

Department: UAMS Institutional Review Board

Policy Number: 15.1

Section: Consent

Effective Date: July 31, 2002

Revision Date: September 22, 2005; June 1, 2005; August 25, 2004; April 5, 2007; May 13, 2008; July 28, 2008

Subject: Elements of Informed Consent Documents and Process

Policy: Informed consent is an ongoing process, not just a piece of paper or a one-time event. Informed consent assures that prospective human participants will understand the nature of the research and can knowledgeably and voluntarily decide whether or not to participate. The informed consent requirements in this policy are not intended to preempt any applicable Federal, State, or local laws which require additional information to be disclosed in order for informed consent to be legally effective.

This policy primarily addresses the most common method of obtaining informed consent where it is documented in writing with a form detailing each required element and the "short form" method. **. "Short Form" consent documents require:**

1) A statement that the elements of informed consent required for the specific type of research have been presented orally to the participant or the participant's legally authorized representative (LAR). The participant or LAR signs the short form and receives a copy of the short form and the written summary.

2) A written summary of what is to be said to the participant or LAR. A copy of this summary must be signed by the person obtaining consent and the witness.

3) A witness to the oral presentation, who must sign both the short form and a copy of the summary.

The IRB must approve both the short form and the summary. This process is most often approved for non-English speaking participants. See Policy 15.4 for more information.

Studies involving deception, waivers to documentation of consent and waivers or alterations of consent elements are outlined in Policies 15.3

All consent processes must:

1. Be legally effective. If a participant is not able to consent on his/her own behalf due to age or cognition, refer to IRB Policy Section 17, especially Policy 17.13, to ensure permission is obtained from a legal representative.
2. Be sought only under circumstances that a) provide the prospective participant or representative sufficient opportunity to consider whether or not to participate and b) minimize the possibility of coercion or undue influence.
3. Be in a language understandable to the participant or LAR (See Policy 15.4 for information on Non-English speaking subjects) and at a level understandable to all participants. No complex scientific or technical language should be used without an explanation in lay or common terms. At or below an eighth grade level is recommended.
4. Not include any exculpatory language waiving or appearing to waive any legal rights of the subject or releasing the Institution, Sponsor or Investigator from liability. Avoid phrases like "you give up all rights" or "you will not be compensated". More acceptable phrases are "no plans have been made to compensate" or "I authorize the use of".

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- 2) A written summary of what is to be said to the participant or LAR. A copy of this summary must be signed by the person obtaining consent and the witness.
- 3) A witness to the oral presentation, who must sign both the short form and a copy of the summary.

The IRB must approve both the short form and the summary. This process is most often approved for non-English speaking participants. See Policy 15.4 for more information.

All other consent forms must a) be prospectively obtained and documented, unless requirements outlined in 15.3 apply, b) be consistently written in the second person when referring to the participant or representative, with the exception of the final paragraph. Using terms such as you or your rather than I or me helps to convey the voluntary nature of the process, and c) use consistent and appropriate terms throughout.

Research consents should not use terms like "patient" or "treatment". Acceptable and more accurate terms are "subject" or "participant" and "research procedures" and:

1. Contain the following federally required elements:

- 1.1 A statement that the study involves research;

- 1.2 An explanation of the purposes of the research;

- 1.3 The expected duration of participation;

- 1.4 A description of the procedures to be followed;

- 1.5 Identification of any procedures, which are experimental, and those that are standard of care;

- 1.6 A description of any reasonably foreseeable risks or discomforts to the participant;

- 1.7 A description of benefits, if any, to the participant or to others which may reasonably be expected from the research;

- 1.8 A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the participant;

- 1.9 A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained, noting as applicable that certain entities, including FDA, may inspect the records;

The IRB requires that all consent forms specifically list that the following may review records:

- The UAMS Institutional Review Board;
- Other institutional oversight offices; and
- The Office for Human Research Protections.

Additionally, any funding source or sponsor that may access the records should be listed and if the study is subject to FDA oversight, the Food and

Drug Administration must also be listed.

