
University of Wisconsin–Madison
Instructions for Initial Review of Research Projects Involving
Human Subjects
Education Research IRB _ Social and Behavioral Research IRB

These instructions apply to *social, behavioral, and non-medical biological* research projects.

1. Read the general information on page 2.
2. Complete the Application Cover Sheet and Questionnaire (Parts I & II).
3. Complete the on-line tutorial *Human Subjects Protection at the University of Wisconsin–Madison* (<http://info.gradsch.wisc.edu/research/compliance/humansubjects/tutorial>), and fill out the Training Certification Form (Part III).
4. Consult the guide on page 3 to determine whether you are applying for a *full review*, an *expedited review*, or an *exemption from review*.
5. If you are applying for an **exemption** from committee review:
 - Complete the Exemption Check Sheet in Part IV.
 - Prepare an Exemption Application in accordance with the instructions in Part V.
 - Submit the Exemption Application as an attachment to your application.

If you are applying for a **full** or **expedited** review:

- Prepare a General Application in accordance with the instructions in Part VI.
 - Submit the General Application as an attachment to your application.
6. Make **copies** of your application and attachments.
 - For a full review, submit the original plus 14 copies.
 - For an expedited review, submit the original plus three copies.
 - For a request for exemption from review, submit the original plus one copy.
 7. If you are applying for, or have been awarded, **federal funds** for your research and your application is for full or expedited review, submit two copies of your federal funding proposal with your application.

What can I complete electronically?

- You may complete sections A and B of the Application Cover Sheet (Part I) and the Training Certification Form (Part III) by saving a copy of this document and editing it electronically.
 - For now, please complete section C of the Application Cover Sheet (Part I), the Questionnaire (Part II), and the Exemption Check Sheet (Part IV) by printing them and filling in the check boxes manually. *An all-electronic Web form will be available soon.*
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General Information

The University of Wisconsin–Madison is committed to full compliance with federal rules for the protection of human research. In accordance with federal regulations (45 CFR 46), all research involving human subjects must be reviewed, or determined exempt, by an institutional review board (IRB), to assure certain protections for human subjects.

The federal regulations define *research* and *human subjects* as follows:

Research is a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities (45 CFR 46.102(d)).

A **Human Subject** is a living individual about whom an investigator (professional or student) conducting research obtains 1) data through intervention or interaction with the individual or 2) identifiable private information (45 CFR 46.102(f)).

For social and behavioral research:

If your project involves only the use of publicly available social science data sets, please see the information posted at:

<http://info.gradsch.wisc.edu/research/compliance/humansubjects/faq-existing.html>

For all other research:

A human subjects committee must review and approve:

1. research protocols before any work is started;
2. ongoing research at least annually;
3. all changes to research protocols before implementation (except when necessary to eliminate any immediate hazards to subjects or others).

Required Tutorial

To ensure that researchers understand the federal regulations, UW–Madison policy requires all principal investigators and key research personnel to complete an on-line tutorial *Human Subjects Protection at the University of Wisconsin–Madison*

(<http://info.gradsch.wisc.edu/research/compliance/humansubjects/tutorial>). This tutorial takes about 45 minutes to complete. The Training Certification Form (Part III) must be included with your application. Your application will be returned to you until you and your project key personnel have completed the training.

For additional information or guidance, please call or email one of the following human subjects committee offices:

- Social and Behavioral Sciences IRB 263-2320, dcjahnke@ls.admin.wisc.edu
- Education Research IRB 262-9710, kwash@education.wisc.edu

Caution: No data may be collected for research purposes until IRB approval has been received.

Guide for Determining Review Type and Application Materials Required

After completing the Application Cover Sheet (Part I) and the Questionnaire (Part II), check your responses against the criteria listed below to determine the type of review required for your project.

Criterion	If Yes:	If No:
1. Did you answer YES to any part of questions 1 through 3 on the Questionnaire?	<i>Full review</i> is required.	Continue to criterion 2.
2. Does your project fit any of the exemption categories listed in Part IV?	Apply for an <i>exemption from committee review</i> .*	Continue to criterion 3.
3. Is your research comparable to studies listed in Part VII?	Apply for <i>expedited review</i> .	<i>Full review</i> is required.

