This form shall be used if there is minimal risk to human subjects and one or more of the exempt categories apply (on page 2). If there is more than minimal risk associated with the research (none of the categories on page 2 apply) or if the research utilizes a special population (children, prisoners, institutionalized individuals, etc.), please IRB FORM B.

For Type 1 Research (Exempt), please submit one signed hard copy application with all supporting documents to the Office of Sponsored Projects and Research Administration and one electronic version to rcr@usi.edu

**Basic Protocol Information**

**Project Title:** A Formula for Success: Do Active Reading Techniques = Better Understanding?

**Principal Investigator**

Name: [Redacted]

Title: Assistant Professor

Department: Occupational Therapy

Email: [Redacted]

Phone: [Redacted]

Role at USI:

☒ Faculty

☐ Staff

☐ Undergraduate Student

☐ Graduate Student

☐ Other - specify:

If there are additional Investigators, please attach list

**Students only -- Name of Faculty Sponsor:**

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**EXPECTED DATES OF RESEARCH**

Start (month/date/year): August 10, 2012

End (month/date/year): December 31, 2012

**HUMAN SUBJECTS RESEARCH TRAINING**

CITI Training

Reference number: 8054282

Date completed: 6/6/12

Collaborative Institution Training Initiative (CITI) training must be completed prior to requesting a review of your IRB protocol. CITI (Collaborative Institution Training Initiative) training certification is good for 3 years. To complete the CITI training – go to www.usi.edu/ospra

**DISSEMINATION OF RESULTS**

How are you intending to disseminate the results of the research? (Check all that apply)

☒ Journal article    ☒ Conference presentation    ☐ Academic white paper    ☐ Thesis / Dissertation

☐ USI course paper or presentation    ☐ Other - specify:

**FUNDING OF RESEARCH**

Is your research part of an external grant or contract?

☐ Yes ➔ Attach copy of the grant application or contract

☒ No
SECTION 1

REVIEW CATEGORY AND JUSTIFICATION

1a. Please read carefully the following categories and indicate which category or categories best describe your research by checking the appropriate box.

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

☒ Tests, Surveys, Interviews, Observation of Public Behavior – Part 1 (Category 2)
Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior.

➔ NOTE: If the information obtained is recorded in such a manner that the human participants can be identified, directly or through identifiers linked to the participants; and any disclosure of the human participants' responses outside the research could reasonably place the participants at risk of criminal or civil liability or be damaging to the participants' financial standing, employability, or reputation. Please complete USI IRB FORM B for Type 2 instead.

☐ Tests, Surveys, Interviews, Observation of Public Behavior - Part 2 (Category 3)
Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under Category 2 above if:
   (a) the human participants are elected or appointed public officials or candidates for public office; or
   (b) federal statute requires without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

☐ Use of Existing Records (Category 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 participants.

☐ Public Benefits/Service Programs (Category 5)
Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which 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 these programs or procedures; or
   (d) possible changes in methods or levels of payment for benefits or services under those programs.

☐ Consumer Acceptance (Category 6)
Taste and food quality evaluation and consumer acceptance studies:
   (a) if wholesome foods without additives are consumed; or
   (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe by the Food and Drug Administration or approved by the Environment Protection Agency or the Food Safety and Inspection Service of the U. S. Department of Agriculture.
1b. Please explain in layman terms why you believe your research protocol meet(s) the categories you selected:

Encouraging college students to read their textbooks utilizes common and acceptable educational strategies that are frequently used at USI. Guiding college students to preview the chapters before reading, creating headings of the chapters into questions, and using visual enhancements (highlighting, color, graphic organizers, etc) are techniques modeled by instructors and reading specialists for college students. These reading strategies have been consistently used several times in [insert classrooms] and by [insert name] for increasing students’ learning. The research team would like to review this current educational process to determine if potential future research is warranted for utilizing textbook reading strategies.

The research team will be using informal surveys to collect data from mathematics and occupational therapy students to increase faculty knowledge regarding the impact of textbook reading strategies. The research team anticipates that further research into specific textbook reading strategies may be warranted as a result of this project.

SECTION 2

RESEARCH QUESTION AND DESIGN

2a. RESEARCH QUESTION

In layman terms, state the research question to be answered by this project

What were students’ perceptions regarding the impact of textbook reading strategies on understanding course content and personal motivation?

2b. RESEARCH DESIGN

Provide a brief summary of the research design

This study will be a pre/post survey to examine student’s perceptions of implementing various textbook reading techniques that are commonly used by college students. This study will determine themes from Likert-type and open-ended questions based on the sample population’s self-perceptions regarding their textbook reading habits. The survey is regularly used by the University of Southern Indiana’s Academic Skills reading department and by some of the faculty at USI. The results of the survey will be analyzed using triangulation to determine common themes for the sample population.

2c. USE OF SECONDARY DATA

Conducting secondary data analysis, describe how the data was collected / the source of the data

Will you be using secondary data (i.e. data collected by someone else as part of medical or school records, information gathered from an existing database, or data that someone else has already collected via a survey, test, etc.)

