**Title of the Research Study**

 Protocol Number

Protocol Number

Protocol Version

Version Date

 Version #

Clinical Trials Registration Number (if applicable)

Confidentiality Statement:

# Preface

**(Remove this Preface before finalizing the study protocol)**

* Use this protocol template for a PI initiated social behavioral study. Please review the following list to ensure that you are utilizing the correct template:
	+ If the protocol intervention involves a drug, device, or biologic, use the *Interventional Drug or Biologic* *Protocol Template* or the *Device* *Protocol* *Template*\*
	+ For activities that qualify as exempt research, use *the Exemption Request Form\**

*\**Template located in the IRES IRB Library under the “Protocol Templates” tab or create a protocol using Protocol Builder

* Once completed, upload your protocol in the “Basic Information” screen in the IRES IRB system.
* Enter protocol specific text in the sections that are applicable. Put “Not Applicable or N/A” for the sections that do not apply.
* When making changes, update the version number and date in the header to ensure proper version control.
* Please refer all questions regarding the use of this protocol template to hrpp@yale.edu or 203-785-4688.

**How to Use This Template**

**Green text box: provides section-specific guidance to aid in protocol writing. This entire box should be deleted prior to finalizing the protocol,**

*Blue, italicized text = example text: This text is provided to assist in protocol writing and should be modified to suit your specific protocol. Example text is not available for all sections.*

# Synopsis

|  |
| --- |
| PurposeWhat is the purpose of the study (such as describe, compare, explore, develop, etc.)? Describe the connection between the problem being addressed and the focus of the study. |
| ObjectivesWhat are the primary and (if applicable) secondary objectives of the study? |
| Study PopulationWho will participate in the study? Why are they the target subject population? |
| Number of ParticipantsHow many subjects will be enrolled? What's the rationale for the number? |
| Study DesignExplain the study design and choice of research methodology.Describe the research methodology (e.g. theoretical, conceptual, qualitative, quantitative, as well as whether it involves public observation, ethnography, data analysis, focus groups, surveys, interviews, phenomenological, etc). |
| Study DurationHow long will the study last? What is the expected duration of subject participation? |
| Outcome VariablesExplain the variables that will be used to assess the study objectives. |
| Locations/FacilitiesDescribe the physical location of the research or any online locations used. |

# Abbreviations

|  |  |
| --- | --- |
| **Abbreviation**  | **Explanation** |

# Glossary of Terms

|  |  |
| --- | --- |
| **Glossary** | **Explanation** |

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# Protocol Revision History

Include the IRB approved protocol version number and date for each revision of the protocol. All version history should remain in the table and never be deleted. The oldest IRB approved version of the protocol should be listed on the top row. The most recent IRB approved version should be listed on the bottom row.

|  |  |
| --- | --- |
| **Version Date** | **Summary of Substantial Changes** |
|  |  |
|  |  |
|  |  |

# Background

## Background

This section provides the necessary background to understand the rationale and relevance of the study. Review current literature to explain the problem and importance of the study. Identify the magnitude, frequency, impact and any gaps in knowledge. Include key supporting references.

## Prior Experience (if applicable)

Summarize previous experience, including any information about the study and data from prior studies.

# Rationale/Significance

## Rationale and Study Significance

State the problem or question (e.g., describe the population, disease, current standard of care, if one exists, and limitations of knowledge or available therapy), the reason for conducting the study and the rationale. Explain why the research is needed. Provide evidence of consensus that the problem is current, relevant, and significant. Frame the research in a way that builds upon or counters previous research findings. Address a meaningful gap in the current research literature

## Risks

What are the potential risks (physical, psychological, distress due to study participation, social, economic, legal, issues with insurability, employability or breach of confidentiality, etc.) to subjects or others?

* All studies have at least some risk
* Relevant published literature can provide relevant risk information
* Risks may be to an individual or a class of individuals
* Describe the probability, magnitude, duration of such risks
* Provide the rationale for the necessity of exposing human participants to such risks
* Address why the value of the information to be gained outweighs the risks involved
* Explain how risks will be managed and/or mitigated

## Anticipated Benefits

Will the research benefits research subjects, society and/or science? What is their likelihood? The research does not have to provide direct benefit to the individual subject.

