UNIVERSITY OF OREGON

DATE: October 01, 2019 **IRB Protocol Number: 09262019.028**

TO: Kris Kyle, Principal Investigator
Department of Linguistics

RE: Protocol entitled, "A linguistic analysis of the communication demands in typical technology-mediated learning environments "

Notice of Review and Exempt Determination

The above protocol has been reviewed and determined to qualify for exemption. The research is approved to be conducted as described in the attached materials. Any change to this research will need to be assessed to ensure the study continues to qualify for exemption, therefore an amendment will need to be submitted for verification prior to initiating proposed changes.

For this research, the following determinations have been made:

- This study has been reviewed under the **2018 Common Rule (45 CFR 46)** and determined to qualify for exemption under **Title 45 CFR 46.104(d)(1).**

Approval period: October 01, 2019 - October 31, 2020

If you anticipate the research will continue beyond the approval period, you must submit a Progress Report at least 45-days in advance of the study expiration. **Without continued approval, the protocol will expire on October 31, 2020 and human subject research activities must cease.** A closure report must be submitted once human subject research activities are complete. Failure to maintain current approval or properly close the protocol constitutes non-compliance.

You are responsible for the conduct of this research and adhering to the Investigator Agreement as reiterated below. You must maintain oversight of all research personnel to ensure compliance with the approved protocol.

The University of Oregon and Research Compliance Services appreciate your commitment to the ethical and responsible conduct of research with human subjects.

Sincerely,

Chris Duy

Chris Duy
Research Compliance Administrator
Research Compliance Services

CC: Masaki Eguchi

UNIVERSITY OF OREGON

INVESTIGATOR AGREEMENT: Principal Investigator and Faculty Advisor Responsibilities

A. Conduct of the Research

1. I accept responsibility for the ethical conduct of this research and protection of participants as set forth in the Belmont Report, Declaration of Helsinki, the Nuremberg Code, the Common Rule, and the ethical principles of my discipline.
2. I accept responsibility for ensuring this research is conducted according to:
   (a) sound research design and methods;
   (b) the parameters of the Research Plan and activities described in these application materials;
   (c) the applicable terms of the grant, contract and/or signed funding agreements; and
   (d) applicable laws and regulations, including those for protecting the rights, safety, and welfare of human subjects.
3. I certify that I am or my faculty advisor is sufficiently qualified by education, training, and/or experience to assume responsibility for the proper conduct of this research. I accept responsibility for ensuring that members of this research team, including study staff and trainees, are appropriately qualified, trained and supervised.
4. I accept responsibility to personally conduct and/or directly supervise this research. I certify that I have sufficient time and resources to properly conduct and/or supervise this research.

B. Ensuring and Maintaining Compliance

1. I will comply with relevant regulatory and institutional requirements, including those relating to conflicts of interest, responsible conduct of research and research misconduct.
2. I understand it is my responsibility to ensure that any research personnel, including myself, responsible for the design, conduct, and reporting of research declare any potential conflicts of interests related to the research and to maintain current records. I will ensure changes in conflicts of interest are promptly disclosed to RCS.
3. I will ensure that prospective agreement and/or informed consent is obtained and a copy is provided to participants, when appropriate.
4. I will ensure all research activities are either determined exempt or have the necessary IRB approval prior to beginning human subject research activities. I will obtain confirmation of continued exemption or otherwise seek IRB approval for any amendments to this research.
5. I will conduct this research within the approved project period. I will submit a closure report form prior to the protocol expiration or within 45 days of completion of all activities involving human subjects or identifiable participant data. Alternatively, I agree to submit a progress report to request continued approval and extend the project period at least 45 days in advance of the expiration date.
6. I will maintain approval, as applicable, with collaborative entities including approvals from other countries or jurisdictions.
7. I will promptly report to RCS and/or the IRB (no later than seven days of discovery) any instances of noncompliance and any unanticipated problems.
8. I will assist in the facilitation of any monitoring and/or auditing of study activities and/or records as required by RCS, the IRB, funding entities, sponsors, and/or any federal and state regulatory agencies.

C. Investigator Records, Reports and Documentation

1. I will maintain research records, all protocol materials, and any other documents associated with this research (e.g., research plan, consent materials, and RCS and/or IRB correspondence).
2. I will maintain records for at least three years after this research ends, or for the length of time specified in applicable regulations or institutional or sponsor requirements, whichever is longer. I will take measures to prevent accidental or premature destruction of these records.
3. I will ensure the safe and secure storage of this research information (whether in paper or electronic formats) and will protect the confidentiality of the information in accordance with any provisions described in the protocol.
4. I will submit written reports to RCS and/or the IRB and permit inspection of the research records as required by RCS and/or the IRB.

Research Compliance Services
September 26, 2019
RECEIVED

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

Purpose: Some categories of minimal risk research qualify for exemption from the federal regulations and do not require additional oversight by the Institutional Review Board (IRB) or may only require limited IRB oversight; however, these studies do require review by Research Compliance Services (RCS) to determine their eligibility and the degree of IRB oversight. An exempt determination from RCS is required in order to conduct exempt human subject research at the University of Oregon. Use this form to request an exempt determination from RCS.

Instructions:

- **Initial requests:** Complete this form only after you have assessed (use self-assessment tool) that your study may qualify for exemption under one of the exemption categories.
- **Amendment requests:** To amend research previously determined exempt, complete this form only after you have assessed (use self-assessment tool) that your study may still qualify for exemption. Provide responses according to the amended research plans. If your study is no longer eligible for exemption, stop and prepare an Initial Review Application.

