

amendment to IRB protocol #10015

Carson, Lea Ann
12/9/11
to Mary-Ann

Thank you for letting the IRB know about the modifications to your study. The modifications do not affect the status of the IRB original determination of exemption on your protocol, it still remains exempt. Please save a copy of this email for your records as the IRB notice of approval of these modifications and that they have been documented satisfactorily.

Thank you,
LeaAnn Carson



University of Illinois at Urbana-Champaign IRB Application for Exemption	Institutional Review Board Suite 203, MC-419 528 East Green Street Phone: 217.333.2670 Fax: 217.333.0405 irb@uiuc.edu www.irb.uiuc.edu
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All forms must be completed, signed by the RPI, and submitted by FAX, Email, or single-sided hard copy.
 NO STAPLES PLEASE!

Verson 1.01

Project Title: Illinois Initiative on Transparency in Learning and Teaching
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1.1 Responsible Project Investigator. The RPI must be a non-visiting member of UIUC faculty or staff who will serve as project supervisor at UIUC. Students, interns, post-doctoral researchers, and visiting faculty from other campuses may not serve as RPI, but should be listed as investigators, if applicable.

Last Name: Winkelmes	First Name: Mary-Ann	Academic Degrees: PhD, MA,
Dept. or Unit: Office of the Provost and Chancellor for Academic Affairs	Office Address: 534 Illini Union Bookstore, 807 S. Wright St	Mail Code: 317
Street Address: 807 S. Wright St	City: Champaign	Zip Code: 61820
Phone: 217 244-5108	Fax: 217 265-4183	E-mail: mawink@illinois.edu
UIUC Status (please mark one): Non-visiting member of <input type="checkbox"/> Faculty <input checked="" type="checkbox"/> Staff		

1.2 Investigators. Please list: All investigators who are different from the RPI, including those from other institutions. Include all persons who will be directly responsible for the project's design or implementation, the consent process, data collection, data analysis, or follow-up.

Last Name:	First Name:	Academic Degrees:
Dept. or Unit:	Office Address:	Mail Code:
Street Address:	City:	Zip Code:
Phone:	Fax:	E-mail:
UIUC Affiliation (please mark one): <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Student <input type="checkbox"/> Visiting Scholar <input type="checkbox"/> Non-UIUC Affiliate of (Institution)		

Please check here and attach a list of Additional Investigators, if applicable.

1.3 Please review the 6 categories of exemption listed below and indicate the category or categories that apply to your research. (Note: Exemptions do NOT apply for prisoners, or for research that specifically targets persons who are cognitively impaired or persons who are economically or educationally disadvantaged.)

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as: research on regular and special education instructional strategies, or research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, *unless*:

- information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; *and*
- any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. **Note:** This category does not apply to the following types of research involving children: surveys, interviews, and observations of public behavior when the investigator is a participant in the activities being observed.

3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt in category 2 above if: human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are *publicly available* or if the information is recorded by the investigator in such a manner that *subjects cannot be identified*, directly or through identifiers linked to the subjects. **Note: In order to be eligible for this exemption, all data, documents, records or specimens must exist prior to IRB review and must have been collected for purposes other than the proposed research. (To qualify for an exemption in this category, the proposed research must be strictly retrospective.)**

5. Research and demonstration projects that are conducted by or subject to the approval of department or agency heads. The program under study must deliver a public benefit or service (e.g., Social Security Act or Older Americans Act). Such research or demonstration projects must be conducted pursuant to specific federal statutory authority; there must be no statutory requirement that the project be reviewed by an Institutional Review Board (IRB); and the project must not involve significant physical invasions or intrusions upon the privacy of participants.

6. Taste and food quality evaluation and consumer acceptance studies: if wholesome foods without additives are consumed; or if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe by the Food and Drug Administration (FDA) or approved by the Environmental Protection Agency (EPA) or the Food Safety and Inspection Service of the US Department of Agriculture (USDA).

If the proposed research does not qualify in any of these categories, please complete the IRB 1 application form at www.irb.uiuc.edu.

2. Research Summary. In layman's language, please summarize the objectives and significance of the research. The Illinois Initiative on Transparency in Learning and Teaching provides a structure for faculty who wish to contribute to a large and significant research project on students' learning, while relying on others to provide the education-research expertise and administrative support. It also brings teachers and students into dialogue about the processes of teaching and learning.

