

## #14808 - Immersive modeling to discuss transitions from emergency reservoir operations to more adaptive water uses

### Protocol Information

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Submission Type	Status	Submission Number	Approval Date
<b>Amendment</b>	<b>In Progress</b>	<b>8</b>	--
Continuing Review Date	Expiration Date	Initial Approval Date	Initial Review Type
--	--	<b>Nov 19, 2024</b>	<b>Exempt</b>

### Protocol Amendment Form

#### Amendment

## Amendment Filing Instructions:

1. Identify **each area** of the protocol that will be impacted by the change you wish to make.
2. Work through your entire protocol, **editing** each field relevant to the change you are requesting. There is no need to use formatting or headers to identify your changes; Kuali makes your changes evident to reviewers.
3. Submit your amendment using the **Submit** button on the control panel on the right side of your screen. Only the Principal Investigator can submit.

Amendments can only be filed for changes you have not yet implemented. Amendments are processed in one of two ways: minor modifications are reviewed via the Expedited review process (10 or fewer business days, typically), and modifications that are more than minor must be reviewed by the Convened IRB (up to 30 days). More than minor modifications are not permitted for Exempt protocols; a new Exempt protocol must be filed if the changes are more than minor.

If any member of the research team has expired CITI training, an amendment cannot be approved until their training has been refreshed. Please be sure all research staff have up-to-date training before submitting your amendment.

**Provide an overview of your amendment, including why you are requesting the change.** This field is not the amendment to your protocol; it is simply an overview for reviewers. Please work through your entire protocol to ensure it reflects the changes you describe here.

We are submitting a fifth recruitment method which starts with an in-person encounter. In this method, we introduce ourselves, listen to the person's work, describe our project, share a flier, and ask if the person wants to join a model session. If yes, we schedule a day/time, exchange contact information, and send a follow-up email with our prior-approved 1/2 page poster board with full materials so the person can make an informed decision about whether to participate.

We have also consolidated all our recruitment methods--4 prior approved, 1 new--into a single document for easier reference.

We also add the proposal for newly funded work by the National Oceanic and Atmospheric Administration (NOAA).

**Does the proposed change require any edits to your informed consent documentation, or the creation of a new document?** We recommend briefly reviewing your approved informed consent documents, in Admin Notes & Files on the right side of your screen, to be certain.

No

**Are you adding a Non-USU Investigator to this protocol?**

No

**Have you begun recruiting participants?**

Yes, participants have been enrolled and study procedures are underway

**Please review the definition of a Conflict of Interest, along with the Assurances you agreed to in the Conflicts & Assurances section of this protocol.**

I, the Principal Investigator, have reviewed the definition of a conflict of interest with my research team, including any new research staff I may be adding, and there are no new conflicts to disclose.

## Basic Information

### Principal Investigator

Rosenberg, David E

### Department

Civil & Environmental Engineering

### Protocol Title

Immersive modeling to discuss transitions from emergency reservoir operations to more adaptive water uses

**Please select your anticipated start date for this research, taking care to allow ample time for IRB review.**

November 20, 2024

**Is this research externally funded?**

Yes

**Associate your Institutional Proposal or Award below.**

The PI, or any individual listed as personnel on the proposal, can search for that number here. The number that turns up in the first search screen is **not the correct number to enter here**. You must **click on the result** to access the correct number.

- The Award ID (usually ending in -00001) is located on the **Details & Dates** dropdown tab of your active Award in Kuali.
- The Institutional Proposal Number is located under the **Institutional Proposal** dropdown tab in Kuali.
- The Development Proposal Number is your **Proposal Number** (also commonly referred to as your "Kuali Number") in large lettering at the top left side of the screen when you open a Development Proposal. Do not include the "#"

You may use any of these, just be sure that you have selected the appropriate radio button below the search bar for the ID you will enter on the field below.

**Is your sponsor requesting Just in Time (JIT) review?****Will this project be used, in part or whole, for a thesis or dissertation project?**

No

**Please indicate what type of review or action you are requesting.** When you make a selection, more information about the type of review will display.

Exempt Review

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As you work through this protocol submission, Kuali will autosave your information every 10-20 seconds. **It is very important that you only complete this protocol in one browser/browser tab at a time.** Kuali will autosave the *last active version*, so **if your last active version open is a less complete protocol, you will lose your work.** More user documentation regarding Kuali Protocols is available on Kuali's website, as well as the USU IRB's.

**Study Personnel****USU Personnel**

Please enter all of your USU study personnel to the list below by clicking "Add Info" or "Add a Line." You may double check that they have completed CITI training at this link; unless this is a Non-Human Subjects Research Determination, do not submit your protocol until all staff are CITI trained.

