

Institutional Review Board
Application for New Research Project

| | | | |
|-------------------|-------|--------------------------|------------|
| IRB#: | CIRB# | Select one category | |
| IRB Board: | | <input type="checkbox"/> | Full Board |
| Meeting Date: | | <input type="checkbox"/> | Expedited |
| Primary Reviewer: | | | |
| IRB Signature: | | | |

This table for IRB use only.

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INSTRUCTIONS

This application is for internal and external Institutional Review Board (IRB) reviews. If sections do not apply to your application, please list n/a

****For an internal and external sponsored full board IRB review, please include a \$2,000 check request transfer of funds payable to RRH Institutional Review Board*

****** For an internal and external sponsor expedited review please include a \$1,000 check request transfer of funds payable to RRH Institutional Review Board*

Please send completed application via email to Renee Capizzi at Renee.Capizzi@rochesterregional.org or Lauren Fenclau at Lauren.Fenclau@rochesterregional.org

DEFINITIONS

| Term | Definition |
|--|--|
| Confidentiality | Refers to how the participant's individually identifiable private information will be handled, managed, and disseminated by the primary investigator (PI) and research team. |
| Health Information Portability and Accountability Act (HIPAA) | An Legislative Act by the United States to amend the Internal Revenue Code of 1996 to improve portability and continuity of health insurance coverage in the group and individual markets, to combat waste, fraud, and abuse in health insurance and health care delivery, to promote the use of medical savings accounts, to improve access to long-term care services and coverage, to simplify the administration of health insurance, and for other purposes. |
| Protected (High Risk) Data - Payment Card Industry (PCI), Protected Health Information (PHI), Personally Identifiable Information (PII). | <p>Data is considered to be confidential when protection of such data is required by law or regulation, protection is necessary in order for Rochester Regional Health (RRH) or its affiliates to meet compliance obligations, or the unauthorized disclosure, access, alteration, loss or destruction of those data could have a material impact on RRH or its affiliates' mission, assets, operations, finances, or reputation, or could pose material harm to individuals. Additional information is available in the RRH CAST standard [07.d Information Classification Standard and 07.e Information Labeling and Handling].</p> <p>In research specifically, data is high risk when the disclosure of identifying information could have adverse consequences for subjects or damage their financial standing, employability, insurability, or reputation.</p> |
| Privacy | A person's desire to control the access over the extent, timing, and circumstances of sharing oneself (physically, behaviorally, or intellectually) with others. |
| Protected Health Information (PHI) | Any individually identifiable health information that is transmitted by electronic media, maintained in any medium that falls within the definition of electronic media, or transmitted or maintained in any other form or medium. |

SECTION 1 - GENERAL INFORMATION

| | | | | | |
|-----|--|--------------------------|----------|--------------------------|----------|
| 1.0 | Project Title: | | | | |
| 1.1 | Date Form Completed: | | | | |
| 1.2 | Please select the IRB review type requested: | <input type="checkbox"/> | Internal | <input type="checkbox"/> | External |
| 1.3 | Will this study drug be dispensed by the RRH Pharmacy? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | If yes, please provide signature of Pharmacy Director: | | | | |
| 1.4 | Will this study drug be dispensed by an external pharmacy? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | If yes, please provide name of external pharmacy: | | | | |
| 1.5 | Is this an Investigator Initiated Study? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 1.6 | Is this Nursing Research (If YES, submit Nursing Research Committee approval)? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 1.7 | Is this a Medical Resident project? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

SECTION 2 – PRINCIPAL INVESTIGATOR CONTACT INFORMATION

| | | | | | | | | | |
|------|---|-------------------------|--------------------------|---------------|--------------------------|--------------------------|--------------------------|--------------------------|----|
| 2.0 | Principal Investigator (PI) Name: | | | | | | | | |
| 2.1 | Title: | 2.2 | Degree: | | | | | | |
| 2.3 | Department Name: | | | | | | | | |
| 2.4 | Work Phone: | 2.5 | Fax Phone: | | | | | | |
| 2.6 | Mobile Phone: | | | | | | | | |
| 2.7 | Email Address: | | | | | | | | |
| 2.8 | Work Address: | | | | | | | | |
| 2.9 | Does the Principal Investigator meet the educational requirements? | | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 2.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs | |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other | |
| | If other, please describe: | | | | | | | | |
| 2.11 | HSPP Completed? | | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 2.12 | Principle Investigator Interests | | | | | | | | |
| | Does the Principal Investigator have a generic conflict of disclosure on file with the Research Institute? | | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Principal Investigator URM Faculty? | | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

