

NEW REQUIREMENTS FOR IUB RESEARCHERS USING HUMAN SUBJECTS

Beginning July 1, 2002, ALL researchers will have to document that they have been trained to involve humans in research by passing the IU test for using humans in research, before their study will be reviewed. The tutorial and test can be found at

<http://www.iupui.edu/~resgrad/Human%20Subjects/HumanSubjectsCourse.html>

Proof of having passed the test should accompany the application at the time of submission. Failure to provide proof with the application will delay the review until documentation is obtained. This applies to all submissions (new, continuation and/or amendment) regardless of funding or rank of the PI, sponsor and co-investigators.

The office staff can access the database to see who has passed the test, but sometimes names are not spelled the same in the database as in the application to us. Because of this, we suggest you follow the procedures in the next paragraph, so we are notified as soon as the test is passed.

When you are at the log-on page for the test, you should enter your own e-mail address in the appropriate box. Be sure you check the box to receive a notice of your own score. Also enter our e-mail address <iub_hsc@indiana.edu> in the appropriate box, so we will receive a notice as soon as you have passed the test.

Those individuals specifically listed in the application as PI, sponsor, and/or co-investigators must provide proof of having passed the test.

Any questions about these new requirements may be addressed to the Committee's office at iub_hsc@indiana.edu or (812) 855-3067.

2/7/03

CONFLICT OF INTEREST - ADDENDUM TO APPLICATION PACKET

Effective 10/1/02

Please provide the following information as the last section of your research statement, regardless of the source of funding for the proposed research or the level of review:

1. Does anyone who will participate in the design, conduct, or reporting of the proposed research have a "significant financial interest," as defined in the University's Policy on Conflict of Interest, {<http://www.indiana.edu/~resrisk/conflict.html>} that is related to the subject matter of the research? If so, please describe the interest(s)
2. If the answer to (1) is yes, would that interest reasonably appear to affect, or be affected by, the design, conduct, or reporting of the proposed research? Please explain why or why not.
3. If the answer to (2) is yes, has this significant financial interest already been disclosed through a conflicts of interest disclosure form? If so, please append to this application a copy of the disclosure form and any other information indicating when and by whom the disclosure was reviewed, whether or not a conflict was identified, and if a conflict was identified, any steps taken to avoid, manage, resolve, and (where applicable under federal law) report that conflict. If a conflicts management plan was entered into, please attach a copy of that plan.

If a potential conflict of interest related to the proposed research is identified, based on external financial interests of the person(s) designing, conducting, or reporting the research, the Committee will work with the investigator(s) to develop appropriate language for the Informed Consent Statement or Study Information Sheet addressing the potential conflict.

Below are examples of conflicts of interests in hypothetical situations where human subjects are involved. They may also raise general conflict of interest questions which would be handled pursuant to the campus procedures on conflicts of interests.

- X has a grant to conduct trials of a new hearing aid. The year before, X who designed the new hearing aid licensed the product to Clear as a Bell, Inc. In return, X received a 10% share of the Company. X has a conflict of interest: His financial interest in the business that makes the product may bias his research into its effectiveness. The conflict must be disclosed to the IRB, which may decide that X's conflict be disclosed to the subjects in the informed consent, and will need to consider whether or not any further conflicts management may be required.
- X, a faculty member at the School of Education, sets up a corporation to do educational testing of children with learning disorders. X is president of the corporation and owns 80% of the shares of the company. X had devised a new instrument and wishes to test its validity. Her protocol to the IRB states X will test children in a number of schools in the state. If the test proves to be effective, X intends to license use of the test to her corporation. X has conflict of interest. Her financial interest is significant. The IRB needs to know of the conflict so that it can determine whether or not the subjects (the children and the parents) need to be informed of the conflict of interest, and how to best monitor the conflict.
- X is a faculty member at HPER. X has developed a plan of exercise for obese adults. X's plan is set forth in his book on exercise. X has human subjects approval to run an exercise clinic for both therapeutic and research purposes. X requires participants to buy X's book and video-tape on exercise. X has a conflict of interest which needs to be disclosed to and evaluated by the IRB.

