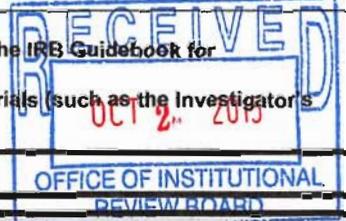


OKW

In MS Word, click in the white boxes and type your text; double-click checkboxes to check/uncheck.

- Federal regulations require IRB approval before implementing proposed changes. See Section 14 of the IRB Guidebook for Investigators for additional information.
- Change means any change, in content or form, to the protocol, consent form, or any supportive materials (such as the Investigator's Brochure, questionnaires, surveys, advertisements, etc.). See Item 4 for more examples.



1. Today's Date	9/29/15	17161
------------------------	---------	-------

2. Principal Investigator (PI)			
Name (with degree)	Talha Malik, MD	Blazer ID	Tmalik
Department	Medicine	Division (if applicable)	GI
Office Address	BDB 391	Office Phone	4-4232
E-mail	tmalik@uab.edu	Fax Number	996-5594
Contact person who should receive copies of IRB correspondence (Optional)			
Name	Victoria Gunter	E-Mail	vgunter@uab.edu
Phone	975-9574	Fax Number	996-5594
Office Address (if different from PI)	BDB 817		

3. UAB IRB Protocol Identification	
3.a. Protocol Number	X081224003
3.b. Protocol Title	Characteristics, Complications, Prognostic Predictors, Treatment and Outcome of all Patients with IBD seen at UAB
3.c. Current Status of Protocol—Check ONE box at left; provide numbers and dates where applicable	
<input type="checkbox"/>	Study has not yet begun No participants, data, or specimens have been entered.
<input checked="" type="checkbox"/>	In progress, open to accrual Number of participants, data, or specimens entered: 1225
<input type="checkbox"/>	Enrollment temporarily suspended by sponsor
<input type="checkbox"/>	Closed to accrual, but procedures continue as defined in the protocol (therapy, intervention, follow-up visits, etc.)
	Date closed: _____ Number of participants receiving interventions: _____
	Number of participants in long-term follow-up only: _____
<input type="checkbox"/>	Closed to accrual, and only data analysis continues
	Date closed: _____ Total number of participants entered: _____

4. Types of Change	
Check all types of change that apply, and describe the changes in Item 5.c. or 5.d. as applicable. To help avoid delay in IRB review, please ensure that you provide the required materials and/or information for each type of change checked.	
<input type="checkbox"/>	Protocol revision (change in the IRB-approved protocol) In Item 5.c., if applicable, provide sponsor's protocol version number, amendment number, update number, etc.
<input type="checkbox"/>	Protocol amendment (addition to the IRB-approved protocol) In Item 5.c., if applicable, provide funding application document from sponsor, as well as sponsor's protocol version number, amendment number, update number, etc.
<input checked="" type="checkbox"/>	Add or remove personnel In Item 5.c., include name, title/degree, department/division, institutional affiliation, and role(s) in research, and address whether new personnel have any conflict of interest. See "Change in Principal Investigator" in the IRB Guidebook if the principal investigator is being changed.
<input type="checkbox"/>	Add graduate student(s) or postdoctoral fellow(s) working toward thesis, dissertation, or publication In Item 5.c., (a) identify these individuals by name; (b) provide the working title of the thesis, dissertation, or publication; and (c) indicate whether or not the student's analysis differs in any way from the purpose of the research described in the IRB-approved HSP (e.g., a secondary analysis of data obtained under this HSP).
<input type="checkbox"/>	Change in source of funding; change or add funding In Item 5.c., describe the change or addition in detail, include the applicable OSP proposal number(s), and provide a copy of the application as funded (or as submitted to the sponsor if pending). Note that some changes in funding may require a new IRB application.

<input type="checkbox"/>	Add or remove performance sites In Item 5.c., identify the site and location, and describe the research-related procedures performed there. If adding site(s), attach notification of permission or IRB approval to perform research there. Also include copy of subcontract, if applicable. If this protocol includes acting as the Coordinating Center for a study, attach IRB approval from any non-UAB site added.
<input type="checkbox"/>	Add or change a genetic component or storage of samples and/or data component—this could include data submissions for Genome-Wide Association Studies (GWAS) To assist you in revising or preparing your submission, please see the <u>IRB Guidebook for Investigators</u> or call the IRB office at 934-3789.
<input type="checkbox"/>	Suspend, re-open, or permanently close protocol to accrual of individuals, data, or samples (IRB approval to remain active) In Item 5.c., indicate the action, provide applicable dates and reasons for action; attach supporting documentation.
<input type="checkbox"/>	Report being forwarded to IRB (e.g., DSMB, sponsor or other monitor) In Item 5.c., include date and source of report, summarize findings, and indicate any recommendations.
<input type="checkbox"/>	Revise or amend consent, assent form(s) Complete Item 5.d.
<input type="checkbox"/>	Addendum (new) consent form Complete Item 5.d.
<input type="checkbox"/>	Add or revise recruitment materials Complete Item 5.d.
<input type="checkbox"/>	Other (e.g., investigator brochure) Indicate the type of change in the space below, and provide details in Item 5.c. or 5.d. as applicable. Include a copy of all affected documents, with revisions highlighted as applicable.

5. Description and Rationale
In Item 5.a. and 5.b, check Yes or No and see instructions for Yes responses.
In Item 5.c. and 5.d, describe—and explain the reason for—the change(s) noted in Item 4.

<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	5.a. Are any of the participants enrolled as normal, healthy controls? If yes, describe in detail in Item 5.c. how this change will affect those participants.
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	5.b. Does the change affect subject participation, such as procedures, risks, costs, location of services, etc.? If yes, FAP-designated units complete a FAP submission and send to fap@uab.edu . Identify the FAP-designated unit in Item 5.c. For more details on the UAB FAP, see www.uab.edu/cto .