RCS will review and verify the exempt determination. If RCS determines the study does not qualify for exemption, you will need to prepare and submit a protocol using the Initial Review Application.

If you self-determine your study qualifies for exemption, complete this application and submit the items noted in the Submission Checklist at the end of the form to Research Compliance Services (RCS).

PART I: STUDY AND INVESTIGATOR INFORMATION

Study Title:	A linguistic analysis of the communication demands in typical technology-mediated learning environments		
Principal Investigator (PI) Name:	Kristopher Kyle	PI Department:	Linguistics
PI UO Email:	kkyle2@uoregon.edu	PI Telephone:	541-346-3808
Role at UO:	Faculty	If other, specify role:	

➢ A faculty advisor must be listed on all student protocols.

Faculty Advisor:		Faculty Advisor Department:	
Faculty Advisor UO Email:		Faculty Advisor Telephone:	

1. Exemption Verification Request (select one of the following):

☒ **INITIAL REVIEW REQUEST**

➢ **What are the anticipated project dates for beginning and ending human subjects research?**

Start (month and year): October 2019 End (month and year): October 2020

Research Compliance Services
10/01/2019 – 10/31/2020
"EXEMPT"

☐ **AMENDMENT REVIEW REQUEST**

UNIVERSITY OF OREGON

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UNIVERSITY OF OREGON

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UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

- **Describe the changes:**

- **Provide a rationale for the changes:**

- **Is the project end date changing?**

☐ Yes ☒ No | Revised End Date (month and year):

- For amendment requests, provide responses in the remainder of this form according to the amended research plans.

2. Research Personnel Form. All research personnel, including the Principal Investigator, Faculty Advisors, Co-Investigators, and Research Assistants, must be listed on the research personnel form.

☒ Research Personnel form attached.

3. Is this research funded or sponsored from an internal UO or external source?

☒ Yes ☐ No | If "yes," complete and attach a Funding and Sponsorship Form for each source of funding.

PART II: SCREENING

- Complete this section to identify study characteristics that do not qualify for exemption.

1. Below are specific characteristics that disqualify a study for exemption. Answer the following:

☐ Yes ☒ No	**(a)** Does this research involve the use of any drug, substances, or biologics?
☐ Yes ☒ No	**(b)** Does this research involve the use of an investigational medical device?
☐ Yes ☒ No	**(c)** Does this research involve the use of any ionizing radiation (X-ray, DEXA scan, etc.)?
☐ Yes ☒ No	**(d)** Does this research involve the use of genetic information and/or tests?
☐ Yes ☒ No	**(e)** Does this research propose to study prisoners as a targeted population? Note: If a participant becomes a prisoner, the study will no longer qualify for exemption.

2. In some circumstances, studies that otherwise qualify for exemption must undergo expedited or full board review by the IRB. These are typically due to additional, study specific circumstances. Answer the following to determine if your study is otherwise ineligible for exemption:

☐ Yes ☒ No	**(a)** Is there a state, federal or other applicable law (e.g., tribal or other international law) that prohibits an exemption determination?
☐ Yes ☒ No	**(b)** Does the agency funding your research or an agency with whom you are working prohibit an exemption determination and require that you have IRB approval?
☐ Yes ☒ No	**(c)** Any other study specific requirements that prohibit exemption (e.g., sponsor's requirements)?

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RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

✓ **If you answered "yes" to any of the questions above, stop completing this form and proceed with preparing an Initial Review Application.**

PART III: EXEMPT CATEGORY(IES) (§_.104)

➢ Based on the brief description and/or your completion of the self-assessment tool, select one or more of the categories below that appear to be applicable to your research. Then complete the Exempt Category Worksheet(s) as directed.

1. ☒ Research conducted in an established or commonly accepted educational setting that specifically involves normal educational practices. Complete Exempt Category 1 Worksheet.

2. ☐ Research that ONLY includes interactions involving:

(1) Educational tests (cognitive, diagnostic, aptitude, achievement), OR
(2) Survey procedures, OR
(3) Interview procedures, OR
(4) Observation of public behavior

Complete Exempt Category 2 Worksheet.

3. ☐ Research involving ONLY benign behavioral interventions in conjunction with the collection of information from an adult subject through verbal or written responses or audiovisual recording. Complete Exempt Category 3 Worksheet.

4. ☐ Secondary research using identifiable private information or identifiable biospecimens, collected for another purpose. Complete Exempt Category 4 Worksheet.

5. ☐ Research and demonstration projects conducted or supported by a Federal department or agency that is designed to study, evaluate, improve, or otherwise examine public benefit or service programs. Complete Exempt Category 5 Worksheet.

6. ☐ Taste and food quality evaluation and consumer acceptance studies. Complete Exempt Category 6 Worksheet.

7. — Storage or maintenance of identifiable private information or identifiable biospecimens for potential secondary research use for which *broad consent* is required.

NOTE: UO IRB does not plan to implement the broad consent option at this time. Limited exceptions may be considered. Please contact Research Compliance Services if you are interested in requesting an exception and having your research considered under this category.

8. ☐ Secondary research involving the use of identifiable private information or identifiable biospecimens for which *broad consent* was obtained.

NOTE: If you propose submitting a study for consideration under this exemption category, you must consult with RCS to obtain the category worksheet for submission due to the additional consent provisions and tracking requirements.