SECTION 3 – CO-PRINCIPAL INVESTIGATOR CONTACT INFORMATION

| | | | | | | | | |
|------|---|-------------------------|--------------------------|---------------|--------------------------|-----------------|--------------------------|------------------|
| 3.0 | Co-Principal Investigator (PI) Name: | | | | | | | |
| 3.1 | Title: | 3.2 | Degree: | | | | | |
| 3.3 | Department Name: | | | | | | | |
| 3.4 | Work Phone: | 3.5 | Fax Phone: | | | | | |
| 3.6 | Mobile Phone: | | | | | | | |
| 3.7 | Email Address: | | | | | | | |
| 3.8 | Work Address: | | | | | | | |
| 3.9 | Does the Co-Principal Investigator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 3.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 3.11 | Human Subjects Protection Program Forms (HSPP) Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 3.12 | Co-Principle Investigator Interests | | | | | | | |
| | Does the Co-Principal Investigator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Co-Principal Investigator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

SECTION 3 – CO-PRINCIPAL INVESTIGATOR CONTACT INFORMATION

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|------|---|-------------------------|--------------------------|---------------|--------------------------|-----------------|--------------------------|------------------|
| 3.0 | Co-Principal Investigator (PI) Name: | | | | | | | |
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| 3.3 | Department Name: | | | | | | | |
| 3.4 | Work Phone: | 3.5 | Fax Phone: | | | | | |
| 3.6 | Mobile Phone: | | | | | | | |
| 3.7 | Email Address: | | | | | | | |
| 3.8 | Work Address: | | | | | | | |
| 3.9 | Does the Co-Principal Investigator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 3.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
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| 3.11 | Human Subjects Protection Program Forms (HSPP) Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
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| | Does the Co-Principal Investigator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Co-Principal Investigator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

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| 3.6 | Mobile Phone: | | | | | | | |
| 3.7 | Email Address: | | | | | | | |
| 3.8 | Work Address: | | | | | | | |
| 3.9 | Does the Co-Principal Investigator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
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| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
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| 3.11 | Human Subjects Protection Program Forms (HSPP) Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 3.12 | Co-Principle Investigator Interests | | | | | | | |
| | Does the Co-Principal Investigator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Co-Principal Investigator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

| SECTION 3 – CO-PRINCIPAL INVESTIGATOR CONTACT INFORMATION | | | | | | | | |
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| 3.12 | Co-Principle Investigator Interests | | | | | | | |
| | Does the Co-Principal Investigator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Co-Principal Investigator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

| SECTION 4 – RESEARCH COORDINATOR CONTACT INFORMATION (if applicable) | | | | | | | | |
|--|---|-------------------------|--------------------------|---------------|--------------------------|-----------------|--------------------------|------------------|
| 4.0 | Research Coordinator Name: | | | | | | | |
| 4.1 | Title: | 4.2 | Degree: | | | | | |
| 4.3 | Department Name: | | | | | | | |
| 4.4 | Work Phone: | 4.5 | Fax Phone: | | | | | |
| 4.6 | Mobile Phone: | | | | | | | |
| 4.7 | Email Address: | | | | | | | |
| 4.8 | Work Address: | | | | | | | |
| 4.9 | Does the Research Coordinator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 4.11 | HSPP Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.12 | Research Coordinator Interests | | | | | | | |
| | Does the Research Coordinator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Research Coordinator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

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| 4.0 | Research Coordinator Name: | | | | | | | |
| 4.1 | Title: | 4.2 | Degree: | | | | | |
| 4.3 | Department Name: | | | | | | | |
| 4.4 | Work Phone: | 4.5 | Fax Phone: | | | | | |
| 4.6 | Mobile Phone: | | | | | | | |
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| 4.9 | Does the Research Coordinator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
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| | If other, please describe: | | | | | | | |
| 4.11 | HSPP Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.12 | Research Coordinator Interests | | | | | | | |
| | Does the Research Coordinator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Research Coordinator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