REMINDER OF NEW PROCEDURES

1. Effective 1/31/01 the following requirements must be followed for **consent forms and information sheets ONLY**:
 - type size can be no smaller than Arial 11 or Times New Roman 12
 - line spacing must be no less than .9, with 1 (or single) being preferred
 - both side margins must be at least 1 inch
 - top and bottom margins should be no less than 3/4 inch
 - there must be a blank space of at least 1 1/2" high x 3" wide at the end of the form
 - do not squeeze as many words as you can on a page
 - use the sub-headers as shown in the sample forms included in the application packet, and bold face them
 - break long sections into paragraphs of like information
 - Remember -- the language used should be understandable to the subject population and should NEVER be higher than eighth grade reading level

These requirements are to be implemented immediately by all researchers for new AND continuing studies. This means previously approved forms will likely have to be altered.

2. Effective 6/30/99 for all newly approved studies, amendments and continuing reviews researchers will be required to give subjects the version of the consent form and/or study information sheet that has been stamped showing the approval and expiration dates of the form. (E-mail information sheets must carry these dates at the end of the "sheet.")

Be certain that your consent form/information sheet has a blank space at least 1 1/2" high by 3" wide at the bottom of the last page where the stamps can be affixed.

3. Effective 6/30/99 all studies that are being submitted to any HHS agency for funding must submit the identical information to the Human Subjects Committee (HSC) as was submitted in the grant application. And, a copy of the grant application must be provided with the HSC application.

The information provided in the Committee packet must coincide with the information provided in the human subjects section of the grant application. ONE COPY of the grant application must be provided with the completed application to the Committee

The agencies involved include CFDCP, HRSA, FDA, NIH and its subagencies among several others. If you are unsure as to whether an agency is part of HHS, call the Committee office.

If you have any questions about these new policies, please contact the Committee office.

APPLICATION REVIEW PACKET

We recommend that you read the guidelines (available here on the WWW at <http://www.research.indiana.edu/rschcomp/hmpg.html>) before completing your application. It will give you background information and detail on regulations and how the committee operates.

You may want to use a hard copy of the packet for reference and to see how certain pages are to be formatted. **Page 3 must be printed on a single sheet of paper. If this page carries over to 2 pages, or is not complete on one page (or you don't submit the entire checklist, page 4 or 6 & 6a) you will be asked to resubmit that page.** The other pages may take as few or as many sheets of paper as needed. You do not need to maintain the exact pagination format, just the exact order of the sections.

This document has been formatted to print on an HP LaserJet 5P printer (arial 8 & 10 point). In all likelihood you will have to reformat it and choose fonts that will work on your printer. You may also need to adjust the line spacing. If you have problems with a page running over, we suggest you try .9 line spacing rather than 1 and see if that will help.

Please observe type size specifications throughout your application (and for consent forms or study information sheets), or it will be returned to you without review. Small type may make it difficult for reviewers to read the application and for subjects to read the consent form or information sheet. The application must conform to the following three requirements: 1) The height of the letters must not be smaller than 10 point. 2) type density must be no more than 13 cpi (characters per inch). For proportional spacing, the average for any representative section of text must not exceed 13 cpi. 3) No more than 6 lines of type may be within a vertical inch. We recommend you use arial 11 point or times new roman 11 point.

Please also take care to differentiate between the type size/style used for the information appearing on the forms and your responses.

If you have any questions or problems with formatting you may contact the office staff (Cybil Cole, Senta Baker, or Sherry Babcock) at 855-3067 or e-mail at iub_hsc@indiana.edu. Also, we would welcome comments on how to make the forms easier to use.

CURRENT REVIEW SCHEDULES

Exempt and Expedited applications are reviewed weekly. Deadline is 5:00 p.m. on Friday for review the following week. There are occasional modifications due to vacations, illness, etc. You may contact the office for current information.

Deadline change for review the week of January 17. Due to the Martin Luther King Holiday on January 17, the deadline for receipt of applications for review that week is changed to Thursday, January 13.

Full Committee applications are reviewed monthly. Deadlines are 5:00 p.m. on:

January 3 for the January 20 meeting
January 28 for the February 17 meeting
March 4 for the March 24 meeting
April 1 for the April 21 meeting
April 29 for the May 19 meeting
May 27 for the June 16 meeting

REMEMBER -- These forms are to be used only for the Bloomington campus of Indiana University.

