University of Puget Sound Faculty Senate
April 17, 2017 McCormick Room   4pm

NAME	DATE/TIME OF EDITS
Pierre Ly **Gwynne Brown** **Nancy Bristow** **Ramakrishnan** **Alisa Kessel**	**4/26 7:50pm** **4/27 6:05am, 4/28 5pm** **4/27 3:50** **4/30 12am** **5/1 2 p.m.**

1. Meeting was called to order at 4:03pm

In attendance: Kris Bartanen, Nancy Bristow, Gwynne Brown, David Chiu, Amanda Diaz (incoming ASUPS President), Sara Freeman, Bill Haltom, Robin Jacobsen, Kristin Johnson, Alisa Kessel, Andrea Kueter, Noah Lumbantobing, Siddharth Ramakrishnan, Mike Segawa, Lilian Wang, Peter Wimberger

Guests: Megan Gessel (SLC), Diane Kelly (IEC), Lea Fortmann (IEC), Tim Beyer (IRB)

2. Approval of the minutes of April 3, 2017
M/S/P: Minutes from April 3rd, 2017 were approved.

3. Updates from liaisons to standing committees
No updates from the standing committees.

4. Updates from the ASUPS President and the Staff Senate representative

The incoming ASUPS president Amanda Diaz was introduced by the outgoing ASUPS president. He mentioned that even with a lot of progress there needs to be more work done, especially with inclusion of students who feel marginalized in the campus community.

Staff Senate Update: Compensation committee drafted a memo to HR outlining

how the staff salary increase should be distributed. Letter from the Race and Pedagogy Institute (RPI) for staff participation in the steering committee for the RPI conference was endorsed.

5. Year-end report from Student Life Committee

Megan Gessel – chair of committee attended the meeting for delivering the year end SLC report.

The SLC requested that the committee be charged to have representation in other committees that relate to student life such as those that deal with issues about undocumented students, student code revision, search for new dean of students etc. There is currently room in the SLC to staff these committees.

The SLC also found that there was lack of information flow between campus communities leading to frustration, especially amongst faculty members. For example, faculty do not have a good picture of the student conduct process or about FERPA.

Gessel passed out a document on FERPA (see Appendix) that is currently being distributed to adjunct faculty and said that these FERPA guidelines would be distributed to all faculty, so that they can be constantly made aware of what can be shared.

Further, faculty do not have a good picture of the student conduct process (on the conduct side). The SLC proposes to develop resources to help educate faculty on what it means to report something to the university. This will help them better interact with students who are reporting alleged misconduct.

The SLC chair also stated that there is still uncertainty from students' perspective about the reporting process, especially with regards to sexual misconduct (See Page 3, Item 2 of SLC annual report). This leads to decreased reporting. How can faculty create resources to make this easier? Perhaps the faculty could better educate the students on the reporting process, and we could use one of the common hours to have a campus discussion about this and educate our entire community.

Next year, the SLC would like to take up again the charge from last year - "*Charge #3: Work with PSC, BHERT, and the CoD to identify conflicts, if there are any, between the Faculty Code and the Response Protocol to Incidents of Bias or Hate.*" - As not much progress had been made in the current year.

Brown asked about the fact that the Jan 25th minutes were not up. MG answered that the minutes have been submitted but just not yet been posted.

There was a discussion about the staffing of the integrity board (Page 1 of SLC

report). The SLC chair explained that both current and former SLC members have been staffing the integrity boards. It would be amenable to create a pool of members who will be qualified to staff these boards – as both time and training is a big concern for the integrity board members.

Further, new SLC members are not informed clearly that they will be staffing integrity boards when they are assigned to this committee. The chair suggested that these boards might not be work for everyone and so being thoughtful about who is on the SLC, and who maybe good for these conduct boards may be helpful. Identifying people who would be good and happy with that, and also maintaining diversity of faculty will be good for these boards.

Kessel raised the fact that most of these conduct hearing boards were staffed by two SLC members who also happened to be junior female faculty. She wondered if scheduling was really the problem or was it an excuse for other members not to serve on these boards.

The SLC chair responded that scheduling is difficult as because of Title IX, students' schedules takes highest priority. Also there is a limited timeframe within which the board has to meet, as the hearing cannot be pushed out too far. Following an email from Sarah Shives about scheduling, faculty send out their time commitments and a board hearing is scheduled.

Segawa added that there are sexual misconduct boards (SMBs) and student integrity boards (ICBs). While usually the latter are more than the former, this year there were more hearings of the SMBs than ICBs. SMBs have been staffed by a handful of staff and faculty members. These members are not placed on these boards, unless they are confident, which leads to limited pools.

Kessel: We should perhaps make it explicit on the service survey that being on SLC would mean that one would be on the conduct boards.

M/S/P: The SLC 2016-17 Year End Report was received.

6. Year-end report from International Education Committee
Diane Kelly and Lea Fortmann presented the report to the senate

Charge 1. The IEC created materials regarding reporting sexual misconduct and training for both faculty and students going abroad. See Appendix for IEC report, Exhibit A.

Charge 2- reviewing programs for study abroad:
Currently there was no standardized approach to reviewing programs. The IEC created a rubric to make this more systematic. If these recommendations are accepted, this will help the IEC and study abroad faculty next year. See IEC report Exhibit B.

One of the recommendations from the IEC is that standing charges to the committee should be changed. This will be brought up to faculty next year.

The committee approved the following revisions to the standing charges in the Bylaws (From IEC report Page 2)

1. Maintain an institutionally sustainable number of international education programs that are consistent with, and that promote the goals and objectives of international education at Puget Sound, through the review of new and existing programs.

2. Establish and review criteria and assessment procedures for evaluating international education programs.

Following review of current study abroad programs the IEC recommends removing 10 programs from the docket. They will be reviewing other programs in their next meeting.

Charges 3 and 4 are still ongoing and will be added to the report following the final IEC meeting of the year.

With regards to Charge 4 (**gather and analyze study abroad participation rate data for students of color and first-generation students),** Bristow remarked on the disparities and participation rates among 1st gen and minority students (Exhibit C) and wondered if the cost of study abroad was a factor?

Fortmann: The IEC looked into this and obtained information on financial aid. But it looks like it may be a combination of many issues – such as fitting study abroad with their major, financial and personal issues. The IEC will be looking at this further to see if cost /GPA factors in. This will be on the agenda for next year.

The Study Abroad Working Group 2 (SAWG2) is also looking at these issues and will report on them around May 1st. Faculty Senate should get the report before the retreat.

Brown: What about Charge 3 – collaboration of IEC with SLC and Committee on Diversity?

Kelly: This charge needs to be followed up. They will be talking to each other next year.

Bartanen: Do you want to include in addendum the data about student participation in study abroad (nationally vs. here)?

Kelly: We will include this report in the addendum.

Wang: What was the decision process for cutting a program?

Fortmann: If students have not been on a program for 5 years, then it was on chopping block. We also looked at overlap of programs to decide if there was need for both programs

Regarding Charge3: Welcoming international students.
Kelly: Report is coming at next meeting. International students were asked about their experiences, to see if there are patterns/commonalities that arise that need to be looked into.

Lumbantobing: Who are we welcoming, who are we reaching out to? What does that mean for our community? We need to ensure that this is an equitable institution. The focus on international students should not diminish equitability for others.

Kelly: It is a difficult, complicated, expensive task to recruit international students. Maybe we need to have a conversation about this with the new recruitment head.

Chiu: How many people were sampled for the first generation study abroad data?

Fortmann: We do have the numbers, these will be included in the addendum when we file the final report.

There was a question whether a clear explanation existed for the decline in study abroad numbers?

Bartanen: Students indicate financial issues and also fear of falling behind. Can we establish a sustainable financial model to maximize student participation? This is an important charge of the SAWG2.

Kessel: Is there a curricular question? Do they feel more pressure? What is making them feel the pressure?

Wimberger: The SAWG2 committee is mostly talking about aid and finances. We are not really dealing with curricular questions. It is difficult to fit the study abroad in vertically structured majors and credit intensive majors as there are usually multiple year-long courses.

Kelly: In some majors, it is more about advising. Students just do not know that they can actually fit the study-abroad into their plan.

Freeman: Even if students have room to go abroad, sometimes departments may not count study abroad courses towards their coursework.

Jacobsen: Do the participation rates indicated in Exhibit C include both short term and long term study abroad courses or just semester long ones?

Fortmann: In this table, only semester long/through courses are indicated, not summer programs.

Jacobsen: Perhaps students are getting these experiences through short-term study abroad courses? Maybe through a class that has study abroad experiences?

Fortmann: One of the recommendations is to fit these trips within classes, to give students more chances for such experiences. This is however more difficult for faculty.

Wimberger: Semester-long study abroad programs have greater impact. SAWG2 has focused on how these semester-long programs can be made more accessible to students.

M/S/P: The IEC 2016-17 Year end report was received.

7. Year-end report from Institutional Review Board
Tim Beyer the chair of IRB was on hand to deliver the year-end report.

Beyer: The IRB this year was a good group. We met the formal charges of the senate. Briefly the charges were to look into the separation of the IACUC from the IRB, streamline training for new members and to streamline and Standardize different processes such as feedback, protocols etc.

One major procedure to highlight: We are currently out of step with federal guidelines on how consent forms are stored. Federal guidelines require study closure forms, which we do not collect at the moment. We have now developed procedures regarding this that will hopefully be in place next year (see IRB report).

The IRB chair offered ideas about charges for the following year – primarily to standardize policies further. Currently there are no standards for how external researchers conduct research on campus or how staff/faculty are used in research. We also need to ensure that that faculty time is protected for research and students don't replicate IRB work. Another aspect is making sure that for international work, students/faculty get clear consent when working with non-English speaking people.

Further new fed guidelines may affect how IRB functions (especially with respect to SOAN research). We will have to wait and see regarding this.

The IRB will also have to look at how training is conducted – currently CITI

training is in place for student researchers, the next step is to implement this for faculty as well.

Bartanen: Tim Beyer and Tatiana Kaminsky have done an outstanding job leading the IRB.

Freeman: The IRB recommended that the committee should be more diverse (in order to better suit federal guidelines). Does the committee have enough members for the workload?

Beyer: The workload is bearable. If committee were larger it would alleviate review of protocol. As IRB makes more policies, it will decrease workload in long run. Maybe we should differentiate student research from research that can be publishable, shift the workload around. This may help reduce the size of the board or remove the necessity to expand it further.

On the question if Jimmy McMichael in the Associate Dean's office will be burdened by increased adherence to policies –

Beyer responded that we have to be mindful not to keep adding workload to Jimmy.

Bartanen: Having spoken with both Jimmy and his supervisor, currently they feel confident about the new policy changes and the work that will entail.

Wimberger: Will the IACUC be a separate committee?

Beyer: The IRB and the IACUC has no relation, especially with regards to federal guidelines. The IRB recommended that they become separate committees.

Kessel: IACUC can be separate committee, but how we staff this committee will be an issue. If we need to create a new standing committee, we have to change the Bylaws. We have to think of all the services and all committees and whether we are creating more work.

On the question regarding training of new IRB members - Does CITI training take 15 hours to complete?

Beyer: Yes, depending on the background of the members. If the member is a non-scientist it may take longer,

Kessel: How should we rotate IRB members?

Beyer: Long-term members may help with the IRB. Training is rigorous to meet the legal obligations.

M/S/P: The IRB 2016-17 Year end report was received.

8. Other business

With regards to programming a campus wide event during the common period – many community members think that the faculty senate will organize events all year long. We will have to work on the messaging to correct this notion. Staff thinks that they can work with HR to see how Staff can participate in such a campus wide event.

One possibility for the coming year is to potentially have synergies with the Dolliver seminar by DeHart and Joshi.

For the May 1st Senate meeting: Reserve some time for incoming senators to vote provisionally on the faculty executive committee. This needs to be done as the work of the executive committee begins over the summer.

9. Meeting was adjourned at 5:15pm

Minutes prepared by Siddharth Ramakrishnan

Respectfully submitted,
Pierre Ly
Secretary of the Faculty Senate

Appendix A: SLC Year End Report
Appendix B1: IEC Year End Report
Appendix B2: Puget Sound resources for those affected by sexual assault
Appendix C: IRB Year End Report

Student Life Committee: End of Year Report 2015-2016

The 2016~~5~~-201~~7~~6 Student Life Committee ("SLC") met throughout the fall and spring terms~~, in the fall we met on a bi-weekly schedule. In the spring, we staffed other committees (per senate charge) and met 4 time~~ on a monthly schedule (with some exceptions)~~s~~. -The members of the committee this year were~~: (as of Spring 2016):~~

Jennifer Hastings (Faculty)
Ella Frazer (Student)
Poppy Fry (Faculty)
Megan Gessel (Faculty, chair)
Tyler Randazzo (Student)
Brad Reich (Faculty)
Mike Segawa (Dean of Students)
Dan Sherman (Faculty)
~~Elena Becker (student member)~~
~~Mike Benveniste (faculty member)~~
~~Beatrix Evans (student member)~~
~~Megan Gessel (faculty member, Chair Spring semester)~~
~~Jennifer Hastings (faculty member)~~
~~Lisa Ferrari (Associate Academic Dean)~~
~~David Latimer (faculty member, sabbatical spring)~~
~~Brad Reich (faculty member, Chair Fall semester, sabbatical Spring)~~
~~Wayne Rickoll (faculty member)~~
~~Mike Segawa (Dean of Students)~~

The committee's ~~s~~Senate liaison was ~~Bill Beardsley~~Kristen Johnson.~~-~~ The ~~l~~Library liaison was Eli Gandour-Rood and Associate Academic Dean Renee Houston attended meetings as a representative from the dean's office.

The 201~~7~~5-201~~8~~6 SLC had two primary responsibilities:

1. ~~Individual members ~~S~~s~~taff the Integrity Board, Honor Court, and Sexual Misconduct ~~—~~Board hearings as needed ("Board Staffing"); and
2. Staff committees as needed by the Faculty Senate and Dean of Students.
~~Address the charges set by the Senate.~~

Integrity Board Staffing:
~~One ~~Two faculty SLC member~~s (out of 5)~~ served on multiple ~~an ~~integrity board~~s~~ over the course of this academic year. ~~Hastings received training for Honor Court and Sexual Misconduct early in fall semester and Gessel was trained in January 2016, in part because of timing due the transition to a new director of student conduct. In total, faculty served on 6 conducts boards this year, 5 boards were sexual misconduct boards. Most of the faculty staffing this year was done by former SLC members who had already been trained. Mike Segawa reported that there was a lower level of incidents this year.~~

One reason for unequal participation of this staffing is due to schedules that affect availability for board hearings, which take several hours (3-6). The pool of eligible faculty is rather small when just using the 54 members currently on the SLC. Often the boards are staffed by former SLC members who have been trained and volunteer their time to participate. A former SLC member (Poppy Fry) also serves on SMBs, which she does voluntarily, and not as her service requirement. As was stated in our 2015 and 2016 end-of-the-year reports, this issue with "service equality" and board staffing needs is something the Senate, in consultation with appropriate offices and resources, should consider in the future.

Committee staffing
In the 2015/2016 year, the SLC members assessed their workloads and responsibilities and decided to adopt a model in which members staff committees as needed (especially committees related the Office of the Dean of Students) and the SLC itself meets infrequently (once per month). We adopted this model last spring and continued it through the year.

Faculty members of the student life committee served on the following committees:

Educational Goals Committee
Orientation Committee
Union Board
Sexual and Gender Violence Committee
Ad hoc committee for faculty procedures regarding allegations of sexual misconduct
The SLC agrees that this committee work, along with the monthly SLC meetings and serving on integrity boards is an appropriate work load for the SLC. We anticipate that the committees that need staffing will change each year, but overall we expect that enough outside committee work exists to maintain this model. Next year, we anticipate staffing will be still be necessary for the following:

Union Board
Orientation Committee
Sexual and Gender Violence Committee

The Educational Goals Committee and the *ad hoc* committee will likely not need staffing next year. In addition to the above three committees, there may be work regarding undocumented students/sanctuary campus status, the search for a new Dean of Students, and a possible revision of the student integrity code.