The premise of the research is that students learn more deeply and retain information longer when they understand how and why they are learning course content in particular ways. Further, students' critical thinking abilities and their capacity to monitor and take responsibility for their own learning will increase, both during "transparent" courses and long afterward. Faculty satisfaction and effectiveness should increase as a result of this purposeful dialogue about their students' particular learning styles and procedures. Students' satisfaction with their courses and their teachers will likely be enhanced, along with their performance in "transparent" courses.

Ultimately, this research will identify which small changes to teaching and learning practices produce the greatest beneficial impact on students' learning, with results specific to: the past experience of the student, the size of the course, the level of the course (beginning college through advanced degree) and the discipline. Longer-term results may include higher retention and graduation rates for undergraduate students, including community college students who transfer into four-year institutions, and greater participation of diversely prepared students in Masters and PhD degree programs.

Please check here and attach additional Research Summary information, if applicable.

3. Participants. Describe who will participate in this research and how these persons will be recruited. Participants will be students enrolled in the courses of voluntarily participating instructors. Students will receive an emailed invitation from their instructor to complete a four-to-five-minute online survey. Instructor participants are those who volunteer to participate because they have heard about the project from colleagues or from the project's investigators or from the project's website, publications, or conference presentations. Student and instructor participants are currently located at the University of Illinois, University of Chicago, and other institutions, including Semarang State University, Gustavus Adolphus College, Franklin University, El Colegio de Mexico, University of Glasgow, University of Sunderland.

An amendment will be filed to indicate participating institutions each year.

Please check here and attach additional Participant information, if applicable.

4. Research Procedures. Specifically describe what the participants will do and where the activities will take place. Outline the approximate dates and durations for specific activities, including the total number of treatments, visits, or meetings required and the total time commitment. Please include a copy of each of your measures as attachments.

All potential student participants will receive an electronic invitation from the principal investigator and/or course instructor during the last week their participating course is in session. Clicking on a link provided in the invitation will lead a student to an Information and Consent form (attached). Clicking "I agree" will lead to the online survey. Students who agree to participate will complete an online survey (attached) of approximately thirty multiple-choice questions about their perceptions of their learning experience in the course. The survey takes approximately four or five minutes to complete.

At the three-year, five-year and ten-year marks (when possible, some of these student participants may receive an electronic invitation (sent to a course alumni list) to complete online surveys about the long-term impact of their past participation. These follow-up surveys will take approximately six minutes to complete.

Instructor participants register online (registration form attached) to indicate their voluntary participation. Information and Consent forms for participating instructors (attached) allow for future reporting of anonymous data in the aggregate about how instructors describe their teaching on the registration form, or in any optional conversations online, via Elluminate, via email, or even in person or on the telephone via oral interview. Instructor participants will invite their students to complete an online survey at the end of the course. In addition, some instructors may choose to make a small alteration to their teaching technique. Some instructor participants will be invited by the principal investigator to complete an oral interview (protocol attached) that will take approximately forty-five minutes.

Please check here and attach additional Research Procedures information, if applicable.

5. Data Collection. Please explain how confidentiality will be maintained during and after data collection. If appropriate, address confidentiality of data collected via e-mail, web interfaces, computer servers and other networked information.

Data from online surveys will be stored on the Swanlund Server, maintained by Swanlund System Services in the Provost's Office at the University of Illinois, and on a flash drive kept in a locked drawer in the office of the Campus Coordinator for Programs on Teaching and Learning, Office of the Provost and Vice Chancellor for Academic Affairs, at the University of Illinois.

Students' anonymity will be preserved. Students' identities will never be tracked: no key or other identifier will link students' answers with their identity. Data from the survey will be preserved for the duration of this ten-year study (2009-2019). Students' data will be shared only in aggregate form. Instructors will not receive students' data until after course grades are submitted. Instructors' identities will be known only to the investigators, who will keep these identities confidential. Instructors' names will not be used in any reports, presentations or publications resulting from the Transparency Initiative, nor will names be shared with their institutions' Review Boards or other administrators. Instructors' data will be shared only anonymously in aggregate form. Information and Consent Statements are attached.

Please check here and attach additional Data Collection information, if applicable.

6. Consent Process Describe when and where voluntary consent will be obtained, how often, by whom, and from whom. Attach copies of all consent forms (as well as assent forms for those under age 18 if any). All potential student participants will receive an electronic invitation from the principal investigator and/or course instructor during the last week their participating course is in session. Clicking on a link provided in the invitation will lead a student to an Information and Consent form (attached). Clicking "I agree" will lead to the online survey. Students who agree to participate will complete an online survey (attached) of approximately thirty multiple-choice questions about their perceptions of their learning experience in the course. The survey takes approximately four or five minutes to complete. Participating instructors register online (registration form attached) to indicate their voluntary participation. Information and Consent forms for participating instructors (attached) allow for future reporting of anonymous data in the aggregate about how instructors describe their teaching on the registration form, or in any optional conversations online, via Elluminate, via email, or even in person or on the telephone via oral interview.

