



## DEPARTMENT OF HEALTH & HUMAN SERVICES

## Memorandum

Date December 17, 2014

From Chair, NIOSH IRB (HSRB)

Subject Report of NIOSH HSRB -- Protocol No. HSRB 14-OMSHR-09XP "Improving Organizational Management and Worker Behavior through Worksite Communication" Approval of Protocol

To Emily J. Haas, Ph.D.  
Project Officer, HFB, DMRO, OMSHR  
Through: /Chief, HFB, DMRO, OMSHR \_\_\_\_\_  
/Director, OMSHR \_\_\_\_\_

### General Comments and IRB Actions

I received your revised protocol 12/9/2014 and find it is responsive to the issues raised in my 12/2/2014 report for the subject protocol. Your request to review the subject protocol using the expedited procedure in that the research presents no more than minimal risk and involves the collection of data through noninvasive procedures (category #4), and employs survey, interview, focus group, and program evaluation methodologies (category #7), as provided for in 45CFR46.110. Your request for a waiver of documentation of informed consent is granted per 45CFR46.117 (c)(2) in that (2) the research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context. This protocol is granted approval for one year (renewal date 12/17/2015). The revised protocol and consent form will serve as the documents of record for this study (dated 12/17/2014). However, if you make any substantive changes to the protocol, or if any adverse reactions occur in any study participants, please notify me immediately. Protocol incidents need to be reported to NIOSH IRB by phone or E-mail within 2 working days; and reported formally [send CDC form 0.1254 + 0.1379] within 2 weeks.

If you choose to make changes to your approved protocol, the changes must be reviewed and approved prior to implementation by submitting via hard copy CDC forms 0.1379 (signature page), 0.1252 (amendment request), 0.1370 (non CDC collaborator, if have), a clean copy of the revised protocol and a highlighted copy (track changes or pen/ink) of the revised protocol (all changes highlighted). Electronic submission of your amendment request may facilitate review, but it is not required. The procedure for requesting annual continuing review is to send 45-60 days prior to renewal date completed hard copy forms CDC 0.1379 (signature page), 0.1251 (continuing review request), 0.1370 (non CDC collaborator, if have ), a copy of your current consent form (if still consenting or recruiting). An electronic submission of your continuing review may facilitate review, but it is not required.

**Protocol Issues** – None.

**Consent Form Issues** – None.

**Addenda Issues (Scripts, questionnaires, brochures, etc.)** – None.

**End of report**

  
Mark A. Toraason, Ph.D.

cc:

HSRB 14-OMSHR-09XP

# New Protocol

0.1379

Centers for Disease Control and Prevention  
NIOSH HSRB

Date received

11/5/14



## Signature Page for Human Research Review Protocols and Related Documentation

Use this signature page when submitting HRPO forms to your center-level Human Subjects Contact. When submitting materials with these forms, please consecutively number all pages, beginning with the protocol title page and followed by consent form(s) and ancillary documents. See *HRPO Guide: Overview* for further details. **NOTE: IRB (Institutional Review Board) refers to the NIOSH HSRB (National Institute for Occupational Safety and Health (NIOSH) Human Subjects Review Board (HSRB) of the CDC Human Research Protection Office (HRPO).**

### 1 Protocol identifiers

CAN# \_\_\_\_\_ (optional)

Leave protocol ID blank if not yet assigned.

CDC protocol ID: **HSRB14-OMSHR-09XP** Protocol version number 1.0 version date 10.06.14Protocol title: Improving Organizational Management and Worker Behavior through Worksite *Communication*

Amendment number (if applicable):

*Rev PI 11/14  
email. fm*

### 2 Key CDC personnel

	Name and degrees (FirstName LastName, Degrees)	User ID	SEV #	CDC NC/division
Primary contact (required)	Emily J. Haas, PhD	wcq3	17314	NIOSH/OMSHR
Principal investigator (required)	Emily J. Haas, PhD	wcq3	17314	NIOSH/OMSHR

SEV # is CDC's Scientific Ethics Verification Number. CDC NC/division is the national center or equivalent and division or equivalent, or coordinating center or office if submitted at that level.