**You only need to add personnel who will serve as an investigator on this project.**

An **investigator** is an individual who interacts with or intervenes with living people for research purposes; obtains, studies, interprets, or analyzes identifiable private information; obtains informed consent; or interacts with the IRB relating to this study. Individuals assisting with the analysis of de-identified data, for example, would not be investigators under this definition.

**Investigator Name**

Akbar, Hadia

**Role**

USU Student Researcher

**System Role**

Admin

**Permissions**

Full Access

**USU Personnel Email**

hadia.akbar@usu.edu

**Department**

Utah Water Research Laboratory

**CITI Training Expiration Date**

1/19/2026

**You only need to add personnel who will serve as an investigator on this project.**

An **investigator** is an individual who interacts with or intervenes with living people for research purposes; obtains, studies, interprets, or analyzes identifiable private information; obtains informed consent; or interacts with the IRB relating to this study. Individuals assisting with the analysis of de-identified data, for example, would not be investigators under this definition.

**Investigator Name**

Rosenberg, David E

**Role**

Principal Investigator

**System Role**

Admin

**Permissions**

Full Access

**USU Personnel Email**

david.rosenberg@usu.edu

**Department**

Civil & Environmental Engineering

**CITI Training Expiration Date**

October 2, 2027

**You only need to add personnel who will serve as an investigator on this project.**

An **investigator** is an individual who interacts with or intervenes with living people for research purposes; obtains, studies, interprets, or analyzes identifiable private information; obtains informed consent; or interacts with the IRB relating to this study. Individuals assisting with the analysis of de-identified data, for example, would not be investigators under this definition.

**Investigator Name**

Myers, Anabelle

**Role**

USU Student Researcher

**System Role**

Admin

**Permissions**

Full Access

**USU Personnel Email**

a02369941@usu.edu

**Department**

Civil & Environmental Engineering

**CITI Training Expiration Date**

2/5/2028

**You only need to add personnel who will serve as an investigator on this project.**

An **investigator** is an individual who interacts with or intervenes with living people for research purposes; obtains, studies, interprets, or analyzes identifiable private information; obtains informed consent; or interacts with the IRB relating to this study. Individuals assisting with the analysis of de-identified data, for example, would not be investigators under this definition.

**Investigator Name**

Fager, Brittany

**Role**

USU Student Researcher

**System Role**

Admin

**Permissions**

Full Access

**USU Personnel Email**  
A02488466@usu.edu

**Department**

Civil & Environmental Engineering

**CITI Training Expiration Date**

9/3/2028

**Does this project involve a Non-USU Investigator?**

Yes

**Select all of the activities your Non-USU colleagues will engage in.** Only researchers who meet the definition of an "investigator" need to be listed on your protocol. The activities listed below are activities that make an individual an "investigator."

Interaction or intervention (including online intervention) with living people participating in this study

Obtain, study, analyze, or interpret identifiable information about participants in this study

Actively recruit participants into this study

Obtain informed consent under this study (this includes being a resource to answer questions for potential participants about the study)

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**Non-USU Personnel**

Enter all of your external study personnel to the list below by clicking "Add Info" or "Add a Line."

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**Non-USU Researcher Agreements**

One of four pieces of documentation must be provided for each institution or individual, whichever applies to your study. Some brief guidance is provided below regarding which type of agreement is appropriate for which type of external researcher, but you might prefer instead to visit our detailed website on Reliance Agreements and External Researchers.

Please select, complete, and upload the correct documentation for each external researcher on your project. One agreement may cover more than one researcher, as appropriate.

- Reliance Agreements are for investigators at other universities, research centers, or labs holding a Federal Wide Assurance. **Before using this template**, please check to see if your colleague's institution uses SMART IRB and check to see if they would prefer to use that system to complete the Reliance Agreement. If so, please complete the SMART IRB Reliance Request to begin the Reliance Agreement process in SMART IRB *before submitting your protocol* (that likely means that you will complete this protocol so that you can provide a copy in SMART IRB, and return to this field last). You will submit the confirmation-of-submission email that you receive from SMART IRB in the field below. If the other institution will not use the SMART IRB Online Reliance System, make sure that they have executed a Reliance Agreement (linked to above) or a SMART IRB Letter of Agreement *before submitting your protocol*.
- **If your project is exempt**, the other institution may choose not to rely, in which case, your colleague should seek their own exemption at their own institution and should not be listed on this protocol. Instead, you will simply provide a copy of the other institution's approved protocol at the end of this protocol, in "Other Approvals and Documentation."
- If the other institution's IRB determines that this researcher is not "engaged," you may provide a scope of work that is specific to that researcher in lieu of a Reliance Agreement, along with documentation from the IRB regarding engagement. The engagement determination must come from their IRB or Institutional Official, not from a member of the research team.
- External Researcher Agreements are for use where an individual is serving as an investigator in your study *in their professional capacity*. For example, a teacher investigator completing work on this project during his workday and in his teacher role would utilize this agreement.
- Unaffiliated Researcher Agreements are for use where an individual is serving as an investigator in your study *in their personal capacity*. For example, an engineer who volunteers with your research project outside of her work hours, not utilizing work resources, would complete this agreement.

