eCompliance

IRB #2009335 C

Project number	2009335
Project title	New Hampshire Mediation Training Study
Project status	Active - Open to Enrollment
Principal investigator	Lande, John M
Expiration date	08/28/2018

Exempt Application #229635

Submission date: **08/25/2017**

1. Investigators

1. Investigators

User	Role	Department	IRB training date	Primary contact	Consent personnel role	Veterans personnel
Lande, John M	Principal Investigator	Law	12/30/2016	☑	Authorized to Obtain Consent	☐

2. Contact Information

Principal investigator

Lande, John M

Job title	EMERITUS
Department	Law
Division	Law
PS business unit	University of MO-Columbia

Primary contact

Lande, John M

Job title	EMERITUS
Department	Law
Division	Law
PS business unit	University of MO-Columbia

3. Is this application submitted by an outside entity utilizing MU IRB as their IRB of record?

The answer is YES if MU has entered into a formal collaborative agreement with the outside entity to be their IRB of Record. If you are unsure, please contact the IRB office at 573-882-3181.

No

4. In detail, cite the key personnel's qualifications and experiences with this type of research.

   This includes all personnel on the IRB application.

   I previously served on the IRB for several years and I have conducted numerous studies with similar populations as this study. My records with MU's IRB document these studies, including recent studies interviewing lawyers about cases they have settled and why their companies use planned early dispute resolution systems.

5. Describe any Conflicts of Interest a study member may have.

   None.

6. Does this study involve VA subjects, investigators, or resources?

   A protocol is required to be uploaded for VA exempt research.

   No

2. Exclusions from Exemption

1. Please check if any of the following will be included in your study. If you check an item below, the project cannot be Exempt.

   - ☐ Greater than Minimal Risk
   - ☐ Prisoners
   - ☐ Use of Electrodes (physical sensors applied to the body)
   - ☐ Fetuses or Human in Vitro Fertilization
   - ☐ FDA Regulated

3. Project Information

1. Project Title

   New Hampshire Mediation Training Study

2. Please provide a description of your project.

   Include the research question in this description.

   This survey will be conducted in connection with mediation trainings conducted on November 2 and 3, 2017. The November 2 training is conducted primarily on behalf of the federal court and the November 3 training is conducted on behalf of the state court.

   When people register for the trainings, they will be invited to participate in the survey. For the federal court training, people will register online and will be directed to a link to complete an anonymous survey. For the state court training, people will register by email. When the state court receives a registration request, the court will respond with an email that includes a link to the anonymous survey. Participants in both trainings will complete the same survey.

   The survey asks questions about the subjects' background and experience as well as their views about some mediation issues.

The survey form includes the informed consent information. Subjects must click a box indicating that they consent to participate in the survey.

3. Describe the nature of the involvement of human subjects.

   Please include duration of subject participation.

   Subjects will complete an anonymous online survey. It should take 5-10 minutes to complete the survey.

4. Describe the subject population.

   Include criteria for inclusion and exclusion, if applicable. (e.g. high school or college students, cognitively impaired persons, etc.)

   Subjects are mediators who conduct mediations for the federal and state courts in New Hampshire as well as lawyers who represent clients in these mediations. All participants in these trainings will be invited to participate in the survey.

5. Describe the recruitment process.

   Please be sure to include a statement that the study involves research in the recruitment materials.

   People will register for the federal court training online. The registration page includes an invitation to participate in the survey.

   People will register for the state court training by sending an email in response to a description of the training. When the court receives a registration request, it will respond with an email that includes a link to the survey.

   Both sets of materials indicate that the results will be used for research.

6. Please identify the number of subjects that will be recruited to participate in your project and the rationale.

   Note: Summarize briefly the statistical consideration or other considerations which determine the total number of subjects.

   All participants in the training will be invited to participate in the survey. We estimate that about 200 people will participate in the trainings.

7. What is your proposed start date for subject recruitment?

   You cannot recruit until after IRB approval is obtained.

   August 31, 2017

8. Describe the consent process.

   *Please do NOT copy and paste your consent document in this section. This should only describe the process of informing your subjects about the research. If you have a consent document, please upload a copy. *A signature should not be requested if it is the only record linking the subject to the research. Remove the signature if not necessary to link the participant's name with the study or data.*

   When the subjects go to the online survey, they will first see the informed consent page. To complete the survey, they must click a button indicating that they consent to participate.

9. Does the project involve deception?

   If you answer yes, an additional form will automatically populate for your completion at the end of this application. Please note, the study cannot involve greater than minimal risk.

   No

10. If you will be interacting with subjects, what methods will be used to ensure protection of the privacy interests of participants?

    Does the research involve observation or intrusion in situations where the subjects have a reasonable expectation of privacy? Would reasonable people be offended by such an intrusion? Can the research be redesigned to avoid the intrusion?

    NA

11. Where will the research take place?

    online

12. Is this a collaborative/multi-site study where MU is the lead institution?

    If you answer yes, an additional form will automatically populate for your completion at the end of this application.