# Study Purpose and Objectives

## Purpose

Describe the main purpose of the study and the impact this research could have on the stated problem, such as money savings or quality of life improvements.

## Hypothesis

What is your hypothesis/research question? Include a clearly defined hypothesis, if relevant, and list the key questions the study is expected to answer. Be detailed, clear and as specific as possible.

## Objectives

What are the primary and (if applicable) secondary objectives of the study?

Primary Objective(s)

The primary objective is the main question. It should be the driver of the statistical or data analysis for the study. State the main purpose for performing the study. It should be clear, detailed but limited in scope. Keep in mind the primary objective will help determine the sample size.

Secondary Objective(s)

Secondary objectives are goals that will provide further information on the focus of the study. Identify any secondary objectives, which may or may not be hypothesis driven or dependent on the primary objective.

*Primary Objective*

*The primary objective of this study is to determine whether the [insert exposure, presenting sign, comorbidity, treatment option] reduces, increases, etc. outcome measure [insert outcome measure] in population [insert population description].*

*Secondary Objective(s)*

*The secondary objective[s] of this study is [are] to [insert goal: determine, describe, understand, etc.] whether the [insert exposure, presenting sign, comorbidity, treatment option] reduces/increases, etc. outcome measure [insert outcome measure].*

# Study Design

Provide a description of your study design that is appropriate to answer the research question(s) under study. Describe the type of research proposed and specific study design that will be used.

Describe the research methodology (e.g. theoretical, conceptual, qualitative, quantitative, as well as whether it involves public observation, ethnography, data analysis, focus groups, surveys, interviews, phenomenological, etc). Describe if your study is prospective or retrospective. Describe the intervention including who conducts which activities, when, how and where.

This section should include a diagram or flowchart that provides a quick “snapshot” of the study and ideally is limited to 1 page. Below is an example schematic that shows the level of detail needed to convey an overview of the study design. Revise with study-specific information and adapt the diagram to illustrate your study design (e.g., changing method of assignment to study group, adding study arms, visits, etc.).

***Example #1 Flow Diagram*** *(e.g., randomized controlled trial)*

*Total N: 120*

*Pre-screen potential participants by inclusion and exclusion criteria;* schedule Visit 1.

*Pre-Screening*

*<Time Point,*

*e.g., Day -30 to*

*Day 1>*

*Conduct informed consent process. Perform baseline assessments.*

*<list procedures, examinations or imaging or laboratory tests, or physical/cognitive assessments to be performed, questionnaires to be completed OR refer to* ***Section 1.3, Schedule of Activities****>*

*Visit 1*

*<Time Point,*

*e.g., Day 1>*

Randomize

*Visit 2*

*<Time Point,*

*Administer study intervention Session 1*

*e.g., Day 14 ± 7>*

*Visit 3*

*<Time Point,*

*Administer study intervention Session 2 (if applicable)*

*e.g., Day 28 ± 7>*

*Visit 4*

*<Time Point,*

*Administer study intervention Session 3 (if applicable)*

*e.g., Day 42 ± 7>*

*Visit 5*

*<Time Point,*

*Post-Intervention assessments*

*e.g., Day 56 ± 7>*

*Visit 6*

***Final Assessments***

*<list analyses to be performed OR refer to* ***Schedule of Activities****>*

*<Time Point,*

*e.g., Day 365 ± 30>*

## Study Duration

How long will the entire study last (including data analysis)? What is the expected duration of subject participation?

For observations of public behavior or instructional techniques state the date when observation will begin and for how long.

## Outcome Variables/Endpoints

Explain the variables (also called endpoints) that will be used to assess the study objectives. A study variable/ endpoint is a specific measurement or observation to assess the effect of the study intervention. Study variables/ endpoints should be prioritized and should correspond to the study objectives and hypotheses being tested.