## Categories of Exemption

Add all applicable exemption categories one at a time, by selecting "Add Line" or "Add Info" below.

Please select an exemption category. You may select another after this one has been saved.

EXEMPTION #2a: Surveys, interviews, educational tests involving adults

## Project Overview

**Provide an overview (or a brief abstract) for this study. The overview/abstract must include at least the following information:**

1. The purpose of the study
2. The research questions, hypotheses, or themes this study will explore.
3. The "gap" or "problem" relevant to the discipline that this study will address.
4. How the study design will generate the information needed to address the research questions, hypotheses, or themes identified above.

This protocol is a copy of protocol # with a change of geographic scope to the Colorado River Basin. Other aspects of the study are identical to the protocol for immersive modeling of a water bank for Cache Valley, Utah.

The purpose of this study is to develop, use, and improve an immersive online collaborative model of water banks in the Colorado River Basin. We also intend collaborative model sessions to improve understanding of *why* collaborating basin partners choose to consume water and trade water with a water bank. We are also interested to learn *how* hydrologic, species interaction, social, economic, inclusion, uncertainty, and other elicited assumptions, factors, constraints, and opportunities influence collaborators choices to consume and bank water within the collaborative model environments. We also seek to learn *which* new insights collaborators take away from a model session and *how much* model complexity and resolution collaborators request to achieve the study purposes.

Traditional water resources simulation and optimization modeling approaches answer the questions *what if* and *what is best*. Traditional simulation and optimization models also follow a project design where researchers build a model then translate the model and findings to stakeholders at the project end when there are no longer resources to follow up on stakeholder feedback. The build-translate project design represents a one-directional flow of information from researchers to stakeholders. We instead engage collaborators early in the modeling process. They take-away insights from collaboration in a model session. We use their feedback during a model session to improve the model assumptions, structure, and resolution. We anticipate feedback gained during collaborative model sessions will also yield a model that is more flexible and adaptive to user needs and challenges. Early engagement will also increase buy-in.

**Upload a proposal here.** Proposals are required for all Expedited and Convened IRB protocols, and for some Exempt protocols. If this study:

- is any review type other than exempt;
- has been proposed to an external funding source;
- is a dissertation/thesis project; or
- has been funded internally

You must provide the proposal that you submitted via that process, rather than a modified one for IRB purposes. The IRB is required to ensure that this protocol matches that project.

ProjectNarrative-CIROH-RosenbergPorse-PublicPost.docx

**Will any portion of this project be completed outside of the United States or in another jurisdiction that is sovereign, such as a territory or sovereign indigenous lands?**

No

**Please describe the setting(s) where this research project will occur.**

Model sessions will take place during a video conference session (e.g., Zoom) or in-person in a university conference room. During a session, collaborators will enter choices to consume and bank water into a single, shared online numeric model of a water bank (e.g., web spreadsheets). We will prompt discussion of *why* collaborators made choices and *how* they will implement those choices.

**Which response best describes the use of existing data (or biospecimens) about or from living people in this study?**

No existing data/specimens will be used in this study

## Study Participants

**A participant is a living individual about whom an investigator conducting research obtains:**

- 1) data or specimens through intervention or interaction with the individual; or
- 2) identifiable private information or specimens.

**All participants must be described in this section.**

**Below, add a row for each distinct population that will be involved in your study.**

**Select "+Add Line" (or "+Add Info") to add an individual row, and complete the information requested for each distinct population. You can add as many distinct populations as will be involved in your study.**

**Describe the general characteristics of these study participants.**

Include a descriptive label, age range, health status, sex, gender, and any other characteristics that are relevant to your study. For studies involving only existing data or specimens, describe the populations that were involved in the original collection effort.

Experts and academics. Age: Over 21

**Inclusion Criteria**

Collaborators whose research is in water management, water markets, and/or water banks

**Exclusion Criteria**

N/A

**How many participants from this group do you require in order to meet your study aims?**

5-10

**Will you be collecting information from or about people prior to obtaining informed consent in order to determine or verify eligibility?**

No

**Provide screening instrument(s) for this targeted population here.** If you have more than one instrument, please combine them into one single document for this review.