**BLOOMINGTON CAMPUS COMMITTEE for the PROTECTION OF HUMAN SUBJECTS
(Institutional Review Board)**

**INSTRUCTION PACKET
FOR SUBMITTING A RESEARCH PROTOCOL INVOLVING HUMAN SUBJECTS**

Indiana University requires that all research utilizing human subjects **be approved BEFORE THE RESEARCH BEGINS (including subject recruitment)**. This satisfies a number of federal, state and institutional regulations and, more importantly, assures protection of the rights and welfare of persons used in research. Your cooperation is essential in following the procedures outlined. Committee policies are available at:

<http://www.research.indiana.edu/rschcomp/hmpg.html>

PLEASE READ THIS ENTIRE INSTRUCTION PACKET. SUBMIT **ONLY** THE DOCUMENTS THAT APPLY.

1. A packet must be prepared for each research study using human subjects that is submitted to the Committee for review. This packet is available in 3 different formats on the WWW @ <http://www.research.indiana.edu/rschcomp/instruct.html>. Assistance in preparation of materials for Committee review is available. Contact the Committee Office, 855-3067, or at iub_hsc@indiana.edu. **Route the completed packet (see below for number of copies) to the Human Subjects Committee, Carmichael Center L03, 530 E. Kirkwood Ave.** Please allow a minimum of 2 weeks for processing of Exempt and Expedited reviews. Studies that require full Committee review will take longer. Call for a schedule of review deadlines or check the WWW at <http://www.research.indiana.edu/rschcomp/operate.html>.

2. Research projects involving human subjects can be reviewed by the Committee in three ways:

A. **EXEMPT RESEARCH REVIEW** (Special subject populations do not qualify. See page 4 for eligibility requirements.) **FOR THIS REVIEW RETURN 1 COPY:**

Documentation of Review and Approval(page 3)
Exempt Research Checklist(page 4)
Exempt Research Statement (page 5)
Study Information Sheet.....(see pages 2 [item B] & 14)
Other supporting documents.....(see page 2, items F-G)

B. **EXPEDITED REVIEW** (See page 6 for eligibility requirements.) **FOR THIS REVIEW RETURN 1 COPY:**

Documentation of Review and Approval..... page 3)
Expedited/Full Review Checklist..... (page 6 & 6a)
Summary Safeguard Statement..... (pages 7-9)
Informed Consent Statement.....(see pages 2 [item D] & 10-13)
Other supporting documents.....(see page 2, items F-G)

C. **FULL COMMITTEE REVIEW** (See page 6 for eligibility requirements. Circling any of items 14-17 will indicate the need for a full review.) **FOR THIS REVIEW RETURN 2 COPIES:**

Documentation of Review and Approval.....(page 3)
Expedited/Full Review Checklist..... (page 6 & 6a)
Summary Safeguard Statement.....(pages 7-9)
Informed Consent Statement.....(see pages 2 [item D] & 10-13)
Other supporting documents.....(see page 2, items E-G)

3. **DOCUMENTS**

- All documents must be neatly typed and legible. **USE TYPE SIZE NO SMALLER THAN ARIAL 11 POINT.** Use lay language. Use of technical language will result in delays.
- **INCOMPLETE INFORMATION OR USE OF SMALL TYPE SIZE WILL RESULT IN DELAYS.**
- Do not type on the reverse side of any form.

A. **DOCUMENTATION OF REVIEW AND APPROVAL.** (Page 3, required for all types of review.) The HSC will assign the study # upon receipt of the application. A response must be provided for each blank. Project Duration dates should be when **data collection (analysis, in the case of use of existing data) begins** (this should be after the submission date) and when **data analysis will be completed**. List only one Principal Investigator on this page (see page 5, section D & 9, section I). Address should be where written notices will reach PI fastest. Signatures must be originals and by the person (no "per"). **Page 3 must be on a single page; do not carry it over to a second sheet of paper.**

INSTRUCTIONS (continued)