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COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

✓ **If you were unable to identify an applicable exemption category and/or the worksheet(s) leads you to determine the study does not qualify for exemption, stop completing this form and proceed with preparing an Initial Review Application.**

PART IV: RESEARCH DESIGN AND METHODS

➢ Attach a research plan to this application detailing the information solicited below or provide responses to the following questions. *Check either 1 or 2 below.*

1. ☒ Research plan attached, skip to Part V

– OR -

2. ☐ No research plan attached, answer the following questions.

a. Provide an overview of your research design and methods.

b. Describe your study population including estimated number and age range of participants.

PART V: INFORMED CONSENT

➢ Obtaining the informed consent of potential participants is ethically important in the responsible conduct of research. While the informed consent process for exempt research does not need to include all elements of informed consent in the Common Rule regulations, researchers should employ a consent process when interacting with participants.

➢ Researchers are strongly encouraged to continuing using the informed consent guidance and template.

➢ At minimum, the informed consent process needs to include disclosure of the following to participants:

- o That the activity involves research.
- o A description of the procedures.
- o That participation is voluntary.
- o Name and contact information for the Researcher.

1. Does the research involve interaction with participants?

☒ Yes ☐ No

If "yes," the research design must include an informed consent process or provide justification for not obtaining informed consent from participants.

☒ Research plan is attached and includes a description of the informed consent process or justification for not obtaining informed consent

– OR -

☐ Describe the informed consent process or provide justification for not obtaining informed consent from participants below:

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

2. If conducting an informed consent process, provide a copy of the informed consent form and/or script.

☒ Informed Consent Form/Script attached.

☐ n/a - not conducting informed consent

3. Does this research involve the use of Protected Health Information (PHI)?

☐ Yes ☒ No | If "yes," Attach Appendix D – HIPAA.

PART VI: OTHER INSTITUTIONS, PERFORMANCE SITES, AND NON-UO RESEARCH PERSONNEL

- Instructions: Complete all required fields to prepare this form for submission to RCS. Upload attachments as prompted. If you have multiple files, these will need to be bundled into a single file before being uploaded.
- See our website for additional guidance on Collaborative Research.

1. Will individuals from outside of the UO (e.g., other universities, hospitals, etc.) be engaged in this research?

☐ Yes ☒ No

- If yes, one of the following agreements/approvals is necessary to provide oversight for their involvement with the research:
  - If any individual is acting independent of an institution with an IRB or their institution is not required to have an IRB, an Individual Investigator Agreement for the individual will need to be executed.
  - If any individual is acting as an agent of an institution with an IRB, either IRB approval or an IRB Authorization Agreement (IAA) will need to be requested. To request an IAA be considered, submit an IRB Institutional Authorization Agreement Request Form.

Name all individuals acting independent of any site/organization:

- These individuals will need to complete the Individual Investigator Agreement (IIA).

Attach any IRB approvals and/or executed IRB collaborative agreements.

Name all individuals acting as an agent of another site/organization with an IRB. Indicate whether the IRB will conduct their own review or enter into a collaborative agreement:

Attach any IRB approvals and/or executed IRB collaborative agreements.

Name all individuals acting as an agent of another site/organization without an IRB:

- These individuals will need to complete the Individual Investigator Agreement (IIA).

Attach any IRB approvals and/or executed IRB collaborative agreements.

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

2. Will research activities occur at other site(s)/organization(s) other than UO (e.g., public schools, tribes, non-profit organizations, companies, etc.)?

☐ Yes ☒ No

- If another institution is engaged in this research and it has an IRB, approval must be obtained from that institution's IRB. Otherwise, an IRB Authorization Agreement must be executed to defer IRB oversight to one of the participating institution's IRB. To request a deferral, submit an IRB Institutional Authorization Agreement Request Form for review.
- *If a site/organization does not have an IRB, the site/organization may need grant permission to conduct the research.*
- Documentation of IRB determinations and Authorization Agreements must be in place prior to engaging in associated human subject research activities.

List all sites and describe the status of any required approvals:

- See our website for additional guidance on documentation requirements for permissions and approvals.

Attach any IRB approvals and/or executed IRB collaborative agreements.

3. Does this research involve activities outside of the United States?

☐ Yes ☒ No

If yes, list the country(ies) below and indicate the status of permissions.

Are there additional requirements that apply to research conducted in the listed country(ies)? (e.g., European Union and the General Data Protection Regulations)

- See our website for additional guidance on documentation requirements for permissions and approvals.

☐ Yes, there are additional requirements that apply

If yes, describe and discuss how these are addressed for the proposed research and include any approval documentation.

☐ No, there are no additional requirements that apply

If no permission required, explain.

4. Does this research require permission from an internal UO department or service (e.g., Registrar's Office, Campus ListServ, etc.)?

☐ Yes ☒ No

If yes, list the departments and include applicable documentation of permission. If permission is pending or no permission is required, explain.

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION

PART VII: ADDITIONAL MATERIALS

1. Will this research involve recruiting subjects from a University of Oregon Human Subject Pool(s) (e.g. psychology/linguistics, marketing, or SOJC pools)?

☐ Yes ☒ No	If yes, list the subject pool that will be used below.

NOTE: Be sure you are familiar with requirements of the pool (e.g., the pools require specific standardized consent language). Ensure you have developed debriefing materials and obtained clearance from the pool coordinator when debriefing is required.

2. Does this research involve procedures, materials, and/or a lab space that requires UO Environmental Health and Safety (EHS) oversight or inspection?

☐ Yes ☒ No	If "yes," attach relevant clearance or approval documentation (e.g., biosafety committee approval, radiation safety committee approval, etc.).

3. Will this research include obtaining, accessing, or using data from outside sources, e.g., universities, data repositories, government agencies, etc.?