No Attachment

**Will all prospective participants have the potential to be recruited into and enter the study, regardless of sex, gender, sexual orientation, religion, race, color, adult age, genetic information, ability, nationality, or veteran status?**

Yes

**Identify the basis on which you must differentiate prospective participants, and provide the scientific justification for that differentiation.**

**Describe the general characteristics of these study participants.**

Include a descriptive label, age range, health status, sex, gender, and any other characteristics that are relevant to your study. For studies involving only existing data or specimens, describe the populations that were involved in the original collection effort.

Practitioners. Age: Over 21

**Inclusion Criteria**

Collaborators who manage water systems or develop water policy

**Exclusion Criteria**

N/A

**How many participants from this group do you require in order to meet your study aims?**

5-10

**Will you be collecting information from or about people prior to obtaining informed consent in order to determine or verify eligibility?**

No

**Provide screening instrument(s) for this targeted population here.** If you have more than one instrument, please combine them into one single document for this review.

No Attachment

**Will all prospective participants have the potential to be recruited into and enter the study, regardless of sex, gender, sexual orientation, religion, race, color, adult age, genetic information, ability, nationality, or veteran status?**

Yes

**Identify the basis on which you must differentiate prospective participants, and provide the scientific justification for that differentiation.**

**Describe the general characteristics of these study participants.**

Include a descriptive label, age range, health status, sex, gender, and any other characteristics that are relevant to your study. For studies involving only existing data or specimens, describe the populations that were involved in the original collection effort.

Water Users. Age: Over 21

**Inclusion Criteria**

People who withdraw, distribute, or consume water on day-to-day basis.

**Exclusion Criteria**

N/A

**How many participants from this group do you require in order to meet your study aims?**

5-10 in each group

**Will you be collecting information from or about people prior to obtaining informed consent in order to determine or verify eligibility?**

No

**Provide screening instrument(s) for this targeted population here.** If you have more than one instrument, please combine them into one single document for this review.

No Attachment

**Will all prospective participants have the potential to be recruited into and enter the study, regardless of sex, gender, sexual orientation, religion, race, color, adult age, genetic information, ability, nationality, or veteran status?**

Yes

**Identify the basis on which you must differentiate prospective participants, and provide the scientific justification for that differentiation.**

**Describe the study team's existing relationship to the participants who are targeted for recruitment into this study.**

The study team (Rosenberg and Akbar) know several potential collaborators from past professional activities that span decades.

**How many participants do you anticipate will begin this study?**

30

**How many participants do you anticipate will complete this study?**

30

**Will the research team offer compensation to any of the participants?**

No

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**For each population group identified above, specify how the potential participants will learn about your study.**

**Participant Group Description**

Experts and academics

**Provide a detailed description of any recruitment processes that involve interactions with the prospective participants identified here.**

The researchers will contact potential collaborators via email. See email template provided.

We already have email addresses for many collaborators (from past work). We will also draw names and emails from people listed in the attendee list for the Colorado River Water Users Association (CRWUA) conferences held in Las Vegas 2023 and 2024.

**Participant Group Description**

Practitioners.

**Provide a detailed description of any recruitment processes that involve interactions with the prospective participants identified here.**

The researchers will contact potential collaborators via email. See email template provided.

We already have email addresses for many collaborators (from past work). We will also draw names and emails from people listed in the attendee list for the Colorado River Water Users Association (CRWUA) conferences held in Las Vegas 2023 and 2024.

**Participant Group Description**

Water Users.

**Provide a detailed description of any recruitment processes that involve interactions with the prospective participants identified here.**

The researchers will contact potential collaborators via email. See email template provided.

We already have email addresses for many collaborators (from past work). We will also draw names and emails from people listed in the attendee list for the Colorado River Water Users Association (CRWUA) conferences held in Las Vegas 2023 and 2024.

**Please select all of the following groups that are likely to be involved with your study.**

No Vulnerable Populations

**Provide all relevant recruitment material for this study below.**

These must be developed in line with the IRB's Recruitment Guidelines. You may upload as many as you need. Click "Add Info" or "Add Line" to access templates for many different kinds of recruitment materials.

**Upload your recruitment material here.** The IRB has several recruitment material templates or information items available to assist you. Click on the option you'd like to access, below:

- SONA Registration Information (Required if using SONA)
- Amazon Mechanical Turk HIT Description (Required if using MTurk)
- FERPA Authorization to Screen Education Records for Eligibility
- HIPAA Authorization to View Protected Health Information for Eligibility
- Email Recruitment Best Practices

If you have no recruitment material, please upload a placeholder document indicating that you have no materials. In most cases, you would at least use a Letter of Information or script, so this should be very uncommon (i.e. only in protocols using existing data).

[StudyInformation-PostitBoard.docx](#)

### **Recruitment Material Description**

Online poster board that provides potential collaborations with information about the study so that they can make an informed decision for whether to participate in the study.