☐ Yes → Describe how the data was collected, the source of the data, and how you plan to use the data
☒ No

IF YOU ARE ONLY USING SECONDARY DATA FOR THE RESEARCH – SKIP TO SECTION 7

CONFIDENTIALITY AND DATA SECURITY
SECTION 3

RESEARCH PROCEDURES

1. Describe in detail the research procedure.

During the fall 2012 semester, the students will fill out a pre survey describing their perceptions regarding specific ways of how they manage assigned textbook readings. Next, the reading specialist Mrs. Lori Saxby will present various textbook reading strategies. At the end of the fall 2012 semester, the students will complete the post survey indicating their perceptions regarding implementation of the textbook reading strategies and if they generalized textbook reading skills to other courses. Following data collection, emerging themes will be analyzed via triangulation.

This project’s anticipated date of implementation is from August 20, 2012 to December 31, 2012. There will be approximately 120 participants/surveys. Data will be collected in two mathematics courses and two occupational courses in their respective classrooms on USI campus.

Initially, students will fill out the pre survey regarding reading techniques that they currently use when reading textbooks for their college courses. Next, Mrs. Saxby, Reading Specialist, will give a presentation and instruction to the class regarding textbook reading strategies and will allow them hands-on practice at that time on how to: (a) survey the textbook chapters (by skimming the chapters to get an understanding about the various topics), (b) turn the headings into questions (to read with a purpose in mind), and (c) how to continue to review what they read (to increase learning of content). The post survey will allow students to reflect on their perceptions regarding the impact of using textbook reading strategies relating to understanding course content, their motivation for learning, and if the techniques were carried over to other courses.

The time commitment required will include: approximately 15 minutes to complete each survey, 60 minutes for presentation on textbook reading techniques, and various times during study time to implement techniques, which will range in time for each participant.

Students may withdraw from the study at any time by not performing the presented textbook reading techniques and by not completing the survey(s) with no adverse consequences.
4a. **TARGET POPULATION**

*Describe the participant group to be studied*

The target population will consist of current University of Southern Indiana students taking mathematics and occupational therapy courses during the fall 2012 semester. There will be approximately 120 USI students—both men and women—included in this study.

Include:
- Describe the group to be studied and why
- Describe the inclusion / exclusion criteria for participants.
  - Include the rationale for the involvement of any special groups including children, prisoners, pregnant women, or subjects with cognitive impairments.
  - Describe the characteristics of the targeted participants, including gender, age ranges, ethnic background, and health/treatment status.
  - If women or minorities are excluded, provide justification.
  - Give the number of participants you anticipate including from each targeted group listed above.

4b. **RECRUITMENT PROCEDURES**

*Describe how you will recruit participants for the study*

For convenience, the participants will be recruited in both mathematics and occupational therapy courses if they are currently on the course roster. Students may withdraw from the study at any time by not performing the presented textbook reading techniques and by not completing the survey(s) with no adverse consequences. Students will receive informed consent information prior to the presentation and the pre survey. They will not be penalized for not participating in the study. Even if they do not participate in the study, the students will still be presented with the information because textbook reading techniques are a common and acceptable educational method to encourage college students to read their textbooks.

Include:
- Describe participants will be recruited
- Describe how participants will be informed that their participation is voluntary
- Describe how participants can withdraw from the study

4b. 1 **Will email, flyers, brochures, posters, letters, etc. be used to recruit participants?**

☐ Yes ➔ Attach the email language, brochures, posters, letters, etc. that will be used to recruit participants

☒ No

4b. 2 **Will you give the participants any type of compensation (i.e. money, t-shirt, extra credit, etc.) for participation?**

☐ Yes ➔ describe compensation

☒ No

4c. **RESEARCH SITE**

*Describe all sites where this research will take place.*

The study will only take place in mathematics and occupational therapy classrooms on the campus of USI in Evansville IN.

Attach documentation of permission from the appropriate source if the study involves participants from places other than common public spaces or at USI. (Must be on the study site letterhead)
SECTION 5
INFORMED CONSENT

5a. INFORMED CONSENT PROCEDURE

Describe how (oral or written) and when voluntary consent will be obtained from participants.

Students will be informed via oral explanation and written consent immediately prior to the presentation that data collected will be analyzed regarding the effectiveness of textbook reading techniques. The data will be completely confidential and the students will not place identifying information on the surveys. The surveys will not impact the student’s grades, indicating no negative consequences as a result of completing the surveys. The students will be providing their own consent.

Include:
- Who will be responsible for obtaining consent from participants
- Who will be providing consent? (ex. The participant, a parent, guardian, etc.)

NOTE: If individually identifiable information such as images (video or photos), audio recordings, names or notable descriptions of participants will be published, shared or otherwise disseminated, the consent form must make this explicit to the participant.