### Primary Outcome Variables/Endpoints

Explain the variables/endpoints that will used to assess the primary objective. They should be precise, accurate and reliable. Include any rationale. Primary outcome variable is the outcome measure(s) of greatest importance specified in the protocol, usually the one(s) used in the power calculation. For observational studies, these are key measurement[s] or observation[s] used to describe patterns of diseases or traits or associations with exposures, risk factors or treatment.

For example, if the primary objective for a study is evaluate the effectiveness of an experimental cognitive behavioral therapy for participants with major depressive disorder, a primary outcome variable or endpoint could be an improvement in scoring on a major depression rating scale (i.e. Hamilton Depression Rating Scale).

### Secondary and Exploratory Outcome Variables/Endpoints (if applicable)

Explain the outcome variables/ endpoints that will used to assess any secondary objectives. They should be precise, accurate and reliable. Include the rationale. A Secondary outcome variable is an outcome measure that is of lesser importance than a primary outcome variable/endpoint, but is part of a pre-specified analysis plan for evaluating the effects of the intervention or interventions.

# Study Participants

## Study Population

Define the study population, source of the participants, and selection rationale. Study subjects should be representative of the population of interest.

Provide a brief description of the study population (e.g., healthy/sick, inpatient/outpatient, demographic groups, adult/children), the characteristics of different study groups, if applicable, and the source of participants. Do not list inclusion/exclusion criteria here, as these will be listed in the upcoming sections.

*Participants with [condition] of [insert level of severity] severity and [other characteristics/specific criteria] and/or healthy volunteers/controls aged [insert age].*

## Number of Participants

Include the number of people that will be screened and the number of participants that will be selected. For multi-center protocols, identify both overall total for study and numbers for each site.

## Eligibility Criteria

Identify who determines eligibility, and inclusion/exclusion criteria. List only the eligibility criteria absolutely necessary for the study as a bulleted or numbered list. Describe any vulnerable populations specifically and rationale for including or excluding them from the study.

The following groups are considered vulnerable populations under federal regulations (includes reference to applicable section of 45 CFR Part 46):

* Children (Subpart D — Additional Protections for Children Involved as Subjects in Research [45 CFR Part 46.401-46.409])
* Pregnant women (Subpart B — Additional Protections for Pregnant Women, Human Fetuses and Neonates Involved in Research [45 CFR Part 46.201-46.207])
* Prisoners (Subpart C — Additional Protections Pertaining to Biomedical and Behavioral Research Involving Prisoners as Subjects [45 CFR Part 46.301-46.306])

Additionally, these groups are also generally considered vulnerable/ special populations in need of greater protection:

* Individuals with impaired decision-making capacity
* Economically or educationally disadvantaged persons
* Elderly persons
* Students
* Employees

*In order to be eligible for inclusion in the study, an individual must meet all of the following criteria:*

* *Insert criteria*

*Any individual who meets any of the following criteria will be excluded from participation in this study:*

* *Insert criteria*

## Recruitment Procedures

This section must address the strategies for Recruitment and Retention including:

* How potential subjects will be identified
* Approaching subjects about participation
* Who will enroll subjects in the study
* How and where will the process take place, including obtaining consent in relation to the start of the study procedures
* Use of third parties (call centers/centralized screening centers)

Attachments to this protocol such as letters, telephone scripts, in person introduction scripts, advertisements, emails, letters to the patient's physician or other healthcare provider known to the patient, etc. should be uploaded to the supporting documents section of IRES IRB.

## Consent/Assent Procedures/HIPAA Authorization

Describe the consenting and/or assenting procedures. In describing the consenting process, please include the plan to document the consent process (if applicable) and how waivers (waiver of documentation of consent or waiver of consent altogether) or alterations will be handled. Also, define who will obtain consent and assent (if applicable).