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| 4.6 | Mobile Phone: | | | | | | | |
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| 4.9 | Does the Research Coordinator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
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| | If other, please describe: | | | | | | | |
| 4.11 | HSPP Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.12 | Research Coordinator Interests | | | | | | | |
| | Does the Research Coordinator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
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| 4.8 | Work Address: | | | | | | | |
| 4.9 | Does the Research Coordinator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 4.11 | HSPP Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.12 | Research Coordinator Interests | | | | | | | |
| | Does the Research Coordinator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Research Coordinator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

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| 4.0 | Research Coordinator Name: | | | | | | | |
| 4.1 | Title: | 4.2 | Degree: | | | | | |
| 4.3 | Department Name: | | | | | | | |
| 4.4 | Work Phone: | 4.5 | Fax Phone: | | | | | |
| 4.6 | Mobile Phone: | | | | | | | |
| 4.7 | Email Address: | | | | | | | |
| 4.8 | Work Address: | | | | | | | |
| 4.9 | Does the Research Coordinator meet the educational requirements? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 4.11 | HSPP Completed? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4.12 | Research Coordinator Interests | | | | | | | |
| | Does the Research Coordinator have a generic conflict of disclosure on file with the Research Institute? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Is the Research Coordinator URM Faculty? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

SECTION 5 – SUB-INVESTIGATOR CONTACT INFORMATION (if applicable)

This section must be completed for each sub-investigator participating in the project. Sub-investigators include but are not limited to: physicians, residents, fellows, research staff, registered nurses and/or students specific to the project defined in SECTION 1.

| | | | | | | | | |
|------|---|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|------------------|
| 5.0 | Sub-Investigator Name: | | | | | | | |
| 5.1 | Title: | | | 5.2 | Degree: | | | |
| 5.3 | Department Name: | | | | | | | |
| 5.4 | Work Phone: | | | 5.5 | Fax Phone: | | | |
| 5.6 | Mobile Phone: | | | | | | | |
| 5.7 | Email Address: | | | | | | | |
| 5.8 | Work Address: | | | | | | | |
| 5.9 | Does the Sub-Investigator meet the educational requirements? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| 5.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 5.11 | HSPP Completed? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| 5.12 | Sub-Investigator Interests | | | | | | | |
| | Does the Sub-Investigator have a generic conflict of disclosure on file with the Research Institute? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | Is the Sub-Investigator URM Faculty? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |

SECTION 5 – SUB-INVESTIGATOR CONTACT INFORMATION (if applicable)

This section must be completed for each sub-investigator participating in the project. Sub-investigators include but are not limited to: physicians, residents, fellows, research staff, registered nurses and/or students specific to the project defined in SECTION 1.

| | | | | | | | | |
|------|---|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|------------------|
| 5.0 | Sub-Investigator Name: | | | | | | | |
| 5.1 | Title: | | | 5.2 | Degree: | | | |
| 5.3 | Department Name: | | | | | | | |
| 5.4 | Work Phone: | | | 5.5 | Fax Phone: | | | |
| 5.6 | Mobile Phone: | | | | | | | |
| 5.7 | Email Address: | | | | | | | |
| 5.8 | Work Address: | | | | | | | |
| 5.9 | Does the Sub-Investigator meet the educational requirements? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| 5.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 5.11 | HSPP Completed? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| 5.12 | Sub-Investigator Interests | | | | | | | |
| | Does the Sub-Investigator have a generic conflict of disclosure on file with the Research Institute? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | Is the Sub-Investigator URM Faculty? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |

SECTION 5 – SUB-INVESTIGATOR CONTACT INFORMATION (if applicable)

This section must be completed for each sub-investigator participating in the project. Sub-investigators include but are not limited to: physicians, residents, fellows, research staff, registered nurses and/or students specific to the project defined in SECTION 1.