Spring Semester work:
Following the events surrounding the flyers in the fall semester, the SLC returned in the spring semester and devoted the first set of meetings to discuss the flyers and related events. Specifically, the committee discussed what the events meant in their broader context for UPS and what questions arose in regards to the flyers. The conversations included staff, faculty, and student members, and were very respectful, thoughtful, and encompassed diverse opinions. Our first meeting was a mostly free form discussion and three themes arose:

1. There was considerable frustration and concern about information flow between campus communities.
2. There was discussion about the role of campus climate that led to the event and how the climate affects various groups on camps.
3. There was general dissatisfaction with institutional response.

Detailed minutes of this discussion can be found in the SLC's Jan 25 minutes.

Following these meetings, the SLC members agreed to schedule additional meetings to discuss actions that the SLC might take to address these issues. The SLC discussed many ideas, although some fall under the prevue of other committees/groups (e.g. diversity committee, Dean of diversity and inclusion, BHERT, etc.). In the end, the SLC identified some actions that it would like to take:

1. The committee recognized that many faculty do not have a clear understanding of what can and can't be shared with regard to student records, including conduct records. After learning more about FERPA and University guidelines, the SLC believes that all faculty need to be better informed about these issues and potential violations. A flyer is currently distributed to adjunct faculty by the registrar's office and the SLC agreed that it would be a good idea for something similar to be distributed to all faculty. Ideally the committee would recommend that this flyer be sent out at the beginning of each academic year/semester. This could be facilitated by the registrar (the registrar is the source of the current flyer). We would also encourage discussion of FERPA rules in greater detail at department meetings, as we recognize that while not all faculty attend the faculty meetings, all faculty do attend department meetings.

2. Like issues surrounding FERPA, the SLC is aware that faculty are under-informed about the student conduct process, including the conduct process surrounding sexual misconduct and reporting. While new faculty are introduced to mandatory reporting at orientation, there is no further education about the reporting/investigation/conduct process. The SLC would like to work to better educate faculty about these processes. While many faculty know that they are mandatory reporters, they may not know what that means, in terms of what information must be shared. Moreover, many faculty do not know what happens after they report an incident to the Title IX office. A better understanding of this process could greatly affect how a faculty member might interact with a student who comes to them to disclose an alleged incident. For example, reports to the Title IX office will result in the office contacting the student and asking the student if they want to proceed further. If the student declines then the process stops. Moreover, the student may later choose to pursue an investigation at any time. The SLC would like to work to better educate the greater faculty about this process. Possible ways to do this include Wed at 4, faculty meeting, and/or a flyer and department meeting discussions, similar to the education regarding FERPA.

3. Like faculty, students do not have a clear understanding of the reporting process, including where and how to report, what is and is not confidential, and what might happen as a result of a report. The SLC would like to identify ways that faculty can help

to educate students about reporting incidents of sexual misconduct and the issue of sexual misconduct in general (e.g. consent, bystander training, etc.). There is currently a talk about consent during orientation for new students that is "required", but attendance is not taken, so not all students actually attend. The SLC would like to think of creative ways that it could help to support the SGVC and the Dean of Students to increase this education. ~~Faculty Senate Charges for the Student Life Committee~~

~~The SLC received 3 charges. These are listed and discussed below:~~

~~Charge #1: Continue to review and revise as the Committee wishes its procedures, particularly as they pertain to the liaison and board staffing responsibilities of Committee members. Monitor the effect of these revisions, particularly with regard to issues of workload and work distribution. Assess future staffing and support needs.~~

~~Members of the SLC embraced the idea that, in addition to serving on misconduct boards, that members could staff various student-life related committees on campus. The majority of the work that was done in the fall semester was determining which committees/boards to staff. In addition to co-curricular assignments (discussed below, with respect to charge #2), Dean Segawa made recommendations of committees that could use faculty members and that would be of interest to the SLC. These include the Sexual and Gender Violence Committee (SGVC), Orientation committee, the committee to select a new sorority, and two committees being formed by the Advocates for Institutional Change (AIC). The AIC committees included a committee to establish a new multicultural center, and another committee to address issues with diversity and inclusion in orientation. In the end, both AIC groups decided that they did not want faculty members. Members are currently serving on the SGVC and Orientation committee. A member also has been serving on the committee to select a sorority and this committee wrapped up its business this semester. Finally, in addition to these committees, members are planning to be part of the subcommittee for faculty free speech.~~

Recommended charges for next year:

1. As discussed above, the SLC identified some actions that it could take regarding educating faculty about FERPA and the Sexual Misconduct reporting and response process. Overall, we see a potential role for the SLC to serve as a group to help to inform and educated the greater faculty about student affairs-related issues that might be off faculty radar (like the conduct process).

~~In the 2015/2016 year the SLC was given the following charge:~~~~We will continue to staff other committee and boards as need, whether directed by the senate, or advised by the Dean Segawa.~~

~~Charge #2: Examine the advisability of Student Life Committee members serving in additional co-curricular service assignments (such as advisor to KUPS, the Union Board, etc.).~~

~~The SLC formed a working group (Latimer and Gessel) surveyed various co-curricular service assignments (e.g. Union Board, The Trail, ASUPS, KUPS, etc.). We determined~~

~~several should remain as full service assignments, due to the amount of work, time commitment, and/or expertise (e.g. ASUPS, Literary magazine). At least two had no clear faculty advisor that we could find (the Trail, yearbook). The advisor for KUPS was new and also is assigned to conduct boards, although it was unclear how this assignment to conduct was different than SLC members' service. Since the advisor (Carl Toews) is new, it was difficult to assess this position. At this point, the SLC decided that Union Board was an appropriate place to staff a member and Mike Benveniste has begun attending meetings this semester as the SLC faculty member. Note that Duane Hulbert is currently assigned Union Board for his service assignment, but he is retiring. The SLC can continue to staff this, which would free up a service assignment.~~

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2. *Charge #3: "Work with PSC, BHERT, and the CoD to identify conflicts, if there are any, between the Faculty Code and the Response Protocol to Incidents of Bias or Hate."*

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In that year, t~~T~~wo SLC members ~~have~~ contacted the Diversity committee and PSC but not much ~~has~~ happened with this charge. ~~The members of the committee have not met, to our knowledge.~~ This charge may be important in revisiting given the events of the past year, the campus climate, and the growing conversations about free speech on campuses at the national level.

UNIVERSITY OF PUGET SOUND
FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT

Public Notice Designating Directory Information

The University of Puget Sound hereby designates the following categories of student information as public or "Directory Information." Such information may be disclosed by the institution at its discretion:

Currently enrolled students may withhold disclosure of any category of information. To withhold disclosure, written notification must be received in the Office of the Registrar prior to September 10 at: University of Puget Sound; 1500 N. Warner; Tacoma, WA 98416-1034. Forms requesting the withholding of "Directory Information" are available in the Office of the Registrar. The institution will honor a request to withhold information in any of the categories listed but cannot assume responsibility to contact the student for subsequent permission to release them. Regardless of the effect upon the student, the institution assumes no liability as a consequence of honoring instructions that directory information be withheld.

The University of Puget Sound assumes that failure on the part of any student to request specifically the withholding of categories of "Directory Information" indicates approval for disclosure.

- Student's Name
- Current Enrollment
- Local Address/Telephone Number
- Permanent Address/Telephone Number
- E-mail Address
- Date and Place of Birth
- Dates of attendance (Current and Past)
- Class standing
- Previous institution(s) attended
- Major field of study
- Awards and Honors (including Dean's List)
- Degree(s) conferred (including dates)
- Full-time or part-time status
- Class Schedule
- Past and present participation in officially recognized sports and activities
- Physical factors (height, weight of athletes)
- Photograph

Any questions concerning FERPA may be referred to:

Office of the Registrar
University of Puget Sound
1500 North Warner, CMB 1034
Tacoma, WA 98416-1034

Telephone: (253) 879-3217   FAX: (253) 879-3108

Family Educational Rights and Privacy Act

Official Notification of Rights Under FERPA

The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records. They are:

(1) The right to inspect and review the student's education records within 45 days of the day the University receives a request for access.

> Students should submit to the Registrar, head of the academic department, or other appropriate official, written requests that identify the record(s) they wish to inspect. The University official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.

(2) The right to request the amendment of the student's education records that the student believes are inaccurate or misleading.

> Students may ask the University to amend a record that they believe is inaccurate or misleading. They should write the University official responsible for the record, clearly identify the part of the record they want changed, and specify why it is inaccurate or misleading.

If the University decides not to amend the record as requested by the student, the University will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

(3) The right to consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosure without consent.

> One exception which permits disclosure without consent is disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

> A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Upon request, the University discloses education records without consent to officials of another school in which a student seeks or intends to enroll.

(4) The right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with the requirements of FERPA. The name and address of the Office that administers FERPA is:

Family Policy Compliance Office
US Department of Education
400 Independence Ave., SW.
Washington, DC, 20202-4605

Know that FERPA exists!

It's not necessary for faculty to understand every fine distinction of FERPA and its administration. It is essential however that you understand that it exists and governs much of what you do.

FERPA is everyone's responsibility. You must understand that every employee who has access to student education records, can subject the university to FERPA liability.

It is your responsibility to understand that almost all student records are subject to FERPA. You may believe that only "academic records" are subject to FERPA, and that you have the authority to decide whether records fall under the law, when in fact, the law defines student records, and the definition is very inclusive.

Disclosure of student records without consent risks a violation of the law. FERPA allows disclosure of education records to school officials with a 'legitimate educational interest'.

To avoid FERPA violations:

Do not post grades publicly

Do not circulate class lists

Do not leave exams/papers in stacks for students to find their own

Do not assist anyone (other than a university employee) with the location of a student

Use discretion when discussing the progress of a student with anyone other than that student

When in doubt, contact the Registrar's Office!

Lori Blake
Associate Registrar
Office of the Registrar
lblake@pugetsound.edu
(253)879-3105

IEC Final Report
2016-2017
Presented to the Senate April 17, 2017

During the past academic year, the International Education Committee (IEC) engaged in its normal duties prescribed in the faculty bylaws, including the review and approval of new and existing international education programs, assisting the Office of International Programs (OIP) in selecting students for study abroad, and representing the interests of faculty in international education.

In addition, the IEC was charged with the following tasks for the 2016-2017 academic year (**in bold**). What was accomplished by the committee is indicated following each charge. Our recommendations for the extension, modification or termination of current charges for next year are underlined.

CHARGES:

Charge 1: With respect to the issue of sexual violence:
    a: Continue the review of sexual violence policies at study abroad programs used by Puget Sound students.
    b: Finalize and distribute the sexual violence crisis response documents drafted last year.
    c: Develop sexual violence prevention and response training for Puget Sound faculty and staff involved in Puget Sound study abroad programs.

1a. This is a long-term goal. We recommend that this IEC charge be extended to the next year.

1b. The *Sexual Assault Response Card* and the *Sexual Assault Response Brochure* have been developed in consultation with the offices of Title IX officer and Dean of Diversity and Inclusion Michael Benitez and Associate Dean of Students Marta Cady and are already in use for students going abroad for this spring and the coming summer. The *Sexual Assault Response Card* accompanies this this report as a separate attachment because it is a pdf. The *Sexual Assault Response Brochure* is included below as Exhibit A.

The working group recommends that the *Sexual Assault Response Card* and the *Sexual Assault Response Brochure* be reviewed and updated once a year to reflect any changes (e.g., phone numbers, personnel, policies and procedure). OIP should keep the master documents so that this task can be accomplished efficiently.

1c. Protocol for Sexual Assault Response training for faculty and students involved in study abroad has been created. The following document has been created and vetted with the Associate Dean of Students, added to the handbook for faculty-led study abroad programs and is already in use for students going abroad for this spring and the coming summer:

Training for Faculty:
OIP incorporates sexual assault response training into its faculty training that addresses a broad range of concerns, such as health, safety, and financial concerns. Marta Cady, Associate Dean of Students is invited to train faculty members about sexual assault response. The *Sexual Assault Response Card* and the *Sexual Assault Response Brochure* will be given to faculty members at this time, and both of these documents will also be incorporated into the study abroad faculty handbook. Faculty members will be informed that both of these documents are available online through OIP's website.

The IEC working group charged with this topic recommends that faculty members who have participated in the sexual assault training conducted by OIP and Marta Cady (Associate Dean of Students) will be required to

participate in it again after three years to refresh their understanding of the procedures.

The working group recommends that faculty members applying to establish new study abroad programs will be alerted to the need for sexual assault response training during the application process for establishing new programs.

Training for Students going on Study Abroad:
OIP's student orientation includes sexual assault training. Marta Cady, Associate Dean of Students, or OIP staff train students about sexual assault prevention and response. The *Sexual Assault Response Card* and the *Sexual Assault Response Brochure* will be given to students at this time, and students will be informed that both of these documents ~~are~~ will be available online through OIP's website.

Charge 2:
> **a. Continue to review the current list of study abroad programs and eliminate programs that do not provide something distinctive (e.g. language, discipline, or geography) or are expensive.**
> **b: Develop language that clearly incorporates this charge into the standing charge that deals with program review.**

2a. This work will be finished on April 28 and the results will be sent as an addendum to this report. The summer and semester programs we have approved so far this year, as well as a list of those programs we have removed, are summarized in the discussion of Standing Charge 2 below. We recommend that this IEC charge be extended to the next year.

2b. The committee suggested changes to the language of standing charges 1 and 2:

The language of the current standing charges in the Bylaws are as follows:
1. Establish criteria and assessment procedures for international education programs.
2. Review and approve new and existing international education programs and program proposals, including programs led by University faculty.

The committee approved the following revisions to the standing charges in the Bylaws:
1. Maintain an institutionally sustainable number of international education programs that are consistent with, and that promote the goals and objectives of international education at Puget Sound, through the review of new and existing programs.
2. Establish and review criteria and assessment procedures for evaluating international education programs.

Any change in the bylaws requires its presentation at two faculty meetings, and then the cabinet and the board. In light of the fact that the Study Abroad Working Group 2, which has been convened this academic year, may have other changes that could be considered at the same time, in the interest of efficiency we decided to postpone presenting the proposed changes to the bylaws at a faculty meeting until SAWG 2 has completed their work. We suggest that this change be added to our agenda for next year.

As a result of our discussions of this charge, we also established review criteria and assessment procedures for study abroad programs. It was noted that the SAWG and an IEC subcommittee comprised of SAWG2 members are both engaged in developing criteria to review study abroad programs consistently, and that these criteria will be based on clearly defined goals and learning outcomes. It was also agreed, that rather than "establishing" criteria each year as a standing charge, the role of the IEC is better suited for reviewing the established criteria as needed to make sure it continues to align with the goals and objectives of study abroad

at Puget Sound. The Program Evaluation Criteria Rubric will be posted to the OIP website. See Exhibit B below.

Another result of our discussions about this charge was the clarification of the terms "program" and "track." Each provider may offer several programs, even at the same site. For example, the provider IES offers a program in Vienna, but Puget Sound has two approved tracks within this program: "Vienna-European Society and Culture" and "Vienna-Music." It was confirmed that the IEC understands that it is tasked with approving and reviewing tracks within programs. Approval of one track in a program does not mean all tracks within a program are automatically approved. Thus, all evaluation of "programs" actually means evaluations of tracks within a program.

Charge 3: In collaboration with the Committee on Diversity and the Student Life Committee, develop recommendations for how Puget Sound can best recruit, welcome and support international students.

In order to address this charge, the IEC accomplished the following two tasks:

1. With regard to recruitment, the subcommittee, with the help of Elizabeth Orr in Admissions, created a mechanism by which Admissions can request information regarding student interviewers in international countries. At present, if Admissions needs a Puget Sound alum to conduct an interview with an international student abroad, they will reach out to Alumni Relations. However, Alumni Relations does not always have a potential interviewer on file. If this happens, Admissions will then ask OIP to make the request through appropriate faculty, and if a faculty member is not available, the request will be brought to the IEC who can then make a broader appeal. The names produced will be passed on to Alumni Relations.

2. A subcommittee met with current International students to ask about their experiences and suggestions. The report of this subcommittee will be made to the IEC in its meeting on April 28 and be included in the addenda to this final report.

We suggest that discussion of our results with the Committee on Diversity and the Student Life Committee, as well as possible next steps, be included in our charges for next year.

Charge 4: Work with the Office of Institutional Research to gather and analyze study abroad participation rate data for students of color and first-generation students and, based on those findings, make recommendations to address any disparities in participation rates.