    No

13. Is this an international research project?

    No

14. If children are involved, describe their involvement in detail.

    Some research involving children cannot be exempt. This question will help us determine whether this project can be processed exempt.

    NA

15. Check if any of the items below will be included in your study

    If you mark an item, an additional form will automatically populate for your completion at the end of this application.

    - ☐ Audiotapes, Videotapes, and/or Photographs
    - ☐ Non-English Speaking Persons
    - ☐ Subject compensation or extra/course credit

16. If you will be using a call center to collect the data, please identify the call center.

    NA

17. Will you be accessing personal health information for this research project?

    If yes, an additional form will populate at the end of this application for your completion.

    No

18. Existing Data

    Complete the following two questions if you are proposing to use existing data in this study.

    A. Does the study involve existing data that are publicly available?

       No

    B. Does the study involve existing data that will be extracted without subject's identifying information?

       No

4. Funding Information

1. How is this project funded? *

   Internal Funding

   ○ Departmental Funding
   ○ Internal Grant (ex. Research council, etc)
   ○ Personal funds

   External Funding

   ○ HHS funded (The Department of Health and Human Services)
   ○ In-kind (donation of equipment or services)
   ○ Industry Sponsor (ex. Pharmaceutical company, device company, etc) * IRB fees apply
   ○ External Grant (ex. Federal funding, foundation funding)
   ○ Internal Grant (ex. Research council, etc)

2. Sponsor or Funding Source Information

3. If this study is sponsored please provide the MU Sponsored Program Grant Proposal Number (OSPA)
   If you receive funding after IRB approval, please update this information using the Identification Form.

4. Is this research study conducted or supported by a federal agency, DHHS, NIH, or CDC?
   No

5. The research is sponsored and/or supported by one the following agencies:

   ☐ US Department of Education
   ☐ Department of Energy
   ☐ Department of Defense
   ☐ Department of Justice
   ☐ Environmental Protection Agency

5. Risks to Subjects

1. Check any that apply to your study.

   ☐ Private records such as educational records will be accessed (If you mark this, an additional subform will generate to determine if FERPA regulations apply and a written signature is required)

   ☐ Private records such as medical charts will be accessed

   ☐ Subjects may experience physical, psychological, legal, social or economic risks

   ☐ The study involves collection of information that would be reportable to authorities or collection of information that might render the subject prosecutable under the law (child abuse, alcohol abuse by pregnant women, danger to self or others)

   ☐ The study involves major changes in diet, exercise, or sleep

   ☐ The study uses voice, video, digital, or image recordings for data collection that may place subjects at risk of criminal or civil liability, or be damaging to the subjects' financial standing, employability, or

reputation

☐ The study will manipulate physical, psychological, or social variables, such as: sensory deprivation, physical stimuli, social isolation, or psychological stress

☐ The study will probe for or present materials in which subjects might consider sensitive, offensive, threatening, or degrading

2. Please describe any potential risks for subjects associated with the research.

   None

6. Confidentiality

1. Confidentiality

   A. Describe the specific methods by which confidentiality will be protected.

      The survey is created using the Qualtrics program. The survey has a setting to anonymize responses by not recording any personal information or contact association.

   B. When you collect and store the data, will it be:

      ☑ **Anonymous**
      ☐ **Coded (with link to identity)**
      ☐ **Identified**

2. Data Security

   A. Mark all protections that apply for Electronic Data:

      ☑ **Secure Network**
      ☐ **Password Access**
      ☐ **Coded (master list kept and secured separately)**
      ☐ **Other**

   B. Mark all protections that apply for Hardcopy Data:

      ☐ **Locked Suite**
      ☐ **Locked Office**
      ☐ **Locked File Cabinet**
      ☐ **Coded (master list kept and secured separately)**
      ☐ **Data de-identified by PI or Research Team**
      ☐ **24 Hour Personnel Supervision**
      ☐ **Other**

   C. If OTHER, please explain

3. Data Sharing

   A. Indicate positions, other than members of the research team, who will have access to study data:

      ☐ **No one/ Not applicable**
      ☐ **Sponsor**

- ☐ **Colleagues**
- ☐ **Colleagues through NIH data sharing requirement**
- ☐ **Data, Tissue, Specimen Registry(s)**
- ☐ **Other Research Laboratory(s)**
- ☐ **Coordinating Center**
- ☑ **Other**

B. If OTHER, please explain

Susan Yates, my co-trainer, will help analyze the anonymous data. Susan will not be involved in the recruitment, consenting,or collection of data. Those functions will be performed by the federal and state courts.

C. Indicate how the data will be shared

- ☑ **Without any Identifiers**
- ☐ **With Identifiers**
- ☐ **With a Linked Code**
- ☐ **As a Limited Data Set**
- ☐ **Other**

The IRB will need to review all documents subjects will be presented with during the course of the research study. This includes recruitment materials, consent/cover letters, instruments, etc. Please upload these documents to the next section of this application.