| | | | | | | | | |
|------|---|--------------------------|--------------------------|--------------------------|--------------------------|-----------------|--------------------------|------------------|
| 5.0 | Sub-Investigator Name: | | | | | | | |
| 5.1 | Title: | 5.2 | Degree: | | | | | |
| 5.3 | Department Name: | | | | | | | |
| 5.4 | Work Phone: | 5.5 | Fax Phone: | | | | | |
| 5.6 | Mobile Phone: | | | | | | | |
| 5.7 | Email Address: | | | | | | | |
| 5.8 | Work Address: | | | | | | | |
| 5.9 | Does the Sub-Investigator meet the educational requirements? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | | |
| 5.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 5.11 | HSPF Completed? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | | |
| 5.12 | Sub-Investigator Interests | | | | | | | |
| | Does the Sub-Investigator have a generic conflict of disclosure on file with the Research Institute? | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | |
| | Is the Sub-Investigator URM Faculty? | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | |

SECTION 5 – SUB-INVESTIGATOR CONTACT INFORMATION (if applicable)

This section must be completed for each sub-investigator participating in the project. Sub-investigators include but are not limited to: physicians, residents, fellows, research staff, registered nurses and/or students specific to the project defined in SECTION 1.

| | | | | | | | | |
|------|---|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|------------------|
| 5.0 | Sub-Investigator Name: | | | | | | | |
| 5.1 | Title: | | | 5.2 | Degree: | | | |
| 5.3 | Department Name: | | | | | | | |
| 5.4 | Work Phone: | | | 5.5 | Fax Phone: | | | |
| 5.6 | Mobile Phone: | | | | | | | |
| 5.7 | Email Address: | | | | | | | |
| 5.8 | Work Address: | | | | | | | |
| 5.9 | Does the Sub-Investigator meet the educational requirements? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| 5.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 5.11 | HSPP Completed? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| 5.12 | Sub-Investigator Interests | | | | | | | |
| | Does the Sub-Investigator have a generic conflict of disclosure on file with the Research Institute? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | Is the Sub-Investigator URM Faculty? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |

SECTION 5 – SUB-INVESTIGATOR CONTACT INFORMATION (if applicable)

This section must be completed for each sub-investigator participating in the project. Sub-investigators include but are not limited to: physicians, residents, fellows, research staff, registered nurses and/or students specific to the project defined in SECTION 1.

| | | | | | | | | |
|------|---|--------------------------|--------------------------|--------------------------|--------------------------|-----------------|--------------------------|------------------|
| 5.0 | Sub-Investigator Name: | | | | | | | |
| 5.1 | Title: | 5.2 | Degree: | | | | | |
| 5.3 | Department Name: | | | | | | | |
| 5.4 | Work Phone: | 5.5 | Fax Phone: | | | | | |
| 5.6 | Mobile Phone: | | | | | | | |
| 5.7 | Email Address: | | | | | | | |
| 5.8 | Work Address: | | | | | | | |
| 5.9 | Does the Sub-Investigator meet the educational requirements? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | | |
| 5.10 | Select the research activities that this person will be involved in and has received training for (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Screening | <input type="checkbox"/> | Consenting | <input type="checkbox"/> | Data Monitoring | <input type="checkbox"/> | Dispensing Drugs |
| | <input type="checkbox"/> | Conducting Study Visits | <input type="checkbox"/> | Data Analysis | <input type="checkbox"/> | Manuscript | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 5.11 | HSPF Completed? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | | |
| 5.12 | Sub-Investigator Interests | | | | | | | |
| | Does the Sub-Investigator have a generic conflict of disclosure on file with the Research Institute? | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | |
| | Is the Sub-Investigator URM Faculty? | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | | |

| SECTION 6 – PROJECT INFORMATION | | | | | | | | | | | |
|---------------------------------|---|---|--------------------------|--------------------------|------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 6.0 | Is this a multi-center study? | | | | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No | | |
| | If yes, is the Primary Investigator or this site considered the “lead” or “coordinating site?” | | | | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No | | |
| | If RGH is the lead or coordinating center, describe the plans for communication among the sites in terms of protocol modifications, unanticipated problems involving risks to participants or others and interim results: | | | | | | | | | | |
| 6.1 | Funding Source | | | | | | | | | | |
| | <input type="checkbox"/> | Federal (specify): | | | Grant Number: | | | | | | |
| | <input type="checkbox"/> | State (specify): | | | Number: | | | | | | |
| | <input type="checkbox"/> | Non-Profit (specify): | | | Number: | | | | | | |
| | <input type="checkbox"/> | Industry Sponsored (specify): | | | Industry Sponsor Protocol #: | | | | | | |
| | <input type="checkbox"/> | Cooperative Group Involvement | | | | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No | |
| | <input type="checkbox"/> | Cooperative Group #: | | | | | | | | | |
| <input type="checkbox"/> | No External Funding (if checked, enter PI’s cost center or department information: | | | | | | | | | | |
| 6.2 | Nature of Study | | | | | | | | | | |
| | <input type="checkbox"/> | Bank of Tissue / Blood / Biological specimens / Data | | | | | | | | | |
| | <input type="checkbox"/> | Social / Behavioral | | | | | | | | | |
| | <input type="checkbox"/> | Genetics | | | | | | | | | |
| | <input type="checkbox"/> | Quality Assurance / Quality Improvement | | | | | | | | | |
| | <input type="checkbox"/> | Use of Clinical Samples, Charts / Records, Database Info w/ No Direct Subject Interaction | | | | | | | | | |
| | <input type="checkbox"/> | Clinical Trial: | | | | | | | | | |
| | | Type | <input type="checkbox"/> | Drug | <input type="checkbox"/> | Device | <input type="checkbox"/> | Biologic | <input type="checkbox"/> | Surgical Procedure | <input type="checkbox"/> |
| | Phase | <input type="checkbox"/> | 1 | <input type="checkbox"/> | 2 | <input type="checkbox"/> | 3 | <input type="checkbox"/> | 4 | <input type="checkbox"/> | N/A |
| 6.3 | Has Pharmacy approved this study? | | | | <input type="checkbox"/> | Yes | | <input type="checkbox"/> | No | | |

| | | | | | |
|--|---|---|-----|--------------------------|----|
| Handling of Investigational Items for Dispensation Specific to Clinical Drug / Biologic / Device Studies: | | | | | |
| 6.4 | Have all staff responsible for investigative item(s) received training regarding control and dispensation of the investigational item(s)? <i>(Physical documentation of this training is subject to verification through the audit process.)</i> | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | If YES, describe when the training occurred and who provided the training (i.e., sponsor site meeting): | | | | |
| | If NO, the PI maintains that IRB policies 502 A, B and C have been reviewed with study staff for proper investigational item control. | PI initial here to acknowledge policy requirements: | | | |
| 6.5 | Is the investigational item being stored and dispensed from a licensed pharmacy? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | If YES, list the participating pharmacy(ies): | | | | |
| | If NO, describe the plan to control the investigational item(s) with regard to storage and dispensation: | | | | |
| 6.6 | If the above plan involves investigational drugs / biologics, has the plan been reviewed with a licensed pharmacist? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | If YES, state the pharmacist's name and date of review: | | | | |
| | If NO, the IRB Chairperson reviews the above plan for appropriate controls regarding the investigational item. | | | | |
| 6.7 | Request for Expedited Status: | | | | |
| | Are you requesting EXPEDITED status? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