The subcommittee on this charge worked with the Office of Institutional Research to gather data on participation rates of students of color and first generation students studying abroad, and the Office of International Programs to review student survey responses on why they decided not to study abroad. They also talked to the Office of Diversity to discuss barriers to studying abroad and potential ways to overcome some of these barriers. The main findings by the subcommittee are:
- The percentage of racial/ethnic minority students studying abroad is noticeably lower than the percentage of non-minority students studying abroad for the years 2011 to 2015. This gap has been declining, but this may be due to the overall trend in declining study abroad rates.
- The percentage of first-generation students studying abroad is noticeably lower than the percentage of non-first-generation students studying abroad over the same period with no noticeable trends.
- The gap in study abroad rates due to first-generation status is larger than the gap due to racial/ethnic minority status.

Some of the key recommendations that OIP can put into effect immediately to address these disparities in participation rates include:

- Encourage popular faculty members who have strong relationships with racial/ethnic minority students and first-generation students to lead study abroad programs.
- Actively target and encourage underrepresented students to participate, perhaps through partnership with the Office of Diversity.
- Have minority and first-generation students discuss their experiences to students interested in studying abroad.

The full report from the subcommittee is included as Exhibit C.

SAWG2 representatives on the IEC underscored some questions that arose out of this study and the work of SAWG2. If changes are made to Study Abroad after the recommendations of SAWG2, the IEC would like to explore data to determine how minoritized and first-generation students might be affected by these changes. We suggest that this question be added to the charges for next year.

STANDING CHARGES:

1. Establish criteria and assessment procedures for international education programs.
    See discussion of Charge 2b above and Exhibit B below.

2. Review and approve new and existing international education programs and program proposals, including programs led by University faculty.

We have approved a limited number of summer study abroad programs, but we have questions about the impact of summer study abroad on the overall Study Abroad Budget. Our understanding is that although students must pay for their own summer study abroad, the payment is made to the university who then pays it to the provider and thus this money counts against the Study Abroad Budget. The IEC is unclear why money that the university does not pay out directly counts against the Study Abroad Budget. Our understanding is that the SAWG2 is working on this question. In the meantime, the committee agreed to put aside additions of more summer abroad programs until clarification can be made.

The IEC made the following changes to our program list:

Approved student petitions to study at:

- Budapest Semesters in Mathematics (Summer)
- AIT Budapest (Summer)

Approved the following faculty petitions:

- Nila Wiese's proposal for a short-term study abroad in Peru to complement her CLASS (offered Fall 16)
- Brendan Lanctot's and Ariela Tubert's proposal for a short-term study abroad in Argentina to complement their CLASS (offered Spring 18).
- Holly Roberts' proposal for a short-term study abroad for OT/PT students in Guatemala.

- Lotus Perry's request to replace the following eliminated programs in China with a new slate:

  Removed (this year or recently):

  Alliance Beijing
  Alliance Shanghai
  Alliance Xi'an
  IES Yunnan
  CIEE Taiwan

  And replaced them with:

  CET China Beijing Intensive Language & Internship – Semester & Summer
  CET Harbin Intensive Language Immersion – Semester & Summer
  CET China Shanghai Internship – Semester & Summer
  CET Taiwan Taipei Intensive Language & Internship (Fall only) and NOT summer
  SIT Kunming – Community Health and Traditional Medicine (Summer) and Language, Cultures, and
      Ethnic Minorities (Semester)

Removed the following semester programs:

- Arcadia Scotland Stirling (semester programs only)
- Arcadia Ireland Dublin
- Emory India Dharamsala (program suspended by provider)
- IFSA Ireland Galway
- SIT Cameroon Yaoundé
- SIT Uganda Gulu
- SIT Argentina Buenos Aires
- SIT South Africa Durban
- SIT Tanzania StoneTown/Zanzibar
- IES Ireland Dublin

Approved the following request:

- A student on CP1 conduct probation was approved for summer study abroad.
- Student petition to extend study abroad to full year

Denied the following requests:

- Addition of a study abroad program in Israel despite travel warnings.
- Student petition to waive requirement that a student must be on campus the semester before study abroad.

Outstanding request to be considered at April 28 meeting:

- Student petition to tardily add summer study program

3. Assist the Office of International Programs in selecting students for study abroad.

4. Represent the interests of the Faculty in international education.

5. Such other duties as may be assigned to it.

EXHIBITS

Exhibit A, pertaining to Charge 1c:

Sexual Assault Response Brochure:

SEXUAL ASSAULT RESPONSE INFORMATION FOR STUDY ABROAD

The University of Puget Sound values and celebrates a diverse educational community based on mutual respect, trust, and responsibility. The university believes its students, faculty members and all staff members should learn, teach, work, serve and lead in an environment free from harassment and sexual misconduct, which may include sexual harassment, gender-based discrimination, sexual violence such as rape (including attempted rape), stalking, verbal abuse, and more. This philosophy applies to all students wherever they may be studying. We are committed to upholding the rights granted by Title IX and to fully investigating and addressing Title IX violations. (For more information, see http://www.pugetsound.edu/sexual-misconduct-resource-center/)

The University of Puget Sound makes every effort to send students to **study abroad programs** that take sexual discrimination seriously, and is committed to upholding the rights granted by Title IX and to fully investigating and addressing Title IX violations.

Puget Sound students attending a study abroad program must follow both the conduct policies of the University of Puget Sound and of the study abroad program.

I.   **SEXUAL ASSAULT EMERGENCY REPONSE: ONSITE CHECKLIST**

You are encouraged to take these steps immediately to ensure your safety:

1. Call one of the program emergency phone numbers _____
       (write local emergency numbers here)
and request that a program staff member accompany you to the hospital, clinic, or doctor for support such
              o   treatment of injuries
              o   testing for STD
              o   other response options (such as learning about whether emergency contraception is available, and about the possibility of preserving evidence.)
2. If necessary, request to be moved from your current living quarters to safe housing.
3. If the alleged perpetrator was from your own program, request action from the program staff that will assure your safety.
4. After consultation with a program staff member, you may decide to contact the police.

*Please note: program staff are typically mandatory reporters and will report the incident to Roy Robinson, Director of International Programs (1-253-879-3653) and Dean Michael Benitez, Title IX Coordinator (1-253-879-2827). A **mandatory reporter** is required to report an incident of sexual*

assault to the Title IX Coordinator or a Harassment Reporting Officer of the university; this does not directly result in a criminal charge for the perpetrator.

After your immediate concerns have been addressed, you may take the following steps while you are still abroad:

5. Seek assistance or counseling in the host country. Program staff will be able to provide contact information for a center for victims of sexual assault or counseling service.
6. You may also contact any of the individuals at Puget Sound listed below to receive support.

PUGET SOUND RESOUCES FOR THOSE AFFECTED BY SEXUAL ASSAULT

Harassment Reporting Officers (Mandatory Reporters) at Puget Sound:

Roy Robinson, Director of International Programs (1-253-879-3653, rrobinson@pugetsound.edu)

Michael Benitez, Dean of Diversity and Inclusion, Chief Diversity Officer, Title IX Coordinator/Equal Opportunity Officer (1-253-879-2827, chiefdiversity@pugetsound.edu)

Sarah Shives, Assistant Dean of Students (1-253-879-3360, sshives@pugetsound.edu).

Grace Kirchner, Sexual Harassment Complaint Ombudsperson (1-253-879-3785, kirchner@pugetsound.edu)

Confidential Support:

Marta Cady, Associate Dean of Students and Director of New Student Orientation (Mobile: 1-253-219-0516, Office: 1-253-879-3317, martacady@pugetsound.edu)

Dave Wright, Director of Spiritual Life and Civic Engagement, University Chaplain (1-253-879-3818, 1-253-879-2751, dwright@pugetsound.edu)

Counseling, Health, and Wellness Services (1-253-879-1555, pugetsound.edu/chws)

Other Support:

Security Services (1-253-879-3311, security@pugetsound.edu) is available 24 hours a day; the attendant can connect you to Puget Sound staff who can help with your concern.

Peer Allies (peerallies@pugetsound.edu, facebook.com/pugetsoundpeerallies) are available by Skype; message them on the Peer Allies Facebook page to make a Skype appointment.

II.   **SEXUAL ASSAULT REPONSE AFTER RETURNING TO CAMPUS:**

You may take the following steps after returning to campus to report sexual misconduct and to seek advocacy:

1. Seek assistance or counseling after returning to Puget Sound by contacting the following individuals or support groups **in addition to those listed above**:

Dean Kristine Bartanen (1-253-879-3205, bartanen@pugetsound.edu or acadvp@pugetsound.edu)

Further Harassment Reporting Officers may be found at https://www.pugetsound.edu/about/offices-services/human-resources/policies/campus-policies/campus-policy-prohibiting-hara/harassment-reporting-officers/

Rebuilding Hope! Sexual Assault Center of Pierce Count (24-hours crisis, information, and referral line, 1-800-756-7273, 1-253-474-7273)

YWCA of Pierce County (24-hour crisis line: 1-253-383-2593, ywcapiercecounty.org)

National Sexual Assault Helpline (1-800-656-HOPE, https://www.rainn.org/)

National Resource Center on Domestic Violence Hotline (1-800-799-SAFE, http://www.nrcdv.org/).

2. Review the following materials that describe the steps of how to file an official report (https://www.pugetsound.edu/sexual-misconduct-resource-center/what-to-do/reporting-harassment-or-sexual/) and seek advice about filing an official report by contacting the individuals listed above as Harassment Reporting Officers.

3. If you decide to make an official report, you may seek advocacy during the official reporting process by contacting the Harassment Reporting Officers (for more information, see http://www.pugetsound.edu/about/offices-services/human-resources/policies/campus-policies/campus-policy-prohibiting-hara/harassment-reporting-officers/).

This information is available at https://www.pugetsound.edu/academics/international-programs/

<u>**Exhibit B, pertaining to Charge 2b:**</u>

<p align="center">**International Education Committee**</p>

<p align="center">**Program Evaluation Criteria (DRAFT)**</p>

New and existing international programs[1] will be evaluated on the basis of Puget Sound's objectives for study abroad experiences:

Objective 1: To foster intercultural competence, cross-cultural communication skills, and personal development.

- Knowledge: to develop a richer understanding of another culture, and a broad competence that is applicable across a variety of intercultural contexts.
- Communication: to develop skills and ability to engage in effective cross-cultural communication and understanding.
- Self-Awareness and reflexivity: to develop the ability to contextualize and understand alternative perspectives based on different cultural systems.

Objective 2: To foster global citizenship and appreciation of international diversity and interdependencies.

- To develop a deeper understanding of global interconnectedness and diversity.
- To develop a stronger sense of social responsibility, social justice, and international power relationships.
- To foster civic engagement at home and abroad

Priority will be given to programs that substantively incorporate the following policies and practices, which have proven to most effectively achieve the objectives outlined above, as assessed through the rubric below.

The rubric below is intended to assess program impact through the following thematic criteria:

1. **Integration into the Broader Curriculum**
2. **High Impact Program Design**
3. **Practices Associated with Intercultural Development**
4. **Institutional and Breadth Concerns**

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[1] The term "programs" in this document refers to specific tracks within multi-track programs as well as single-track programs.

International Education Committee Program Evaluation Rubric

As noted in the Program Evaluation Criteria document, priority will be given to programs that substantively incorporate the following policies and practices, which have proven to most effectively achieve Puget Sound's objectives for study abroad experiences.

The IEC should consider the four questions below, **scoring programs on a scale of 1-5** based on a *qualitative evaluation of program structure, content, and its relationship to institutional concerns and curricula (rather than simply adding the bulleted items fulfilled)*. These scores can then be used to compare and evaluate programs.

Individual programs are unlikely to score highly in every category, and some criteria are mutually exclusive from others, but preference should be given to programs with high scores (4-5) in two or more categories.

How well is the program integrated into the broader Puget Sound curriculum?

Examples of curricular integration:

- o Substantive, synthetic links between campus learning and study abroad.
- o Globalizing and internationalizing the on-campus curriculum.
- o Abroad programs that draw on faculty expertise, including direct program design and leadership.

SCORE: _____

Is the program structured in a way likely to yield a high-impact experience?

Examples of high-impact program design elements:

- o Long-term (semester or year).
- o Perceived "less culturally similar" destinations.
- o Integration of foreign language courses (before or during).
- o Leveraging partnerships with international universities and non-profits.

SCORE: _____

Does the program incorporate practices that increase intercultural competence?

Examples of practices associated with increased intercultural competence:

- o Homestays or related practices that lead to students spending significant portions of their time abroad with locals.
- o Faculty mentoring beyond the classroom during program.
- o Completing a research experience.
- o Completion of a service learning experience or internship.
- o Strong site utilization through interdisciplinary or discipline-based fieldwork or experiential engagement.

SCORE: _____

Does the program comport with institutional concerns and priorities?

Examples of relevant institutional concerns/priorities:

- o Programs that provide qualitatively different or unique experiences, as compared with those already offered, and which address the University's objectives for international education.
- o Programs that allow students in a particular major/field/department opportunities to study abroad that contribute to their field of study.
- o Programs that draw student populations that are historically underrepresented in international education.
- o Programs with reasonable costs.
- o Programs with clear and effective procedures to ensure student well-being and safety (including response to instances of sexual violence).

Exhibit C, pertaining to Charge 4

2016-17 International Education Committee Report
Charge 4

Charge 4 from the Faculty Senate: Work with the Office of Institutional Research to gather and analyze study abroad participation rate data for students of color and first-generation students and, based on those findings, make recommendations to address any disparities in participation rates.

The Office of Institutional Research produced the following data on study abroad participation rates.

	Study Abroad Participation Rates by Race/Ethnicity and First-Generation Status				
	Total % Studied Abroad	Minoritized % Studied Abroad	Not Minoritized % Studied Abroad	First-Generation % Studied Abroad	Not First-Generation % Studied Abroad
2011-12	38%	28%	40%	24%	39%
2012-13	36%	24%	39%	20%	38%
2013-14	35%	27%	37%	16%	38%
2014-15	33%	26%	35%	20%	35%
2015-16	28%	23%	30%	20%	30%

Note: The percentages are based on the total number of undergraduates who graduated in a given academic year who studied abroad at some point during their time at Puget Sound. For more details see the Note at the end of the report.

Some takeaways:

- The percentage of racial/ethnic minority students studying abroad is noticeably lower than the percentage of non-minority students studying abroad for all five years.
- The difference between the percentage of non-minority students vs. minority students studying abroad has been on a generally downward trend: 12%, 15%, 10%, 9%, 7% from 2011-12 to 2015-16.
- The percentage of first-generation students studying abroad is noticeably lower than the percentage of non-first-generation students studying abroad for all five years.
- The difference between the percentage of non-first-generation students vs. first-generation students studying abroad does not appear to have much of a trend: 15%, 18%, 22%, 15%, 10% from 2011-12 to 2015-16.
- The gap in study abroad rates due to first-generation status is larger than the gap due to racial/ethnic minority status.

The data do not explain why our racial/ethnic minority students and first-generation students study abroad at lower rates, nor does it appear that we have such information.

The data we do have on why students chose not to study abroad comes from the Study Abroad Decision Survey of the entire student population. The top reasons cited by students in the 2015 survey were:
- I was not able to apply enough of my financial aid to study
- I had personal (e.g., family, friends, health) reasons for not going

- I will fall behind in my Puget Sound degree if I study abroad.
- Course credit will not transfer to Puget Sound as I expected
- I did not feel ready to study abroad

It seems reasonable that many of these hold for first-generation and minority students choosing not to study abroad as well.

We offer some recommendations for increasing participation rates for first-generation and minority students. These are based on recommendations from Lu[2] and Faupel[3].
- Encourage popular faculty members who have strong relationships with racial/ethnic minority students and first-generation students to lead study abroad programs.
- Actively target and encourage underrepresented students to participate, perhaps through partnership with the Office of Diversity.
- Educate students on the benefits of study abroad and promote programs that will make students more marketable in the workplace. Lu says, "Many students of color perceive study abroad as an expensive field trip with no tangible benefits."
- Advertise shorter programs, such as half-summer programs. This helps alleviate cost problems and conflicts with completing major requirements.
- Hold informational meetings for potential participants and their families to discuss studying abroad. Faupel points out that minority and first-generation students often come from families that have never traveled abroad. Educating parents about the value of study abroad and helping them realize that it is possible should increase participation rates.
- Promote study abroad as "heritage-seeking" for racial and ethnic minority students.
- Have minority and first-generation students discuss their experiences to students interested in studying abroad.

