Medical University of South Carolina
CONSENT TO BE A RESEARCH SUBJECT

TITLE OF RESEARCH: A Single-Site, Parallel-Group, Randomized-Controlled Trial of Navigation Versus Usual Care for The Management of Delays and Racial Disparities Starting Postoperative Radiation Therapy in Adults with Surgically-Managed, Locally Advanced Head and Neck Squamous Cell Carcinoma (NDURE 2.0): Preliminary Efficacy Assessment

SUMMARY

You are being asked to volunteer for a research study. Research studies are voluntary and include only people who choose to take part. The purpose of this study is to evaluate the preliminary impact of a new patient navigation intervention to decrease delays starting radiation therapy after surgery for white and African-American head and neck cancer patients. If you participate in this study, you will be randomly assigned to one of two groups: the patient navigation study intervention group (which involves meeting with study coordinator twice and meeting with a patient navigator at least three times over the course of approximately five months as you come back to visit your normal team of providers) or the standard care group (which involves getting information about scheduling radiation therapy during visits with your normal team of providers). You will not know whether you will be in the patient navigation study intervention group or the standard care group before enrolling in the study (but you will know which group you are in after enrollment). All five visits of those in the patient navigation study intervention will correspond with appointments you already have scheduled at MUSC or will be conducted via telemedicine. The patient navigator will help you identify and overcome any barriers that may prevent you from starting radiation on time, such as transportation, explaining the treatment process, coordinating appointments, and sharing of information with you and your team of doctors. There are no physical risks to you by joining this study. However, there is the possibility you may feel uncomfortable or upset talking about your cancer or barriers to cancer care. Although it is not known, there is the prospect that participating in this research study will directly benefit you. Specifically, it is possible that the intervention will decrease delays starting radiation therapy after head and neck cancer surgery, which in turn may decrease cancer recurrences and improve survival. It is also hoped that the information gained from the study will help improve care for patients with head and neck cancer.

A. PURPOSE OF THE RESEARCH

Please read this consent form carefully and take your time making your decision. As your study doctor or study staff discusses this consent form with you, please ask him/her to explain any words or information that you do not clearly understand. You are being asked to participate in this study because you are expected to have surgery and radiation for head and neck cancer. The purpose of this study is to evaluate the preliminary impact of a new patient navigation

intervention to decrease delays starting radiation therapy after surgery for white and African-American head and neck cancer patients. The study involves research. The study is sponsored by the Medical University of South Carolina and Hollings Cancer Center. The investigator in charge of this study is Evan Graboyes, MD. The study is being done at one site: the Medical University of South Carolina. Approximately 175 subjects will take part in this study. A grant from the National Institute of Health (NIH) will sponsor this study. Portions of Evan Graboyes' and his research team's salaries will be paid by this grant.

B. PROCEDURES

If you agree to be in this study, the following will happen:

1. The researchers will check your medical records to gather information about your diagnosis and treatment.
2. You will meet with the study coordinator to fill out baseline questionnaires.
3. You will be randomly assigned to one of two groups. This means that you have a 50/50 chance (like flipping a coin). Or being in either group. Neither the researchers nor you will make the choice to which group you are assigned.
4. The patient navigation study intervention group will meet with a patient navigator at least three times over the course of three months (from surgical consultation to initiation of post-operative radiation therapy). Visits 1 and 3 may be conducted via telemedicine, if necessary. Each visit with the navigator will take 30 minutes. The navigator will work with you to identify and address barriers before they cause breakdowns in care from the time of surgery until postoperative radiation therapy begins. The standard care group will receive the care from their head and neck cancer providers without additional visits with the navigator. You will not know whether you will be in the patient navigation study intervention group or the standard care group before enrolling in the study (but you will know which group you are in after enrollment). For those randomized to patient navigation, the navigation sessions will be audio-recorded to help ensure that the navigator thoroughly identifies and helps solve your barriers.
5. Regardless of whether you are in the study intervention or standard care group, you will meet with the study coordinator at the end of the study to complete questionnaires to measures changes compared to baseline and describe your experience in the study.

C. DURATION

Participation in the study will consist of two to five visits (depending upon which group you are in), lasting 30 minutes each, over the course of approximately five months. These visits will take place at MUSC on days when you already have appointments at MUSC. Visits 1 and 3 may be conducted via telemedicine, if necessary.