- B. **EXEMPT RESEARCH.** Complete only pages 4 & 5 if the project falls in one or more of the categories listed on page 4. A **Study Information Sheet** must be used with most types of projects in this level of review (not required for category 4). A signed consent form will be required in some instances, and may be substituted for the Study Information Sheet if the researcher wishes proof of participation. *A sample format is provided on page 14.* The Study Information Sheet should contain the information listed in items 1-9 on page 10. Indicate how the information will be given (written or oral). If the Study Information Sheet is to be in a foreign language, submit the foreign language version and an English translation. If minors are the subjects, parental consent will be required in most cases. **Type size must be no smaller than ARIAL 11 point or TIMES NEW ROMAN 11 point.**
- C. **SUMMARY SAFEGUARD STATEMENT.** Complete pages 6-9 if the project requires expedited or full review. A response must be provided for each item. This document can be typed on plain paper maintaining the identical order and wording if additional space is needed for responses. **Type size must be no smaller than ARIAL 11 point or TIMES NEW ROMAN 11 point.**
- D. **INFORMED CONSENT STATEMENT.** Expedited and full-review studies are required to obtain a signed consent form from each subject. Careful review of the attached Informed Consent Statement checklist (pages 10 & 11) is important in the preparation of this document (*see sample format on pages 12 & 13*). If the investigator is unable to include an Informed Consent Statement for any reason, a written explanation is required. Requests for deviations from standard documentation of consent must be reviewed by full committee. If the Informed Consent Statement is to be in a foreign language, submit the foreign language version and an English translation. **Type size must be no smaller than ARIAL or TIMES NEW ROMAN 11 point.**
- E. **FULL REVIEW.** In addition to a detailed Summary Safeguard Statement, applications for full review **MUST** include a review of pertinent literature and a description of procedures for data analysis. Researchers are responsible for providing copies of all documentation for all members for full review. Researchers will be notified as to the number of copies needed, and the date by which they are required.
- F. **INSTRUMENTS (all levels).** Include any instrument to be used; e.g., questionnaires or surveys. In the case of interviews, include a list (or representative sample) of the questions to be asked. If subjects will do a task, provide a sample copy of the task. Copy for any advertising should be submitted. All information that will be used to recruit subjects (precontact, letters, phone scripts, follow-up, etc.) must be submitted. If instruments are to be in a foreign language, submit the foreign language version and an English translation. All documents must be in the actual format that will be used.
- G. **COOPERATING INVESTIGATORS, DEPARTMENTS OR INSTITUTIONS.** If it is anticipated that another investigator or department may be involved in the research, include a coinvestigator from each cooperating department (see page 5, section D & page 9, section I). If the study will be conducted with another institution, include a letter of cooperation from that institution.
4. **AMENDMENTS** Investigators are required to report any proposed changes whatsoever to their research study via a **Study Amendment** form (send one copy with original signatures). Be sure to reference the original title of the study and the principal investigator.
5. **CONTINUING REVIEW** A status report must be filed with the Committee on at least an annual basis (send one copy with original signatures). The HSC office will generate these reports for your completion. However, it is important for the investigator or the investigator's department chairperson to complete this form if the study is discontinued for any reason prior to receiving this form. This form must be completed even if the study was never initiated or was terminated for any reason.
6. **FILE MAINTENANCE** It is important for the investigator to **KEEP A COPY** of every document related to the research study which is submitted to the Committee. For audit purposes, these documents must be kept for at least three (3) years after terminating the study.
7. **ACTIONS** Much of the detail in these forms is required by Federal regulation. The Committee recognizes that this process can be frustrating and is willing to help in whatever way we can. Investigators will receive written notification of the results of the research proposal reviews within one week after the meetings. If immediate approval is not received, approval can be obtained with modifications of the original proposal in the vast majority of cases. The Committee will provide feedback on the appropriate changes which will result in acceptance of the proposal. Please refer to the principal investigator, exact title, and protocol number when submitting any documents related to a particular study. **Please remember that research (or amendments to the research) may not begin until this written approval is secured.**

INDIANA UNIVERSITY
BLOOMINGTON CAMPUS COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS

DOCUMENTATION OF REVIEW AND APPROVAL
Of Research Project Utilizing Human Subjects

Study #

TITLE OF PROJECT Research on the Integration of a Decision-Making Process and a Learning Process in a Newly Formed Leadership Team for Systemic Transformation of a School District

PROJECT DURATION - START DATE April 29, 2005 END DATE June 30, 2010

PRIN. INVESTIGATOR Kurt B. Richter SCHOOL/DEPARTMENT Education/Instructional Systems Technology