In addition, here are some suggestions for helping racial/ethnic minority students and first-generation students have a better experience on study abroad.
- Provide pre-departure orientations for students to educate them on some of the challenges they will face.
- Provide information on topics such as various places of worship, restaurants that cater to different dietary restrictions, and businesses that can accommodate people with disabilities.

Notes on data from Institutional Research:

- The percentages are of the total number of undergraduates who graduated in a given academic year (as an example, 2011-12 includes students who earned bachelor's degrees in Fall 2011, Spring 2012, and Summer 2012) who studied abroad at some point during their time at Puget Sound. This includes students who participated in semester- or year-long study abroad programs as well as students who took a course(s) with a study abroad attribute.
- Minoritized students include those who identify as the following races/ethnicities: American Indian or Alaska Native, Asian, Black or African American, Hispanic/Latino, Native Hawaiian or Other Pacific Islander, and students of two or more races.

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[2] Charles Lu, "Putting Color onto the White Canvas," *Inside Higher Ed*, February 23, 2016.
Available at https://www.insidehighered.com/views/2016/02/23/expanding-opportunities-minority-students-study-abroad-essay.

[3] Chrissie Faupel, "Why Don't More Minorities Study Abroad?" Available at https://www.gooverseas.com/blog/why-dont-more-minorities-study-abroad.

- Percentages were not broken out by the individual races/ethnicities because Institutional Research was concerned that the number of individuals in each category might be too small to be meaningful.
- Over the last five years, an average of 21% students who earned bachelor's degrees have been racially/ethnically minoritized, and an average of 14% have been first-generation students.

PUGET SOUND RESOURCES FOR THOSE AFFECTED BY SEXUAL ASSAULT

Harassment Reporting Officers (Mandatory Reporters):

Roy Robinson, Director of International Programs (1.253.879.3653; rrobinson@pugetsound.edu)

Michael Benitez, Dean of Diversity and Inclusion, Chief Diversity Officer, Title IX Coordinator/Equal Opportunity Officer (1.253.879.2827; chiefdiversity@pugetsound.edu)

Sarah Shives, Assistant Dean of Students (1.253.879.3360; sshives@pugetsound.edu).

Grace Kirchner, Sexual Harassment Complaint Ombudsperson (1.253.879.3785; kirchner@pugetsound.edu)

Confidential Support:

Marta Cady, Associate Dean of Students and Director of New Student Orientation (Mobile: 1.253.219.0516 Office: 1.253.879.3317; martacady@pugetsound.edu)

Dave Wright, Director of Spiritual Life and Civic Engagement, University Chaplain (1.253.879.3818 or 1.253.879.2751; dwright@pugetsound.edu)

Counseling, Health, and Wellness Services (1.253.879.1555; pugetsound.edu/chws)

Other Support:

Security Services (1.253.879.3311; security@pugetsound.edu) is available 24 hours a day; the attendant can connect you to Puget Sound staff who can help with your concern.

Peer Allies (peerallies@pugetsound.edu; facebook.com/pugetsoundpeerallies) Peer Allies are also available by Skype; message them on the Peer Allies Facebook page to make a Skype appointment.

For more information and resources, go to **pugetsound.edu/sexualmisconduct**.

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SEXUAL ASSAULT EMERGENCY REPONSE

ONSITE CHECKLIST

You are encouraged to take these steps immediately to ensure your safety:

1. Call one of the program emergency phone numbers

   _____

   (write local emergency numbers here)

   and request that a program staff member accompany you to the hospital, clinic, or doctor for support such as

   - treatment of injuries
   - testing for STD
   - other response options (such as learning about whether emergency contraception is available, and about the possibility of preserving evidence.)

2. If necessary, request to be moved from your current living quarters to safe housing.

3. If the alleged perpetrator was from your own program, request action from the program staff that will assure your safety.

4. After consultation with a program staff member, you may decide to contact the police.

Please note: program staff are typically mandatory reporters and will report the incident to Roy Robinson, Director of International Programs (1.253.879.3653) and Dean Michael Benitez, Title IX Coordinator (1.253.879.2827).

After your immediate concerns have been addressed, you may take the following steps while you are still abroad:

5. Seek assistance or counseling in the host country. Program staff will be able to provide contact information for a center for victims of sexual assault or counseling service.

6. You may also contact any of the individuals at Puget Sound listed on the back of this card to receive support.

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Institutional Review Board
Report to the Faculty Senate
AY 2016-2017

The Institutional Review Board (IRB) exists for the purpose of protecting the rights, health, and well-being of human beings solicited and volunteering for participation as research subjects. In the context of reviewing proposed research studies involving human subjects, the IRB attends to issues such as potential risks to participants, protection of participants' identities and disclosed sensitive information, safety, ethical recruitment practices, and the accessibility and adequacy of informed consent. This is a report to the University of Puget Sound Faculty Senate regarding activities of the IRB during the 2016-2017 academic year.

2016-17 IRB membership: Tim Beyer (chair); Tatiana Kaminsky (secretary); Kris Bartanen (ex-officio); Joel Elliott, Mita Mahato (Fall), Sarah Moore, Geoff Proehl, Sara Protasi (Spring), Brad Richards, Andreas Udbye, Barbara Warren; Jan Wolfe (community representative).

To date, the Institutional Review Board has reviewed 130 proposals this academic year. Of these 12 were full board (2 approved, 7 pending, 1 denied, 2 withdrawn), 103 were expedited (96 approved, 6 pending), and 9 were exempt (7 approved, 2 pending), and 6 modifications (5 approved, 1 pending).

In addition, the board focused on addressing the following formal charges from the Senate:

1) **Make recommendations on how the Institutional Animal Care and Use Committee (IACUC) fits into the IRB structure**
   The current bylaws state that non-human animal research falls under the jurisdiction of the IRB. Currently, the IRB is not set up to review, approve, or monitor research involving non-human animals; rather these processes have been handled by the Institutional Animal Care and Use Committee (IACUC). Currently, the IACUC does not report to the IRB. For these reasons, the IRB was tasked to make a recommendation on how the IACUC fits into the current IRB structure.

   In Fall 2016, Elliott and Warren met with Alyce DeMarais, chair of the IACUC. Based on this discussion, it became clear that the IACUC utilizes significantly different review, approval, and monitoring processes than the IRB as Federal Guidelines for non-human and human research differ substantially (see outline in Appendix A). Thus, in agreement with Alyce DeMarais, the IRB full board voted to amend the university bylaws to make the IACUC a separate entity from the IRB and also suggested modifications to the bylaws (see Appendix A). Beyer communicated this recommendation and suggested modifications in Fall 2016 with Ramakrishnan, the IRB Senate liaison, to share with the senate.

2) Develop training for new IRB members including procedures for follow-up/transition of protocols and regular reviews of Memoranda of Understanding (MOUs)

In Fall 2016, Proehl and Udbye, both new to the IRB, and Beyer created a training packet designed to provide consistent and systematic training on internal IRB review processes, review of MOUs, and support from an IRB mentor. Protasi, who joined the IRB in Spring 2017, used this packet for training, and after providing feedback, the training packet was further refined. The most updated training packet is found in Appendix B.

Highlights of the training packet include:
- An IRB mentor, who is a more veteran IRB member, will meet with a new member and aid in the review of the first few protocols assigned to the new member. This will increase consistency in review.
- A timeline, which outlines when the Collaborative Institutional Training Initiative (CITI) training for IRB members, review of internal IRB review procedures and MOUs, and meetings with the assigned mentor and chair should occur. The timeline allows new IRB members to complete the training within the first four weeks of a given term, before protocols are typically received for review.
- A sample protocol, which demonstrates several consistent issues IRB reviewers encounter and how to respond to these. We hope that sample protocols such as this will increase consistency in review.

3) Formulate practices for outside researchers to conduct research with members of our campus community

At the start of AY 16-17, the IRB did not have a policy for how outside researchers could apply for Puget Sound IRB approval and requests by outside researchers were handled on a case-by-case basis. In order to further standardize application procedures, Kaminsky and Mahato reviewed the policies governing outside research from our peer institutions in Fall 2016 and presented their findings to the full board. Based on these findings, the full board agreed that outside research must go through the typical Puget Sound approval process and that outside researchers must motivate, in writing, why Puget Sound is necessary to complete their research. In addition, outside researchers must identify a member of the campus community to be listed on the coversheet of their protocol.

Due to outstanding legal questions (e.g., whether outside protocols and consent forms could be approved by the Puget Sound IRB), Kaminsky and Beyer worked with Bartanen, who consulted with the university legal team, in Spring 2017. Based on this feedback, Kaminsky drafted a policy for outside researchers, which was approved by the full board in Spring 2017, and can be found in Appendix C. The policy is also now live on the IRB website and has already been used twice since mid-March 2017.

In addition to the formal Senate charges, the board worked on the following self-charges:

1) **Follow-up on CITI student training module now required for all student research protocols**
   Starting AY 16-17, all student researchers were required to complete the *Student Module* of CITI training. This requirement was implemented to further educate student researchers on the purpose of the IRB and to increase the consistency and quality of proposals submitted for IRB review. In order to assess whether these goals were met, qualitative feedback was sought from (a) chairs/faculty who teach methods courses, and (b) IRB members and Jimmy McMichael. This is outlined below:

   a. **Feedback from chairs/faculty who teach methods courses:** In Spring 2017, Elliott communicated with the chairs/faculty of the main departments/schools which submit protocols for review. These included Psychology, Sociology and Anthropology, Business and Leadership, Physical Therapy, and Occupational Therapy. Overall, department chairs report that the CITI training was relatively easy for students to complete, especially after updated instructions were posted on the IRB website. Faculty found that the training was useful for students but did not appear to have a significant impact on protocol writing.

   b. **Feedback from IRB members and Jimmy McMichael:** In Spring 2017, Beyer solicited feedback from IRB members and Jimmy McMichael. In general, IRB members commented that while the proposals in general appeared to be better quality this year, it is not clear whether it was due directly to the CITI training or other changes aimed to standardize submission and review of protocols. However, most IRB members noted that CITI training likely served to increase students' level of awareness of ethics in research more broadly (i.e., beyond information that may be covered in a discipline-specific methods class) and that the IRB is not idiosyncratic to Puget Sound, but rather is part of a national/international effort to ensure the well-being of research participants. As such, CITI provides an important educational experience for students. Jimmy McMichael received no student questions about CITI training in Spring 2017 (he had received a few in Fall 2016) and reported no issues in tracking CITI training for students.

   c. **Updated Instructions:** Based on instructor and student feedback in Fall 2016, the initial instructions on how to create a CITI account were unclear. In response to this, Richards created instructions with screen shots and detailed written instructions which can be found in Appendix D and are now publish available on the IRB website. There have been no issues reported after these new instructions were created.

2) **Work on standardizing IRB procedures**
   In an on-going effort to standardize IRB procedures and make them more transparent, the full board has completed the following tasks this academic year:

a. **Standardized and updated e-mail correspondence:** E-mail correspondence to be used with student researchers during the review process has been standardized to include (a) request for reply within one week for in-progress protocols, (b) notification that approval is good for one year from the approval date, (c) reference to the Informational Follow-up Form (see Point 3 below), and (d) instructions to bring both a hard-copy of the consent form and approval documentation to the Associate Dean's Office when stamping consent forms. Please see updated e-mail correspondence in Appendix E.

b. **Updated review procedures:** In order to streamline internal review procedures, the committee will now only use the "Protocol Decision Document" to document final approval/disapproval, not intermediary steps (e.g., asking for changes to the protocol before approval). This small change will simplify our internal review procedures tremendously due to streamlining how feedback is given to researchers. The updated Protocol Decision Document is attached in Appendix F.

c. **Standardized tracking and storage of verbal consent:** Prior to AY 16-17, there was no systematic way in which verbal consent was tracked or stored. (Verbal consent is typically used in ethnographic research methods and oral histories.) Thus, in the case of an adverse event, the IRB could not verify that verbal consent was obtained from participants. To address this, Moore, Richards, Udbye, and Beyer, in consultation with Monica DeHart (chair of Sociology and Anthropology) and Andrew Gardner developed a documentation process for verbal consent. Here, researchers simply complete a document which lists the participant's pseudonym, whether verbal consent was obtained (Yes/No), and the initials by the researchers. At the end of data collection, this document is e-mailed to the IRB for record keeping. This procedure will be used across all SOAN courses, which produce the largest number of protocols that utilize verbal consent. Please see Appendix G for the verbal consent document crafted by DeHart and Gardner.

d. **Updated protocol template and checklist:** The current protocol template and checklist available on the IRB website do not show a one-to-one correspondence. In addition, the protocol template itself is not very user-friendly in its instructions. For these reasons, it may be that the protocols received are not always uniform in how information is presented. In order to increase transparency in what information the IRB needs to review protocols, in Spring 2017, Warren, in collaboration with Proehl and Beyer, updated the protocol template and checklist. In particular, because many protocols do not have the appropriate level of detail for methods and materials, which can impact the review process, the updated protocol template now contains more detailed questions for this section. Moreover, researchers are now asked to provide an explicit statement of purpose and provide qualifications for

carrying out the research. These updated documents are found in Appendix H and will aid in creating more uniform protocols.

3) **Work on standardizing the storage of consent documentation and Informational Follow-up Forms as required by Federal Guidelines**
Although the current IRB processes are generally aligned with Federal Guidelines, two major issues remain: how consent documentation is stored and the lack of providing study closure information via Informational Follow-up Forms.

   a. Currently, consent forms are stored as hard copies in the department from which that associated protocol originated. Although Federal Guidelines specify how long consent forms are to be stored, there is currently no University-wide IRB policy governing what happens with stored consent forms, including when and how they are to be destroyed. Thus, individual departments differ in how consent forms are stored and destroyed. Currently, there exists no University-wide IRB policy on how verbal consent information is tracked and stored (Point 2 c above is the first step to establish this).

   b. Upon completion of data collection, the researcher must alert the IRB that the data collection phase has ended so that the IRB can close that particular study. Although this information is requested by the IRB, the necessary "Informational Follow-up Form" is not submitted to the IRB by the researchers listed on the protocol.

In order to address both issues, Beyer, Moore, Richards, and Udbye worked to create a new policy in Spring 2017. Instead of simply providing the administrative assistant of a department with consent forms, researchers will be asked to provide consent forms and a completed Informational Follow-up Form. Much like student evaluations for faculty, the administrative assistant would be asked to scan the consent forms and Informational Follow-up Form and e-mail this scanned document to the IRB. The IRB can then store the consent documentation and Informational Follow-up Form with the approved protocol. In this way, Puget Sound IRB practices will be in line with Federal Guidelines. The verbal consent document described in point 2c above would be scanned and e-mailed to the IRB along with an Informational Follow-up Form. The new policy, as well as changes to the Consent Form and Informational Follow-up Form, are found in Appendix I. The IRB would like to implement these changes in Fall 2017, and is in communication with Dean Bartanen to assess feasibility.

The IRB has identified the following issues that should be addressed in 2017-2018:

1) **Formulate a policy for how staff/faculty are used for surveys and interviews**
   It is unclear how many protocols the IRB reviews and approves use staff and faculty as research subjects. Here, the IRB should work with Sherry Mondou (Vice President for Finance and Administration) and Ellen Peters (Director of Institutional Research and Retention) to ensure that student researchers are:

   a. Using the appropriate channels to recruit,
   b. Not overloading faculty and staff with research requests, and
   c. Not replicating existing research conducted through Office of Institutional Research and Retention

   In addition, the sunset clause for the MOU with Institutional Research and Retention is expiring. It is therefore suggested that this new policy for staff/faculty who are used in research should be incorporated when the existing MOU is reviewed next AY.

2) **Develop policy for international research**
   Currently, there is no official policy for international research. It is suggested that the IRB develop a policy for the uniform assessment of international research. In particular, the IRB must standardize requirements and resources for back-translation (the main method used to ensure linguistic equivalence when research is not conducted in English), identify how international laws apply to data collection and storage, and how consent forms/oral consent documentation are safely maintained while abroad.