☐ Yes ☒ No	If "yes," name the source(s) below and answer questions "a" and "b" below. If "no," move to Part VII.	
Name of outside source(s):		
	☐ Yes ☐ No	**(a)** Are there terms, restrictions, or conditions regarding the data?
	If "yes," describe:	
	☐ Yes ☐ No	**(b)** If "yes," include a copy of the agreement in this submission and contact Innovation Partnership Services at techtran@uoregon.edu to ensure appropriate institutional approval is obtained to enter into the agreement.

PART VIII: CLINICAL TRIALS

- **Does the research meet the definition of clinical trial under NIH or other sponsor requirements and/or FDA, or 2018 HHS regulations?**

☐ Yes ☒ No	If "yes," the principal investigator is responsible for ensuring the additional requirements related to conduct of clinical trials are met:

- All individuals involved in the design, conduct, oversight, and management of the clinical trial must complete Good Clinical Practice (GCP) training. Current training dates need to be listed in the Research Personnel Form.
- For NIH sponsored research that meets the definition of clinical trial, research must be registered with and any results submitted to clinicaltrials.gov per program requirements. This may be required by other sponsors or federal agencies.

Research Compliance Services
10/01/2019 – 10/31/2020
"EXEMPT"

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
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EXEMPT DETERMINATION APPLICATION

- For non-exempt research reviewed under the 2018 Revised Common Rule, the informed consent form must be posted to a federal website after the study is closed to recruitment and no later than 60 days after the last study visit by any subject.

See the RCS Clinical Trials page for more information and guidance.

PART IX: HUMAN SUBJECTS CONFLICT OF INTEREST

- *It is the responsibility of the Principal Investigator (PI) to ensure that any research personnel, including the PI,* ***responsible for the design, conduct, and reporting*** *of research complete the Human Subjects Conflict of Interest (COI) form.*
- *The PI must keep completed copies of all Human Subject COI forms for their records.*
- *The PI must submit with this application Human Subject COI forms only for those individuals who have identified a real, perceived, or potential conflict of interest on their form.*

☐	Yes, conflicts are identified and Human Subject COI form(s) are attached for the following individuals:
☒	No conflicts are identified. Keep a copy of COI form(s) for your records, but do not submit with the application.

[Remainder of page intentionally left blank; acknowledgements and signature page to follow.]

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

INVESTIGATOR AND FACULTY ADVISOR AGREEMENTS / PRINCIPAL INVESTIGATOR RESPONSIBILITIES

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INVESTIGATOR AND FACULTY ADVISOR AGREEMENTS / PRINCIPAL INVESTIGATOR RESPONSIBILITIES

- By signing below, the Principal Investigator attests to having read and agrees to uphold the responsibilities and duties as outlined above. In addition, the materials provided in support of this application are an accurate reflection of the proposed research.

Kristopher Kyle	9/25/2019
Principal Investigator Signature	**Date**

- Electronic signatures acceptable. The name of the Principal Investigator may be typed in the signature line.
- If the person emailing this application is not the Principal Investigator, the Principal Investigator must be copied on this application submission.

REQUIRED FOR STUDENT RESEARCH

- By signing below, the Faculty Advisor attests he/she has read and approves the attached protocol submitted for review. In addition, he/she agrees to provide appropriate education and supervision of the student investigator, and share the Principal Investigator responsibilities as stated above.

Click here to type name or insert electronic signature.	Click here to enter date.
Faculty Advisor Signature	**Date**

- Electronic signatures acceptable. The name of the Faculty Advisor may be typed in the signature line.
- If the person emailing this application is not the Faculty Advisor, **the Faculty Advisor must be copied on this application submission and all subsequent correspondence.**

UNIVERSITY OF OREGON

COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT DETERMINATION APPLICATION CHECKLIST

Instructions: Use this checklist to identify all items necessary to compile a complete exempt determination submission. Submit all materials identified below to ResearchCompliance@uoregon.edu. Contact Research Compliance Services (RCS) by email or phone (541-346-2510) with any questions.

NOTE: Save this form for the life of the study as it can be updated for future amendment submissions related to the study.

- **If submitting all materials in one document, order the materials as listed below.**
- **For amendments, supplemental materials should be submitted with changes clearly delineated using tracked changes or highlighting.**

Incl.	n/a	Items
Required for Submission:		
☒	—	Exempt Determination Application, completed and signed by the Principal Investigator and, if applicable, the Faculty Advisor
☒	—	Exempt Category Worksheet(s), completed by the Principal Investigator
☒	—	Research Personnel Form and solicited applicable training documentation
☐	☒	Human Subject Conflict of Interest (COI) Form (**only for those individuals with a potential conflict identified on the form**)
☒	☐	Funding and Sponsorship Form with the human subject portion of the grant proposal (**only if the study is supported by an award**)
☒	☐	Informed Consent/Assent Materials (**only when interacting with participants**)
☐	☒	Appendix D - HIPAA (**if accessing individually identifiable Protected Health Information for research purposes**)
☐	☒	HIPAA Authorization Form (**if accessing individually identifiable Protected Health Information for research purposes**)
☐	☒	Permissions, support letters, and approval documentation as identified in Part IV of this application
☐	☒	Clearance or approval documentation from applicable UO Environmental Health and Safety oversight/inspection
Optional for submission, but strongly encouraged:		
☒	☐	A Research Plan and applicable appendices (grant applications or excerpts from a grant will NOT be accepted as a Research Plan)
☒	☐	Data Collection Materials (questionnaires, surveys, data collection forms, focus group/interview scripts, etc.)
The following are items that the investigator should develop as part of conducting ethical research. These items *do not* need to be submitted to RCS with the application but should be maintained as part of the research records and study administration materials.		
☐	☒	Recruitment Materials: Emails, letters, scripts, flyers, posters, brochures, etc.
☐	☒	Debriefing Materials
☐	☐	Release Form for Translators and Transcribers
☐	☒	Data Safety Monitoring Plan
☐	☒	Data Use Agreement(s)