Once you have determined the type of review for which you are applying, refer to the table below to determine what you must prepare and submit to the human subjects committee.

Review Type	Required Application Materials	Required Attachments	# of copies	Additional Attachments
Full Review	I. Application Cover Sheet II. Questionnaire III. Certification Form	VI. General Application	Original Plus 14	2 copies of the federal funding proposal, if applicable
Expedited Review	I. Application Cover Sheet II. Questionnaire III. Certification Form	VI. General Application	Original Plus 3	2 copies of the federal funding proposal, if applicable
Exemption from Committee Review	I. Application Cover Sheet II. Questionnaire III. Certification Form IV. Exemption Check Sheet	V. Exemption Application	Original Plus 1	None

*** Note: If your research project meets the appropriate criteria, you may apply for an exemption from IRB committee review. However, the final determination of whether the project is exempt resides with the committee, not the investigator.**

University of Wisconsin–Madison
Application for Initial Review of Research Projects Involving
Human Subjects
Education Research IRB _ Social and Behavioral Research IRB

For Office Use Only:

IRB:
Date Received:
Protocol #
Transferred to IRB:
Transfer Date:

I. Application Cover Sheet

A. Researcher and Protocol Identification

1. Expected Project Starting Date: 1/1/2005
2. Expected Project Duration: 2 Years
3. Protocol Title: Faculty Participation in the National Science Digital Library – Lowering the Barriers
4. If this research is part of a previously approved project or is related to another project, please provide the other protocol number(s) and approval date(s):
5. Principal Investigator/Advisor
 - Name: Alan Wolf
 - Social Security Number: XXX-XX-XXXX
 - Job Title: Sr. Learning Technology Consultant
 - Phone: 608-263-0919
 - Fax: 608-263-4531
 - Department/Unit Name: Learning Technology and Distance Education / DoIT
 - Office Address: 3130 Genetics-Biotechnology Center
 - Email: alanwolf@wisc.edu
6. Co-Investigator/Student
 - Name:
 - Social Security Number:
 - Job Title:
 - Phone:
 - Fax:
 - Department/Program:
 - Office Address:
 - Email:
7. Point of contact or additional co-investigator names (if applicable):
 - Name:
 - Social Security Number:
 - Job Title:
 - Phone:
 - Fax:
 - Department/Program:
 - Office Address:
 - Email:

B. Project Sponsorship Information (current or planned):

1. Is the research to be funded with federal funds, or are federal funds being applied for? Yes No
If so, please provide two copies of the grant proposal.
2. Is the research to be funded by a private sponsor? Yes No
3. For each current or potential funding source, provide:
 - a. The name of the sponsoring agency (include UW funding): National Science Foundations
 - b. The UW proposal number or planned submission date
 - c. The UW grant fund and account number (i.e. 144-abxx)
 - d. The agency award number

C. Additional Project Information:

-
1. Is this a clinical research project? (Definition: *Clinical Research Involving Human Subjects* means any research or medical procedure involving human subjects or the use of human samples for the development and evaluation of patient therapies, such as diagnostic tests, drug therapies, or medical devices. It includes clinical trials.) Yes No

 2. Do any project personnel receive incentives for recruiting human subjects or for any other purpose directly related to the study? Yes No

 3. Do any personnel involved in the design, conduct, or analysis of the study have any proprietary interests (royalties, patents, trademarks, copyrights, or licensing agreements) involving any agent, device, or software being evaluated as part of the study? Yes No

 4. In addition to the sponsor(s) of this project, are other companies or business entities involved in or potentially affected by this research project? Yes No
If so,
 - a. List the names of those companies/business entities.
-

II. Questionnaire

Please answer *all* of the following questions:

-
1. Does the research involve **the collection of data** concerning:
- a. Prisoners? Yes No
 - b. Fetuses, pregnant women, or information about human in vitro fertilization? Yes No
 - c. The cognitively impaired? Yes No
 - d. Subjects who are institutionalized (e.g., in a mental health facility, nursing home, or halfway house)? Yes No
-

2. Will the study elicit data about subjects engaged in illegal or stigmatizing behaviors (e.g., illicit drug use, child abuse, alcoholism, or gambling)? *If so, provide an explanation in the study description.* Yes No
-

3. Does the research involve deception of the subjects by the researcher? Yes No
-

Note: If you answered YES to any part of questions 1-3, your research is subject to full review by a human subjects committee. Follow the directions for the General Application (Part VI) after completing the questionnaire.