3) **Explore the utility of registering the IRB and applying for a Federalwide Assurance (FWA) number**
   In order to further align with Federal Guidelines, it is suggested that the Puget Sound IRB is registered federally. Moreover, the IRB should explore whether applying for a FWA number would be a useful long-term option. A FWA number would allow easy approval from other institutions that have a FWA number, making it easier to approve outside research at Puget Sound (and having Puget Sound research be approved at other institutions). However, applying for a FWA number can be costly; the benefits of a FWA should be weighed against the application cost.

4) **Review updated Common Rule and incorporate changes**
   The Common Rule, which outlines IRB functions, operations, record keeping, and so on, was updated in January 2017 at the Federal level. The IRB must review the main changes to the Common Rule to ensure that our procedures are in line with changing Federal Guidelines. For example, oral histories are now considered to be fully exempt from IRB oversight; however, our policies request that oral histories submit a full protocol for IRB review. While our IRB policies can be more stringent than Federal Guidelines, the IRB should review such cases to ensure that it is not unnecessarily so (as may be the case with oral histories, for example).

5) **CITI training for faculty**
   In order to further standardize IRB procedures, it is suggested that the IRB explore whether CITI training for faculty researchers should be required. CITI training for faculty is valid for three years and would require faculty to continually update their understanding of how changing Federal Guidelines impact research procedures. It is suggested that the IRB identify possible modules for faculty researchers to complete.

6) **Meet the Federal Guidelines requiring a representative board**
   Current Federal Guidelines specify that the board must consist of scientists and non-scientists as well as a community member who is not part of the university. Our current board meets these criteria. In addition, Federal Guidelines state that the board must also be diverse in terms of race and ethnicity. Our current board does not meet this criterion. With the understanding that we are a small faculty with many service assignments, the IRB requests that extra attention, when possible, is taken to meet the Federal Guidelines to create a representative, diverse board.

Respectfully Submitted,
Tim Beyer, PhD
IRB Chair AY 2016-17

Appendices:
A: Recommendation for IACUC and IRB distinction
B: Training packet for new members
C: Policy for outside researchers
D: Updated instructions for student researchers
F: Standardized e-mail responses and review flowchart
G: Verbal consent document
H: Updated protocol template and checklist
I: Recommendation for storing consent documentation and Informational Follow-up Forms

Appendix A: Recommendation for IACUC and IRB Distinction

IACUC workgroup: Make recommendations on how the IACUC fits into the IRB structure.
1) Members: Joel Elliott and Barbara Warren
2) Contact Alyce DeMarais to collect information on the general function of the IACUC.
   - We met with Alyce on 9/28/2016 and she provided an overview of the IACUC.
   - The IACUC is governed by policies and laws of the Office of Laboratory Animal Welfare (OLAW). Kristine Bartanen is the named Institutional Official for animal care at the University of Puget Sound, and provides assurance that the institution complies withPublic Health Service Policy on Human Care and Use of Laboratory Animals. The IACUC is mandated to report directly to the Institutional Official.
   - The IACUC has a website that outlines its mission and procedures: http://www.pugetsound.edu/gateways/faculty-staff/institutional-animal-care-use/
   a. How many protocols are typically reviewed per academic year?
      o There were 9 faculty or student research protocols reviewed in 2014, 3 in 2015, and 9 so far in 2016. In addition, there were 2 student independent class project protocols reviewed in 2014, 14 in 2015, and one so far in 2016.
   b. How is the review process structured? Who sits on the committee?
      o The IACUC follows the review process in accordance with the Guide for the Care and Use of Laboratory Animals and the Animal Welfare Act and Animal Welfare Regulations. The IACUC website has Faculty and Student Research Animal Use Protocol Forms and Student Class Project Animal Use Protocol Forms.
      o The IACUC committee prepares biannual reports that are sent directly to the Institutional Official who submits the reports to Office of Laboratory Animal Welfare (OLAW) as mandated by federal policy.
      o There are nine members on the committee, and they include faculty, staff, a community member, and a veterinarian. See website for names of present members.
   c. What else falls under their purview (e.g., walk through of non-human animal facilities, lab safety issues, etc.)
      o As stated on the IACUC website: To fulfill its mission, the IACUC will meet the following goals:
         ▪ Review Puget Sound's program for humane care and use of animals at least once every six months;
         ▪ Inspect all animal facilities at Puget Sound at least once every six months;
         ▪ Report on the above evaluations to the Academic Vice President;
         ▪ Review any concerns regarding the care and use of animals at Puget Sound;
         ▪ Make written recommendation to the Academic Vice President regarding any aspect of Puget Sound's animal program, facilities,

or personnel training; and
- ▪ Review protocols for activities related to the care and use of animals at Puget
- ▪ Sound.

3) Make recommendation re charge; Alyce DeMarais suggested that the IACUC should be separate and that the bylaws ought to be changed.

- We concur with Alyce that the IACUC should be a separate entity from the IRB, and suggest the following changes to the Faculty Bylaws covering the Institutional Review Board (page 11).

I. Institutional Review Board.
   a. The Board shall consist of the Dean of the University (ex-officio) and no fewer than four appointed members of the faculty. Members may be added or chosen so that the composition of the committee is in compliance with current federal regulations.
   b. The duties of the Institutional Review Board shall be:
      1. To apply the University's policies on the protection of human and animal subjects to the board's review of faculty, student, and staff proposals for research involving human ~~and animal~~ subjects and to proposals from persons outside the University planning research involving University employees or students.
      2. To carry primary responsibility for ensuring that the University's policies and procedures and its *Protection of Human ~~Subjects and Protection of Animal Subjects~~* documents are consistent with the will of the University and that they comply with regulatory requirements governing the protection of human ~~and animal~~ subjects in research.
      3. To establish definitions, procedures, and dates for the review of research involving human or animal subjects.
      4. Such other duties as may be assigned to it.

4) Recommendation possible by 10/12?
   - We recommend that a motion be made for the faculty bylaws to be changed as stated above at a future faculty senate meeting.

Appendix B: Training Packet for New Members

Welcome to the Institutional Review Board (IRB)!

The IRB is charged with approving, monitoring, and reviewing research involving humans. As a member of the IRB, your role is to support the IRB in carrying out these charges. A main consideration in reviewing research involving humans is conducting a risk-benefit analysis in order to determine whether research can be approved. You will be asked to do this individually (for research protocols with only minimal risk) and contribute to decisions made by the full board (for research protocols with greater than minimal risk). Thus, you will serve as the reviewer of protocols that are submitted by the Principal Investigator (PI) responsible for carrying out the research project.

This document outlines the *training components* to allow you to successfully review and approve research using the standardized process of the Puget Sound IRB.

New IRB Members: Please utilize the resources and timeline provided on the next page to complete the training necessary to begin reviewing protocols.

IRB Mentor: Every member new to the IRB will be paired with a more veteran member who will serve as the new member's mentor. The mentor's role is to:

1) Meet individually to go over internal training materials and familiarize you with the IRB share drive (see specifics on the *Timeline* on the next page);
2) Be a direct resource during the first (and second, if needed) individual review of a research protocol and debrief after the first (and second) review; and
3) Remain a consistent resource as needed over the course of subsequent reviews.

Thus, the mentor should provide a consistent contact person for the new member and aid in standardizing the review process. In addition to the official mentor, new members are encouraged to contact the current IRB chair or other members of the committee as questions or issues arise.

Training for New Committee Members: Timeline

Order	Task	Resources	Timeline
1	*Welcome and Introduction to IRB* document and familiarize with **University website**	IRB/Resources for IRB Members/Training and http://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/irb-member-information	As early as possible, but prior to first full board IRB meeting of the term
2	Complete *institutional CITI training* (you should anticipate 5-15 hours to complete the training)	Instructions found on IRB/Resources for IRB Members/Training/CITI training instructions.pdf	Must complete before second full board meeting of the term
3	Review the following *internal training materials* a) Protocol Flowchart.pdf b) Level of Risk.pdf c) Level of Review Guide.pdf d) Sample training protocols	All materials found under IRB/Resources for IRB Members/Training	Complete prior to meeting with IRB mentor
4	**Meet with assigned IRB mentor** to go over internal training materials, preview share drive, and discuss protocol flowchart and review process	TBD	By 2nd week of the term
5	Review the following **documents**: a) Protocol Decision Document b) Standardized e-mail responses c) Memorandum of Understanding	Documents found under: a) IRB/Resources for IRB Members/Forms/Protocol Decision Document.docx b) IRB/Resources for IRB Members/Training/Standardized E-mail Responses.docx c) IRB/Resources for IRB Members/Memorandum of Understanding (MOUs)	Prior to reviewing protocols
6	**Meet with chair** to review documents used for review and process	TBD	By 3rd week of the term
7	**Ongoing review** of materials: a) Familiarize with IRB Handbook b) Ethical considerations	Materials found under: a) IRB/Resources for New Members/Training/Handbook.pdf b) IRB/Resources for IRB Members/Training/Keyton – Research Ethics.pdf	Ongoing

Instructions to complete CITI training:

Institutional training is completed through the Collaborative Institutional Training Initiative (CITI). To complete the training, navigate to:

https://www.citiprogram.org/

Next, create a new account affiliated with the University of Puget Sound (be sure to type this into the affiliation and/or select it from the possible responses you get). You'll be asked some background questions in order to associate your account with the correct modules. Please be sure to select the following responses for these questions:

a) *Human Subjects Research*, select *"IRB Member"*

b) For *Responsible Conduct of Research*, select *"Social and Behavioral Science Researchers (includes Education and Business)"*

   ******You can select a different branch (e.g., Humanities) once you have completed the "Social and Behavioral Science Researchers" one. To do so, under "My Learner Tools for University of Puget Sound" select "Add a Course" and select a different branch

c) For *Conflict of Interest*, select *"Yes"*

d) For *IACUC*, select *"No"*

Once you've created an account associated with IRB Members, you must complete all required modules in the following three courses: "Conflicts of Interest"; "IRB Members"; and "Social and behavioral science researchers." You can complete the "optional" modules based on your time and interest. All modules have a test at the end; you must achieve a passing score across all required modules before the system will recognize that you have "passed" the training for IRB members.

Protocol Flowchart (updated 2/2017)

1) The principal investigator (PI) submits their protocol to Jimmy McMichael as:
   a. A hardcopy in Jones 212 (CMB 1020); and
   b. An electronic copy (irb@pugetsound.edu)

2) Upon receipt, Jimmy logs the details of the protocol into our database. Using the level of review identified by the PI, Jimmy will either assign a *single reviewer* (for protocols marked exempt/expedited) or send the protocol to the *full board* (for protocols marked full board).

3) For exempt/expedited protocols:
   a. Jimmy will notify you via e-mail when a protocol has been assigned to you. The protocol will be attached in the e-mail. You can also access this protocol via the shared IRB drive (//merlin2/irb/). Once logged in, the folder *Protocols* contains sub-folders with the protocol number that has been assigned to you. You will find the protocol in that folder.
   b. Confirm that the PI has identified the correct level of review (see "Levels of Review Checklist")
      i. If correctly identified as exempt/expedited, please review protocol.
      ii. If incorrectly identified as exempt/expedited, please e-mail Jimmy to alert him that this protocol requires full board review and must be sent to the full committee.

4) Review of exempt/expedited protocols:
   a. *If revisions are required* before the protocol can be approved, the required changes must be communicated with the PI via e-mail. The PI must resubmit the revised document(s) to the reviewer via e-mail. All requested revisions must be satisfied before the reviewer can approve the protocol.
      i. Considerations during the review process:
         1. The reviewer should communicate with the PI within 3 business days of receipt of a protocol or resubmission.
         2. Use the standardized e-mail responses found on the share drive (under *Resources for IRB Members/ Training/ Standardized E-mail Responses*) for all *student protocols*. You can amend these responses for non-student protocols.
         3. If the PI is a student, include the student's advisor on all correspondence. The advisor's name is on the coversheet.
   b. *Once the protocol can be approved*, communicate this decision with the PI by using the Protocol Decision Document, found on the share drive under *Resources for IRB Members/Forms*.
      i. Upload the following into the appropriate protocol folder on the share drive:
         1. Protocol Decision Document
         2. All revised documents

        ii.   Bring the list of protocols you reviewed since the last full board IRB meeting. We will collect protocol numbers and status (approved, revisions required, rejected).
- c. All written communication between the reviewer and the PI *must* be retained. Thus, please cc irb@pugetsound.edu *on all e-mail correspondence*

****Once review of an expedited/exempt protocol is complete, each folder on the IRB share drive *must* contain the following:
- a. Original protocol (uploaded by Jimmy)
- b. Revised protocol (if any revisions were requested by the reviewer)
- c. Protocol Decision Document

If a protocol requires full board review, Jimmy will make the protocol available to the full committee. We will discuss the protocol at the next full board meeting. The IRB chair will communicate decisions, including if revisions are required, with the PI.

On the following pages, you will find the necessary documentation to assess level of review as well as some department specific information and consideration. These documents can also be found on the share drive, as indicated on the Timeline on pg. 2 of this document.

Levels of Review Checklist

Does my project need IRB review?

Your project needs to be reviewed by the IRB if it meets **both** of the criteria below

    A. The project meets the federal definition of research: systematic investigation intended to produce generalizable knowledge. [45 CFR 46.102(d)]

    B. Human participants are involved. Human participants are living individuals about whom you are conducting research and gathering
        1. data through intervention or interaction with the individual, or
        2. identifiable private information. [45 CFR 46.102(f)]

If your project meets **either** criterion A **or** B, but not both, your project does not need IRB review. If your project meets **both** criteria, you need IRB approval before beginning your research. Generalizable knowledge refers to the planned dissemination of results in a public forum or academic publication. Classroom projects, for which such dissemination is beyond the scope of the course, are not research according to this definition.

What are the types of IRB review?

The federal government has established different levels of review, depending on the method and content of your research.

    1. Full Board: must be reviewed by the full committee, requires IRB oversight and follow-up.
    2. Exempt: requires no further IRB oversight or follow-up
    3. Expedited: may be reviewed by one member on behalf of the full IRB, but requires IRB oversight and follow-up

When you prepare your protocol, you will see that the Puget Sound cover sheet asks you to give your best estimate of the appropriate level of review for your project. However, the final decision about types of review rests with the IRB. In order to determine the level of risk to participants, please refer to the **Level of Risk** document available on the IRB website. You can use the following checklist to estimate the level of review for your project.

1) __Full IRB Review.__
If your project meets **ANY** of the following criteria, then it will require review by the full IRB committee:

_____ receives support from non-university sources that require full IRB approval

_____ involves greater than minimal risk (e.g., physical, psychological or emotional, legal, social or economic, etc.) to participants than they would likely encounter every day

_____ involves personality tests, inventories or questionnaires of a personal and sensitive nature where participants' identities will not be anonymous to the researcher and/or where the information you collect can be connected back to individual study participants

_____ involves sensitive aspects of a participant's behavior that could reasonably place a participant at risk of criminal or civil liability or be damaging to a participant's financial standing or employability

_____ involves sensitive aspects of a participant's behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol

_____ involves active deception or procedures that are not known to the participant (e.g., the participant will not be fully informed)

_____ involves health care procedures that are not conducted for the primary benefit of the participants

_____ includes diagnostic or therapeutic assessments, interventions, or measures that are not standard, generally acceptable, or common practice

_____ involves special populations (e.g., prisoners, pregnant women, or individuals who are mentally or psychologically ill, or incompetent)

_____ involves subjects under 18 years of age and involves more than minimal risk

_____ involves collection of blood samples or other body fluids in any amount

If any of these apply to your research, your project will need approval from the full Board before you begin your research. Your next step is to prepare a research protocol and submit it to the IRB for review. If none of these apply, then go to (2) below.

2) Exempt Review.   If your research did not meet **any** of the criteria for full review, it will qualify for either exempt or expedited review. Examples of exempt research may include:

_____surveys or interviews in which responses will be recorded in such a manner that a participant **CANNOT** be identified directly or through identifiers linked to a participant **AND** any disclosure of participants' responses outside the research will **NOT** place the participants at risk of civil or criminal liability, or be damaging to the participants' financial standing, employability, or social standing.