**Upload your recruitment material here.** The IRB has several recruitment material templates or information items available to assist you. Click on the option you'd like to access, below:

- SONA Registration Information (Required if using SONA)
- Amazon Mechanical Turk HIT Description (Required if using MTurk)
- FERPA Authorization to Screen Education Records for Eligibility
- HIPAA Authorization to View Protected Health Information for Eligibility
- Email Recruitment Best Practices

If you have no recruitment material, please upload a placeholder document indicating that you have no materials. In most cases, you would at least use a Letter of Information or script, so this should be very uncommon (i.e. only in protocols using existing data).

[ImmersiveModelingColoradoRiver-RecruitMethods-January2026.docx](#)

### **Recruitment Material Description**

Document that consolidates all recruitment methods and supporting information. This document includes 4 prior-approved methods and 1 new method (in-person).

**Upload your recruitment material here.** The IRB has several recruitment material templates or information items available to assist you. Click on the option you'd like to access, below:

- SONA Registration Information (Required if using SONA)
- Amazon Mechanical Turk HIT Description (Required if using MTurk)
- FERPA Authorization to Screen Education Records for Eligibility
- HIPAA Authorization to View Protected Health Information for Eligibility
- Email Recruitment Best Practices

If you have no recruitment material, please upload a placeholder document indicating that you have no materials. In most cases, you would at least use a Letter of Information or script, so this should be very uncommon (i.e. only in protocols using existing data).

InPersonFlier.pptx

### **Recruitment Material Description**

Flier to hand out during in-person encounter.

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### **Study Procedures**

**Provide a complete, step-by-step description of the study procedures.**

1. Contact potential collaborators via email. Provide link to study information and informed consent (online poster board).
2. Ask collaborators to suggest days/times for a model session or sign up for a prior scheduled model session.
3. The researchers will group consenting collaborators and set up online sessions.
4. Collaborators collaborate in a 2-hour model session. In a session: They formulate extreme assumptions for reservoir storage, hydrology, and ecosystem responses. They articulate vulnerabilities and strategies to manage vulnerability. They enter choices to consume and bank water in response to modeled available water, others choices, and real-time discussion of rationales for choices.
5. We ask collaborators why they made choices and which new insights they took away from the model session. We also ask how can we improve the model.
6. Researchers take notes on the discussion.

The Excel model file is attached. As part of our research method, we will update and improve the model in response to feedback from collaborators and use improved models in future model sessions.

Step 1 may include 1 of 5 recruitment methods--4 approved, 1 new for this amendment.

1. **Email to people who provided a letter of collaboration for the proposal** (Approved).

2. **Recruitment email to other people** (Approved).

3. **Response email to people who reach out to participate in a model session** (Approved).

4. **Request for Prior Short Conversation with Potential Collaborators** (Approved).

Step 1. Email invitation for a 20-minute conversation (Approved).

Step 2. Hold 20-minute conversation (Approved).

Step 3. Follow up email to people we held an initial 20 minute conversation with who expressed interest to collaborative in a model session (approved).

5. **Meet in-person, such as at a conference** (Submitted as an amendment to this protocol).

Step 1. Initial in-person encounter.

Step 2. Share flier and exchange contact information.

Step 3. Follow up email to people who expressed interest to join a session.

**Please specify your anticipated end dates for the items below. These dates will be used to set the expiration date for your informed consent documents (if applicable) and your protocol,** so be certain to keep this information up-to-date as your work progresses.

**By what date do you anticipate that your protocol will no longer actively involve a human subject?**

December 30, 2027

**By what date do you anticipate all study-related procedures (analyses, follow ups, etc.) will be complete?**

December 31, 2028

**What measures will be taken to ensure participant privacy during the study?**

Consider procedures from recruitment through the end of the participant's involvement in the study.

*Privacy means the extent to which participants have control over what they share, with whom they share it, and in what kinds of spaces. Do not address confidentiality of the data - that will be addressed later.*

Like other professional activities, all collaborators who participate in the same model session will be able to view entries into the web spreadsheet and hear the real-time discussion of choices and feedback.

**Will there be any email communications with participants during the course of this study?** This includes email communications regarding recruitment, informed consent, data collection, compensation, scheduling, etc.

Yes

Please make the appropriate selections below to indicate your understanding of appropriate email communication practices.

Check this box to indicate that you understand that all university business must be conducted with a usu.edu email address.

Check this box to indicate that you will use "bcc" if you must communicate with several participants at once, unless your informed consent document specifically discloses that participants will be communicated with in groups.

**Will this study involve the use of any machines, devices, or substances supplied by the research team that the participants directly interact with?**

Yes

**Please select "Add Info" to provide details about the equipment, substances, or devices that participants will interact with as a part of your research project.**

**Equipment, machine, device, or substance name:**

Online web spreadsheets.