4. Does the research involve data from subjects with:
- a. Learning disabilities? Yes No
 - b. Emotional disabilities? Yes No
 - c. Developmental disabilities? Yes No
 - d. Physical disabilities? Yes No
-

5. Does the research involve:
- a. Non-UW researchers? Yes No
 - b. Students in a classroom setting? Yes No
 - c. Collection of images or audio recordings of the subjects? Yes No
 - d. Only the use of existing data (i.e., no human subject contact)? Yes No
 - e. Subjects who have a status relationship with the researchers (e.g., students or employees)? Yes No
 - f. Observations of behavior of subjects under the age of 18 outside of an established educational setting? Yes No
 - g. Survey or interviews of subjects under the age of 18? Yes No
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6. Will the study target or exclude a particular gender or ethnic or racial group? Yes No
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7. Will the research be conducted at or in conjunction with another institution that has its own institutional review board for human subjects research? *If so, attach documentation of approval from the other IRB(s).* Yes No
-

8. Will the research be conducted outside of the United States? Yes No
-

III. Certification Form of Completion of Human Subjects Protection Training Program

Please list alphabetically the names, office addresses, and contact information for all investigators and other key personnel who are responsible for the design and conduct of the research.

Alan Wolf, Ph.D.
3130 Genetics Biotechnology Center
608-263-0919
alanwolf@wisc.edu

Glenda Morgan, PhD
California State University,
Office of the Chancellor
401 Golden Shore, 6th Floor
(562) 951-4617
gmorgan@calstate.edu

Dr. Cathryn A. Manduca
Director, Science Education Resource Center
Carleton College
Northfield, MN 55057
507 646-7096
cmanduca@carleton.edu
serc.carleton.edu

Dr. Flora McMartin
Director of Member Services and Evaluation
MERLOT
CSULB
1250 Bellflower Boulevard Psy-100
Long Beach CA 90840-0901
mcmartin@merlot.org
510.967.5327

Ellen Iverson
Web Development and Evaluation
Science Education Resource Center
Carleton College
507/646-5749
eiverson@carleton.edu

Dr. Joshua Morrill
Morrill Solutions
4510 Jay Drive Madison, WI 53704
joshua@morrillsolutions.com

As Principal Investigator of this protocol, I certify that I and the key personnel listed above have completed the training module *Human Subjects Protection at the University of Wisconsin–Madison* available at <http://info.gradsch.wisc.edu/research/compliance/humansubjects/tutorial>.

I realize: 1) this certification is to satisfy UW–Madison and NIH policy requirements, and 2) I am accountable for the accuracy of this certification.

Principal Investigator's Signature:

Date: 08/11/04

IV. Research Categories That May Be Approved as Exempt From Committee Review

In order to receive an exemption from review by the IRB, the research project must involve no more than minimal risk to subjects, no ethical concerns, and **ONLY** one or more of the following categories of research (45 CFR 46.101b). If your project meets these criteria, you may apply for an exemption from IRB review. However, the final determination of whether the project is exempt resides with the committee, not the investigator.

Check any of the descriptions below that apply to your project and consult the *Guide for Determining Review Type and Application Materials* (page 3) to see whether your project may qualify for exempt status.