_____ investigations of commonly accepted educational practices in established or commonly accepted settings.

_____observations of public behavior.

_____collection or study of publicly available existing data, documents, records or specimens.

_____collection or study of existing data, documents, records or specimens in which information will be recorded in such a manner that a participant cannot be identified directly or through identifiers linked to a participant.

_____research or demonstration project conducted by or subject to approval of the U. S. Department of Health and Human Services for the purpose of studying procedures, benefits, changes, and payments of entitlement programs.

_____analysis of information from educational tests that will be recorded in such a manner that participants cannot be identified.

If you checked **any** of the descriptors in (2) above and **no** descriptors from category (1), your research project probably meets the criteria for **Exempt Review**. Your next step is to prepare a research protocol and submit it to the IRB for review. Your protocol likely can be reviewed by one IRB member on behalf of the full Board and, if it is approved for **Exempt** status, will require *no further oversight or follow-up from the IRB*. If you checked no descriptors in (1) or (2), go to (3) below.

3) Expedited Review
The third category allows for expedited review. Does your research project:

_____ involve only minimal risk (e.g., physical, psychological or emotional, legal, social or economic, etc.) to participants, or only as they would likely encounter every day?

_____involve participants under 18 years of age with at most minimal risk to subjects

_____involve recording data from participants 18 years of age or older using noninvasive procedures routinely employed in clinical practice?

_____involve analysis of voice recordings made for research purposes?

_____involve moderate exercise by healthy volunteers?

_____involve the collection or study of existing data, documents, records or specimens?

_____involve research on individual or group behavior, or characteristics of individuals, without manipulation of a participant's behavior and in a manner that does not cause stress to participants that is greater than they would encounter in everyday life?

If you checked any of the descriptors above, and none in (1) or (2), your project probably meets the criteria for **Expedited Review**. Your next step is to prepare a research protocol and submit it to the IRB for review. Your protocol likely can be reviewed by one IRB member on behalf of the full Board. If it is approved with **Expedited** status, your project will be subject to continued oversight and follow-up with the IRB and you will be required to submit requests for modification to methods, sampling, etc. should the need arise.

Department/Discipline Specific Recruitment Methods, Methodologies, and Ethical Considerations

Psychology: Many of the protocols from the Department of Psychology use the Subject Pool to recruit participants. Here, students enrolled in lower division Psychology classes must fulfill a research participation requirement. This requirement can be fulfilled by participating in research studies (where 30 minutes of participation equals 1 participation credit) or by completing a written assignment (which is equivalent in terms of time as participating in studies). Thus, protocols from Psychology may make reference to research credits or units; these refer to compensation from the Subject Pool.

Ethical considerations: Because participants volunteer their time, participants must receive their research credits *even if they withdraw from the study*. This should be explicitly stated in the Project Description and/or the consent form in all protocols that use the Psychology Department Subject Pool.

Ethnographic Research Methods: Many of the protocols from the Department of Sociology and Anthropology (SOAN) use ethnographic methods which include recording interviews with their participants. Because of this, these protocols typically use a verbal, not written, consent form. (More details are found in the Memorandum of Understanding with SOAN on the IRB share drive.)

Ethical considerations: Some topics covered in protocols are sensitive in nature, and although the researcher may not directly ask about illegal activities and behaviors (e.g., drug use, criminal activities, given a topic, a participant may inadvertently report on their own (or other's) illegal activities and behaviors. If the research topic is such that a participant may report on illegal activities and behaviors, the project description must clearly state that the researcher will stop recording, redirect the participant, and only start recording again once the participant has ceased talking about illegal activities and behaviors.

UPS IRB PROTOCOL #

University of Puget Sound INSTITUTIONAL REVIEW BOARD
Application for Approval of Research Involving Human Subjects
(Cover Sheet)
(Protocols meeting Full Board Review must be submitted two weeks prior to the date of the IRB meeting on which the review is to occur.)

Please Check One: _x_New Project ___ Renewal ___Modification *(Attach Renewal/Modification Form)*

Date of Submission: October 11, 2016

Protocol Title: Tattoos and the Workforce

Principal Investigator: Typed name: Jane Doe
                            Signature: _____
                            Department or School: Department of Sociology and Anthropology
                            Email: jdoe@pugetsound.edu
                            Telephone number: (123) 456-7890

Co-Investigator: Typed Name: Joe Doe
                            Signature: _____
                            Email: jdoe2@pugetsound.edu

Co-Investigator: Typed Name: _____
                            Signature: _____
                            Email: _____

Co-Investigator: Typed Name: _____
                            Signature: _____
                            Email: _____

Faculty Advisor's Statement (student projects only): I, George Doe am the advisor for the above named students. My signature below indicates that I have read the attached protocol and have checked the contents with the IRB Guidelines. I thereby recommend this protocol as:
Exempt Review_____   Expedited Review __x__   Full Board Review _____

Signature:_____   Email: gdoe@pugestound.edu

Source of Support (if any):

Level of Risk to Human Participants: ____x___Minimal _____ Greater than minimal

Number of Participants: 15

*Normal participants are (a) over the age of 18 (b) able to make independent decisions with full mental capacity. Children are minors under the age of 18.

Are vulnerable populations involved?* ___yes _x__no Are children involved?*___yes __x_no

Has this proposal been or will it be submitted to other Human Subjects Review Boards, departmental committees, or community agencies for review and approval?
____Yes (attach approval letters)   ___x__No

Tim Beyer 4/10/2017 8:32 AM
Comment [1]: Title must be consistent throughout the *entire* document.

Tim Beyer 4/10/2017 8:33 AM
Comment [2]: Department should be listed unless the researcher belongs to the School of Education, Physical Therapy, or Occupational Therapy.

Tim Beyer 4/10/2017 8:33 AM
Comment [3]: All co-investigators must be listed.

Tim Beyer 4/10/2017 8:35 AM
Comment [4]: Faculty advisor statement must be completed. Ensure that faculty advisor's name and e-mail are present and a level of review (exempt, expedited, full board) has been checked. After reviewing the protocol, you must confirm that the appropriate level of review has been selected.

Tim Beyer 4/10/2017 8:36 AM
Comment [5]: Exempt and expedited levels of review correspond to "minimal" risk. If "greater than minimal" risk is selected, the protocol must be reviewed by the full board.

Tim Beyer 4/10/2017 8:38 AM
Comment [6]: Double-check that all boxes are checked and are appropriate for project and level of review; e.g., if "yes" is selected for "vulnerable populations" it is likely that full board review is necessary.

Careful Considerations: Tattoos and the Workforce

(A) **Project Description:** *Describe the purpose of the research, the methods to be used including data collection procedures and any features of the research design that may involve special conditions or procedures for the subjects. Identify any risks to which subjects may be exposed.*

       In my research I will be trying to determine how aspirations about future employment shape and reflect tattoo considerations for undergraduate students at the University of Puget Sound. Much of the literature on the subject of tattoos in the workplace suggests that people with tattoos are considered to be untrustworthy, unmotivated, unprofessional and less approached than their un-tattooed counterparts. This stigma against tattooed people can make it harder for them to secure a job. Upon completing this research, I hope to gain an understanding of the extent to which students who have tattoos on this campus have considered this potential challenge as they plan for their lives after college, and the ways their professional aspirations have shaped and been reflected by their tattoos. I also hope to address whether or not college students see tattoos as a deviant act, or if they perceive tattoos as now a part of mainstream culture and foresee the biases against tattoos becoming obsolete.

       In my audiotaped (consent to record will be obtained before interviewing begins) semi structured interviews I will try to get a sense of how students think about tattoos. Interviews will be conducted in person and one-on-one, location to be determined on a case-by-case basis.

(B) **Subject Recruitment:**
1. *Identify the number of subjects to be recruited for the research. Identify how and where subjects are recruited and the criteria used to select and exclude subjects.*
2. *Describe the characteristics of the subjects with regard to age, sex, race, special affiliations which cause them to be included in the study population, institution status (i.e., patients or prisoners), and their general state of mental and physical health. Explain why it is necessary to use any particular population subgroups or special populations.*

I will recruit 15 subjects, starting with a list of acquaintances known to have tattoos and then using the chain referral method to ask responds for the names of other people who fit the criteria and might be willing to participate in my research. Respondents must be undergraduate students at the University of Puget Sound, they must have at least one tattoo (visible or not) and they must be older than 18 years old. For the purpose of this study I will not limit my respondent pool to exclude any gender, sexual, or racial identities and will allow respondents within any mental or physical health as long as participation does not put them at risk of emotional or physical harm. The subject population will resemble the subject pool at the University of Puget Sound in terms of age, ethnicity, and gender.

(C)   Confidentiality of Data: *Explain how data will be secured to safeguard identifiable records of individuals.*

The names of participants will not appear on any materials containing their responses. All identifying materials such as consent forms will be kept in a locked file in the Sociology and Anthropology Department at the University of Puget Sound. That said, I will be researching tattoos which are unique in tier design and placement so there is some danger of the identify of the person being discernable through a description of their tattoo(s). To minimize this concern I will leave out any descriptive information that is not pertinent to the findings. I will also include a statement in the consent form saying that any respondent will be granted the option to have descriptions of tattoos left out of the final paper when they are identifiable. Digital and audio files will be kept on a password protected personal computer. All files will be destroyed within six months of the end of the study unless otherwise stipulated by the subjects.

(D)   Risks to Subjects: *Describe in detail any immediate or long range risks to subjects that may arise from the procedures used in the study. (Risks may be physical, psychological, social, legal, or economic.) Describe the precautions you have taken to minimize these risks.*

There are minimal risks associated with this study and I will be careful to minimize potential risk wherever possible. I will avoid sensitive subject matter in my interview by asking only about the respondent's tattoos in relations to their potential future jobs, and I will protect their identities as thoroughly as possible as mentioned in the above section.

(E)   Benefits: *Describe the anticipated benefits to subjects, science, and/or society, that may occur as a result of this study.*

Subjects do not receive benefits for participating, but I hope that this study will contribute to the academic discourse of tattoos in the workplace and provide the participants an opportunity to consider how best to proceed as they enter into the workforce.

Consent to Act as a Subject in a Research Study

TITLE: Careful Considerations: Tattooed Students Joining the Workforce

INVESTIGATORS: Jane Doe   Joe Doe
                   (123) 456-7890   (123) 456-7899

SUPERVISOR: George Doe   DEPARTMENT: Sociology and Anthropology
                                         PHONE: 253 879-1234

DESCRIPTION: This project seeks to examine the ways future employment aspirations shape and reflect tattoo considerations among students at the University of Puget Sound. Students will be recruited based on referrals from their peers, using the snowball method. The purpose of this study is to gauge student's perspective on workplace discrimination against people with tattoos , and how they plan on mitigating any potential impact their tattoos might cause as they enter the workforce. The goal is to garner an understanding of the general perceptions of anti-tattoo stigma in the chose field of UPS students, and to observe any trends relating to fiends that are though to be more or less discriminatory. The study will include approximately ten (15) students, each of whom will participant in one-hour long initial audiotaped interviews, with the possibility of short follow-up interviews.

RISKS AND BENEFITS: I understand that there are no anticipated risks associated with my participation in this research.

COSTS AND PAYMENTS: I understand that I will incur no costs as a result of my participation in this project; all project costs will be born by the principal investigator. Likewise, I will receive no monetary compensation for my participation.

****

CONFIDENTIALITY: To ensure confidentiality of the participant, the primary researcher will use pseudonyms to refer to all interviewees in the final report. I understand that any information about me obtained from this research, including answers to questionnaires, laboratory data, or audio or videotapes will be kept strictly confidential. Information that will carry personal identifying information will be kept in locked files in the SOAN department at the University of Puget Sound OR will be kept on a password-protected personal computer that will remain in my possession. I understand that I have the right to request that identifiable descriptions of my tattoos will be omitted from the final report to protect my identity. I do understand that my research records, just like hospital records, may be subpoenaed by court order. It has been explained to me that my identity will not be revealed in any description or publication of this research. Therefore, I consent to such publication for scientific purposes.

RIGHT TO REFUSE OR END PARTICIPATION: I understand that I am free to refuse to participate in this study or to end my participation at any time and that my decision will not adversely affect my care at this institution or cause a loss of benefits to which I might be otherwise entitled.

VOLUNTARY CONSENT: I certify that I have read the preceding or it has been read to me and that I understand its contents. Any questions I have pertaining to the research have and will be answered by Jane Doe. Any questions or concerns I have regarding my rights as a research subject will be answered by the Office of the Associate Dean (253-879-3207). A copy of this consent form will be given to me. My signature below means that I have freely agreed to participate in this study.

_____   _____
Date   Participant's signature

INVESTIGATOR'S CERTIFICATION: I certify that I have explained to the above individual the nature, potential benefits, and possible risks associated with participating in this research study, have answered any questions that have been raised, and have witnessed the above signature.

_____   _____
Date   Investigator's signature

Appendix C: Policy for Outside Researchers

Thank you for your interest in conducting research at the University of Puget Sound. Outside research, conducted by anyone who is not a student of or employed by the university, is permitted, after the following process is completed.

This process applies to you if:

- Members of the student body are used as research subjects, and/or
- On-campus resources (physical or virtual) are used for recruitment or data collection

  Examples include recruitment of research subjects through on-campus email distribution lists, through flyers posted on campus, or through the on-campus physical and/or occupational therapy clinics.

The following requirements must be satisfied before research is conducted by outside researchers:
- You must have IRB approval from your home institution and provide documentation to the University of Puget Sound Institutional Review Board (PS-IRB).
- You must follow the same procedures for submission of protocols as on-campus researchers (completion of cover sheets, articulating the risks and benefits of the study, recruitment methods, consent forms, etc.) For further information about the requirements for submission, visit https://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/
- When your protocol is submitted for PS-IRB review, you need to articulate why the Puget Sound campus community is needed and how members of the Puget Sound community may benefit from the research.
- You need to partner with an on-campus faculty or staff member. The on-campus member must be actively involved in the research. That person should be listed on the consent form and cover sheet.
- You need to complete the CITI training modules associated with "Social and Behavioral Science Researchers."
    - If you *do not* already have a CITI account, navigate to www.citiprogram.org and create a new account:
        - Select "University of Puget Sound" as the home institution.
        - After entering the requested demographic information, select:
            - "Researchers" (Question 1).
            - "Social and Behavioral Science Researchers (includes Education and Business" (Question 2).
            - "No" (Question 3).

- "No" (Question 4).
    - Complete the nine associated modules and submit your certificate of completion with your protocol.
  - If you already have a CITI account, but have not completed the training modules associated with "Social and Behavioral Science Researchers," please:
    - Select "Add a course" from "My Learner Tools".
    - Input the information listed above for Questions 1-4.
    - Complete the nine associated modules and submit your certificate of completion with your protocol.
  - If you already have a CITI account and have completed the training modules associated with "Social and Behavioral Science Researchers" simply submit your certificate of completion with your protocol.

You may direct questions about this process to the current chair of the PS-IRB. The name of the chair may be found here:
https://cascade.pugetsound.edu/cascade/faculty.committee_list?p_committee_id=5

Appendix D: Updated Instructions for Student Researchers

CITI Account Creation Instructions for Students

Before you can start CITI training, you must first create an account at the CITI site. Start by going to citiprogram.org and click on the "Register" button in the "Create an account" box. It should take you to a page like the one shown on the right. Enter "University of Puget Sound" and click the box to agree to their terms of service (after reading them, of course). Then click the "Continue to Step 2" button

Step 2 asks for your name and email address. Use your `@pugetsound` address here, and Continue to Step 3.

USA - English ▾   Text Size: A A   Log In | Register | Help

CITI PROGRAM | Collaborative Institutional Training Initiative   Search Knowledge Base 🔍

Home   About Us   Subscribing   Online Courses   CMEs/CEUs   News   Contact Us

CITI - Learner Registration - University of Puget Sound

Steps: 1 **2** 3 4 5 6 7

Personal Information

* indicates a required field.

* First Name   * Last Name
Jane   Doe

* Email Address   * Verify email address
jndoe@pugetsound.edu   jndoe@pugetsound.edu

We urge you to provide a second email address, if you have one, in case messages are blocked or you lose the ability to access the first one. If you forget your username or password, you can recover that information using either email address.

