaps even a book publication.

☐ Please check here and attach additional Dissemination of Results information, if applicable.

**8. Individually identifiable information.** Will any individually identifiable information, including images of subjects, be published, shared, or otherwise disseminated? Please mark the appropriate box below.

☐ Yes
☒ No

**Note:** If yes, subjects must provide explicit consent or assent for such dissemination. Provide appropriate options on the relevant consent documents.

**9. Funding Information.**
Is your research funded or is there a pending funding decision? ☐ Yes ☒ No

If "yes", please indicate the funding agency here: Funding will eventually be sought. An amendment will be filed by the principal investigator to indicate which agencies have received a funding proposal.

Please submit a copy of the funding proposal.

**10. Expected Completion Date:** September, 2019

**INVESTIGATOR ASSURANCES**

I certify that the project described above, to the best of my knowledge, qualifies as an exempt study. I agree that any changes to the project will be submitted to the Institutional Review Board for review prior to implementation. I realize that some changes may alter the exempt status of this project. **The original signature of the RPI is required before this application may be processed (scanned or faxed signatures are acceptable).**

Mary-Ann Winkelmes
Responsible Project Investigator

09/17/2009
Date