- 1) Research conducted in established or commonly accepted educational settings, involving **normal educational practices**, such as:
 - a. research on regular and special education instruction strategies, or
 - b. research on the effectiveness of or the comparison among instruction 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:
 - a. the subjects can be identified, directly or through identifiers linked to the subjects and
 - b. any disclosure of 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 exemption does not apply to survey procedures or interviews involving minors.
- 3) Research involving the use of educational tests, survey or interview procedures, or observation of **public behavior** if:
 - a. the subjects are elected or appointed public officials or candidates for public office or
 - b. 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, or 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, indirectly or through identifiers linked to the subjects.
- 5) Research and demonstration projects that are conducted by or subject to the approval of Department or Agency heads and that are designed to study, evaluate, or otherwise examine:
 - a. **public benefit or service programs**,
 - b. procedures for obtaining benefits or services under those programs,
 - c. possible changes in or alternatives to those programs or procedures, or
 - d. possible changes in methods or levels of payment for benefits or services under those programs.
- 6) **Taste and food quality evaluation** and consumer acceptance studies if:
 - a. wholesome foods without additives are consumed or
 - b. food is consumed that contains food ingredients found to be safe by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

V. Exemption Application

The committee may request additional information, or submission of a full protocol application, if the committee decides it is necessary for the protection of human subjects.

INSTRUCTIONS

On a separate page, please provide the following information:

NAME: Alan Wolf

PROJECT TITLE: Faculty Participation in the NSDL - Lowering the Barriers

ABSTRACT: Briefly address each of the following:

1. Describe the purpose of your research.
This research will address questions of why and how faculty participate in digital library projects, as users, contributors, and community members. As important will be determining why faculty do not use digital libraries, is the question of why they do not.
2. Outline the participation of human subjects in the research (if any).
Faculty of higher education institutions will voluntarily participate in confidential focus groups, and volunteer to anonymously participate in an online surveys of usage
3. What actions will be taken with the resulting data?
Data collected from the focus groups will be used to design a survey instrument. Data from the survey instrument will be used to inform the granting agency, digital library creators and higher education institutions about how faculty do and do not use digital libraries and will be used to modify practice surrounding digital library development with the hope to increase usage.
4. Describe any risks associated with participation.
We can identify no risks to participants in either the focus groups or the surveys. Focus groups will be audio recorded.
5. If there are risks to participants, how will you minimize the risks?
All participation will be voluntary, focus groups will be confidential, and the surveys anonymous. The audio recording of the focus groups is for record keeping only and tapes will be destroyed after completing the research and will not be made public.
6. Describe the potential benefits to subjects.
Faculty will be informed about new sources of materials to improve their teaching practice, and improved digital libraries has the potential to aid all faculty.
7. If you will be analyzing existing data, identify the source of the data and describe the content of the data, clarifying whether the data are publicly available or if the information is recorded in such a manner that subjects cannot be identified.
The only pre-existing data that will be used will come from existing published sources that has been anonymized.
8. If your project will use a questionnaire or structured interview, attach. If you are using a less formal interview process provide a description of topics you will address, or an approximate script that will be used. If you are not able to provide this information at this time, provide an explanation.
The focus groups will not be structured. Participants will be asked how they locate learning materials, whether they are familiar with digital libraries in any form, If so, how they use them; if not, what stops them from utilizing these libraries. Users of digital libraries will be asked to identify how they participate in digital libraries, as users, contributors, reviewers, or some other capacity. In addition, users will be asked to identify what benefits they find in their use.

9. Provide a justification for the category of exemption under which you are applying (Part IV). This research project is a study of how educators use educational resources in an attempt to make these resources more useful to the educational community.

Submit the original and one copy of the Application Cover Page (Part 1), completed Questionnaire (Part II), signed Training Certification Form (Part III), checked Exemption Category (Part IV), and your Abstract (as described above) to an IRB office.

VI. General Application

On **numbered** additional pages, please supply the information requested below in lay terms (non-technical language). Use the same numbers to identify each section. Place your name and project title on the top of the first page. Your responses should be concise. Sections 1-4 must not exceed 2000 words (a maximum of 4 pages). Refer back to the instructions on page 3 for other materials required.

1. Abstract

In lay terms using 300 words or less, please describe the GENERAL PURPOSE of the study and how human subjects will be involved. List the SPECIFIC AIMS and HYPOTHESES or RESEARCH QUESTIONS.