Suggestions and Tips:

- **Research Plan:** It is expected that a researcher will have developed and will follow a detailed Research Plan. It is recommended that researchers use RCS' Research Plan Guidance document to assist with developing a plan. While not required, researchers are strongly encouraged to submit a Research Plan with this application to assist with the review of the proposed study activities. Having a well-developed Research Plan will assist the investigator when working through this form and answering the targeted questions and will assist RCS' verification of the exempt determination. Additionally, if the proposed research does not qualify for exemption, IRB review is necessary and a Research Plan will be required for submission.
- **Data/Information Collection Materials:** It is strongly encouraged that a researcher has developed data/information collection materials and assessments (if possible) when developing a research plan and when working through this form. Researchers are strongly encouraged to submit data/information collection materials and assessments (questionnaires, surveys, data collection forms, interview guides/scripts, etc.) to assist RCS' verification of the exempt determination. Additionally, if the proposed research does not qualify for exemption, IRB review is necessary and all data/information collection materials will be required for submission.

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COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

EXEMPT CATEGORY 1

RESEARCH CONDUCTED IN ESTABLISHED OR COMMONLY ACCEPTED EDUCATIONAL SETTINGS

1. Is the research being conducted in an established or commonly accepted educational setting?	
☒ Yes	Describe the educational setting: Undergraduate University Courses
☐ No	This research does not qualify for exemption under this category.
2. Does the research involve only normal educational practices?	
☒ Yes	Describe the educational practice(s): Assigning and completing assignments in technology-mediated learning environments
☐ No	This research does not qualify for exemption under this category.
3. Is the research on these educational practices NOT likely to adversely impact students' opportunity to learn required educational content?	
☒ Yes	Explain: There are no interventions. We are collecting materials encountered and produced in technology-mediated learning environments.
☐ No	This research does not qualify for exemption under this category.
4. Is the research on these educational practices NOT likely to adversely impact the assessment of educators who provide instruction?	
☒ Yes	Explain: We are only collecting materials that are used in technology-mediated learning environments. No assessment is involved.
☐ No	This research does not qualify for exemption under this category.

✓ If you answered 'yes' to ALL of the questions above, your project likely qualifies for exemption:
- Complete any additional category worksheets applicable to your research;
- Proceed with completing Parts III-VI of the Exempt Application Form;
- Submit the items noted in the Submission Checklist at the end of the form to Research Compliance Services (RCS). RCS will review and verify the exempt determination;
- If RCS determines the study does not qualify for exemption, you will need to prepare and submit a protocol using the Initial Review Application.

✓ If you answered 'no' to any of the questions above, this research is not exempt under this category. Return to the screening form to identify alternative categories for exemption. If you conclude that no categories are applicable to your research, your study is not eligible for exemption. Proceed with preparing an Initial Review Application.

A	B	C	D	E	F	G	H	I	J	K
Note: When amending this form, highlight any changes (e.g., adding a new researcher, change in research role) **Name** (Last Name, First Name)	**Email**	**Institutional Affiliation** (Name of the researcher's home institution If not affiliated with an institution, indicate "N/A")	**If not affiliated with UO, does home institution have an IRB?** (Yes/No or N/A)	**Research Role/Title** (limited to those listed in the drop-down list)	**Human Subjects Training Date**	**Responsible for Design, Conduct, or Reporting?** (Yes/No)	**Interact with Participants and/or Identifiable Participant Data?** (Yes/No)	**Include on General Corresp.?** (Yes/No)	**Brief Description of Research Responsibilities (e.g., research design, data analysis, data collection, etc.)**	**Additional Relevant Training (e.g., translator qualifications, blood borne pathogens, fMRI, first aid/CPR, specific methodology, etc.) include short description, training dates and expiration date, if any** (if none, indicate "N/A")
Kyle, Kristopher	kkyle2@uoregon.edu	University of Oregon		Principal Investigator	09/25/19	**Yes**	Yes	**Yes**	Design study, collect data, anonymize data, analyze data	n/a
Eguchi, Masaki	masakie@uoregon.edu	University of Oregon		Research Assistant	09/25/19	No	**No**	No	Oversee transcription and annotation of anonymized data	n/a

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COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

FUNDING AND SPONSORSHIP FORM

Purpose: This form is designed to help facilitate review of protocols that are funded or sponsored by any source (external or internal).

Instructions: Use this form when a study involving human subjects is funded/sponsored or an application for funding/sponsoring is in process.

If applicable, include a copy of the grant proposal(s) methodology portion specific to human subjects research.

- NIH Clinical Trial Reminder: If the research project is considered a clinical trial, the project needs to be registered on (http://ClinicalTrials.gov). If you have questions regarding whether the project is considered a clinical trial and is required to be registered, please contact your program officer at NIH.

Save this form to your computer before proceeding.