D. RISKS AND DISCOMFORTS

There are no physical risks to you by joining this study. However, there is the possibility you may feel uncomfortable or upset talking about your cancer. You will be encouraged to take your time when answering questions and you may refuse to answer any question at any time during this study. You may withdraw from the study at any time. There is a risk of a loss of confidentiality of your personal information as a result of participation in this study. Measures will be put in place and every effort will be made to protect the confidentiality of your private information. There is also the risk of randomization, which may cause distress. However, efforts will be made to minimize the risk of distress resulting from randomization. The treatment you receive may prove to be less effective or to have more side effects than the other study treatment.

E. MEDICAL RECORDS AND/OR CERTIFICATE OF CONFIDENTIALITY

This research is covered by a Certificate of Confidentiality from the Federal government. This means that the researchers may not disclose information or biospecimens that may identify you, even by a court subpoena, in any federal, state, or local civil, criminal, administrative, legislative, or other proceedings, nor can the information or biospecimens be used as evidence, unless you have consented to this disclosure. Information or biospecimens protected by this Certificate cannot be disclosed to anyone else who is not connected with the research except if you have consented to the disclosure, including for your medical treatment; or if it is used for other scientific research, as allowed by federal regulations protecting research subjects.

A Certificate of Confidentiality does not prevent you from voluntarily releasing information about yourself or your involvement in this research. If you are an MUSC patient you have an MUSC medical record. If you have never been an MUSC patient, a MUSC medical record will be created for the purposes of this study. Results of research tests or procedures will be included in your MUSC medical record. All information within your medical record can be viewed by individuals authorized to access the record. We will make every effort to keep confidential all research information in the medical record that identify you to the extent allowed by law; however, there is the possibility that your research information will be disclosed. The Certificate of Confidentiality will not be used to prevent disclosure as required by federal, state, or local law. Examples of required disclosure include: child abuse and neglect, or harm to self or others

Finally, a Certificate may not be used to withhold information from the Federal government needed for auditing or evaluating Federally funded projects or information needed by the FDA

F. BENEFITS

The potential benefit to you is that the treatment you receive may prove to be more effective than the other study treatment or than other available treatments, although this cannot be guaranteed.

If you are in the group that receives the patient navigation and it is successful in treating your condition with fewer side effects than the current standard therapy, you may benefit from participating in the study; however, this cannot be guaranteed. Specifically, it is possible that the patient navigation intervention will decrease delays starting radiation therapy after head and neck cancer surgery, which in turn may decrease cancer recurrences and improve survival. It is also hoped that the information gained from the study will help improve care for patients with head and neck cancer.

G. COSTS

There will be no cost to you as a result of participation in this study. You or your insurance company are responsible for any costs directly involved with your clinical care.

H. PAYMENT TO PARTICIPANTS

In return for your time and effort, you will be paid $40 for participation in this study. If you do not complete the study, you will receive $15 for enrollment in the study. Payments will be in the form of a check which will be mailed to you. It will take approximately 1 month for the check to arrive.

Payments that you receive from MUSC for participating in a research study are considered taxable income per IRS regulation. Payment types may include, but are not limited to: checks, cash, gift certificates/cards, personal property, and other items of value. If the total amount of payment you receive from MUSC reaches or exceeds $600.00 in a calendar year, you will be issued a Form 1099.

I. ALTERNATIVES

Your alternative is to not participate in this study.

J. DATA SHARING

Information about you (including your identifiable private information and/or any identifiable biospecimens) may have all of your identifiers removed and used for future research studies or distributed to other researchers for future research without additional informed consent from you or your legally authorized representative.

K. DISCLOSURE OF RESULTS

Clinically relevant research results, including individual research results, will not be disclosed to subjects.

L. AUTHORIZATION TO USE AND DISCLOSE (RELEASE) MEDICAL INFORMATION

As part of this research study, your study doctor and his/her research team will keep records of your participation in this study.

The health information MUSC may use or disclose (release) for this research study includes information in your medical record, results of physical exams, medical history, lab tests or certain health information indicating or relating to your condition.