5b. INFORMED CONSENT DOCUMENTS

Attach copies of all written consent forms and/or the script language for oral consent.
- Please use the consent form templates available at http://www.usi.edu/ospra/forms

The informed consent (written forms or script language for oral consent) must include:

- Title of study (Title should match the title listed on this form – if not, explain why)
- The purpose of the research
- A description of the research procedure
- Location where the research will take place
- Length of time the participant is expected to participate
- A description of any potential risks to the subject, including physical, psychological, social harm, discomfort, or inconvenience
- Whether identifying information will be collected, and if so, how it will be kept confidential
- Benefits of the research to society and/or to the individual
- How confidentiality of records identifying the participant will be maintained (including where the data is stored, who has access to the data and how long the data will be kept)
- A statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled
- A statement that the subject may withdraw from the study at any time without penalty
- Who to contact for answers to questions about the study, their rights as research subjects or in the event of a research-related injury or emergency (PI, Faculty Sponsor (if applicable) or USI Office of Sponsored Projects & Research Administration 812-465-1630 rcr@usi.edu)
SECTION 6
POTENTIAL RISKS AND BENEFITS

6a. Describe any potential risks to participants (physical, psychological, social, legal, etc.)

No potential risks are anticipated due to this project is an analysis of commonly used educational techniques which currently take place in this university. Risks are held to a minimum due to anonymous coding and keeping all data confidential with no identification to specific students. No undue stress or embarrassment is anticipated as a result of students’ participation in the normal classroom learning activity.

Include:
- Description of risk
- Likelihood of risk
- Level of seriousness of risk
- Efforts / safeguards to minimize risk
- Justification for why risk is necessary for the research design
- Provision of medical or psychological resources for participants exposed to risks

6b. Does the study design involve deception of participants?

☐ Yes → Explain why deception is necessary and how participants will be debriefed about the deception after the completion of their participation in the study.

☒ No

6c. BENEFITS OF THE RESEARCH

Describe how the results of this study will benefit society and/or the individual participant

Benefits of this study will include giving the research team a better understanding of the impact of utilizing textbook reading strategies within college curriculum for possible future research in this area. Also, the research team may gain better understanding of specific student-reported motivation issues that may impact active learning during the students’ college experience. This information would be beneficial to generalize to the Academic Skills’ reading department at USI and other faculty as well.

What, if any, benefits will the participants receive from participating

Benefits for the participants may include more organized textbook reading skills which could be implemented throughout their college careers, possible increased understanding of course content, and possible increased motivation to complete assigned textbook readings.
SECTION 7

CONFIDENTIALITY AND DATA SECURITY

7a. Outline the specific steps that will be taken (i.e. during study participation, after study participation and with the publication of study results) to ensure the subject’s participation will be confidential.

Surveys will be coded for confidentiality and anonymity and will be stored in locked file cabinets within the researchers’ offices until such an event that the data are no longer needed. At that time, the data will be properly disposed. Because the surveys will be coded for confidentiality, no undue influence will be placed on students in regard to their current or future grades (in case they take additional courses from the researchers). Original surveys will be stored in a separate, locked file cabinet within the researchers’ offices. During data analysis, only coded copies of the data will be used. Upon dissemination, no identifying data will discussed regarding the participants.

7b. Describe how and where the data be kept so that the data remain confidential and secure.

Original surveys will be stored in a separate file cabinet, locked within the researchers’ offices.

7c. List who will have access to the data

Only the researchers [REDACTED] will have access to the data.

SIGNATURES:

Investigator: I certify that the statements made in this request are accurate and complete, and if I receive IRB approval for this project, I agree to inform the IRB in writing of any emerging problems or proposed procedural changes. I further agree not to proceed with the research until the problems have been resolved or the IRB has reviewed and approved the changes.

Signature of Principal Investigator: [REDACTED] Date: 7/26/12

You may type in your name as an electronic signature

Faculty Sponsor Approval (required for all students): I affirm the accuracy of this application, and I accept the responsibility for the conduct of this research, supervision of human subjects, and maintenance of Informed Consent documentation as required by the IRB.

Signature of Faculty Sponsor: Date:

Attachments Included Check List (as appropriate):

☒ List of additional investigators include name and contact information
☒ Data collection instruments (surveys, focus group guides, tests, observation guides, etc.)
☐ Research external funding proposal
☒ Informed consent documents
☐ Recruitment flyers ads, letters, emails, etc.
☐ Approval / verification letters from sites where research will be conducted (if not on USI property)
Additional Investigators:

Co-Investigator
Name: [redacted]
Title: Associate Professor
Department: Mathematics
Email: [redacted]
Phone: [redacted]
Role at USI: Faculty

HUMAN SUBJECTS RESEARCH TRAINING
CITI Training
Reference number: 8196644 (See attached certificate)
Date completed: 6/28/12

Co-Investigator
Name: [redacted]
Title: Reading Specialist
Department: Academic Skills
Email: [redacted]
Phone: [redacted]
Role at USI: Administrative Staff

HUMAN SUBJECTS RESEARCH TRAINING
CITI Training
Reference number: 8123070 (See attached certificate)
Date completed: 6/20/12