Secondary email address   Verify secondary email address

Continue to Step 3

SITE NAVIGATION   CONTACT INFORMATION

Home   CMEs/CEUs   Accessibility   CITI Program, a Division of BRANY

Pick a user name that's not already taken and create a password for your account. Then set up a security question for yourself before you Continue to Step 4.

Log In | Register | Help

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CITI - Learner Registration - University of Puget Sound

Steps: 1 2 **3** 4 5 6 7

Create your Username and Password

* indicates a required field.

Your username should consist of 4 to 50 characters. Your username is not case sensitive; "A12B34CD" is the same as "a12b34cd". Once created, your username will be part of the completion report.

* User Name
jndoe

Your password should consist of 8 to 50 characters. Your password IS case sensitive; "A12B34CD" is not the same as "a12b34cd".

* Password   * Verify Password
••••••••••••••   ••••••••••••••

Please choose a security question and provide an answer that you will remember. **NOTE: If you forget your login information, you will have to provide this answer to the security question in order to access your account.**

* Security Question
What color was your first car?   ▾

* Security Answer
Yellow

Continue to Step 4

Your country of residence will be the United States, even if that's not your home country.

USA - English ▾ Text Size: A A   Log In | Register | Help

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Home   About Us   Subscribing   Online Courses   CMEs/CEUs   News   Contact Us

CITI - Learner Registration - University of Puget Sound

Steps: 1 2 3 **4** 5 6 7

* indicates a required field.

* Country of Residence

Search for country: Enter full or partial name (e.g., "United States") OR your country's two or three character abbreviation (e.g., "US", "USA"), then pick from the list of choices provided.

United States

Continue to Step 5

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Accessibility
Copyright
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Terms of Service

CONTACT INFORMATION

CITI Program, a Division of BRANY
1981 Marcus Avenue, Suite 210
Lake Success, NY 11042
888-529-5929 (U.S. toll free)
+1-305-907-3100 (Outside U.S.)
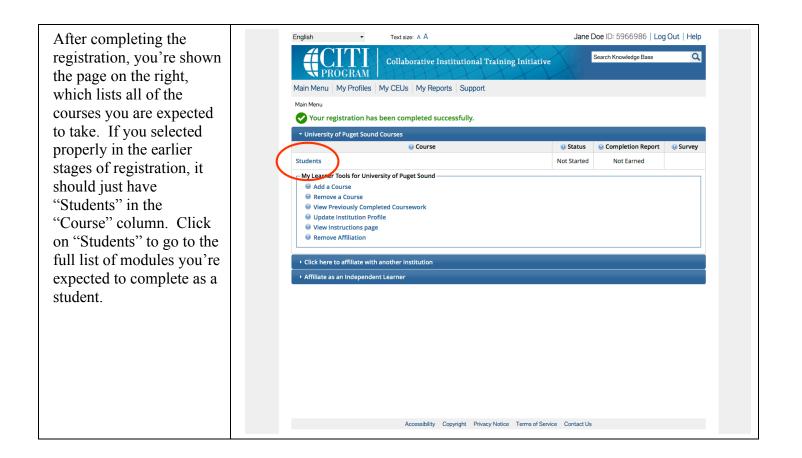support@citiprogram.org

Unless you *want* to pay money to take your training courses, make sure you select "No" when asked if you want Continuing Education Unit credit. Decide whether CITI can contact you for research purposes, and Continue to Step 6.

* Are you interested in the option of receiving Continuing Education Unit (CEU) credit for completed CITI Program courses?

CITI is pleased to offer CE credits and units for purchase to learners qualifying for CE eligibility while concurrently meeting their institutions training requirements.

CE credits/units for physicians, psychologists, nurses, social workers and other professions allowed to use AMA PRA Category 1 credits for re-certification are available for many CITI courses – with that availability indicated on course and module listings. **Please register your interest for CE credits below** by checking the "YES" or "NO" dots, and, when applicable, types of credits you wish to earn at bottom of page. Please read texts entered for each option carefully.

Yes
At the start of your course, you will be prompted to click on a "CE Information" page link located at the top of your grade book and to VIEW and ACKNOWLEDGE accreditation and credit designation statements, learning objectives, faculty disclosures, types, number and costs of credits available for your course.

○ Yes

No
The CE functionality will not be activated for your course. Credits and units will therefore not be available to you for purchase after you start your course. You can change your preference to "YES" before such time however by clicking on the "CE Credit Status" tab located at the top of your grad book page.

⦿ No

If you picked "YES", please check below the one type of credit you would like to earn

○ MDs, DOs, PAs - AMA PRA Category 1 Credits TM
○ Psychologists – APA Credits
○ Nurses – ANCC CNE
○ Other Participants – Certificates of Participation
○ Social Workers – Florida Board of Clinical Social Work, Marriage & Family Therapy and Mental Health Counseling

* Can CITI Program contact you at a later date regarding participation in research surveys? ⓘ
○ Yes
⦿ No
○ Not sure. Ask me later

Continue to Step 6

Enter your email address and the department in which you're doing your research. Select "Student Researcher – Undergraduate" from the drop-down menu, then Continue to Step 7.

Despite the fact that you just identified yourself as a student researcher, you need to select "Student" here rather than "Researcher" for your role, otherwise CITI will make you do extra training courses! You can opt out of the Responsible Conduct of Research, Conflicts of Interest, and IACUC sections as well. IACUC stands for Institutional Animal Care and Use Committee and this training is required for some research projects using non-human animals; please check with your instructor. Click "Complete Registration" when you're finished.

Ok, you *thought* you were done, but now you have to *finalize* your registration by clicking on the link.

After completing the registration, you're shown the page on the right, which lists all of the courses you are expected to take. If you selected properly in the earlier stages of registration, it should just have "Students" in the "Course" column. Click on "Students" to go to the full list of modules you're expected to complete as a student.
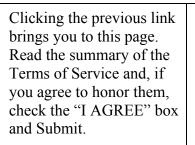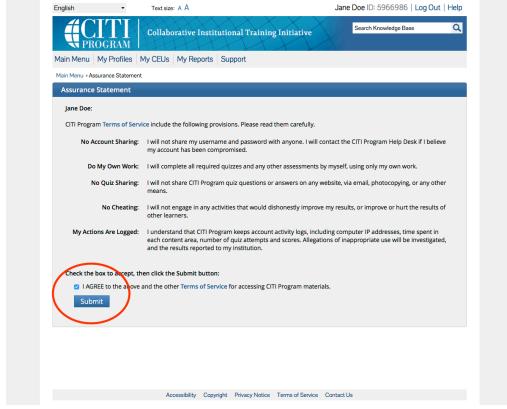
Here you see the pair of required "Modules", "Students in Research" and "University of Puget Sound". This page is sneaky though. You're not allowed to click on those links and start the modules until you first click on the link circled on the right.

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Main Menu   My Profiles   My CEUs   My Reports   Support

Main Menu › Course Students

Students - Basic Stage

To pass this course you must:

- Complete all 2 required modules
- Achieve an average score of at least 80% on all quizzes associated with this course's module requirements
- Supplemental modules, if provided, are optional and do not count towards passing the course or the overall score

You have unfinished required or elective modules remaining

Your Current Score

0%

Complete The Integrity Assurance Statement before beginning the course

Required Modules

	Date Completed	Score
Students in Research (ID: 1321)	Incomplete	0/0 (0%)
University of Puget Sound (ID: 16686)	Incomplete	0/0 (0%)

Supplemental Modules

	Date Completed	Score
NOTE: Supplemental modules are provided for general interest only. You DO NOT receive credit for completing these modules		
Internet-Based Research - SBE (ID: 510)	Incomplete	0/0 (0%)
International Research - SBE (ID: 509)	Incomplete	0/0 (0%)
Avoiding Group Harms - International Research Perspectives (ID: 14081)	Incomplete	0/0 (0%)
Avoiding Group Harms - U.S. Research Perspectives (ID: 14080)	Incomplete	0/0 (0%)
Research with Children - SBE (ID: 507)	Incomplete	0/0 (0%)

Clicking the previous link brings you to this page. Read the summary of the Terms of Service and, if you agree to honor them, check the "I AGREE" box and Submit.

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Search Knowledge Base

Main Menu   My Profiles   My CEUs   My Reports   Support

Main Menu › Assurance Statement

Assurance Statement

Jane Doe:

CITI Program Terms of Service include the following provisions. Please read them carefully.

No Account Sharing:	I will not share my username and password with anyone. I will contact the CITI Program Help Desk if I believe my account has been compromised.
Do My Own Work:	I will complete all required quizzes and any other assessments by myself, using only my own work.
No Quiz Sharing:	I will not share CITI Program quiz questions or answers on any website, via email, photocopying, or any other means.
No Cheating:	I will not engage in any activities that would dishonestly improve my results, or improve or hurt the results of other learners.
My Actions Are Logged:	I understand that CITI Program keeps account activity logs, including computer IP addresses, time spent in each content area, number of quiz attempts and scores. Allegations of inappropriate use will be investigated, and the results reported to my institution.

Check the box to accept, then click the Submit button:

☑ I AGREE to the above and the other Terms of Service for accessing CITI Program materials.

Submit

You'll be taken back to this page again, but now the "Students in Research" module is a link that you can click on to begin your training. Congratulations!

To pass this course you must:

- Complete all 2 required modules
- Achieve an average score of at least 80% on all quizzes associated with this course's module requirements
- Supplemental modules, if provided, are optional and do not count towards passing the course or the overall score

Your Current Score

0%

You have unfinished required or elective modules remaining

Required Modules

	Date Completed	Score
Students in Research (ID: 1321)	Incomplete	0/0 (0%)
University of Puget Sound (ID: 16686)	Incomplete	0/0 (0%)

Supplemental Modules

	Date Completed	Score
NOTE: Supplemental modules are provided for general interest only. You DO NOT receive credit for completing these modules		
Internet-Based Research - SBE (ID: 510)	Incomplete	0/0 (0%)
International Research - SBE (ID: 509)	Incomplete	0/0 (0%)
Avoiding Group Harms - International Research Perspectives (ID: 14081)	Incomplete	0/0 (0%)
Avoiding Group Harms - U.S. Research Perspectives (ID: 14080)	Incomplete	0/0 (0%)
Research with Children - SBE (ID: 507)	Incomplete	0/0 (0%)
Research in Public Elementary and Secondary Schools - SBE (ID: 508)	Incomplete	0/0 (0%)
Vulnerable Subjects - Research Involving Workers/Employees (ID: 483)	Incomplete	0/0 (0%)
Research with Prisoners - SBE (ID: 506)	Incomplete	0/0 (0%)

Appendix F: Standardized E-mail Responses and Review Flowchart

Standardized E-mail Responses for Student Protocols

Below, please find standardized language for e-mail responses for student protocols. There are four responses, corresponding the different outcomes of review. Please note that the responses differ by *Expedited* protocols (which require continued IRB oversight) and *Exempt* protocols (which do not require continued IRB oversight). Please be sure to use the appropriate response for the level of review.

For **Expedited** Protocols:

1) For **approval**:

a. *If the first protocol that was submitted can be approved*, use this standardized language:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It meets the criteria for *expedited* review and has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

As indicated on the *Protocol Decision Document* your protocol is now approved. Please keep the attached document for your records.

Please note that your study is approved for **one year from the date marked on the *Protocol Decision Document***. If you finish data collection before this date, please complete the required *Informational Follow-up Form* (found under *Additional Forms* on http://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/). If your data collection will continue past the year date, be sure to submit the required *Renewal/Modification Form* (found under *Additional Forms* on http://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/)

*****For studies that require consent forms, please add:
Please note that you must get your consent forms stamped before you may start collecting any data. To get your consent form stamped, please bring a hard copy of your (1) approval document/e-mail, and (2) consent form to Jimmy McMichael (Jones 212).

Good luck with your research!

(*Your name*)

b. *If a resubmitted protocol can be approved*, use this standardized language:

Dear (*Investigator's Name*),

Thank you for resubmitting your protocol ("Enter protocol number *xxxx-xxx*") and incorporating the requested changes and/or clarifications. As indicated on the *Protocol Decision Document* your protocol is now approved. Please keep the attached document for your records.

Please note that your study is approved for **one year from the date marked on the *Protocol Decision Document***. If you finish data collection before this date, please complete the required *Informational Follow-up Form* (found under *Additional Forms* on http://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/). If your data collection will continue past the year date, be sure to submit the required *Renewal/Modification Form* (found under *Additional Forms* on http://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/)

*****For studies that require consent forms, please add:
Please note that you must get your consent forms stamped before you may start collecting any data. To get your consent form stamped, please bring a hard copy of your (1) approval document/e-mail, and (2) consent form to Jimmy McMichael (Jones 212).

Good luck with your research!

(*Your name*)

2) To request **minor corrections or clarifications**:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It meets the criteria for *expedited* review and has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

Minor changes and/or clarifications are necessary before this protocol can be approved. The required changes and/or clarifications are outlined at the end of this e-mail. Once you have made the requested changes and/or clarifications to the protocol, please resubmit your protocol for approval.

Please respond with your revised protocol within *one week* of this e-mail. If you cannot complete the revisions within one week, please let me know by what date you intend to submit your revisions.

Please note that ***no data collection may occur until you have secured IRB approval***.

If you have any questions or concerns, please contact me via e-mail (*enter e-mail address*) or phone (*x-xxxx*).

Best,

(Your Name)

3) For **reconsideration after investigator corresponds to identified concerns**:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It meets the criteria for *expedited* review and has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

Unfortunately, I cannot approve the protocol in its current form. There are serious concerns that must be addressed before approval is possible. These concerns are outlined at the end of this e-mail.

Please seriously reflect on the concerns raised. If the concerns can be addressed, please respond with your revised protocol within *one week* of this e-mail. If you cannot complete the revisions within one week, please let me know by what date you intend to submit your revisions.

Please note that ***no data collection may occur until you have secured IRB approval***.

If you have any questions or concerns about your protocol or this decision, please contact me via e-mail (*enter e-mail address*) or phone (*x-xxxx*).

Best,

(Your Name)

4) For **disapproval**:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

Unfortunately, this protocol cannot be approved in its current form. **Please understand that this means you may not collect data for your project.** Specific reasons for this decision are outlined in the attached "Protocol Decision Document". If you have any questions or concerns about your protocol or this decision, please contact me via e-mail (*enter e-mail address*) or phone (*x-xxxx*).

Best,

(Your Name)

For **Exempt** Protocols:

1) For **approval**:

   a. *If the first protocol that was submitted can be approved*, use this standardized language:

      Dear (*Investigator's Name*),

      Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It meets the criteria for *exempt* review and has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

      As indicated on the *Protocol Decision Document* your protocol is now approved. Please keep the attached document for your records.

      *****For studies that require consent forms, please add:
      Please note that you must get your consent forms stamped before you may start collecting any data. To get your consent form stamped, please bring a hard copy of your (1) approval document/e-mail, and (2) consent form to Jimmy McMichael (Jones 212).

      Good luck with your research!

      (*Your name*)

   b. *If a resubmitted protocol can be approved*, use this standardized language:

      Dear (*Investigator's Name*),

Thank you for resubmitting your protocol ("Enter protocol number *xxxx-xxx*") and incorporating the requested changes and/or clarifications. As indicated on the *Protocol Decision Document* your protocol is now approved. Please keep the attached document for your records.

*****For studies that require consent forms, please add:
Please note that you must get your consent forms stamped before you may start collecting any data. To get your consent form stamped, please bring a hard copy of your (1) approval document/e-mail, and (2) consent form to Jimmy McMichael (Jones 212).

Good luck with your research!

(*Your name*)

2) To request **minor corrections or clarifications**:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It meets the criteria for *exempt* review and has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

Minor changes and/or clarifications are necessary before this protocol can be approved. The required changes and/or clarifications are outlined at the end of this e-mail. Once you have made the requested changes and/or clarifications to the protocol, please resubmit your protocol for approval.

Please respond with your revised protocol within *one week* of this e-mail. If you cannot complete the revisions within one week, please let me know by what date you intend to submit your revisions.

Please note that ***no data collection may occur until you have secured IRB approval***.

If you have any questions or concerns, please contact me via e-mail (*enter e-mail address*) or phone (*x-xxxx*).