If informed consent/assent will be obtained, the following should be addressed:

* Who will obtain consent
* When and where will the consent discussion occur
* How will subject privacy be assured
* How will consent be documented
* How will subject understanding of the study be assessed
* What steps are in place to avoid undue influence

* *Consent forms describing in detail the study intervention, study procedures, and risks are given to the participant and written documentation of informed consent is required prior to starting procedures/administering study intervention.*
* *Consent forms will be Institutional Review Board (IRB)-approved and the participant/legally authorized representative (LAR) will be asked to read and review the document. [List role(s)] will explain the research study to the participant and answer any questions that may arise. This conversation will take place in a private room.*
* *Participants/LAR will have the opportunity to carefully review the written consent form and ask questions prior to signing. The participants/LAR should have the opportunity to discuss the study with their family or surrogates or think about it prior to agreeing to participate.*
* *Participants/LAR must be informed that participation is voluntary and that they may withdraw from the study at any time, without prejudice. A copy of the informed consent document will be given to the participants/LAR for their records.*

***Additional text if applicable:***

* *Assent [will/will not] be obtained. A verbal explanation will be provided in terms suited to the participant's comprehension of the purposes, procedures, and potential risks of the study and of their rights as research participants.*

**Studies Involving Children**

If your study involves children, additional information should be provided to describe:

* How parental permission will be obtained
* From how many parents will parental permission be obtained
* Whether permission will be obtained from individuals other than parents, and if so, who will be allowed to provide permission. The process used to determine these individual's authority to consent for the child should be provided
* Whether or not assent will be obtained from the child
* How will assent be documented
* If minors will turn 18 (or legal age per state or national laws) prior to the completion of their participation in the research, describe the process that will be used to obtain their legal consent to continue participation in the study. Indicate what will occur if consent is not obtained from the now-adult subjects

# Study Methods/Procedures

## Study Procedures

What will happen to the people participating in the study? Investigators are required to perform research as written in the protocol, so this section should be written carefully to minimize deviations:

* Identify all procedures performed exclusively for research purposes and those that would occur regardless of the research (i.e. standard of clinical care)
* Describe the screening process including who will perform screening procedures. Include specific procedures to be completed and timeframe.
* Identify the people administering intervention, the procedures for training interventionists, how fidelity to the process will be documented and assessed, what criteria will signal inadequate fidelity, and how re-training or replacement of interventionists will be managed.
* If using audio or video, explain whether it is optional for participants.
* Describe any possible deception and the plan for debriefing

In addition, include a Visit Schedule Table, listing study procedures (visit by visit) with timing intervals to provide a summary for study team.

Allowable windows should be stated for all visits. To determine the appropriate windows, consider feasibility and relevance of the visit time points to study endpoints (e.g., short-duration interventions and follow-up periods might require short outcome assessment windows, whereas longer follow-up periods of 6 months or longer might have a window of several weeks). In some cases, the protocol may include an unscheduled visit (e.g., if participants are asked to come to the clinic when they are experiencing specified symptoms). For unscheduled visits, specify all data that would be important to collect.

An example is provided below.

***Visit Schedule Table***

|  |  | *Pre-screening**(Pre-consent)* | *Visit 1**Day 1* | *Visit 2**Day 14 ±7* | *Visit 3* *Day 28 ±7* | *Visit 4**Day 42 ±7* | *Visit 5**Day 56 ±7* | *Visit 6**Day 365 ±30* | *Unscheduled Visit* |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *EMR Review Eligibility* |  | *X* |  |  |  |  |  |  |  |
| *Informed Consent* |  |  | *X* |  |  |  |  |  |  |
| *Demographics* |  |  | *X* |  |  |  |  |  |  |
| *Clinical history* |  |  | *X* |  |  |  |  | *X* |  |
| *Height & Weight* |  |  | *X* | *X* |  |  |  | *X* |  |
| *Outcome Evaluation* |  |  |  |  |  |  |  |  |  |
| *Pain Assessment (Brief Pain Inventory)* |  |  | *X* |  |  | *X* |  | *X* | *X* |
| *Quality of Life Questionnaire* |  |  | *X* | *X* | *X* | *X* | *X* | *X* |  |
| *Randomization* |  |  | *X* |  |  |  |  |  |  |
| *Control & Experimental Interventions – Occupational therapy* |  |  | *X* | *X* | *X* | *X* |  |  |  |
| *Adverse Events Reporting* |  |  | *X* | *X* | *X* | *X* | *X* | *X* | *X* |

### Data Collection

Describe the methods/ tools for collecting data (survey/questionnaires, data collection worksheet, observation sheet, interview script/protocol, focus group protocol, video-tape, identifiable photographs, archived data, or other kinds of instruments), frequency and duration of data collection events. Will any standard tools (e.g. Depression Inventory) be utilized? Please document whether licensure or training is required for their administration. Non-validated questionnaires/tools should be uploaded to the supporting documents section of IRES IRB.