If any member of the study team is a mandated reporter, you must explain this limit to confidentiality. Following is a suggested clause which may be used:

"By law, the study team must release certain information to the appropriate authorities if at any time during the study there is concern that:

- child abuse or elder abuse has possibly occurred or
- you disclose a desire to harm yourself or others."

1.10 For research involving more than minimal risk, an explanation as to whether any compensation and an explanation as to whether any medical treatments are available if injury occurs and, if so, what they consist of, or where further information may be obtained;

The following are suggested clauses to use. Any clause used must be consistent with any sponsor or funding agreement and address the elements above.

Choose the IRB suggested statement below that fits your specific study situation:

Option 1 - For non-VA studies that do not have an Industry sponsor:

"In the event you are hurt by being in this research, treatment will be available. This treatment may include:

- o First aid,
- o Emergency treatment and/or
- o Follow-up care

"This treatment may be billed to you, or your insurance company, in the normal manner. Normally, no other form of compensation is available".

"If you think you have been hurt by this research, let the study doctor know right away by calling <<<insert PI name and 24 hour number>>>".

Option 2 - For non-VA studies that have an Industry sponsor who has agreed to pay for some injuries:

Institution Compensation for study-related injury:

In the event you are hurt by being in this research, treatment will be available. This treatment may include:

- o First aid
- o Emergency treatment and/or
- o Follow-up care

"This treatment may be billed to you or your insurance company in the normal manner.

In some instances, the Sponsor may pay for the treatment if you are hurt as a result of this study. If you want more information about those instances, contact the study doctor. Normally, no other form of compensation is available".

"If you think you have been hurt by this research, let the study doctor know right away by calling <<<insert PI name and 24 hour number>>>".

<<<Insert any additional sponsored required language. You must make sure that this language matches the sponsor agreement and is consistent with any other language in the consent form. >>>

1.11 An explanation of whom to contact (and how) for answers to pertinent questions about the research, concerns or problems, research participants' rights and in the event of a research-related injury. Contact Information must be provided for both the research team as well as the IRB.

IRB suggested statement:

"If you have questions during the study about the research, you should contact <<<PI>>> at <<<phone>>> or <<<24 hour number>>>. You may call the Institutional Review Board (IRB) at 501-686-5667 regarding a research-related injury, with questions about your rights as a research participant or to discuss any problems or concerns about the research.

Also, you may call this number if you are unable to reach the Investigator or you wish to speak to someone not directly related to this study".

1.12 A statement that participation is voluntary;

1.13 A statement that refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled;

1.14 A statement that the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled;

2. Contain, as applicable, these additional elements:

2.1 A statement that the particular treatment or procedure may involve risks to the participant (or to the embryo or fetus, if the participant is or may become pregnant) which are currently unforeseeable. (Must be included in investigational drug and device studies.)

2.2 Anticipated circumstances under which participation may be terminated by the investigator without regard to the participant's consent.

(Must list the specific anticipated circumstances, not just that there are some.)

2.3 The consequences of a participant's decision to withdraw from the research and procedures for orderly termination of participation. (Must list the specific consequences of withdrawing and the specific procedures for termination.)

2.4 When test articles are being used in the project, a statement as to status of the article, whether the study is testing the safety or effectiveness of the test article. If the purpose of the study is to test the safety or the purpose is to test the effectiveness, no claims that the test article is safe or effective, as applicable, should be made.

2.5 CAVHS studies must be on VA form 10-1086 and must include all additional VA required statements.

3. Contain all of the following institutional requirements or format:

3.1 All pages must be numbered, dated and include a version #. The date and version number must be used when the document is uploaded into ARIA. Each time the consent form is modified, the date and version number must be updated

3.2 All pages listing the Protocol title, Sponsor and Institutions where conducted

3.3 The approximate number of participants involved in the study, locally and nationally.

3.4 Age range for participants to be studied

3.5 The amount of time each participant will be actively involved in the study

3.6 A statement that significant new findings developed during the course of the research which may relate to the participant's willingness to continue in the study will be provided to the participant

3.7 A statement that no rights have been waived by signing the consent form

3.8 Last paragraph should address the voluntary nature of the study and that time has been given to ask questions and express concerns. A suggested last paragraph is: "The purpose and voluntary nature of this study, as well as the potential benefits and risks that are involved have been explained to me. I have been able to ask questions and express concerns, which have been satisfactorily responded to by the study team.