2. Study Design and Methods

Outline the INCLUSION CRITERIA for subjects, explaining the rationale for the involvement of any special groups including prisoners, pregnant women, or subjects with cognitive impairments. Explain how subjects will be recruited or the sampling procedures. Describe the characteristics of the targeted subjects, including gender, age ranges, ethnic background, and health/treatment status.

Give the NUMBER OF SUBJECTS you anticipate including from each targeted group listed above and justify the sample size.

Describe the ROLE OF SUBJECTS, including what they will be asked to do, for how long, where, and whether deception will occur. Explain if and how confidentiality will be maintained. If the research study involves collections of images or audio recordings of subjects, explain how the material will be used, who will see the images or hear the recordings, and in what setting.

Describe any COMPENSATION the subjects will receive, including course credit.

Describe SITES where this research will take place and attach documentation of permission from the appropriate source (e.g. superintendent of schools, community center director, clinic research director) if the study involves subjects from places other than common public spaces.

Describe all MEASUREMENT PROCEDURES. Attach a copy of any questionnaires, measurement instruments, interview protocols, or a description of topics or an approximate script that will be used. If not available at this time, explain.

3. Risk/Benefit Assessment

Subjects should be protected against injury and invasion of their privacy, and their dignity should be preserved. Risks fall under the following categories: physical, psychological, social, economic, legal, and other. If there are no risks, this should be stated clearly in your application. If there are risks, please assess the types and level of each type of risk involved in the research. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects. Discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects or additional resources for subjects.

Describe:

- RISKS TO THE SUBJECTS AND STEPS THAT WILL BE TAKEN TO MINIMIZE RISK.
- POSSIBLE BENEFITS TO THE SUBJECTS.
- POSSIBLE BENEFITS TO SOCIETY.

4. Subject/Parental Consent Form(s)

Discuss safeguards to protect confidentiality, as needed, or why confidentiality is not an issue in the study. Attach all consent forms. Each consent document should include all eight elements listed in Part VIII. The research investigator is responsible for retaining all signed consent documents for at least seven years past the completion of the research activity.

5. Assent Form (must be included if project involves minors)

In determining whether children are capable of assenting, the researcher must consider the age, maturity, and psychological state of the children involved in the study. Indicate how confidentiality will be maintained and attach all assent forms. Generally, written assent is required for minors over the age of eleven. The assent document should include all eight elements listed in Part VIII and be written in language appropriate for the age of the child. The research investigator is responsible for retaining all signed assent documents for at least seven years past the completion of the research activity.

6. Debriefing Statement (if project involves deception)

Attach a copy of a debriefing statement explaining the deception. Deceptive techniques must be justified by the study's prospective scientific, educational, or applied value, and the investigator should explore equally effective alternative procedures that do not use deception. Investigators should not use deception when it would affect the subject's willingness to participate (e.g., deception regarding physical risks, discomfort, or unpleasant emotional experiences).

VII. Categories of Research That May Be Reviewed by a Human Subjects Committee Through an Expedited Review Procedure*

(Full text: <http://ohrp.osophs.dhhs.gov/humansubjects/guidance/expedited98.htm>)

1. Clinical studies of drugs and medical devices (as qualified by regulations)
2. Collection of blood samples (as qualified by regulations)
3. Collection of biological specimens by noninvasive means
4. Collection of data through noninvasive procedures
5. Research involving materials (data, documents, records, or specimens) that have been collected or will be collected solely for non-research purposes
6. Collection of data from voice, video, digital, or image recordings
7. Research on individual or group characteristics or behavior or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies
8. Continuing review of research previously approved by the convened IRB as follows:
 - a. where
 - i) the research is permanently closed to the enrollment of new subjects;
 - ii) all subjects have completed all research-related interventions; and
 - iii) the research remains active only for long-term follow-up of subjects; or
 - b. where no subjects have been enrolled and no additional risks have been identified; or
 - c. where the remaining research activities are limited to data analysis.
9. Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

*** An expedited review procedure consists of a review of research involving human subjects by the IRB chairperson or by one or more experienced reviewers designated by the chairperson from among members of the IRB in accordance with the requirements set forth in 45 CFR 46.110.**