5.c. Protocol Changes: In the space below, briefly describe—and explain the reason for—all change(s) to the protocol.

Please add to the protocol Charles Elson, MD. No conflicts. IRB training completed.
 Please add to the protocol Sumant Arora, MD. No conflicts. IRB training completed.
 Please add to the protocol Fred Weber, MD. No conflicts. IRB training completed.
 Please add to the protocol Krishna Venkata, MD. No conflicts. IRB training completed.

All added in SIFB ✓

5.d. Consent and Recruitment Changes: In the space below,
 (a) describe all changes to IRB-approved forms or recruitment materials and the reasons for them;
 (b) describe the reasons for the addition of any materials (e.g., addendum consent, recruitment); and
 (c) indicate either how and when you will re-consent enrolled participants or why re-consenting is not necessary (not applicable for recruitment materials).

Also, indicate the number of forms changed or added. For new forms, provide 1 copy. For revised documents, provide 3 copies:

- a copy of the currently approved document (showing the IRB approval stamp, if applicable)
- a revised copy highlighting all proposed changes with “tracked” changes
- a revised copy for the IRB approval stamp.

▶ n/a

Signature of Principal Investigator _____

TAMM WALKER

Date 9/29/11

FOR IRB USE ONLY

Received & Noted Approved Expedited* To Convened IRB

J. Blum

10/8/15

Signature (Chair, Vice-Chair, Designee)

Date

DOLA *10/23/14*

Change to Expedited Category Y / N / NA

*No change to IRB's previous determination of approval criteria at 45 CFR 46.111 or 21 CFR 56.111

Form 4: IRB Approval Form
Identification and Certification of Research
Projects Involving Human Subjects

UAB's Institutional Review Boards for Human Use (IRBs) have an approved Federalwide Assurance with the Office for Human Research Protections (OHRP). The Assurance number is FWA00005960 and it expires on January 24, 2017. The UAB IRBs are also in compliance with 21 CFR Parts 50 and 56.

Principal Investigator: MALIK, TALHA A

Co-Investigator(s):

Protocol Number: **X081224003**

Protocol Title: *Characteristics, Complications, Prognostic Predictors, Treatment and Outcome of all Patients with IBD Seen at UAB*

The IRB reviewed and approved the above named project on 10/17/16. The review was conducted in accordance with UAB's Assurance of Compliance approved by the Department of Health and Human Services. This Project will be subject to Annual continuing review as provided in that Assurance.

This project received EXPEDITED review.

IRB Approval Date: 10/17/16

Date IRB Approval Issued: 10-17-16

IRB Approval No Longer Valid On: 10-17-17

HIPAA Waiver Approved?: Yes



Expedited Reviewer
Member - Institutional Review Board
for Human Use (IRB)

Investigators please note:

The IRB approved consent form used in the study must contain the IRB approval date and expiration date.

IRB approval is given for one year unless otherwise noted. For projects subject to annual review research activities may not continue past the one year anniversary of the IRB approval date.

Any modifications in the study methodology, protocol and/or consent form must be submitted for review and approval to the IRB prior to implementation.

Adverse Events and/or unanticipated risks to subjects or others at UAB or other participating institutions must be reported promptly to the IRB.

**UAB IRB Approval of
Waiver of Informed Consent and/or Waiver of Patient Authorization**

- Approval of Waiver of Informed Consent to Participate in Research.** The IRB reviewed the proposed research and granted the request for waiver of informed consent to participate in research, based on the following findings:
 1. The research involves no more than minimal risk to the subjects.
 2. The research cannot practicably be carried out without the waiver.
 3. The waiver will not adversely affect the rights and welfare of the subjects.
 4. When appropriate, the subjects will be provided with additional pertinent information after participation.

Check one: **and** Waiver of Authorization (below)
 or Waiver of Authorization (below)
 Waiver of Authorization not applicable

- Approval of Waiver of Patient Authorization to Use PHI in Research.** The IRB reviewed the proposed research and granted the request for waiver of patient authorization to use PHI in research, based on the following findings:
 1. The use/disclosure of PHI involves no more than minimal risk to the privacy of individuals
 - i. There is an adequate plan to protect the identifiers from improper use and disclosure.
 - ii. There is an adequate plan to destroy the identifiers at the earliest opportunity consistent with conduct of the research, unless there is a health or research justification for retaining the identifiers or such retention that is otherwise required by law.
 - iii. There is an assurance that the PHI will not be reused or disclosed to any other person or entity, except as required by law, for authorized oversight of the research study, or for other research for which the use or disclosure of PHI would be permitted.
 2. The research cannot practicably be conducted without the waiver or alteration.
 3. The research cannot practicably be conducted without access to and use of the PHI.

—OR—

Full Review

The IRB reviewed the proposed research at a **convened meeting** at which a majority of the IRB was present, including one member who is not affiliated with any entity conducting or sponsoring the research, and not related to any person who is affiliated with any of such entities. The waiver of authorization was approved by the majority of the IRB members present at the meeting.

Date of Meeting

Signature of Chair, Vice-Chair or Designee

Date

Expedited Review

The IRB used an **expedited review procedure** because the research involves no more than minimal risk to the privacy of the individuals who are the subject of the PHI for which use or disclosure is being sought. The review and approval of the waiver of authorization were carried out by the Chair of the IRB, or by one of the Vice-Chairs of the IRB as designated by the Chair of the IRB.

10/17/16
Date of Expedited Review

Talha Malik
Signature of Chair, Vice-Chair or Designee

Date 10/17/16
The University of