PART I: STUDY AND INVESTIGATOR INFORMATION			
Principal Investigator (PI):	Kristopher Kyle	Today's Date:	9/25/2019
Faculty Advisor		Protocol number:	
Study Title:	A linguistic analysis of the communication demands in typical technology-mediated learning environments		

PART II: FUNDING AND SPONSORSHIP		
1. Has this research received Approval-in-Principle from RCS?		
☐ Yes ☒ No	If "yes", list protocol number:	
2. Is or will the funds or sponsorship be from an internal UO source (UO department, Summer Fellowship, other)?		
☐ Yes ☒ No	If "yes", provide the following:	
	Source name:	
	Source grant number:	
3. Is or will the funds or sponsorship be from an external source (federal agency, NIH, NSF, non-profit, other)?		
☒ Yes ☐ No	If "yes", provide the following:	
	Source name:	Educational Testing Service
	Source grant/contract number:	28260 (this is the UO contract number with ETS)
	Title of grant (if different from above):	
	Principal Investigator listed on the funding/sponsorship application:	Kristopher Kyle

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COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS
RESEARCH COMPLIANCE SERVICES

FUNDING AND SPONSORSHIP FORM

4. Will Sponsored Project Services (SPS) oversee the distribution of the funds?

☒ Yes ☐ No If "Yes", provide the following:

E-PCS number (submission number to SPS):	28260
UO grant number (if known):	

5. Is UO the primary awardee for the funding/sponsorship?

☒ Yes ☐ No If "No", list primary awardee:

6. Are there subcontracts to institutions also participating in the human subjects research?

☐ Yes ☒ No If "Yes", list sub-contractors:

7. Does the study sponsor have any requirements or additional stipulations regarding IRB review (e.g., NIH requires single IRB review for some domestic, multi-site research studies conducting the same protocol)?

☐ Yes ☒ No If "Yes", please explain in the textbox below:

8. Does the study sponsor have any additional review and approval requirements or additional stipulations regarding human subject research (e.g., Department of Defense requires agency review of any sponsored research involving human subjects)?

☐ Yes ☒ No If "yes", please explain in the textbox below and provide a link to any agency specific policy(ies):

9. Are there any human subjects activities described in the funding/sponsorship that are not part of this IRB application?

☒ Yes ☐ No If "yes", please explain in the textbox below:

This research was started at a previous institution. The first phase of the research project included a large survey and a number of research assistants. This phase has been completed, and now I am only collecting the last bits of data and then transcribing, annotating, and analyzing the data.

10. Are there human subjects activities described as part of this protocol that are not covered under the funding/sponsorship?

☐ Yes ☒ No If "yes", please explain in text box below:

Research Plan

IMPORTANT: When completing this outline, please use the **Research Plan Guidance** for the content necessary to develop a comprehensive yet succinct Research Plan. Using the guidance to complete this outline will help facilitate timely IRB review.

Study Title: A linguistic analysis of the communication demands in typical technology-mediated learning environments

Protocol Number: TBD

Principal Investigator: Kristopher Kyle

A. Introduction and Background

An important aspect of a validity argument for a language assessment tool is a demonstrated alignment between the linguistic demands of the target language use domain and the assessment tasks (Chapelle, Enright, & Jamieson, 2011). Corpus linguistic analyses are well suited to generate such evidence (Biber et al., 2004), provided appropriate corpora (large collections of electronic texts) exist. A number of corpora exist that represent various types of language that university students encounter and/or produce in traditional academic settings (e.g., Alsop & Nesi, 2009; Biber et al., 2004; Römer & O'Donnell, 2011). Increasingly, however, a typical university experience may be supported with technology mediated learning environments (TMLEs) (Jacoby, 2014; Means, Toyama, Murphy, & Baki, 2013), which are not represented in extant academic corpora. The proposed project seeks to address this gap in two stages. First, a corpus of the typical texts that are encountered and produced in TMLEs will be collected. Second, linguistic analyses will be conducted to explore the linguistic features of TMLE, both across registers within the corpus and in relation to extant academic corpora comprised of more traditional registers. The main outcomes of the project include the addition of a large, balanced corpus of TMLE texts to existing resources and an in-depth report of the linguistic demands of typical TMLEs, including how these demands compare with more traditional university learning environments.

B. Specific Aims/Study Objectives

The research questions are as follows:

1. What are the linguistic features of technology-mediated learning environments that are encountered and produced?
2. How (dis)similar are the linguistic features of technology-mediated learning environments and more traditional registers?

This study is new in nature, and therefore there are no clear-cut hypothesis. We would expect that there will be some differences in the linguistic features across TMLEs and more traditional learning environments, but it is not clear how big these differences are. If we find that the differences are minimal, then current high stakes academic language proficiency tests (like the TOEFL) are likely still aligned with the demands of the American university. If major differences are observed, then high stakes academic language proficiency tests (such as the TOEFL) will need to be revised to reflect the changing nature of educational environments at American universities.

C. Methods, Materials and Analysis

To address the research questions representative TMLE texts will be collected. These collected texts will be analyzed linguistically and compared to previous corpora of university language. These processes are described in more detail below.

Study context and participants

The study context is TMLEs in American undergraduate education. Participants include individuals that teach courses that include TMLEs (i.e., online and blended courses) and the students of those courses. TMLE texts are defined as texts facilitated or conducted within a course management system or similar technology and in which learners take an active role.

This does not include texts comprehensively represented in prominent academic corpora such as T2KSWAL and MiCUSP (e.g., final papers, book chapters, articles) that may be transmitted electronically, but does include resources such as discussion board posts, blogs, wikis, online tutorials, slide shows, videos, and emails among others (e.g., Means et al., 2013; Golonka, Bowles, Frank, Richardson, & Freynik, 2014).