**Equipment, machine, device, or substance manufacturer:**

N/A

**Describe the equipment, machine, substance, or device:**

N/A

**Describe how participants will interface with this equipment, substance, or device:**

Through their internet browser.

**If applicable, provide a link to the product brochure, specification sheet, manufacturer description, sales information, or other printed material from the manufacturer (or provide an upload in the next field).**

**If no link is available, please provide a product brochure, specification sheet, manufacturer description, sales information, or other printed material from the manufacturer.**

No Attachment

**Will this study involve the collection, use, or analysis of any of the following?**

- Images of participants or others
- Audio recordings of participants or others
- Video recordings of participants or others

No

**Please upload all measures, instruments, data collection sheets, and relevant intervention materials here.** If a participant will be asked to interact with something designed or used by your research team, it must be provided here.

**Choose a document to upload here**

LakeMeadWaterBankDivideInflow.xlsx

**Provide a brief description of this document**

Current version of spreadsheet model file we will use during a collaborative model session.

**Choose a document to upload here**

ListOfQuestions.docx

**Provide a brief description of this document**

List of questions to ask collaborators during a collaborative model session.

**Confidentiality**

**Check all of the following applicable data/specimen sources that will be accessed, obtained, created, or used in this study.** This includes information you will use to recruit or screen.

None of the above

**Does this project involve identifiable information or specimens?**

Identifiable means that the identity of the living person "is or may readily be ascertained."

Some examples include:

- Email addresses
- Telephone numbers
- Recordings (audio or video) or images
- Codes linking back to an identity that the research team *could* access (regardless of whether the research team *will* access it)
- Transcriptions that have not been scrubbed of identifying information

Yes

**Describe which identifying information will be present for which data/specimens.** Be sure to include information you will have for recruitment, compensation, screening, informed consent processes (not the document), etc.

- Participant Email addresses: for recruitment and to share letter of information.
- Participant Names: During a model session, participants will enter their name in the water user's section of the model. The meeting notes will contain name information as well.
- After a model session, we will update the names in the Water Users section of the model according to the wishes of the collaborator (e.g., anonymous, by job title, organization, etc.).
- We will change the permissions on the model file to only be viewable and editable by the research team.

**Explain where the data, information, or biospecimens will be housed during the data collection process.**

Outline applicable confidentiality safeguards associated with that initial data storage mechanism(s).

- The recruitment material, model file, and meeting notes containing feedback will be kept on USU Box drive.
- We cannot guarantee confidentiality for participants names, rationales for choices, and feedback as other collaborators in the same session will view choices and hear discussion

**After the data, information, or biospecimens have been obtained by the research team, what will happen to prepare for and begin use/analysis? Be sure to include how data will be moved from a temporary collection site to longer-term storage, what will be removed or coded, what will be deleted or maintained, and what storage repositories will be utilized.**

- Collect feedback to improve the model.
- Use feedback to improve the model.
- Remove names and other identifying information from model files and notes from sessions.  
Set permissions on the model file to only be accessible by the research team.
- Post cleaned (anonymous) versions of model files and notes on a permanent repository such as Hydroshare.

**Describe the extent to which confidentiality will be maintained during the study, and after it has ended. What steps will you take, if any, to protect participants' identities at each of those time points?**

1. During collaborative model sessions, collaborators will have access to view and edit the current version of model. This version will include collaborator's names and their choices.
2. At the end of a model session, collaborators will choose how they wish to be identified (anonymous, by organization, by name, etc.). The research team will respect those choices. We will set permissions on the model file so only the research team has access to the model file (view and edit).
3. Like other professional activities – collaborators participating in the same model session will be able to see other participants choices and listen to their rationales.

Legal structures exist throughout the U.S. and beyond that require the reporting of certain behavior or conditions. Items that require reporting include, but are not limited to, the following:

- Child abuse and neglect
- Abuse, neglect, and exploitation of a vulnerable adult
- Sexual assault
- Specific imminent threats to self or others
- Certain medical conditions under public health surveillance oversight

**During the conduct of this research, is any member of this research team in a position to learn about one or more circumstances which requires mandatory reporting or other breaks from typical confidentiality protections (such as to disclose a health condition to a third party)?**

No

**Use the table below to describe the information, data, or specimens that you will keep beyond the completion of this study, and those that you will destroy at the completion of this study. Click "Add Line" or "Add Info" below.**

**Once the project has reached completion, what data/information/biospecimens, if any, will be maintained by the research team or others? Where will the information be maintained?** If, for example, you plan to keep de-identified data or participant contact information beyond the term of this study, be sure to list it here.