VIII. Informed Consent

A consent form for a research study should include eight elements of consent as required by 45 CFR 46.116(a). In some cases, additional elements may be necessary as required by 45 CFR 46.116(b). See full text under IRB Policies and Guidelines at:

<http://www.medicine.wisc.edu/hsc>

A consent check sheet, requirements for documentation, and information about requesting approval for a waiver is available at:

<http://ohrp.osophs.dhhs.gov/humansubjects/assurance/consentckls.htm>

Consent form templates are available under IRB Policies and Guidelines at:

<http://www.medicine.wisc.edu/hsc>

If the research study involves collections of images or audio recordings of subjects, the consent form must clearly state that fact. In addition, there must be a statement of how the material will be used, who will see the images or hear the recordings, and in what setting (e.g., research lab, classroom, professional meeting, public broadcast, etc.). If the investigator wants permission to share the materials with anyone other than the research staff or if the material contains sensitive information, the subject should be given the opportunity to view or hear the materials after they are collected and be told how long they will be kept. The investigator must obtain specific permission from the subjects to use this material.

Eight Elements of Consent

1. Statement that the study involves research; explanation of purpose of research and expected duration of the subject's participation; description of procedures to be followed and identification of any procedures that are experimental
2. Description of risk or discomforts to the subject
3. Description of benefit to subject or others
4. Disclosure of alternative procedures, as appropriate
5. Description of the extent to which confidentiality will be maintained
6. For research that involves more than minimal risk: explanation as to whether compensation and medical treatments are available if injury occurs
7. Explanation of whom to contact if questions arise about the research, the subject's rights, or whom to contact if research-related injury occurs
8. Statement that participation is voluntary, that refusal to participate involves no penalty or loss of benefits, and that the subject may discontinue participation at any time

Consent information:

The National Science Digital Library is devoting significant efforts to provide access to collections of high quality materials to educators. However, the growth and use of the collections is not growing at the rate predicted by early promoters of digital libraries. The investigators of this grant are exploring higher education faculty use of digital libraries. They are examining factors that encourage use of and contribution to these collections. Of equal importance, they are probing why faculty do not use materials from digital libraries with particular focus on why faculty, who are aware of digital libraries, are not

active users. The investigators are conducting focus groups with faculty from the complete range of higher education institutions from community colleges to research universities and broad representation of STEM disciplines. The focus groups are being conducted as both scientific disciplinary meetings and higher education conferences that have significant faculty attendance. Participants will be questioned about their use of digital educational materials, digital libraries, positive and negative impressions of digital libraries, and how these impressions influence their behavior. The focus groups are providing data from which a survey is being created to expand the sample pool. The sample pool represents the geographic, disciplinary, and educational profile of the STEM higher education. The results are being shared with all NSDL projects, and can be used by current and future NSDL projects to understand the needs of current users and to understand and overcome barriers identified by non-users. These data are a baseline that will allow long-term monitoring of the growth of digital libraries. In addition, the survey is being prepared as a toolkit to allow other projects to modify and use the survey to collect data on their target audiences and better serve them.

Study Design and Methods

Inclusion Criteria: This study, in both the focus group and survey phases, targets faculty from higher education institution in the fields of science, technology, engineering and mathematics. We are attempting inclusive as possible and will attempt to reach faculty from as broad a cross section of demographics as is possible, including institutional type (research universities to community colleges), geographic location, rank, race and ethnicity.

Number of subjects: In the focus group phase of the study, we expect to solicit participation from 100 – 200 faculty. In the survey phase of the study we expect to solicit 10,000-15,000 faculty and expect a response rate of 15-20%

Role of subjects: Focus groups: subjects will be asked to spend 30-45 minutes in groups of 10-15 faculty, a facilitator, and a note taker. The faculty will be asked to discuss their experiences using digital materials and digital libraries. There will be no deception. Confidentiality will be maintained to the extent it can be made within a group discussion environment. The sessions will be recorded, but recording are for researcher use only in creating accurate reports and will not be displayed to people outside the research group. Notes from the session will have references that might be personally identifiable removed. Survey: Participants in the survey will be sent a web link or at their request a paper copy. The survey will take 15-20 minutes to complete. Survey responses will be made anonymously. Demographic information that could be used to identify will be aggregated for public release.