I have been told that I will be given a copy of this consent form."

3.9 Lines for the Signature/Date/Time of consent for:

- Participant
- Parent(s) or LAR
- PI
- Witness
- Person Obtaining Consent.

Please note that neither the PI nor the Person Obtaining Consent can act as the Witness.

4. As applicable, contain the following institutional required elements.

4.1 If any information will be collected after the participant's active involvement, the duration of collection.

4.2 If data or specimens will be stored for future research, how it will be stored, why, for what types of research, for how long, and how to withdraw data or specimens.

IRB requires that a yes/no option be provided for future use of samples that allows a participant to consent to the primary study but decline to allow the storage of samples if s/he desires.

4.3 If any additional costs may reasonably occur from participation in the research, the following suggested clause may be used as applicable to your study,



"The study may include tests and procedures that are conducted solely for the research study. These tests and procedures will be paid for by the study Sponsor. There may be some tests and procedures which the Principal Investigator considers standard of care (meaning you would receive this care whether or not you are in the research study) and these tests and procedures are billable to you and your insurance company. Your insurance company may or may not agree with this determination. If your insurance company feels that the charges are for tests and procedures related to the research study they may deny payment, making you responsible for any charges that are not paid for by the study Sponsor. There is never any guarantee with any hospital service that you will not incur some financial liability.

In addition, the Principal Investigator or his/her representative will discuss with you any additional tests and/or procedures that may be required due to changes in your condition during your study participation. You have the right to refuse to have any additional tests or procedures. If you feel that you have been billed in error, please contact the Principal Investigator or his/her representative whose name and telephone number is included on this consent form.

A summary (insert a narrative or table-formatted description with headings of "Covered by the Study" and "Payable by You or Your Insurance") of the standard and investigational study-related procedures is included below together with an indication of those items that will, or may, be your financial responsibility."

4.4 In studies where ionizing radiation is used, the increase of radiation exposure over the current standard of care in lay terms.

4.5 In studies where there is potential for gene linkage, an explanation of risks including social and financial.

4.6 In studies where participant will be tested for HIV or other communicable diseases, a notice that the participant and Department of Health will be notified of a positive test result and that participants will be given information about counseling options if HIV positive.

Stamping Consents:

The IRB does not generally stamp consent forms, however, if the Sponsor requires a stamped consent, the Investigator should contact the IRB office to obtain a stamped copy of the approved consent.

Investigators must:

At the time of initial ARIA submission, upload all consent forms (or scripts as applicable) to be used. The form should include all of the elements required by UAMS and federal regulations and each of the other elements as is appropriate to the type and nature of the study.

In response to contingencies or after approval, submit any proposed changes to the consent document, with changes highlighted and/or tracked, as an ARIA Modification and receive IRB approval prior to use.

Investigators must not use any consent form version prior to its approval by the IRB.

When the IRB approves amendments to a previously approved consent form, the previous version must no longer be used to consent subjects. The IRB is to provide guidance regarding the possible need to reconsent current subjects using the new form in accordance with IRB SOP 8.1.

IRB Chair or Committee must:

1. Review consent form and process for:

- 1.1 Content, ensuring all required UAMS and federal elements are addressed as applicable.

- 1.2 Consistency with all other submitted forms such as protocol, advertisements, or investigator's brochure.

- 1.3 Process, ensuring it is appropriate for targeted population and proposed activities and that the process allows sufficient opportunity to consider participation and the possibility of coercion or undue influence is minimized.

2. Request revisions as necessary to ensure that proposed activities are clear and the intended participants can make a fully informed decision.