De-identified versions of start and completed model files for each model session will be posted on a permanent repository such as Hydroshare. De-identified versions of notes from each model session will also be posted on a permanent repository such as Hydroshare.

**Once the project has reached completion, what data, if any, will be destroyed?**

Versions of completed model files with collaborators names. Versions of notes from model sessions with collaborators names.

## Informed Consent - Exemptions

**Informed Consent** refers to two things: first, the *process* of obtaining and maintaining the fully informed consent of research participants. The process is ongoing throughout the lifetime of the study, and can take place in a wide variety of ways. Second, Informed Consent refers to the *documentation* used to explain and obtain agreement for study participation.

This section will ask the research team to consider both the *process* and *documentation* relating to informed consent for this study. Many exemptions require you to obtain the prospective agreement of the participants in the study, even though the project otherwise qualifies for exemption, so the questions here are not as specific as would be under the Expedited categories of review.

**Describe both the process and the setting for obtaining informed consent from potential participants.** If the process and setting differs for different groups, be sure to separately address each group.

**Recruitment Processes:**

1. **Email to people who provided a letter of collaboration for the proposal** (Approved).
  - In this process the research team will invite collaborators to participate in the study via email.
2. **Recruitment email to other people** (Approved).
  - In this process the research team will invite collaborators to participate in the study via email.
3. **Response email to people who reach out to participate in a model session** (Approved).
  - In this process, the research team will ask the person via email to share a few days/times to hold a 2-hour model session.
4. **Request for Prior Short Conversation with Potential Collaborators** (Approved).
  - In this process, the research team will first ask the person via email to schedule a time for a short conversation to learn about their work and pitch our project. There are 3 steps.  
Step 1. Email invitation for a 20-minute conversation (Approved).  
Step 2. Hold 20-minute conversation (Approved).  
Step 3. Follow up email to people we held an initial 20 minute conversation with who expressed interest to collaborative in a model session (approved).
5. **Meet in-person, such as at a conference** (Submitted as an amendment to this protocol).
  - In this process, a research team member will first speak in person with a potential collaborator, such as at a conference. The 3 steps are:  
Step 1. Initial in-person encounter. Listed to their work, share about our project. Ask if person wants to join a model session. If yes,  
Step 2. Share flier and exchange contact information.  
Step 3. Send follow up email to people who expressed interest to join a session.

**In all processes, the same next steps will occur.**

1. Either the initial email (Processes #1, 2, and 3) or follow-up email (Processes #4 and 5) will link to an online poster board that provides information about the study. The poster board will provide all information a potential collaborator needs to consent to participate in the study – study title, goals, what is requested of collaborators, data to collect, how stored, risks, possible benefits, how to ask questions. At the bottom of the board, there is the text:

By attending a model session, you indicate that you understand the risks and benefits of participation. You also acknowledge that you know what you will be asked to do. You had the opportunity to ask questions. And you are clear on how to stop participation if you choose to.

Researchers will provide potential collaborators a list of dates/times for potential model sessions or we will ask a potential collaborator to suggest a few days/times.

Collaborators will select a model session(s) to participate in.

**Documentation:**

5. During a model session, collaborators will enter their name in the online model file (web spreadsheets).

**Upload your informed consent documentation here. You may upload as many as needed by clicking "Add Line" after each successful upload.** The IRB has developed several templates for informed consent documentation that you are encouraged to use. Access all of them here. The USU IRB has a template specifically for use in exempt studies, which you may access for download directly at this link.

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**Upload your informed consent documentation here.**

Your upload must be in Word. If it is not, your protocol will be returned to you during the pre-review process.

[StudyInformation-PostitBoard.docx](#)

## **Conflicts & Assurances**

### **Conflict of Interest**

Please review the definition of a conflict of interest.

I have reviewed and I understand the definition of a Conflict of Interest

I, the Principal Investigator, affirm that I do not have any conflicts of interest regarding this project.

I, the Principal Investigator, affirm that I have reviewed the definition of a conflict of interest with the research team. No one on this research team has a conflict of interest.

**Does this protocol involve the use of any intellectual property owned or held by Utah State University?**

No

## Principal Investigator's Assurances

**As Principal Investigator, I have ultimate responsibility for the performance of this study, the protection of the rights and welfare of the human subjects, and strict adherence by all co-investigators and research personnel to all Institutional Review Board (IRB) requirements, federal regulations, and state statutes for human subjects research. Every aspect of the research will have appropriate and consistent oversight by the Principal Investigator. I hereby assure the following:**

- I will not enroll or recruit participants in research until IRB review and approval of this study has been completed;
- The information provided in this application is accurate to the best of my knowledge;
- Adequate resources are available to carry out this research and ensure participants' safety and welfare;
- All named individuals on this project have read and understand the procedures outlined in the application;
- All experiments and procedures involving human subjects will be performed under my supervision or that of another qualified professional listed on this protocol.

