Research Protocol Instructions (2024 June)

The following elements are required to be incorporated into the research protocol:

Protocol Title and version date

Principal Investigator

- Include your name, i.e. the name of the person conducting the research
- If you are completing a residency program, please list your faculty sponsor as the Co-Investigator

Research Site(s)

- Describe the Guthrie entity and department where the research will be conducted

Funding

Explain if there are grants, funding or other financial support (e.g. This research is being funded by Donald Guthrie Foundation.)

Background and Rationale

- Provide the scientific or scholarly background and rationale for the Human Research based on the existing literature.
- Describe the relevant prior experience and gaps in current knowledge (i.e. what has been done and why you are proposing to do this study).
- Describe any relevant preliminary data.
- Explain the significance of the Human Research in terms of why this Human Research is important and how it will add to existing knowledge.

Objectives

- Describe the purpose, specific aims, or objectives of the Human Research.
- State the research question or hypotheses to be tested.
- Describe your plans for data dissemination and usage.

Study Design

Describe if the study is interventional or observational.
For Interventional studies, describe the number of arms, the masking (open label or blinded), describe how patients are allocated (single arm, randomized, non-randomized).

For observational studies, describe the observational study model (cohort, case-control, case-only, case-crossover).

Describe if study is prospective or retrospective.

Describe any biospecimens that will be collected (with or without potential for DNA extraction)
See "ClinicalTrials.gov Protocol Data Element Definitions" accessible at https://prsinfo.clinicaltrials.gov/definitions.html

Enrollment

Anticipated number of subjects in the trial.

Recruitment Methods

- Describe the methods that will be used to identify potential participants.
- Describe any materials that will be used to recruit participants. Include copies of these documents with the application.
- For research in which biological specimens or tissue samples will be used, describe the source of the materials (e.g., "retrospective research" using previously collected specimens from certified specimen banks, another previously approved study, discarded specimens gathered for non-research purposes, etc. vs. "prospective research" using specimens that will be collected specifically for this study.
- For research in which biological specimens or tissue samples will be used, describe whether any individually identifiable information will be associated with the samples.

Inclusion and Exclusion Criteria

- Describe how you will screen for eligibility.
- Describe the criteria that define who will be included or excluded in your final study sample.

Study Outcomes

- Describe the primary and secondary study outcomes. (For example, studies may be conducted until a certain time point, until a re-occurrence of disease, or a certain clinical condition is met.)
    - Describe time point(s) at which outcome measures are assessed.
    - Describe if outcome measures are assessing a safety issue
- Primary Outcome Measure Definition: Specific key measurement or observation used to measure the effect of experimental variables in a study, or for observational studies, to describe patterns of diseases or traits or associations with exposures, risk factors or treatment.
- Secondary outcome: Secondary measurements that will be used to evaluate the intervention(s) or, for observational studies, that are a focus of the study.

- Describe:
    - The duration of an individual subject's participation in the study.
    - The duration anticipated to enroll all study participants.
    - The anticipated start date for enrollment to begin
    - The Anticipated Primary Completion Date: the date that the final subject is expected to be examined or to receive an intervention for the purposes of final collection of data for the primary outcome.
    - The anticipated Study Completion Date: Final date on which data is expected to be) collected

Procedures involved in the Human Research.

- Provide a timeline of all procedures/activities being performed as part of the research.
- Describe all instruments i.e. surveys, questionnaires, interview guides, etc. (Attach a copy of these instruments to your protocol.)
- Describe the source records that will be used to collect data about participants.
- Describe what data will be collected including long-term follow-up
- If medical records are being used, include a list of specific data to be obtained. Health Insurance Portability and Accountability Act (HIPAA) regulations will apply if the data provider is a HIPAA covered entity. HIPAA documentation may be required. For more information please visit http://privacyruleandresearch.nih.gov/

Risks to participants

- List the risks, discomforts, hazards or inconveniences to the participants. For each, indicate the probability, magnitude, and duration. Consider physical, psychological, social, legal and economic risks.

Potential benefits to participants

- Describe the benefits that individual participants may experience. For each indicate the probability, magnitude, and duration of the benefit.
- Indicate if there is no direct benefit.

Alternatives of participation

- Describe how participants will be informed of potential alternatives for participation
- collection. If the research is retrospective by design, then this is not applicable.

Provisions to maintain the confidentiality of data

- Describe the steps that will be taken to de-identify the data. Describe where data will be stored, who will have access to the data, measures taken to secure the data, and how long data will be stored. Include procedures for maintaining participant confidentiality, any special data security requirements, and record retention.
- For hardcopy data, CDs, tapes, specimens, etc., describe any physical safeguards that will be in place. For example: locked cabinet/office, data de-identified by research team, data coded by research team.
- For coded data, describe how the key to the code will be stored and when/how it will be destroyed.
- Describe safeguards for devices used to access study data, e.g., password access, automatic log-off.
- State whether electronic files will be password-protected, encrypted, on a secure network, etc. **Please note no data should be stored on portable devices.**
- Describe the plans for the final disposition or de-identification of data that are identifiable in any way (directly or indirectly via codes) once the study has ended. If the data will be kept indefinitely describe the format of the data and purpose of retention. If data will be destroyed, describe the timeline and method.

Participant Compensation/Cost

- Describe the plan for addressing the amount and timing of any payments/compensation to participants.
- If applicable, describe any financial costs that participants may incur through participation in the research.