Best,

(*Your Name*)

3) For **reconsideration after investigator corresponds to identified concerns**:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It meets the criteria for *exempt* review and has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

Unfortunately, I cannot approve the protocol in its current form. There are serious concerns that must be addressed before approval is possible. These concerns are outlined at the end of this e-mail.

Please seriously reflect on the concerns raised. If the concerns can be addressed, please respond with your revised protocol within *one week* of this e-mail. If you cannot complete the revisions within one week, please let me know by what date you intend to submit your revisions.

Please note that ***no data collection may occur until you have secured IRB approval***.

If you have any questions or concerns about your protocol or this decision, please contact me via e-mail (*enter e-mail address*) or phone (*x-xxxx*).

Best,

(Your Name)

4) For **disapproval**:

Dear (*Investigator's Name*),

Thank you for submitting your protocol entitled "(*Enter Protocol Title*)". It has been assigned the protocol number *xxxx-xxx*. Please keep this protocol number for your reference.

Unfortunately, this protocol cannot be approved in its current form. **Please understand that this means you may not collect data for your project.** Specific reasons for this decision are outlined in the attached "Protocol Decision Document". If you have any questions or concerns about your protocol or this decision, please contact me via e-mail (*enter e-mail address*) or phone (*x-xxxx*).

Best,

(Your Name)

Protocol Flowchart (updated 2/2017)

1) The principal investigator (PI) submits their protocol to Jimmy McMichael as:
   a. A hardcopy in Jones 212 (CMB 1020); and
   b. An electronic copy (irb@pugetsound.edu)

1) Upon receipt, Jimmy logs the details of the protocol into our database. Using the level of review identified by the PI, Jimmy will either assign a *single reviewer* (for protocols marked exempt/expedited) or send the protocol to the *full board* (for protocols marked full board).

2) For exempt/expedited protocols:
   a. Jimmy will notify you via e-mail when a protocol has been assigned to you. The protocol will be attached in the e-mail. You can also access this protocol via the shared IRB drive (//merlin2/irb/). Once logged in, the folder *Protocols* contains sub-folders with the protocol number that has been assigned to you. You will find the protocol in that folder.
   b. Confirm that the PI has identified the correct level of review (see "Levels of Review Checklist")
      i. If correctly identified as exempt/expedited, please review protocol.
      ii. If incorrectly identified as exempt/expedited, please e-mail Jimmy to alert him that this protocol requires full board review and must be sent to the full committee.

3) Review of exempt/expedited protocols:
   a. *If revisions are required* before the protocol can be approved, the required changes must be communicated with the PI via e-mail. The PI must resubmit the revised document(s) to the reviewer via e-mail. All requested revisions must be satisfied before the reviewer can approve the protocol.
      i. Considerations during the review process:
         1. The reviewer should communicate with the PI within 3 business days of receipt of a protocol or resubmission.
         2. Use the standardized e-mail responses found on the share drive (under *Resources for IRB Members/ Training/ Standardized E-mail Responses*) for all *student protocols*. You can amend these responses for non-student protocols.
         3. If the PI is a student, include the student's advisor on all correspondence. The advisor's name is on the coversheet.
   b. *Once the protocol can be approved*, communicate this decision with the PI by using the Protocol Decision Document, found on the share drive under *Resources for IRB Members/Forms*.
      i. Upload the following into the appropriate protocol folder on the share drive:
         1. Protocol Decision Document
         2. All revised documents

        ii.   Bring the list of protocols you reviewed since the last full board IRB meeting. We will collect protocol numbers and status (approved, revisions required, rejected).
- c. All written communication between the reviewer and the PI *must* be retained. Thus, please cc irb@pugetsound.edu *on all e-mail correspondence*

****Once review of an expedited/exempt protocol is complete, each folder on the IRB share drive *must* contain the following:
- d. Original protocol (uploaded by Jimmy)
- e. Revised protocol (if any revisions were requested by the reviewer)
- f. Protocol Decision Document

If a protocol requires full board review, Jimmy will make the protocol available to the full committee. We will discuss the protocol at the next full board meeting. The IRB chair will communicate decisions, including if revisions are required, with the PI.

Appendix G: Verbal Consent Documentation

Consent Confirmation*   **IRB PROTOCOL# _____**

_____ **Principal Investigator_____**

	SUBJECT PSEUDONYM/CODE	DATE OF INTERVIEW	VERBAL CONSENT Y/N	INVESTIGATOR CONFIRMATION (Please initial)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				

*This form is to be attached to submitted to _____ along with your finalized Informational Follow-up Form for scanning and submission to IRB. It will be archived with your IRB protocol.

Appendix H: Updated Protocol Template and Checklist

(A)   PROTOCOL DESCRIPTION:
1. **Introduction:** briefly introduce the topic of your research with appropriate background information and citations.
2. **Purpose:** clearly state the purpose of the study.
3. **References:** provide a list of the references you have used in providing background information for your study (include this section only if applicable).

(B)   METHOD AND MATERIALS: for each of the following subheadings explain how you will conduct your research.

1. **Subject recruitment:**
   a. number of subjects
   b. how and where subjects will be recruited (word of mouth, posters on campus emails, etc.)
   c. criteria by which subjects will be included or excluded (gender, athletes, age, race, etc.).
      (If the study involves students from the University of Puget Sound the following standard statement may be used: The subject population will resemble the _____ Department subject pool at the University of Puget Sound in terms of age, ethnicity, and gender.)
   d. explain the method of obtaining informed consent.
   e. explain any special conditions or procedures that will be necessary for the project. (write "N/A" if not applicable)
   f. all studies carry at least minimal risk; explain the nature of risks that might occur to the subjects from participating in this study (physical, psychological, social, legal, or economic; see the IRB website for additional information on how to classify risk: https://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/)
   g. describe the precautions you have taken to minimize risks

2. **Instrumentation:** describe any equipment, surveys, software, etc. that will be used in the study, and include validity and reliability of the instrumentation if relevant.

3. **Data collection:** procedures of data collection need to be clearly described. (e.g. how many times the subject must be tested, how long will the testing session last, what is the subject to actually do during the testing session, are there treatments/interventions, for ethnographic research methods specify interview type (structured, semi-structured, unstructured) along with questions and/or interview guide, etc.)

4. **Data Analysis**: explain clearly how the data will be analyzed (e.g. qualitative research themes, ANOVA, t-tests, etc.) and the level of significance, if relevant.

(C) **CONFIDENTIALITY OF DATA:** Explain how data will be secured to safeguard identifiable records of individuals. This might include how and where the data will be housed, how the data were recorded (audio or visual tapes, paper pencil, etc.), how long the data will be kept, how it will be disposed of, who will have access to the data, etc. Also, in certain studies that require deception and/or assent may need to be addressed.

(Standard statement: The names of participants will not appear on materials containing their responses. All identifying materials such as the consent forms will be scanned and stored on the secure University computer system. Hard copies of scanned consent forms will be destroyed immediately; scanned consent forms will be deleted after seven years.)

(D) **BENEFITS:** Describe the anticipated benefits to subjects, science, and/or society, that may occur as a result of this study.

(E) **QUALIFICATIONS OF INVESTIGATOR(S):**
1. If a faculty member is involved please summarize their qualifications
   a. e.g. Jim Jensen is an associate professor in the Department of Psychology and has conducted and published many research studies dealing with Social and Cross-Cultural Psychology.
2. If students are involved, please indicate why you are qualified to conduct the research
   b. e.g. Joe Johnson is a senior in the Department of Psychology and has taken the following classes which provide him the skills to conduct this research: Developmental Psychology, Applied Psychological Measurement, Cross-Cultural Psychology and Social Psychology.

(F) **CONSENT FORMS:** Consent forms are required for human research. Please see the instructions for consent forms in the Principles and Procedures Governing the Use of Human Subjects Document found on the University of Puget Sound Website. https://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/

Please use this checklist to ensure that your protocol meets IRB requirements.

_____ **Submit application for full board review before the deadline indicated on the IRB website https://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/**
Applications for exempt and expedited review may be submitted at any time

COVERSHEET
_____ Completed
_____ Typed
_____ Signed (investigators, and if appropriate, faculty advisor)
_____ CITI Training Certificate of Completion attached

PROTOCOL (5 pages maximum)
_____ Pages numbered throughout

(A) Protocol Description
_____ 1. Introduction and brief background
_____ 2. Purpose of the Study
_____ 3. References

(B) Method and Materials
1. **Subject Recruitment**
_____ a. Number of subjects
_____ b. How and where subjects are recruited
_____ c. Criteria for inclusion and exclusion
_____ d. Method of obtaining informed consent
_____ e. Special conditions or procedures
_____ f.   Risks to subjects
_____ g. Precautions to minimize risks
_____ 2. Instrumentation description
_____ 3. Data collection procedures
_____ 4. Data analysis

(C) CONFIDENTIALITY OF DATA:
_____ Procedure used to protect confidentiality
_____ Manner of recording information
_____ Use of audio and visual tapes and their disposition
_____ How long identifying information will be kept
_____ Deception or assent (if applicable)

(D) BENEFITS
_____ Benefits of the research

(E) QUALIFICATIONS OF INVESTIGATOR(S)

_____ Faculty: Qualifications for conducting the research
_____ Student: Qualifications for conducting the research

(F) CONSENT FORMS

Procedural Details:

_____ a. Page 1 is on appropriate institution letterhead
_____ b. Title (consent form title and project title are the same)
_____ c. Pages numbered (protocol and consent form numbered separately).
_____ d. list all investigators, email addresses, and business telephone numbers
_____ e. Blank for subjects' initials in lower right corner of each page of consent form.
_____ f. Signature line for subject, witness, parent, corroborator.

Separate Consent Forms for:

_____ a. adults in treatment group
_____ b. control group
_____ c. children
_____ d. parent or guardian
_____ e. other

CONTENT

_____ Description of study written in non-technical language no greater than 8th grade
reading level
_____ Risks/benefits
_____ Alternative treatments, if applicable
_____ Costs and payments, if applicable
_____ Confidentiality and use of protected health information
_____ Dean's phone number
_____ Right to refuse or end participation
_____ No compensation for injury, if applicable
_____ Voluntary consent
_____ Acknowledgment of parent, if applicable
_____ Investigator's certification

Appendix I: Recommendation for Storing Consent Documentation and Informational Follow-up Forms

Instructions for submitting consent documentation and study closure form (Informational Follow-up Form)

- Upon completion of a study, the PI:
    - Completes the *Informational Follow-up Form* found on the IRB website (https://www.pugetsound.edu/gateways/faculty-staff/institutional-review-board/)
    - Gives the completed *Informational Follow-up Form* and *all consent documentation* (all signed consent OR or list of participants who provided verbal consent) to your department's/school's administrative/work study staff and/or course instructor

- Upon receipt of completed *Informational Follow-up Form* and *consent documentation*, the administrative assistant, work study staff, or course instructor will:
    - Ensure that the *Informational Follow-up Form* is completed and associated consent documentation is attached
    - Scan the *Informational Follow-up* form and associated consent information
    - Save the scanned document as a .pdf file and name the resulting file using the following convention:
        - Protocol number associated with project listed first, followed by "Closure and Consent"
        - E.g., "1617-017 Closure and Consent.pdf"
        - This will result in one .pdf file for *each* completed study which must be retained for one year and then deleted
    - E-mail the .pdf files to irb@pugestound.edu for storage and record keeping
    - Shred all hard copies of consent documentation that has been successfully scanned and e-mailed
    - All .pdf files should be e-mailed by the end of the term during which the *Informational Follow-up Form* and *consent documentation* were received

Informational Follow-up
IRB Approved Research Project

       The fundamental charge of the Institutional Review Board (IRB) is to protect human research subjects. Approval by the IRB is for a period of one-year and researchers are to notify the IRB within 90 days of termination of an approved project. An annual report to the IRB is required of all approved protocols. To help simplify this process, please respond to the following questions pertaining to the status of your approved research project. The purpose of this follow-up form is not to have researchers provide self-incriminating documentation in the event of an unanticipated occurrence during the study, it is merely to inform the IRB of the status of the project and report on any modifications made to the originally proposed protocol.

IRB Protocol #: _____

Project Title: _____

Principal Investigator(s): _____

     email: _____   Phone: _____

1. Project status (please check one):
     o Complete _____   o Ongoing _____
       completion date   estimated completion date_____
     o Discontinued
          On a separate page, please state why the study was discontinued.

2. During the course of conducting a research project it sometimes becomes necessary and/or prudent to alter experimental protocols. Did any circumstances require significant modification for this protocol?

     o no   o yes

     If yes, what changes were made and why (use a separate page if necessary)?

3. During the course of conducting the research project did any event occur that may have placed a human subject(s) at risk or caused any human subject to be harmed?

     o no   o yes

     If yes,
     a. please describe the situation (use a separate page if necessary).

     b. please describe efforts undertaken to minimize harm to the subject or modify the protocol to reduce the probability of similar harm occurring to future subjects (use a separate page if necessary).

UNIVERSITY *of* PUGET SOUND

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Consent to Act as a Subject in a Research Study

TITLE: XXXXX

INVESTIGATORS: Principal Investigator   Co-investigator 1   Co-investigator 2   Co-investigator 3
                     (University Phone)

SUPERVISOR: Faculty Member's Name   DEPARTMENT: XXXXX   PHONE: 253 879-XXXX

DESCRIPTION: (Describe the general purpose of the study if possible. Describe the nature of procedures and the general content of specific measures. Include a statement about length such as: Participation will take no longer than 30 minutes. The content of the consent form should not exceed an 8th grade reading level.)

RISKS AND BENEFITS: (Sample statement: Participation in this study involves minimal risk, such as.... Student participants benefit by gaining experience and familiarity with the process of conducting research in psychology.)

COSTS AND PAYMENTS: (Describe any costs and payments associated with this study.)

****
CONFIDENTIALITY: I understand that any information about me obtained from this research, including answers to questionnaires, laboratory data, or audio or videotapes will be kept strictly confidential. Information that will carry personal identifying information, such as consent forms, will be scanned and stored on the secure University computer system. Hard copies of scanned consent forms will be destroyed immediately; scanned consent forms will be deleted after seven years. I do understand that my research records, just like hospital records, may be subpoenaed by court order. It has been explained to me that my identity will not be revealed in any description or publication of this research. Therefore, I consent to such publication for scientific purposes.

RIGHT TO REFUSE OR END PARTICIPATION: I understand that I am free to refuse to participate in this study or to end my participation at any time and that my decision will not adversely affect my care at this institution or cause a loss of benefits to which I might be otherwise entitled.

RIGHT TO REFUSE OR END PARTICIPATION: I understand that I am free to refuse to participate in this study or to end my participation at any time and that my decision will not adversely affect my care at this institution or cause a loss of benefits to which I might be otherwise entitled. Additionally, I may refuse to answer any question or set of questions contained in the questionnaires if I choose to do so, without any adverse impact on my participation in this study.

VOLUNTARY CONSENT: I certify that I have read the preceding or it has been read to me and that I understand its contents. Any questions I have pertaining to the research will be answered by the above named investigators. Any questions or concerns I have regarding my rights as a research subject will be answered by the Office of the Associate Dean (253-879-3207). A copy of this consent form will be given to me. My signature below means that I have freely agreed to participate in this study.

_____   _____
Date   Participant's signature

INVESTIGATOR'S CERTIFICATION: I certify that I have explained to the above individual the nature, potential benefits, and possible risks associated with participating in this research study, have answered any questions that have been raised, and have witnessed the above signature.

_____   _____
Date   Investigator's signature

Updates to Protocol for Confidentiality Statement:

The current Confidentiality Statement reads:

(C)   CONFIDENTIALITY OF DATA: *Explain how data will be secured to safeguard identifiable records of individuals.* This might include how and where the data will be housed, how the data were recorded (audio or visual tapes, paper pencil, etc.), how long the data will be kept, how it will be disposed of, who will have access to the data, etc. Also, in certain studies that require deception and/or assent may need to be addressed.

(Standard statement: The names of participants will not appear on materials containing their responses. All identifying materials such as the consent forms will be kept in a locked file cabinet in the Department of Psychology at the University of Puget Sound.)

The **Standard Statement** needs to be updated to something like:

The names of participants will not appear on materials containing their responses. All identifying materials such as the consent forms will be scanned and stored on the secure University computer system. Hard copies of scanned consent forms will be destroyed immediately; scanned consent forms will be deleted after seven years.