At the three-year, five-year and ten-year marks (when possible), some of these student and instructor participants will receive an electronic invitation to complete online surveys or oral interviews about the longer-term impact of their past participation on their learning and/or teaching practices. The follow-up surveys will consist of approximately fifteen questions (to be filed by the principal investigator in an amendment) and will take approximately six minutes to complete.

Please check here and attach additional Consent Process information, if applicable.

7. Dissemination of Results. What is (are) the proposed form(s) of dissemination (e.g., journal article, thesis, academic paper, conference presentation, sharing within the industry or profession, etc.)?

Results of students' survey responses in aggregate form (with no individuals identified) will be shared with instructors after grades are submitted and will likely be disseminated via conference presentations, white papers, journal publications and perhaps even a book publication. Data from participating instructors' responses to the online registration form and optional communications online or in person will be similarly disseminated (with no individuals identified) in aggregate form.

Please check here and attach additional Dissemination of Results information, if applicable.

8. Individually identifiable information. Will any individually identifiable information, including images of subjects, be published, shared, or otherwise disseminated? Please mark the appropriate box below.

- Yes
 No

Note: If yes, subjects must provide explicit consent or assent for such dissemination. Provide appropriate options on the relevant consent documents.

9. Funding Information.

Is your research funded or is there a pending funding decision? Yes No

If "yes", please indicate the funding agency here: Funding will eventually be sought. An amendment will be filed by the principal investigator to indicate which agencies have received a funding proposal.

Please submit a copy of the funding proposal.

10. Expected Completion Date: September, 2019

INVESTIGATOR ASSURANCES

I certify that the project described above, to the best of my knowledge, qualifies as an exempt study. I agree that any changes to the project will be submitted to the Institutional Review Board for review prior to implementation. I realize that some changes may alter the exempt status of this project. **The original signature of the RPI is required before this application may be processed (scanned or faxed signatures are acceptable).**

Mary-Ann Winkelmes
Responsible Project Investigator

09/17/2009
Date

Investigator

Mary-Ann Whelan

Nov 15, 2011
Date

This Section is for Office Use Only

UIUC IRB Protocol No. _____

Exempt under 45 CFR §46.101(b) (1) (2) (3) (4) (5) (6)

Reviewed by: _____

Guide/Script for Individual Oral Interviews with Instructors Participating in the Illinois Initiative on Transparency in Learning and Teaching

Time - approximately 45 minutes

Thank you for taking the time to participate in this interview. Please take a moment to read this Information and Consent document. By proceeding with this interview, you indicate your voluntary participation in an Individual Instructor Interview for the Transparency in Learning and Teaching Initiative.

I like to audio record these interviews. Is it all right with you?

Give the interviewee the following to read before the interview begins:

In a two-year pilot study involving approximately 7500 students in seventy-two courses at nine universities in five countries, the Illinois Initiative on Transparency in Learning and Teaching has demonstrated a promising assessment model for addressing two ambitious goals:

- 1) supporting faculty across disciplines and institutions in collaborative research on students' learning experiences, and
- 2) enhancing students' metacognition – their understanding of and their agency in how they learn.

While many institutions develop assessment efforts mainly to demonstrate accountability to government and accreditors, faculty members involved in the Transparency Initiative are focused primarily on promoting student awareness of learning practices and implementing change with their students. They apply "transparency" to their teaching practice by engaging students in explicit consideration of the teaching and learning methods used in their courses. By collaborating across disciplines and institutions, these faculty are gaining insights about how students perceive their learning processes, and sharing current information about what works on a far larger scale than faculty members have been able to do before.

1. I'd like to start the interview by asking you to identify your research interests (briefly), and to describe your teaching experience.

Probes:

What is the focus of your research?

When did you begin to teach in higher education?

How long have you been on the faculty at the University of Illinois?

What have you been teaching and do you plan to change your teaching areas in the future?

What have been the biggest challenges for you in your teaching, and how has your teaching changed over time as you've addressed these?

What have been the big stumbling blocks to students' understanding of:

a) the content you are teaching?

b) the disciplinary skills and critical thinking skills you are teaching your students to apply?

Can you describe for me how your teaching has changed over the years?

What (if any) changes have you made to your teaching as a result of your involvement in the Transparency Initiative?

What teaching/learning techniques have you found to be the most effective in your courses?