Demonstrate sufficiency of data collection instruments to answer the research question. You must make sure that data collected supports the objectives and endpoints stated above. Describe from whom and how data are collected, and how the data will be summarized. Explain any plans for de-linking, coding or de-identifying collected information.

## Method of Assignment/Randomization (if applicable)

Describe the plan and procedures for allocating subjects to the various cohorts or arms of the study. Describe blinding procedures (if applicable) to minimize bias, including blind type (single-blind, double-blind).

## Adverse Events Definition and Reporting

Specify how adverse events will be defined and assessed for causality, graded for severity and reported to the IRB.

*Adverse event means any untoward medical occurrence associated with the use of an intervention in humans, whether or not considered intervention-related.*

*An adverse event (AE) or suspected adverse reaction is considered "serious" if, in the view of either the investigator or sponsor, it results in any of the following outcomes: death, a life-threatening adverse event, inpatient hospitalization or prolongation of existing hospitalization, a persistent or significant incapacity or substantial disruption of the ability to conduct normal life functions, or a congenital anomaly/birth defect.*

## Reaction Management

Provide instructions for reaction management and control of induced stress, including information on available help resources and individuals, such as psychologists, who can be contacted in an emergency.

## Withdrawal Procedures

Selection and withdrawal of subjects (If applicable) (e.g. withdrawal and debriefing procedures, will subjects data be kept that was already collected or do they have the option to have it destroyed)

## Locations/Facilities

Describe the physical location of the research or any online locations used.

# Statistical Design

This section defines the statistical approach to the study. Consult a biostatistician for assistance if needed.

Provide the overall statistical approach to the data analysis. If the study is purely descriptive in nature, state that the data will be summarized in descriptive measures.

If applicable, specify the analytic techniques the researcher will use to answer the study questions. Indicate the statistical procedures (e.g., specific descriptive or inferential tests) that will be used and why the procedures are appropriate. For qualitative data, specify the proposed analytic approaches.

Include any adjustments that will be made for confounding variables.

## Sample Size Considerations

Describe the statistical methods for determining the sample size and power calculations for the study.

## Planned Analyses

This section describes how the data will be analyzed for each of the study objectives. It should define the subject populations whose data will be analyzed (i.e., all randomized, all treated, etc.). Consult a biostatistician for assistance if needed.

### Secondary Objective Analyses (if applicable)

Explain how data will be analyzed to evaluate the secondary study objectives, if applicable.

### Analysis of Subject Characteristics (if applicable)

Specify descriptive analysis to define subject population(s).

### Interim Analysis (if applicable)

If an interim analysis will be done, explain the rationale, timing, and impact to the study. Include any stopping rules that would determine if the study should be discontinued.

## Data Relevance

Explain the connection of the data to the research question.

## Data Coding

Will data be coded? If so what is the coding procedure?

## Data Analysis Tools

Will any software be used to analyze the data?

## Data Monitoring

Will data monitoring be done to ensure the safety of participants? If so, by whom?

## Handling of Missing Data

Describe how missing outcome data will be handled in regards to analysis.

# Data/Specimen Handling and Record Keeping

## Subject Data Confidentiality

State the provisions to protect the privacy of participants. This may be institution or sponsor specific.

This section should describe provisions in place to maintain subject confidentiality and should include the following:

• Where data will be stored

• Specify who will have access to study data

• Specify all identifiers that will be temporarily accessed/reviewed.

• Indicate if identifiers will be recorded for research purposes.