ADDRESS 3816 S. Bushmill Dr., Bloomington, IN 47403 E-MAIL kurichte@indiana.edu PHONE 812-335-8177

RANK: Faculty Res. Scientist Post-Doc Staff Student: undergrad masters PhD EdD

If PI's rank is OTHER than faculty, name of faculty overseeing the research (SPONSOR) Charles M. Reigeluth

SPONSOR'S E-MAIL & CAMPUS ADDRESS School of Education, Room 2236 PHONE 812-856-8464

FUNDING AGENCY _____ APPL. DEADLINE _____

AGENCY PROJECT # _____ New Continuation

As the principal investigator, my signature testifies that I pledge to conform to the following:

As one engaged in investigation utilizing human subjects, I acknowledge the rights and welfare of the human subject involved.

I acknowledge my responsibility as an investigator to secure the informed consent of the subject by explaining the procedures, in so far as possible, and by describing the risks as weighed against the potential benefits of the investigation.

I assure the Committee that all procedures performed under the project will be conducted in accordance with those Federal regulations and University policies which govern research involving human subjects. **Any deviation from the project (e.g., change in principal investigator, research methodology, subject recruitment procedures, etc.) will be submitted to the Committee in the form of an amendment for its approval prior to implementation.**

PRINCIPAL INVESTIGATOR:

Kurt Brownell Richter (Test ID: 1075240709) _____ June 17, 2005
(typed/printed name) (signature) (date)

As the faculty sponsor, my signature testifies that I have reviewed this application and that I will oversee the research in its entirety, through the termination report.

FACULTY SPONSOR:

Charles M. Reigeluth _____ June 17, 2005
(typed/printed name) (signature) (date)

CAMPUS LEVEL REVIEW

This protocol for the use of human subjects has been reviewed and approved by the Indiana University/Bloomington Campus Committee for the Protection of Human Subjects.

_____ Exempt Review ¶# _____, _____ Exempt ¶# _____ with signed/documentation of consent,

_____ Expedited Review ¶# _____, _____ Full Review, _____ Not Approved, _____ Withdrawn

Chairperson/Agent IUB Committee _____ Date _____

logged in ts _____ approval logged _____ copy to PI _____ notice to SOE _____ rank code _____

test: PI _____ sponsor _____ co-PI _____

**BLOOMINGTON CAMPUS COMMITTEE for the PROTECTION OF HUMAN SUBJECTS
EXEMPT RESEARCH CHECKLIST**

DIRECTIONS: This form is to be completed and submitted to the Committee **only** when the investigator plans a research project which, in the investigator's judgment, is exempt from expedited or full Committee review. Even Exempt studies require at least one member or Agent of the Committee to review it. *Research activities are exempt from regulations for the protection of human research subjects when the **only** involvement of human subjects falls within one or more of the categories below.*

STUDIES INVOLVING PRISONERS, FETUSES, OR PREGNANT WOMEN as subjects, OR involving HUMAN IN VITRO FERTILIZATION WILL NOT BE ACCEPTED AS EXEMPT FROM COMMITTEE REVIEW.

STUDIES INVOLVING **MINORS** in categories 1, 3, 4, 5, & 6 **WILL** BE ACCEPTED AS EXEMPT FROM COMMITTEE REVIEW. Researchers with category 2 studies involving **MINORS** should call the Committee office, 855-3067, for help in determining the type of review required.

If you are doing research in Indiana public schools, or your research is funded by the US Department of Education, and minors are involved, certain additional restrictions apply. Contact the Committee office, 855-3067, for further information.

Circle the appropriate category #s that apply to your research project & underline, or highlight, the specific section within the category:

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) 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:** (i) Information obtained is recorded in such a manner that the human subject can be identified, directly or through identifiers linked to the subjects; **and** (ii) any disclosure of the human subject's responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, or reputation. **See page 2, item F.**
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 under paragraph 2, **if:** (i) The human subjects are elected or appointed public officials or candidates for public office; **or** (ii) federal statues(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter. **See page 2, item F.**
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 subject.
5. Research and demonstration projects which are conducted by or subject to the approval of federal department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs (e.g., social security, welfare, etc.); (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.
6. Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) 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 or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

BE SURE YOU HAVE CIRCLED AT LEAST ONE ITEM THAT APPLIES TO YOUR PROJECT AND UNDERLINED THE SPECIFIC SECTION WITHIN THE ITEM, THEN COMPLETE PAGE 5.