Instruments to be used

During the final stage of the project, in-house text analysis scripts and the Tool for the Analysis of Syntactic Sophistication and Complexity (TAASSC; Kyle, 2016) will be used to analyze the linguistic features of collected texts.

Data collection procedures

Data collection will include the collection of the corpus (see below for more details).

Corpus collection and compilation. The corpus will be collected from online and blended courses offered by public universities (such as the University of Oregon), and publicly available data from massive online open courses (MOOCs). Table 2 includes a preliminary outline of the corpus composition. Texts will be collected across 7 educational domains. Six of these are included in the T2K-SWAL corpus and the 7th (general education) represents courses that must be taken by all students, typically during the first two years. Data collection will begin during the Fall term of 2019 and continue through the Spring Semester of 2020. Prior to the start of each semester, instructors of courses in each field of study will be recruited for participation in the study via email. In the first week of class, student participants will be recruited in each of the participant instructors' class(es) via email. Data will be collected from the participants during the 5th, 10th and 15th weeks of the semesters (or the third, sixth, and ninth week of a quarter). All corpus texts will be anonymized, and corpus texts will be formatted as TEI-compliant XML. Each text will include metadata such as register, field of study, and university characteristics. All data will be uploaded to a central, secure location approved by IRB.

Table 2
Preliminary corpus collection goals (expressed in number of words)

	Receptive			Productive		
	Course materials	Videos	Online discussions	Wikis and blog posts	Non-traditional final projects	Total
General Education	150,000	100,000	150,000	150,000	150,000	700,000
Business	150,000	100,000	150,000	150,000	150,000	700,000
Education	150,000	100,000	150,000	150,000	150,000	700,000
Engineering	150,000	100,000	150,000	150,000	150,000	700,000
Humanities	150,000	100,000	150,000	150,000	150,000	700,000
Natural Science	150,000	100,000	150,000	150,000	150,000	700,000
Social Science	150,000	100,000	150,000	150,000	150,000	700,000
Total	**1,050,000**	**700,000**	**1,050,000**	**1,050,000**	**1,050,000**	**4,900,000**

Identification of coding variables

A number of methods have been employed to analyze academic language (Biber et al., 2004; Hyland, 2009; Kyle & Crossley, in press). In order to allow for comparisons between the newly collected data and previous research (e.g., Biber et al., 2004; Biber et al., 2014; LaFlair & Staples, 2017), the 80 word-level grammatical, functional, and semantic features and the 35 lexico-grammatical patterns outlined in Biber et al. (2004) will be analyzed using automatic natural language processing tools[1]. N-gram analyses will also be conducted using 2-4 word sequences (Biber et al., 2004 refer to 4-words sequences as "lexical bundles"). Additionally, fine-grained linguistic analyses related to noun-phrase and clausal complexity will be conducted using TAASSC (Kyle, 2016). Finally, verb argument construction use will be analyzed using an in-development tool related to TAASSC. Table 3 provides a summary of the linguistic features to be investigated.

[1] Biber et al. (2004) investigated 159 features related to words, lexico-grammatical features, and lexical bundles. The numbers listed here represent the indices that are independent of the T2K-SWAL corpus.

Table 3
Linguistic features to be analyzed

Source of Index:	Biber et al. (2004)	TAASSC	Other	Total
Lexical features	80			80
N-gram features	1		2	4
Lexico-grammatical features	35			35
Verb argument construction features		3		3
Clausal complexity features		31		31
Phrasal complexity features		132		132
Total	116	166	3	**285**

Analyses to be conducted

Linguistic analysis. Following previous prominent studies (e.g., Biber et al., 2004), we will conduct a multidimensional analysis (MDA) to analyze the linguistic characteristics of TMLE across the corpus collected for this project (including all requisite preliminary analyses such as controlling for multicollinearity). Additionally, MDA will be used to compare the linguistic characteristics of the TMLE corpus with the linguistic characteristics of traditional university contexts (i.e., T2K-SWAL and MiCUSP). Follow-up classification predictor models (e.g., discriminant function analysis, logistic regression) will also be conducted as a measure of the magnitude of differences between text categories (e.g., Crossley, Kyle, & McNamara, 2016).

D. Research Population & Recruitment Methods

The research population consists of adults who are instructors or students in public universities. Instructors will be contacted via publicly available email addresses and will be asked to participate and to forward the recruitment email to their students. Participants will upload files via an online system. Participants in the project will receive a $10 Amazon or Starbucks gift card for participating in the project.

E. Informed Consent Process

Informed consent will be obtained electronically. Participants will be recruited via email. The email will contain general information about the project as well as links to more specific information about the project (including IRB letters, research goals and procedures, etc). If participants preliminarily decide to participate, they will follow a link to a web-based data collection page. The landing page includes the letter of informed consent. In order to participate in the study, they indicate that they consent to participate. Participants will see the informed consent letter each time they choose to upload documents to the webpage. After consent, participants will choose which documents to provide the research team and will also choose the time in which they decide to provide those documents. All data collection procedures will be electronic, and contact information for the PI will be available in case any questions regarding participation arise.

F. Provisions for Participant Privacy and Data Confidentiality

The PI and the research assistant will have a key that links an identifier number with first name, last name, course name, and institution. This will be kept in an encrypted, password protected file with the sole purpose of keeping a record of consent, dissemination of gift cards, and organization of data during collection. No one else will have access to the participants' names after the initial data collection and de-identification procedures.

G. Potential Research Risks or Discomforts to Participants

There are minimal potential risks and/or discomfort connected with participation in this study. The main potential risk is information risk (loss of privacy). Participants are asked to submit documents that they created (in some cases, graded course assignments). If unanonymized metadata was released, these documents could be linked back to participants. This risk is mitigated by the data management plan (outlined above).