• Describe measures for minimizing risks to subjects and/or potential breach of confidentiality

• Describe how study data (both paper and electronic) will be stored (e.g., in a locked cabinet in PI's office, RedCap, managed network drive, etc.)

• Indicate whether audiotaping will be utilized. Indicate the device to be used to tape, how long until transcription and subsequent destruction of recording, whether transcripts will be identifiable or not, how transcripts will be stored.

*Participant confidentiality and privacy is strictly held in confidence by the participating investigators, their staff, and the sponsor(s)/funding agency. Therefore, the study protocol, documentation, data, and all other information generated will be held in strict confidence.*

*All research activities will be conducted in as private a setting as possible.*

*Representatives of the Institutional Review Board (IRB), regulatory agencies or study sponsor/funding agency may inspect all documents and records required to be maintained by the investigator for the participants in this study. The study site will permit access to such records.*

*The study participant's contact information will be securely stored at each study site for internal use during the study. At the end of the study, all records will continue to be kept in a secure location for as long a period as dictated by the reviewing IRB, Institutional policies, regulatory, or sponsor/funding agency requirements.*

*Study participant research data, which is for purposes of statistical analysis and scientific reporting, will be transmitted to and stored at the [INSERT LOCATION]. This will not include the participant's contact or identifying information. Rather, individual participants and their research data will be identified by a unique study identification number. The study data entry and study management systems used will be secured and password protected. At the end of the study, all study databases will be de-identified and archived at the <INSERT LOCATION>.*

## Data Quality Assurance

Describe the quality control and assurance for the conduct of the study. Any steps that will be implemented as part of the study to ensure standardization of the collection of accurate, consistent, complete and reliable data, such as training sessions, monitoring of investigator sites, instruction manuals, use of central laboratory or reading center should be included.

## Data or Specimen Storage/Security

Specify the different steps and methods (e.g., training, authorization of access, password protection, encryption, physical controls, certificates of confidentiality, and separation of identifiers and data) to secure data during storage, use, and transmission.

## Study Records

Specify the documents considered study records (regulatory documents, protocols, consents forms, case report forms, subject medical records, surveys, etc.). Describe who will be responsible for maintaining the study documentation and where this will be maintained. Describe who will have access to study records.

## Access to Source

Describe the source documents and how data will be collected from them and incorporated into the database. Source data include all information and original records of clinical findings, observations, or other activities necessary for the reconstruction and evaluation of the trial. Examples of original source documentation include (but are not limited to) electronic medical records, laboratory reports, memoranda, subject diaries, subject questionnaires and recorded data from automated instruments. Source documents should be neat and legible. When making changes or corrections, the original entry should be crossed out with a single line, initialed and dated.

Specify who will have access and how it may be transferred to any collaborators.

## Retention of Records

Outline where and for how long records will be maintained for this protocol/Archival Procedures.

## Data and Safety Monitoring Plan

The explicit Data and Safety Monitoring Plan (DSMP) must detail how the Principal Investigator (PI) will conduct monitoring of human research subjects’ data and safety commensurate with the risks associated with their participation in the research study. In addition, for multi-center clinical trials in which the Yale (or research affiliate) PI serves as the overall PI, the DSMP must include a detailed plan describing how the PI will conduct data and safety monitoring for the subjects at all external sites.

# Study Considerations

## Institutional Review Board (IRB) Review

Provide a statement in regards to the initial study and any subsequent changes being approved by the IRB.

*The protocol will be submitted to the IRB for review and approval. Approval of the protocol must be obtained before initiating any research activity. Any change to the protocol will require an approved IRB amendment before implementation. The IRB will have final determination whether informed consent and HIPAA authorization are required.*

*Study closure will be submitted to the IRB after all research activities have been completed.*

*Other study events (e.g. data breaches, protocol deviations) will be submitted per Yale policies.*

## Research Personnel Training

Describe how individuals assisting with the conduct of the research will be trained on study procedures and their responsibilities in carrying out the protocol.