Compensation: Participants in the focus group will be offered food and non-alcoholic beverages, and a small token.

Sites: The focus groups will be conducted in coordination with professional society meetings. The locations are still under review.

Measurement procedures: The focus groups will take a free form approach. The questions will begin by asking faculty their experiences with digital learning materials, how they find digital learning materials, then about their experiences with digital libraries, and depending on responses the facilitator will probe to identify positive and negative factors that influence faculty use or non-use of digital libraries. The survey will be generated based on the data gathered in the focus groups.

Risk/Benefit Assessment

We can identify no risks to participants in either the focus groups or the surveys. Focus groups will be recorded. All participation will be voluntary, focus groups will be confidential, and the surveys anonymous. The recording of the focus groups is for record keeping only and tapes will be destroyed after completing the research, will be available only to the researchers, and will not be made public.

Faculty will be informed about new sources of materials to improve their teaching practice, and improved digital libraries has the potential to aid all faculty.

Consent Form:

**UNIVERSITY OF WISCONSIN-MADISON
Research Participant Information and Consent Form**

Title of the Study: Faculty Participation in the NSDL – Lowering the Barriers

Principal Investigator: Alan Wolf (phone: 608-263-0919) (email: alanwolf@wisc.edu)

DESCRIPTION OF THE RESEARCH

You are invited to participate in a research study about higher education faculty use of digital learning materials and the use of digital libraries.

You have been asked to participate because we are trying to gather responses from faculty in the fields of science, technology, engineering and mathematics and a wide range of higher education institutions.

The purpose of the research is to understand the current status of use of higher education faculty and faculty needs have as digital libraries progress.

This study will include faculty from science, technology, engineering and mathematics faculty from a range of institutions that represent the range of higher education institutions.

Focus groups will be conducted in private settings at higher education conferences. Surveys are delivered on the web and can be conducted where ever the participant has internet access.

You will be audio and video taped during your participation in this research.

Recordings are made of the focus group only for use purposes of note taking and verifying responses Only research staff will have access to the material The tapes will be kept for Until the conclusion of the study before they are destroyed.

WHAT WILL MY PARTICIPATION INVOLVE?

If you decide to participate in this research you will be asked to participate in 30-60 minute focus group with 8-12 peers, answer a series of questions one-on-one in a phone interview, or respond to a series of questions in a web or paper based questionnaire.

You will be asked to complete 1 surveys or interviews.

Your participation will last approximately 60 min per session and will require 1 sessions which will require 60 min in total.

ARE THERE ANY RISKS TO ME?

We don't anticipate any risks to you from participation in this study.

ARE THERE ANY BENEFITS TO ME?

We believe this research will lead to better collections of learning materials that will benefit the participants

WILL I BE COMPENSATED FOR MY PARTICIPATION?

If you do withdraw prior to the end of the study, you will receive For participation in the focus groups you will receive a small non-monetary gift.

HOW WILL MY CONFIDENTIALITY BE PROTECTED?

While there will probably be publications as a result of this study, your name will not be used. Only group characteristics will be published.

If you participate in this study, we would like to be able to quote you directly. If you agree to allow us to identify you in publications, please initial the statement at the bottom of this form.

WHO SHOULD I CONTACT IF I HAVE QUESTIONS?

You may ask any questions about the research at any time. If you have questions about the research after you leave today you should contact the Principal Investigator Alan Wolf at 608-263-0919.

If you have questions about your rights as a research subject you should contact the Education Research IRB at (608) 262-9710, kwalsh@education.wisc.edu.

Your participation is completely voluntary. If you decide not to participate or to withdraw from the study it will have no effect on any services or treatment you are currently receiving.

Your signature indicates that you have read this consent form, had an opportunity to ask any questions about your participation in this research and voluntarily consent to participate. You will receive a copy of this form for your records.

Signature
Date

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