What percentage (roughly) of class time do you spend lecturing?

What percentage of class time is spent with students conducting active learning exercises working in groups or pairs?

What percentage of class time do you spend in discussion or dialogue with your students?

What percentage of class time is spent with students making presentations?

2. So, I understand that you have participated in the Transparency Initiative twice so far. How did you get involved? What difference has your involvement made for you and your students?

Probes:

- What have you noticed about the students' learning?
- How is it different (if at all) now, compared with the students' learning before your involvement in the Transparency Initiative?
- What feedback do you get from students about their learning experience in your course(s)?
- Do you think the students' grades or performance on tests and exams has improved since your involvement in the Transparency Initiative? Explain?
- Have your goals/expectations for students' learning changed? How?
- Are you a harsher grader since your involvement in the Transparency Initiative?
- Has your rapport with students changed since your involvement in the Transparency Initiative? How?
- How have your ideas and attitudes about teaching changed since you began participating in the Transparency Initiative?
- How have your interactions with students in and out of the classroom changed?
- How are the students' perceptions of the course content and learning experience(s) different, compared with before your involvement in the Transparency Initiative?

3. What are the main benefits and drawbacks you experienced with the Transparency Initiative?

Probes:

- What has been most beneficial about your participation/experience with the Transparency Initiative?
- What has been least beneficial?
- What would have improved your experience?
- What suggestions do you have for how the experience could be improved for future participants?

4. What do you see as the greatest obstacle to the use of transparency techniques in your classes / in others' classes?

Probe:

- What do you think is the greatest challenge in implementing transparency techniques?

5. What kinds of instructors do you think would most benefit from the Transparency Initiative?

Probes:

- New faculty/instructors
- Mid-career faculty/instructors
- Seasoned, senior faculty/instructors
- Instructors in particular disciplines:
 - Humanities
 - Social and Behavioral Sciences
 - Physical Sciences, Mathematics and Engineering
 - Life Sciences

6. Is there anything that I have not asked you about the learning and teaching experiences in your classes that you think the Transparency Initiative investigators need to know?

Thank you for participating in this interview. You will receive a copy of publications from the Transparency Initiative. Would you also like to have a copy of the audio recording or transcript notes from this interview?

APPENDIX A

Illinois Initiative on Transparency in Learning and Teaching Information and Consent for Instructors Participating in Optional Oral Interviews

Purpose and Investigators: The Illinois Initiative on Transparency in Learning and Teaching in Higher Education is a study that researches how higher education students understand their own learning processes, and how instructors can enhance that understanding. Your responses will help instructors and institutions improve students' learning experiences. Please contact the study's principal investigator, Dr. Mary-Ann Winkelmes, Campus Coordinator for Programs on Teaching and Learning, Office of the Provost and Vice Chancellor for Academic Affairs, University of Illinois, (tel. 217 244-5108, fax 217 265-4183, mawink@illinois.edu) with any questions, or concerns about the research. If you have any questions about your rights as a participant in this study, please contact the University of Illinois Institutional Review Board at 217-333-2670 or via email at irb@uiuc.edu.

Procedures, Dissemination and Confidentiality: You have been selected and invited to participate in an optional oral interview because you have participated in the Transparency Initiative by inviting your students to complete the online Transparency Initiative survey. By proceeding with this interview, you indicate your voluntary participation in the Transparency Initiative Optional Oral Interview. The interview will take approximately 45 minutes, and you will be asked to respond to questions about your teaching and your experience with the Transparency Initiative. Your name will not be used in any presentations or publications resulting from the Transparency study, and the data from your interview will not be connected with your identity. The investigators will keep your identity confidential. The data from your interview will be stored on a secured server at the University of Illinois, accessible only through a password protected account on a password protected computer, and also in a locked cabinet in Dr. Winkelmes's office. Data from the survey will be preserved for the duration of this ten-year study (2009-2019). Dr. Winkelmes and several collaborators will code and analyze data, interpret the findings, and disseminate the study's context, purpose, methods, findings, limitations, and conclusions through presentations and publications in higher education conferences, journals, and/or books. No individual names of Transparency Initiative participants will be identified in any reports, presentations, or publications.

Benefits/Risks and Voluntary Participation: Your participation in this research is voluntary. Your decision to participate, decline, or withdraw from participation will have no impact on your present or future relations the University of Illinois at Urbana-Champaign in any way. There are no known risks from participation in this study beyond those that exist in normal daily life. There may not be immediate direct benefits to you as a participant. You may benefit from this interview by becoming more aware of your own teaching practices and how these impact your students' learning. You may skip questions or terminate your participation at any time.