## Study Monitoring

Specify who will monitor the study (third party, sponsor, internal team, etc.), where monitoring will occur and frequency. Describe any related responsibilities and identify anyone who will review the study for accuracy and how often.

## Unanticipated Problems and Protocol Deviations

Provide the definition of an Unanticipated Problem (UP) being used for this research. An incident, experience, or outcome that meets the definition of an UP generally will warrant consideration of changes to the protocol or consent in order to protect the safety, welfare, or rights of participants or others. Other UPs may warrant corrective actions at a specific study site. Examples of corrective actions or changes that might need to be considered in response to an UP include:

* Modification of inclusion or exclusion criteria to mitigate the newly identified risks
* Implementation of additional safety monitoring procedures
* Suspension of enrollment of new participants or halting of study procedures for enrolled participants
* Modification of informed consent documents to include a description of newly recognized risks
* Provision of additional information about newly recognized risks to previously enrolled participants.

Describe the UP reporting procedures, including timeframes. This section should also address how Protocol Deviations will be managed during the study including plans for detecting, reviewing, and reporting deviations from the protocol.

*A protocol deviation is any noncompliance with the protocol. The noncompliance may be either on the part of the participant, the investigator, or the study site staff. As a result of deviations, corrective actions are to be developed by the site and implemented promptly.*

*It is the responsibility of the site investigator to identify and report deviations within <specify number> working days of identification of the protocol deviation. All deviations must be addressed in study source documents, reported to the study sponsor, and the reviewing Institutional Review Board (IRB) per their policies.*

*Unanticipated problems involving risks to participants or others include, in general, any incident, experience, or outcome that meets all of the following criteria:*

* *Unexpected in terms of nature, severity, or frequency given (a) the research procedures that are described in the protocol-related documents, such as the Institutional Review Board (IRB)-approved research protocol and informed consent document; and (b) the characteristics of the participant population being studied;*
* *Related or possibly related to participation in the research ("possibly related" means there is a reasonable possibility that the incident, experience, or outcome may have been caused by the procedures involved in the research); and*
* *Suggests that the research places participants or others at a greater risk of harm (including physical, psychological, economic, or social harm) than was previously known or recognized.*

*If the study team becomes aware of an unanticipated problem (e.g. data breach, protocol deviation), the event will be reported to the IRB by [insert mechanism].*

*The UP report will include the following information:*

*Protocol identifying information: protocol title and number, PI's name, and the IRB project number;*

* *A detailed description of the event, incident, experience, or outcome;*
* *An explanation of the basis for determining that the event, incident, experience, or outcome represents an UP;*
* *A description of any changes to the protocol or other corrective actions that have been taken or are proposed in response to the UP.*

*To satisfy the requirement for prompt reporting, UPs will be reported using the following timeline:*

* *UPs will be reported to the IRB within [insert timeline in accordance with policy] of the investigator becoming aware of the event.*

## Study Discontinuation

Explain the circumstances under which the study may be discontinued

## Study Completion

State the expected completion date of the study and specific instructions for notifying IRB and sponsor

## Conflict of Interest Management Plan

This section should include a description of how the study will manage actual or perceived conflicts of interest. Yale policies require investigators engaged in human subjects research to disclose annually. Read more at https://your.yale.edu/research-support/conflict-interest

*The independence of this study from any actual or perceived influence, such as by the pharmaceutical industry, is critical. Therefore, any actual conflict of interest of persons who have a role in the design, conduct, analysis, publication, or any aspect of this trial will be disclosed and managed. Furthermore, persons who have a perceived conflict of interest will be required to have such conflicts managed in a way that is appropriate to their participation in the trial. The study leadership in conjunction with the appropriate conflict of interest review committee has established policies and procedures for all study group members to disclose all conflicts of interest and will establish a mechanism for the management of all reported dualities of interest.*

 *All investigators will follow the applicable conflict of interest policies.*

## Funding Source

## Publication Plan

Describe the requirements and publication policy (of the sponsor, department, university, etc.) and specify who holds primary responsibility for publishing the study results.

# Appendices

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| **Appendix #** | **Title** | **Section** | **Topic** |

# List of Tables