SECTION 7 – RISKS AND BENEFITS

| | | | | | | | | |
|--------------------------|--|---------------------------|----------------------------|----------------------------|---|---|--------------------------|--------|
| 7.0 | Will the research involve any of the following risks? (check all that apply) | | | | | | | |
| | <input type="checkbox"/> | Physical | <input type="checkbox"/> | Psychological | <input type="checkbox"/> | Economical | <input type="checkbox"/> | Social |
| | <input type="checkbox"/> | Legal | <input type="checkbox"/> | Information Security | <input type="checkbox"/> | Accidental Disclosure of Protected Data (PCI, PHI, PII) | <input type="checkbox"/> | Other |
| | If other, please describe: | | | | | | | |
| 7.1 | Describe the nature and degree of all risk or harm associated with participation in the study (this information should be included in the consent form): | | | | | | | |
| 7.2 | Explain what steps will be taken to minimize risks or harms and to protect participant welfare: | | | | | | | |
| 7.3 | Describe any anticipated benefits that may result from the research: | | | | | | | |
| 7.4 | Methods of Enrollment | | | | | | | |
| | Check all that apply | | | | Please enter related location below & attach copies of recruitment materials: | | | |
| | <input type="checkbox"/> | Your Practice Referral | | | | | | |
| | <input type="checkbox"/> | Outside Practice Referral | | | | | | |
| | <input type="checkbox"/> | Chart Review | | | | | | |
| | <input type="checkbox"/> | Advertisement | | | | | | |
| | <input type="checkbox"/> | Web Listing | | | | | | |
| <input type="checkbox"/> | Other | | | If Other, please describe: | | | | |
| 7.5 | Indicate how candidates for participation will be approached (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Direct Contact | <input type="checkbox"/> | Letter | <input type="checkbox"/> | Phone Call | <input type="checkbox"/> | Email |
| | <input type="checkbox"/> | Other | If other, please describe: | | | | | |

| | | | | | | | | |
|----------------------------|--|------------------|--------------------------|--------------------------|--------------------------|-----------------|--------------------------|----------------------|
| 7.6 | Please indicate the source(s) of data for this study (check all that apply): | | | | | | | |
| | <input type="checkbox"/> | Interviews | <input type="checkbox"/> | Focus groups | <input type="checkbox"/> | Medical records | <input type="checkbox"/> | Photos / videos |
| | <input type="checkbox"/> | Registries | <input type="checkbox"/> | Questionnaires / Surveys | <input type="checkbox"/> | Public records | <input type="checkbox"/> | Biological Specimens |
| | <input type="checkbox"/> | Voice recordings | <input type="checkbox"/> | Other | | | | |
| If other, please describe: | | | | | | | | |
| 7.7 | Will data be linked to participants / cases or contain any personal identifiers? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 7.8 | Will data be de-identified and if so, will study personnel have any links / keys to identifiers? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 7.9 | Does this study involve genetic analysis? | | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

| SECTION 8 – INFORMED CONSENT / ASSENT / PRIVACY FORMS | | | | | | | | |
|---|--|-----------------------------------|--------------------------|---|--------------------------|---|--------------------------|----------|
| Consent Process | | | | | | | | |
| 8.0 | Will informed consent be obtained from participants: | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | | | | If YES , then <i>skip</i> Section 9 “Waiver of Consent” | | If NO , then <i>complete</i> Section 9 “Waiver of Consent” | | |
| 8.1 | Who will be consenting to participate in the research? | | | | | | | |
| | <input type="checkbox"/> | Participant | <input type="checkbox"/> | Child | <input type="checkbox"/> | Parent of child | <input type="checkbox"/> | Guardian |
| | <input type="checkbox"/> | Legally authorized representative | | | | | | |
| 8.2 | Is the primary language of the consent process English? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | | | | | | If NO , submit appropriately translated consent document(s). | | |
| 8.3 | Does your study involve children? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | | | | If YES , child assent is required by regulation if the child is capable of providing such assent (typically ages 7 to 17). | | | | |
| 8.4 | Does your study involve the collection, use or sharing of Protected Health Information (PHI)— (see definitions)? | | | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |

SECTION 9 – Waiver of Consent

Only complete this section if you answered “NO” to question 8.0 in Section 8 of this form.

Participants will not be required to sign a consent document when a waiver of signed written consent is reviewed and approved by the IRB. If the IRB waives the requirement of documentation of informed consent, the IRB may require the investigator to provide a written statement of the research to the participant. The IRB shall review and approve the written statement prior to the investigator providing the statement to the participant. The consent form reviewed and approved by the IRB may also serve as the written statement.

| | | | | | |
|--|---|--------------------------|-----|--------------------------|----|
| 9.0 | Is a waiver of consent requested? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | If YES: 1. Select and explain the reason for the waiver 2. Category 1 <u>OR</u> 2 below must be indicated as “ YES. ” | | | | |
| | Category 1 The only record linking the participant and the research is the consent document and the principal risk would be potential harm resulting from a breach of confidentiality. Each participant will be asked whether they want documentation linking them with the research and their wishes will govern. The research is not subject to FDA regulations | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| | Please explain your selection of Category 1: | | | | |
| | Category 2 The research presents no more than minimal risk of harm to participants and involves no procedures for which written consent is normally required outside of research context. | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| Please explain your selection of Category 2: | | | | | |