### 3 Forms submitted with this signature page

Check all that apply in the appropriate column.

**IRB-reviewed protocols**

- 0.1250: Initial Review by IRB
- 0.1251: Continuing Review of Approved Protocol
- 0.1252: Review of Changes to Approved Protocol
- 0.1254: Incident Report
- 0.1254S: Supplemental Adverse Event Report
- 0.1253: End of Human Research Review
- 0.1370: CDC's Research Partners
- 0.1371: CDC Rely on a Non-CDC IRB
- 0.1372: Outside Institution Rely on a CDC IRB
- 0.1373: CDC Cover an Individual Investigator

**Exempted protocols**

- 0.1250X: Initial Review for Exemption
- 0.1251X: Continuing Review of Exempted Protocol
- 0.1252X: Review of Changes to Exempted Protocol
- 0.1253: End of Human Research Review
- 0.1370: CDC's Research Partners

## 4 Signatures

As principal investigator, I hereby accept responsibility for conducting this CDC-sponsored research project in an ethical manner, consistent with the policies and procedures contained in CDC's *Procedures for Protection of Human Research Participants*, and to abide by the principles outlined in federal policies for the protection of human subjects at 45 CFR part 46, 21 CFR part 50, and 21 CFR part 56.

Signature	Date	Remarks
Principal CDC Investigator: <i>Emily J. Boen</i>	11/4/14	

As a supervisor of the principal investigator, I hereby accept responsibility for ensuring that this CDC-sponsored research project is conducted in an ethical manner, consistent with the policies and procedures contained in CDC's *Procedures for Protection of Human Research Participants*, and to abide by the principles outlined in federal policies for the protection of human subjects at 45 CFR part 46, 21 CFR part 50, and 21 CFR part 56.

Signature Team Lead: <i>Robert Peters</i>	Date 10/10/14	Remarks Check if PI is Team Lead: <input type="checkbox"/>
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Branch Official (e.g., Chief or Senior Scientist):  
*Dana R. Widner* 10/29/14 Check if PI is Branch Official:

Division Official (e.g., Director or ADS):  
*Susan A. Wild* 11/3/14 Check if PI is Division Official:

I concur that this CDC-sponsored research project is consistent with the policies and procedures contained in CDC's *Procedures for Protection of Human Research Participants* and with other applicable CDC and national center policies.

Signature Chair, NIOSH HSRB: <i>Mark Tolosa</i>	Date 12-17-14	Remarks <i>None</i>
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Other Clearance Official:  
(e.g., Confidentiality Officer, Coordinating Center/Office Official)

Expedited Review; Minimal Risk; as provided for in 45CFR 46.110  
(b)(1) category(s) 4 + 7;  
Approved for one year; Renewal date 12-17-15.  
CDC 0.1250 form estimated subject # is 180;  
Subject # to date is  ;  
Approved/Amended Total Subject # is  .

## 5 Additional comments

## 6 Reminder regarding other regulatory clearance processes

The principal investigator is responsible for obtaining other regulatory reviews as needed, which may include OMB clearance under the Paperwork Reduction Act (PRA) for federally sponsored information collections. Approval by or exemption from the IRB is unrelated to OMB clearance requirements under the PRA. For more information on whether your study requires clearance under PRA or other regulations, please consult the appropriate officials within your national center.

**APPROVED**

11/5/14



## Request for Initial Review by an Institutional Review Board

Use this form to submit a protocol for its first review by a CDC IRB or a non-CDC IRB. If seeking review by a non-CDC IRB, also include form 0.1371. See *HRPO Guide: IRB Review Cycle* for further details on how to complete this form.

### 1 Protocol identifiers

Leave protocol ID blank if not yet assigned.