DER

I and all co-investigators and research personnel agree to comply with all applicable requirements for the protection of human subjects in research, including but not limited to the following:

- Making no changes to the approved protocol without first having submitted those changes for review and approval by the IRB (except as necessary to protect participants in an emergency);
- Promptly providing the IRB with any information requested related to the project;
- Promptly reporting the completion of a study and requesting closure, including ensuring that I maintain sufficient oversight of student projects to appropriately report on the project for closure;
- Disclosing all reportable events to the IRB as soon as possible;
- Promptly and completely complying with an IRB decision to suspend or withdraw its approval for the project;
- Permitting and facilitating any Utah State University Human Research Protection Program site visits, audits, investigations, and inquiries, including access to all research-related documents;
- Obtaining renewal prior to the expiration of this protocol's approval, including ensuring that I maintain sufficient oversight of student projects to seek renewal in the event the student(s) become unavailable. I understand that timely renewal is my responsibility, and if I fail to apply for renewal, the study will expire and all study activity must cease until current IRB approval is obtained.

DER

I assume responsibility for ensuring the competence, integrity, and ethical conduct of all members of the research team. This research project is being proposed on behalf of at least one USU employee or student, to be completed in their capacity as a USU employee or student. I certify that all researchers are fully competent to accomplish the procedures and tasks assigned to them during the completion of this research project. All researchers will maintain current CITI and any other applicable training for the entirety of their involvement with this project.

DER

**Is there any other information that you would like to provide to the IRB as it works through the review of your project?** For example:

- School district approval letter (required for all work in K-12 schools in Utah);
- Tribal IRB, other IRB/REC, or international ethics committee approval;
- Letters of support;
- Evidence of scientific, scholarly, or peer review that has already occurred; or
- Other documents, links, or informational items that would support the IRB's review of this project.

Yes

### Other Approvals or Documentation

#### File Upload

RosenbergcitiCompletionCertificate\_1182028-October2-2024.pdf

#### Upload description

CITI Certification - Rosenberg - October 2, 2024

#### File Upload

RosenbergcitiCompletionReport\_1182028\_-October2-2024.pdf

#### Upload description

CITI Completion report - Rosenberg October 2, 2024

#### File Upload

Porse\_UCDavis\_FW\_ IRBNetSignatureNotification.pdf

Upload description

University of California, Davis IRB approval for Erik Porse for this protocol.

**The PI may submit this protocol now, using the menu on the right side of the screen. The PI must review all information contained in this form (initial and resubmissions) prior to submitting to the IRB.**

# Administrative Details Form

## Administrative Protocol Details

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Is there a pending Thesis Approval Form or Application for Candidacy that needs to be signed when this protocol's review is complete?

No

**Please select the type of review being initiated.** Amendment

**If the type is already selected, do not unselect it, just proceed to that table and populate your entry.**

Exempt

## Exemptions

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**Below, log the date on which the action occurred for this exempt review.** Please leave actions which have not occurred or which have not occurred yet blank.

Date on which this exemption was submitted.

November 18, 2024

Date on which the pre-review was completed for this protocol and a review type was assigned.

November 18, 2024

Date on which a determination or resolution was made regarding this exemption

November 19, 2024

What determination completed this review cycle?

Exempt

What is the next step for this submission?

Select the appropriate categories of exemption for this protocol

**Exempt 2: Educational tests, survey procedures, interview procedures, or observation of public behavior where the disclosure of responses outside the research would not place the participants at risk**

Date on which this exemption was requested closed or canceled by the research team.

**No date entered**

Date on which this exemption was closed or cancelled

**No date entered**

Was this protocol closed and completed, or was the project cancelled?

**Admin Comments regarding the Exempt review:**

Date on which this amendment was submitted

**February 12, 2025**

Date on which a determination was rendered regarding this amendment

**February 12, 2025**

What determination was rendered for this amendment?

**Approved - Expedited Minor Modification**

**Admin notes regarding this amendment review**

Date on which this amendment was submitted

**March 5, 2025**

Date on which a determination was rendered regarding this amendment

**March 5, 2025**

What determination was rendered for this amendment?

Approved - Expedited Minor Modification

**Admin notes regarding this amendment review**

Date on which this amendment was submitted

July 1, 2025

Date on which a determination was rendered regarding this amendment

July 1, 2025

What determination was rendered for this amendment?

Approved - Expedited Minor Modification

**Admin notes regarding this amendment review**

Date on which this amendment was submitted

September 2, 2025

Date on which a determination was rendered regarding this amendment

September 3, 2025

What determination was rendered for this amendment?

Approved - Expedited Minor Modification

**Admin notes regarding this amendment review**