SECTION 10 – PRIVACY AND CONFIDENTIALITY

10.0 Describe how information will be accessed from or about participants and the provisions used to protect the privacy—see definitions—interests of participants (e.g., Participant interactions are conducted in a private room, discussions are held in a private exam room, only designated personnel are present during discussions):

10.1 Describe the instituted measures to protect the confidentiality of identifiable private data of study participants (e.g., PHI kept in locked storage cabinets, use of password protected computer files containing PHI, limited access to PHI, use of identifiers, processes for appropriate data destruction) and who will access to the data:

SECTION 12 – ELECTRONIC ENCLOSURES SUBMITTED

| Check all that apply | | Quantity Required |
|----------------------|---|--|
| 12.0 | <input type="checkbox"/> IRB Application | 1 electronic copy |
| | <input type="checkbox"/> Abstract | 1 electronic copy |
| | <input type="checkbox"/> Application fee - \$2,000 (for sponsored and funded research only) | Not applicable |
| | <input type="checkbox"/> Expedited review fee - \$1000 (for sponsored and funded research only) | Not applicable |
| | <input type="checkbox"/> Advertisements | 1 electronic copy |
| | <input type="checkbox"/> Letters of Support | 1 electronic copy |
| | <input type="checkbox"/> Package Insert | Investigator initiated Drug/Device Studies - 1 electronic copy |
| | <input type="checkbox"/> Protocol | 1 electronic copy |
| | <input type="checkbox"/> Informed Consent | 1 electronic copy |
| | <input type="checkbox"/> Human Subjects Protection Program (HSPP)—for each research team member if not previously filed with the RRH Institutional Review Board (IRB) | 1 electronic copy for each research team member |
| | <input type="checkbox"/> Questionnaire / Survey | 1 electronic copy |
| | <input type="checkbox"/> Investigator’s Brochure | 1 electronic copy |
| | <input type="checkbox"/> Other | If other, please describe: |

SECTION 13 – APPROVAL LETTER REQUIREMENTS

| | |
|------|--|
| 13.0 | Note any specific information related to the protocol which needs to be included in the approval letter (i.e., version dates, consents, protocol, etc.): |
|------|--|

SECTION 14 – REQUIRED SIGNATURES

| | | | |
|---------------------------------------|--|--------------------|--|
| 14.0 | Research Study Title: | | |
| 14.1 | Principal Investigator, by signing this application form: <ul style="list-style-type: none"> I agree to accept responsibility for the rights and welfare of the research participants involved with this study. I agree that the benefits outweigh the risks to the participants in the study. I agree to comply with the Rochester Regional Health’s Guidelines of the use of Human Studies in Research. I certify that, to the best of my knowledge, I am in compliance with the Department of Health and Human Services and Federal Drug Administration policies and procedures regarding the protection of human subjects. | | |
| | Principal Investigator Signature: | | Date: |
| 14.2 | Department Chair, by signing this application form: <ul style="list-style-type: none"> I certify that the research proposed in this human studies application is of sound design, which is able to address the scientific question or questions posed. Furthermore, I certify that the Principal Investigator has adequate time and resources to meet the study design requirements and complete the study as proposed in this application form. | | |
| | Department Chair Signature: | | Date: |
| | Print Department Chair Name: | | |
| 14.3 | Will staff from other departments or units participate in this project or will resources of another department, unit or office be used? | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | | Dept./Unit 1 Name: | Dept./Unit 2 Name: |
| | | | Dept./Unit 3 Name: |
| | I have read the protocol: | Initials: | Initials: |
| | I have no concerns with the protocol: | Initials: | Initials: |
| I approved the study to be conducted: | Initials: | Initials: | |
| 14.4 | Signature(s) of Department, Unit Director or Manager | | |
| | Dept. / Unit 1 Signature: | | Date: |
| | Dept. / Unit 2 Signature: | | Date: |
| | Dept. / Unit 3 Signature: | | Date: |