CDC protocol ID: **HSRB 14-0MSHR-09X P**

Protocol version number 1.0 version date 10/22/2014

Protocol title: Improving Organizational Management and Worker Behavior through Worksite Communication

Suggested keywords (optional). Enter each term in a separate cell:

### 2 Key CDC personnel

	Name and degrees (FirstName LastName, Degrees)	User ID	SEV #	CDC NC/division
Primary contact (required)	Emily Haas, Ph.D.	wcq3	17314	NIOSH/OMSHR
Principal investigator (required)	Emily Haas, Ph.D.	wcq3	17314	NIOSH/OMSHR/HFB
Investigator 2	Robert Peters.	rep8	8696	NIOSH/OMSHR/HFB
Investigator 3	Patrick Yorio, PhD	wjc8	19923	NIOSH/OMSHR/HFB
Investigator 4	Dana Willmer, PhD	dpr4	5881	NIOSH/OMSHR/HFB
Investigator 5	Kyle Stanyar, PhD	ygm1	3706	NIOSH/OMSHR/HFB

SEV # is CDC's Scientific Ethics Verification Number. CDC NC/division is the national center (or equivalent) and division (or equivalent), or coordinating center or office if submitted at that level.

List all other CDC investigators, if any (name and degrees, user ID, SEV #, CDC NC/division):

### 3 CDC's role in project

Check yes or no for each of the following.

- CDC employees or agents will obtain data by intervening or interacting with participants.
- CDC employees or agents will obtain or use identifiable (including coded) private data or biological specimens.
- CDC employees or agents will obtain or use anonymous or unlinked data or biological specimens.
- CDC employees will provide substantial technical assistance or oversight.
- CDC employees will participate as co-authors in presentation(s) or publication(s).

*"Agents" includes on-site contractors, fellows, and others appointed or retained to work at a CDC facility conducting activities under the auspices of CDC.*

#### 4 **CDC's research partners**

Research partners include *all* direct and indirect recipients of CDC funding (e.g., grants, cooperative agreements, contracts, subcontracts, purchase orders) and other CDC support (e.g., identifiable private information, supplies, products, drugs, or other tangible support) for this research activity, as well as collaborators who do not receive such support. See *HRPO Guide: CDC's Research Partners* for further details. Check one of the following.

No research partners.  
 Research partners are listed on form 0.1370, which accompanies this form.

#### 5 **Study participants—planned demographic frequencies**

Report estimated counts (rather than percentages). Include participants at domestic and foreign sites. See *HRPO Guide: IRB Review Cycle* for definitions.

Number of participants	180
Location of participants	
Participating at domestic sites	180
Participating at foreign sites	0
Sex/Gender of participants	
Female	0
Male	0
Sex/gender not available	180
Ethnicity of participants	
Hispanic or Latino	0
Not Hispanic or Latino	0
Ethnicity not available	180
Race of participants	
American Indian or Alaska Native	0
Asian	0
Black or African American	0
Native Hawaiian or Other Pacific Islander	0
White	0
More than one race	0
Race not available	180
Comments on demographics	

#### 6 **Regulation and policy**

##### 6.1 **Mode of IRB review on CDC's behalf**

Location of IRB (check one):

CDC IRB  
 Non-CDC IRB through IRB authorization agreement [submit form 0.1371]

Institution or organization providing IRB review:

IRB registration number (if known):

Federalwide assurance number (if any):

Suggested level of risk to subjects (check one):

Minimal  
 Greater than minimal

Suggested level of IRB review (check one):

See *HRPO Worksheet for Expedited Review* for detailed assistance. If relying on a non-CDC IRB, please indicate the level of review that you think is appropriate under human research regulations.