I HAVE READ AND UNDERSTOOD THE INFORMATION ABOVE AND CONFIRM THE FOLLOWING STATEMENTS:

- I understand that my participation is entirely voluntary.
- I understand that I may refuse to participate or may discontinue participation at any time during the project without penalty.
- I understand that my confidentiality will be preserved by the investigators..
- I am 18 years of age or older.
- I understand that the investigator will disseminate aggregate data from this project in reports of this research at professional meetings and in professional publications, and that the names of participants will not be revealed.
- By proceeding with this interview, I indicate my voluntary participation.

Please retain a copy of this consent form for your records.

Illinois Initiative on Transparency in Learning and Teaching
Online registration form for instructors (beginning of term)

I would like to participate in the Illinois Initiative on Transparency in Learning & Teaching by surveying my students about their learning experiences in this course:

*1. Course number

*2. Course name:

*3. The category (or categories) that most closely matches the discipline of this course is:

- Humanities
- Social and Behavioral Sciences
- Physical Sciences, Mathematics and Engineering
- Life Sciences

*4. The approximate number of students taking this course is:

*5. The level of this course is:

- Introductory undergraduate course
- Mixed level undergraduate course (includes intermediate and/or advanced level material)
- Graduate level course
- Other

Enter text

6. I choose to implement the following mode of transparency at my own discretion. (*Please select one option. Click here for descriptions of these options.*)

- I'll consider myself a member of the "control" group this term. I will not change my teaching to increase "transparency" in any of the ways listed below.
- Assignment's learning goals and design rationale are discussed before students begin working on it. (See descriptions.)
- Shared Class Planning, Agenda Construction
- Real-time, In-class Assessment of students understanding
- Explicitly Connecting "How People Learn" Data with Course Activities

- Grading Practices and Criteria defined and discussed, with opportunities for students to apply them
 - In-class debriefing discussions about graded tests and assignments
 - Running commentary on class discussions, to indicate modes of thought or disciplinary methods used
 - Other
- Enter text:

7. In addition, I wish to join an optional informational discussion with other participating instructors.

- Yes
- No

Please be assured that your identity remains confidential in this project, and that your students' identities are never tracked. You will not be identified in any correspondence with your own institution's review board. You may view the University of Illinois Institutional Review Board approvals here:

***original approval
renewal***

*8. Institution/university name at which I teach this course:

*9. My email address is: answer must be an email address

*10. My name is:

11. Optional: If you choose to use MORE THAN ONE of the transparent methods listed above, please indicate which ones. (See descriptions.)

- Assignment's learning goals and design rationale are discussed before students begin working on it
- Shared Class Planning, Agenda Construction
- Real-time, In-class Assessment of students understanding
- Explicitly Connecting "How People Learn" Data with Course Activities
- Grading Practices and Criteria defined and discussed, with opportunities for students to apply them
- In-class debriefing discussions about graded tests and assignments
- Running commentary on class discussions, to indicate modes of thought or disciplinary methods used
- Other

Enter text:

12. Please click "submit" below to indicate that you agree with this Information and Consent statement (URL), and that you would like to participate in the Illinois Initiative on Transparency in Learning and Teaching.

Enter email address to receive a copy of this Survey.

Illinois Initiative on Transparency in Learning and Teaching

Online registration form for instructors (end of term)

Please indicate the extent to which you used your chosen mode of transparency this term.

*1. Course number

6. I implemented the following mode of transparency at my own discretion. *(Please select one option. [Click here for descriptions of these options.](#))*

- I'll consider myself a member of the "control" group this term. I will not change my teaching to increase "transparency" in any of the ways listed below.
- Assignment's learning goals and design rationale are discussed before students begin working on it. (See descriptions.)
- Shared Class Planning, Agenda Construction
- Real-time, In-class Assessment of students understanding
- Explicitly Connecting "How People Learn" Data with Course Activities
- Grading Practices and Criteria defined and discussed, with opportunities for students to apply them
- In-class debriefing discussions about graded tests and assignments
- Running commentary on class discussions, to indicate modes of thought or disciplinary methods used
- Other

Enter text

I implemented this mode of transparency about this often: (Please skip this question if you were in the control group.)

12. Please click "submit" below to indicate that you agree with this Information and Consent statement (URL), and that you would like to participate in the Illinois Initiative on Transparency in Learning and Teaching.

Enter email address to receive a copy of this Survey.

Thank you for your important participation and your contribution to improving students' learning in higher education. You will receive a copy of all publications resulting from the Transparency Initiative.