Withdrawal of participants

- Describe anticipated circumstances under which participants will be withdrawn from the research without their consent.
- Describe procedures that will be followed when subjects withdraw from the research, including partial withdrawal from procedures with continued data

Vulnerable Populations

What vulnerable populations will be considered for this study? Examples include:

a) Children under the age of 18
b) Prisoners
c) Pregnant Women, Fetuses and Neonates
d) Cognitively impaired subjects (individuals with impaired decision-making capacity)
e) Economically or educationally disadvantaged individuals
f) Handicapped or mentally disabled persons
g) Subjects who report to or are students of the investigator

h) Subjects who are employees
i) Non-English-speaking individuals

Describe the additional safeguards that are included to protect their rights and welfare.
Examples of protocol language for protocol-specific determinations for vulnerable groups:

Children
Children under the age of 18 will not be included. OR
Children will be included. The research is minimal risk. OR Describe the risk to children and additional protections in place.
Describe how assent of the child and permission of parents will be obtained OR Assent of the child and parental permission is waived and all the following requirements are met:

- Study involves no more than minimal risk to the subject.
- Waiver will not adversely affect the rights and welfare of the subjects.
- Study could not practicably be carried out without the waiver.
- Whenever appropriate, the subjects will be provided with additional pertinent information after participation.
- If the research involves identifiable private information or identifiable biospecimens, the research could not practicably be carried out without using such information or biospecimens in an identifiable format.

Pregnant women and unborn children:
Pregnant women will not be included. OR
Pregnant women may be included. Researchers will not know pregnancy status. The study is minimal risk and does not have preclinical/clinical studies. The protocol background describes the purpose including development of biomedical knowledge. The risk is only loss of confidentiality and is the least possible for achieving the objectives of the study. The research may hold out the prospect of a direct benefit both to the pregnant woman and the fetus since the research includes quality improvement measures. Since this is a minimal risk study, consent is waived in accordance with the IRB determination.

If the study specifically targets inclusion of employees: It is possible that subjects included could be employees of The Guthrie Clinic. Measures will be taken to ensure the confidentiality of the records. No action will be taken against an employee based on information to which the employer would not otherwise be entitled but is obtained because of participation in the study.

If the study plans to use a legally authorized representative and to include subjects who are cognitively impaired:
Describe the proposed plan for the assessment of the capacity to consent.
The subject will be informed about the research to the extent compatible with the subject's understanding.
Assent of the cognitively impaired individual will be obtained to the extent determined by the person's ability to comprehend. The researcher will explain the protocol and attempt to elicit the person's assent to participate.
Assess if the protocol meets criteria 1 or 2 and add appropriate language:
1) The research involving cognitively impaired adults will have anticipated direct benefit to the subject

- Subjects have a disease or condition for which the procedures involved in the research hold out a prospect of direct benefit to the individual subject that is unavailable outside the research context. OR The objectives of the trial cannot be met by means of the study of subjects who can give consent personally.
- Risks to subjects are reasonable in relation to anticipated benefits to subjects.
- The relation of the anticipated benefit to the risk is at least as favorable to the subjects as that presented by available alternative approaches.
- Subjects will be particularly closely monitored.
- Subjects will be withdrawn if they appear to be unduly distressed.

2) Research involving cognitively impaired adults with no anticipated direct benefit to the subject

- Subjects have a disease or condition for which the procedures involved in the research are intended. The research holds out the prospect of better understanding the person's condition.
- Objectives of the trial cannot be met by means of subjects who can give consent personally
- The foreseeable risks to the subjects are low.
- The negative impact on the subject's well-being is minimized and low.
- Subjects will be particularly closely monitored
- Subjects will be withdrawn if they appear to be unduly distressed.

Consent process/process to document consent or to request a consent waiver

- Indicate whether you will you be obtaining consent, and if so describe:
    - Where will the consent process take place?
    - Any waiting period available between informing the prospective subject and obtaining the consent.
    - Any process to ensure ongoing consent.
    - Describe whether and how consent of the participant will be documented in writing.
- If the Human Research involves adults who may be unable to consent, describe the process to determine whether an individual is capable of consent.
- If the research is only a survey or questionnaire of subjects, describe if completion of the survey/questionnaire will serve as **implied consent.**
- If the Human Research involves a **waiver or alteration of the consent process**, explain how each of the criteria below are met:
    - the research involves no more than minimal risk to the subjects;
    - the research could not practicably be carried out without the requested waiver or alteration;
    - if the research involves using identifiable private information or identifiable biospecimens, the research could not practicably be carried

out without using such information or biospecimens in an identifiable format;

- the waiver or alteration will not adversely affect the rights and welfare of the subjects;
- whenever appropriate, the subjects or legally authorized representatives will be provided with additional pertinent information after participation.

- If the Human research involves a **waiver of consent documentation**, explain why no signed consent document is appropriate:
  - The only record linking the subject and the research would be the informed consent form
  - The principal risk would be potential harm resulting from a breach of confidentiality.
  - Each subject or legally authorized representative will be asked whether the subject wants documentation linking the subject with the research, and the subject's wishes will govern

  or

  - The research presents no more than minimal risk of harm to subjects
  - The research involves no procedures for which written consent is normally required outside of the research context.

Data Monitoring Plan

For studies that are greater than minimal risk, describe the provision for monitoring the data collected to ensure the safety of subjects.

Sharing of results with participants

Describe any plans for providing aggregate data and sharing the results of the research with participants.

Sharing of individual participant data (IPD) with other researchers

Indicate whether there is a plan to make individual participant data (IPD) collected in this study available to other researchers. Describe what participant data sets and/or documents are to be shared, when data will be available, and how the data may be obtained.