EXEMPT RESEARCH STATEMENT**Use type size no smaller than ARIAL 11 point.**

If additional space for responses is desired, this document may be retyped onto plain paper Maintaining the identical order and exact question wording while adding extra space where needed.

- A. Provide a brief description, in lay terms, of the purpose of the proposed study and the procedures to be used. If interviewing, will you tape? What happens to the tapes at the end of the study? If they are to be kept, how long? If student research, indicate whether for a course, a thesis, dissertation, or independent research. If the study is only for a course, please review the Student Research Policy to ascertain if this project requires HSC review. For use of existing data provide a description of the data to be used.

The purpose of this dissertation study is to test and improve a design theory for systemic change in public school districts. In the Guidance System for Transforming Education, phase 3, facilitators are advised to prepare expanded teams for the process. This dissertation will examine the integration of the decision-making track and the learning track so that both tasks are accomplished within the most efficient period in the early stages of a leadership team. We will also examine the sequence of decisions that a leadership team must make and determine what learning activities should be associated with the decisions made by a leadership team. As change facilitators we will be participants in the case study.

Data that has already been collected and will be used comes from Study 01-4224 and includes observations, field notes, interviews, and audio or video recordings of meetings held with stakeholders (e.g., school board members, district administrators, principals, teachers, and parents) in the school community

New data will be collected by observations, field notes, interviews, and audio or video recordings of meetings held with stakeholders (e.g., school board members, district administrators, principals, teachers, and parents) in the school community. Interview questions will focus on the following:

- What elements of the literature that was used by the Leadership Team worked well?
- What elements of the process used to engage with the literature that was used by the Leadership Team worked well?
- What elements of the literature that was used by the Leadership Team did not work well?
- What elements of the process used to engage with the literature that was used by the Leadership Team did not work well?
- What other samples of literature used by the Leadership Team would work better.
- When should the other samples of literature be used by the Leadership Team?
- What changes in the way that the Leadership Team engaged with the literature should have been made in the observed process used by the Leadership Team?
- What guidelines should be added to the GSTE to improve the process?

- B. Describe the process by which subjects will be recruited/selected (see item F on page 2), how many (or estimate) will be involved, and any benefits to the subjects. In the event of monetary gain, include all payment arrangements. If merchandise or service is given, indicate the value. If class credit will be given, list the amount and the value as it relates to the total points needed for an A. Describe other ways to earn the same amount. Tell how much payment/credit will be given if the subject withdraws prior to completion of the study. (See policy at <http://www.research.indiana.edu/rschcomp/compensation.html>) If minors are used, indicate the approximate age range. If only using male or female subjects, explain why. Disclose any relationship between researcher and subjects, such as: teacher/student; superintendent/principal/teacher; employer/employee. (See Students as Subjects section in the Policy guidelines.) For use of existing data, provide the number of records to be used.

Existing data that will be used includes Leadership Team video recordings that date back to January 13, 2003 (27 Video files), Audio files of Facilitation Team meetings dating back to January 13, 2003 (30 audio files), meetings between the Principal Investigator Charles Reigeluth and miscellaneous Facilitation Team Members (25 audio files), and meetings of the Decatur Support Team (63 audio files), the accompanying notes taken at each of these meetings, and any written products of the meetings.

Subjects for interview will be 20-25 members of the Leadership Team that is already formed in the MSD Decatur School Corporation, including the superintendent Donald Stinson; administrators Gary Pellico, Pat Jones, Janet Larch, Troy Guthrie, Susan Adams, Rosie O'Brien, and Debbie Sullivan; school board members Judith Collins and Larry Taylor; teachers Sheila Corbin, Kaye Gaither, Rose Hootman, and Kathy Walton; and community members Melody Culver, Tina Ervin, and Kelly Brawner, and other Leadership Team members.