H. Potential Benefits of the Research

The research has the potential to benefit both academia more generally and international students more acutely. The findings of this study will inform the revision of gatekeeping, high stakes language proficiency tests. Such revisions, if necessary, will help to maintain a valid link between test outcomes and student performance.

I. Investigator Experience

The PI has a PhD in Applied Linguistics from Georgia State University, and has three years of experience as an assistant professor. Their dissertation and PhD training is in corpus linguistics and corpus linguistic analysis. They have also released a number of linguistic analysis tools and have published over twenty journal articles related to corpus linguistics and corpus analysis. The PI will handle the data collection and will oversee the subsequent analysis.

The research assistant is a PhD student in linguistics. They have extensive training in statistical methods and in corpus collection and corpus analysis. The research assistant will help anonymize the data and will assist in performing the linguistic and statistical analyses.

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Consent for Research Participation

Title:	A linguistic analysis of the communication demands in typical technology-mediated learning environments
Sponsor:	Educational Testing Service
Researcher(s):	Kristopher Kyle, University of Oregon
Researcher Contact Info:	541-346-3808 Kkyle2@uoregon.edu

You are being asked to participate in a research study. The box below highlights key information about this research for you to consider when making a decision whether or not to participate. Carefully consider this information and the more detailed information provided below the box. Please ask questions about any of the information you do not understand before you decide whether to participate.

Key Information for You to Consider

- **Voluntary Consent**. You are being asked to volunteer for a research study. It is up to you whether you choose to participate or not. There will be no penalty or loss of benefits to which you are otherwise entitled if you choose not to participate or discontinue participation.
- **Purpose**. The purpose of this research is to determine the degree to which the type(s) of language that is commonly used in technology mediated learning environments such as Canvas, Laulima, iCollege, and Google Classroom is similar to/different from the language commonly used in traditional classrooms. This research will help inform the development of academic English proficiency assessment tools.
- **Duration.** It is expected that your participation will last 10-15 minutes.
- **Procedures and Activities.** If you are a student and decide to take part in this study, you will be asked to submit texts (i.e., assignments) that you produce in technology mediated learning environments such as Canvas, Laulima, iCollege, and Google Classroom via an online interface. You will decide which texts you would like to include. If you are an instructor and decide to take part in this study, you will be asked to submit texts that you use for pedagogical purposes (e.g., videos, assignment instructions, etc.) in mediated learning environments such as Canvas, Laulima, iCollege, and Google Classroom and texts (i.e., responses to student blog posts) that you produce in these environments via an online interface. You will decide which texts you would like to include.
- **Risks.** I believe there is little risk to you in participating in this research project. You may stop participating at any time.
- **Benefits**. There will be no direct benefit to you for participating in this study (though see below for details about compensation). The results of this project may help improve the validity of high-stakes academic English proficiency assessment tools.
- **Alternatives.** Participation is voluntary and the only alternative is to not participate.

What happens to the information collected for this research?

Information collected for this research will be anonymized and used to investigate the linguistic demands of participating in technology mediated learning environments at American universities. We may publish/present the results of this research. However, we will keep your name and other identifying information confidential.

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No individual identifiers will be shared with anyone outside of the research team.

How will my privacy and data confidentiality be protected?
We will take measures to protect your privacy including anonymizing the data you submit so that your name cannot be directly linked to your documents. Despite taking steps to protect your privacy, we can never fully guarantee your privacy will be protected.
We will take measures to protect the security of all your personal information including anonymizing the data you submit so that your name cannot be directly linked to your documents. Despite these precautions to protect the confidentiality of your information, we can never fully guarantee confidentiality of all study information.
Individuals and organization that conduct or monitor this research may be permitted access to and inspect the research records. This may include access to your private information and the documents you submit. These individuals and organizations include: The Institutional Review Board (IRB) that reviewed this research.

What if I want to stop participating in this research?
Taking part in this research study is your decision. Your participation in this study is voluntary. You do not have to take part in this study, but if you do, you can stop at any time. You have the right to choose not to participate in any study activity or completely withdraw from continued participation at any point in this study without penalty or loss of benefits to which you are otherwise entitled. Your decision whether or not to participate will not affect your relationship with the researchers or the University of Oregon.

Will I be paid for participating in this research?
If you participate in the project by submitting five documents, you will earn a $10 gift card to Amazon or Starbucks (you can choose which).

Who can answer my questions about this research?
If you have questions, concerns, or have experienced a research related injury, contact the research team at:

Kristopher Kyle
541-346-3808
Kkyle2@uoregon.edu

An Institutional Review Board ("IRB") is overseeing this research. An IRB is a group of people who perform independent review of research studies to ensure the rights and welfare of participants are protected. UO Research Compliance Services is the office that supports the IRB. If you have questions about your rights or wish to speak with someone other than the research team, you may contact:

Research Compliance Services
5237 University of Oregon
Eugene, OR 97403-5237
(541) 346-2510

STATEMENT OF CONSENT

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I have had the opportunity to read and consider the information in this form. I have asked any questions necessary to make a decision about my participation. I understand that I can ask additional questions throughout my participation.
I understand that by clicking the link below, I volunteer to participate in this research. I understand that I am not waiving any legal rights. I have been provided with a copy of this consent form. I understand that if my ability to consent or assent for myself changes, either I or my legal representative may be asked to re-consent prior to my continued participation in this study.
I consent to participate in this study.