Convened-board review is suggested

Not eligible for expedited review. For example, poses greater than minimal risk; involves use of drug, biologic, or device under IND or IDE; involves collection of large amount of blood; use of x-rays or microwaves; anesthesia; or physically invasive procedures

Other specified reason:

Expedited review is suggested, under the following categories (check all that apply):

1a Study of drugs not requiring Investigational New Drug exemption from FDA

1b Study of medical devices not requiring Investigational Device Exemption from FDA

2a Collection of blood from healthy, nonpregnant adults; below volume limit, minimally invasive

2b Collection of blood from other adults and children; below volume limit, minimally invasive

3 Prospective noninvasive collection of biological specimens for research purposes

4 Collection of data through routine, noninvasive procedures, involving no general anesthesia, sedation, x-rays, or microwaves *see report medical history (some)*

5 Research that uses previously collected materials

6 Collection of data from voice, video, *digital*, or image *recordings* made for research purposes

7 Research that uses interview, program evaluation, human factors, or quality assurance methods

*WT  
12-17-14*

*Mark*

*helmet  
cam*

## 6.2 Vulnerable populations

Characterize the intention to include each of the following vulnerable populations. Choose one option in each row, and indicate the page(s) where inclusion or exclusion is justified in the protocol.

	Targeted	Allowed	Excluded	NA	Page(s)
Pregnant women or fetuses	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Children (including viable neonates)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Prisoners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Describe other groups of potentially vulnerable subjects intended to be included or excluded, such as neonates of uncertain viability or nonviable neonates, persons with mental disabilities, or persons with economic or educational disadvantages.

## 6.3 Free and informed consent

Characterize requested changes to required features of the informed consent process. If a waiver is requested, enter the page number of the protocol where the waiver is justified.

Which exceptions to the consent process are requested? Check all that apply:

Waiver or alteration of elements of informed consent for adults pg  
 Waiver of assent for children capable of providing assent pg  
 Waiver of parental permission pg

Which exceptions to documentation of informed consent are requested? Check all that apply:

<input checked="" type="checkbox"/> Waiver of documentation of informed consent for adults	pg 9
<input type="checkbox"/> Waiver of documentation of assent for children capable of providing assent	pg
<input type="checkbox"/> Waiver of documentation of parental permission	pg
<input type="checkbox"/> Waiver or alteration of authorization under HIPAA Privacy Rule	pg

How is it shown that the consent process is in understandable language? Check all that apply:

<input checked="" type="checkbox"/> Reading level has been estimated	pg 9
<input type="checkbox"/> Comprehension tool is provided	pg
<input type="checkbox"/> Short form is provided	pg
<input type="checkbox"/> Translation planned or performed	
<input type="checkbox"/> Certified translation/translator	pg
<input type="checkbox"/> Translation and back-translation to/from target language(s)	pg
<input type="checkbox"/> Other method (specify: _____)	pg

## 6.4 Other regulation and policy considerations

Check all that apply.

If requesting the exception to the PHS policy on informing those tested about HIV serostatus, enter the page number of the protocol where the waiver is justified.

<input type="checkbox"/> Exception is request to PHS informing those tested about HIV serostatus.	pg
<input type="checkbox"/> Human genetic testing is planned now or in the future.	
<input type="checkbox"/> This study includes a registrable clinical trial.	
<input type="checkbox"/> This study involves long-term storage of identifiable biological specimens.	
<input type="checkbox"/> This study involves a drug, biologic, or device.	

*See HRPO Worksheet to Determine FDA Regulatory Coverage for guidance on whether or not FDA regulations apply.*

<input type="checkbox"/> This study will be conducted under an Investigational New Drug (IND) exemption or Investigational Device Exemption (IDE).	
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IND/IDE number(s):

## 6.5 Confidentiality protections

If at least one research site is within the US, then check either Granted, Pending, or No in each row. If no sites are within the US, then check NA in each row.

	Granted	Pending	No	NA
Certificate of Confidentiality (301(d))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assurance of Confidentiality (308(d))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Describe any other formal confidentiality protections that are planned or are in place:

**7 Material submitted with this form**

Check all that apply. Describe additional material in the comments section.

- Complete protocol
- Peer reviewers' comments or division waiver (NIOSH)
- Consent, assent, and permission documents or scripts
- Other information for recruits or participants (e.g., ads, brochures, flyers, scripts)
- Data collection instruments (e.g., questionnaires, interview scripts, record abstraction tools)
- Certification of IRB approval or exemption for research partners

**8 Additional comments**