- C. Where will this study be conducted? If done during regular class time, what will non-participants do? How much time will be required of the subjects? If using questionnaires, how will they be distributed and collected? Describe methods for preserving confidentiality. How will data be recorded and stored, with or without identifiers? If identifiers are used describe the type: names, job titles, number code, etc. How long are the identifiers kept? If coding system is used, is there a link back to the subject's ID? If yes, where is the code list stored in relation to data, and when is the code list destroyed? How will reports be written, in aggregate terms or will individual responses be described? Will subjects be identified in reports (see item 5 on page 10)? For use of existing data tell whether identifiers are still attached to the data.

This study will be conducted in the Decatur school community. Participants have met for two to three hours weekly or biweekly at various times during the study, but that time has been devoted to the change effort, not to the study. Data has been collected and will be analyzed via observations, notes, and recordings. Interviews conducted will take place following regularly scheduled meetings and will not exceed 15 minutes per participant. Pseudonyms and/or positions/roles will be used in all reports at the end of the study, unless such would compromise the confidentiality of a participant. If necessary to maintain confidentiality, no mention will be made of the participant. If there is any doubt, the participant will be shown the report and given the right to be removed. Any record of any kind that identifies subjects with pseudonyms will be kept in a locked cabinet in a locked office in the School of Education and will be destroyed within two years of the end of the study.

- D. Coinvestigators, not listed or signing on page 3, are to be listed here and should sign here, pledging to conform to the statements on page 3. **Please provide the person's name & e-mail address.**

None

4. Does anyone who will participate in the design, conduct, or reporting of the proposed research have a "significant financial interest," as defined in the University's Policy on Conflict of Interest, (<http://www.indiana.edu/~resrisk/conflict.html>) that is related to the subject matter of the research? If so, please describe the interest(s)

No

1/05;www;ms

INDIANA UNIVERSITY - BLOOMINGTON

STUDY INFORMATION SHEET

Research on the Integration of a Decision-Making Process and a Learning Process in a Newly Formed Leadership Team for Systemic Transformation of a School District

You are invited to be included in a research study connected with the Decatur school change effort. The purpose of the study is to improve our knowledge about how to facilitate change in public school systems.

INFORMATION

We will be using a series of guidelines to help you and the Decatur community to engage in a school change effort. Our involvement in facilitating your change effort is expected to last from one and a half years to five years. As a part of the Decatur change process, you will be participating in an interview. We will be recording the interview via written notes, audio and/or video. The purpose of recording the interview is for identifying strengths and weaknesses in the literature used in the change process and identifying ways of improving the change process. These findings may be presented at professional conferences, or published in dissertations, books, and/or professional educational journals. However, we will ensure that your identity will not be revealed in any documents that we make public. While the study is in progress, the audio/video tapes will be kept in a locked cabinet in a locked office in the School of Education. The tapes will be destroyed on June 30, 2012.

BENEFITS

As a state higher educational institution, we are providing your school district with a service to facilitate your change effort. Ultimately our goal is to help your school district achieve significant improvements with which all stakeholders are happy. In addition, our study of this process should help Indiana University to do a better job of meeting the needs for change in other school districts in Indiana.

CONFIDENTIALITY

We will keep your input completely confidential. If at any time you feel you do not want to be audio/video taped during an interview, we will immediately stop recording and solely take notes. Personal identifying information (i.e., your name) will be removed from any records we make, and a case number will be assigned. The list of case numbers and personal identities will not be made available to anyone beyond the researchers. The researchers will destroy the identity list within two years after the study has been completed.

CONTACT

If you have questions at any time about the study or the procedures, you may contact the researcher, Mr. Kurt Richter, M.Ed., at 3816 S. Bushmill Drive, Bloomington, IN 47403 or (812)335-8177, or by email to kurichte@indiana.edu.

If you feel that you have not been treated according to the descriptions in this form, or that your rights as a participant in research have not been honored during the course of this project, you may contact the office for the Human Subjects Committee, Indiana University, Carmichael Center L03, 530 E. Kirkwood Ave., Bloomington, IN 47408, by telephone at 812/855-3067, or by e-mail at iub_hsc@indiana.edu.

PARTICIPATION

Your participation in this study is voluntary; you may refuse to participate without penalty. If you decide to participate, you may withdraw from the study at anytime without penalty and without loss of benefits to which you are otherwise entitled. If you withdraw from the study before data collection is completed your data will be returned to you or destroyed.