Your study doctor and his/her research team will use and disclose (release) your health information to conduct this study. The health information listed above may be used by and/or disclosed (released) to the following, as applicable:

- The sponsor of the study including its agents such as data repositories or contract research organizations monitoring the study;
- Other institutions and investigators participating in the study;
- Data Safety Monitoring Boards;
- Accrediting agencies;
- Clinical staff not involved in the study whom may become involved if it is relevant;
- Parents of minor children if less than 16 years old. Parents of children 16 years old or older require authorization from the child; or
- Health insurer or payer in order to secure payment for covered treatment;
- The National Cancer Institute (NCI), which is entitled to access in accordance with the NCI-designation of the Hollings Cancer Center;
- Federal and state agencies and MUSC committees having authority over the study such as:

    - The Institutional Review Board (IRB) overseeing this study; Committees with quality improvement responsibilities; Office of Human Research Protections; Food and Drug Administration; National Institutes of Health or Other governmental offices, such as a public health agency or as required by law.

Those persons who receive your health information may not be required by Federal privacy laws (such as the Privacy Rule) to protect it and may share your information with others without your permission, if permitted by laws governing them. You do not have to sign this consent form. If you choose not to sign, it will not affect your treatment, payment or enrollment in any health plan or affect your eligibility for benefits. However, you will not be allowed to be a participant in this research study.

You will be given a copy of this consent form. Your authorization will expire at the conclusion of this study or, if you are participating in a study designed for the development of a drug or

device, your authorization will remain in effect until the drug or device is approved by the FDA or until the company's application to study the drug/device is withdrawn. You have the right to withdraw your agreement at any time. You can do this by giving written notice to your study doctor. If you withdraw your agreement, you will not be allowed to continue participation in this research study. However, the information that has already been collected will still be used and released as described above. You have the right to review your health information that is created during your participation in this study. After the study is completed, you may request this information.

Your health information will be used or disclosed when required by law. Your health information may be shared with a public health authority that is authorized by law to collect or receive such information for the purpose of preventing or controlling disease, injury or disability and for conducting public health surveillance, investigations or interventions. No publication or public presentation about the research study will reveal your identity without another signed authorization from you.

If you have questions or concerns about this Authorization or your privacy rights, please contact MUSC's Privacy Officer at (843) 792-8740.

Regulations require that you be given a copy of the MUSC Notice of Privacy Practices (NPP) describing the practices of MUSC regarding your health information. One can be found at the end of this form.

M. SIGNIFICANT NEW FINDINGS

If there are significant new findings during the course of the study, you will be notified.

N. CLINICAL TRIALS.GOV

A description of this clinical trial will be available on http://www.ClinicalTrials.gov, as required by U.S. Law. This Web site will not include information that can identify you. At most, the Web site will include a summary of the results. You can search this Web site at any time.

O. FUTURE CONTACT

The researcher in charge of this study might like to contact you in the future about other research opportunities. Please initial by your choice below:

____Yes, I agree to be contacted

____No, I do not agree to be contacted

Results of this research will be used for the purposes described in this study. This information may be published, but you will not be identified. Information that is obtained concerning this research

that can be identified with you will remain confidential to the extent possible within State and Federal law. The investigators associated with this study, the sponsor, and the MUSC Institutional Review Board for Human Research will have access to identifying information. All records in South Carolina are subject to subpoena by a court of law.

In the event that you are injured as a result of participation in this study, you should immediately go to the emergency room of the Medical University Hospital, or in case of an emergency go to the nearest hospital, and tell the physician on call that you are in a research study. They will call your study doctor who will make arrangements for your treatment. If the study sponsor does not pay for your treatment, the Medical University Hospital and the physicians who render treatment to you will bill your insurance company. If your insurance company denies coverage or insurance is not available, you will be responsible for payment for all services rendered to you.

Your participation in this study is voluntary. You may refuse to take part in or stop taking part in this study at any time. You should call the investigator in charge of this study if you decide to do this. Your decision not to take part in the study will not affect your current or future medical care or any benefits to which you are entitled.

The investigators and/or the sponsor may stop your participation in this study at any time if they decide it is in your best interest. They may also do this if you do not follow the investigator's instructions.

Volunteers Statement

I have been given a chance to ask questions about this research study. These questions have been answered to my satisfaction. If I have any more questions about my participation in this study or study related injury, I may contact Evan Graboyes, MD at (843)-792-0719. I may contact the Medical University of SC Patient and Family Care Liaison (843) 792-5555 concerning medical treatment.

If I have any questions, problems, or concerns, desire further information or wish to offer input, I may contact the Medical University of SC Institutional Review Board for Human Research IRB Manager or the Office of Research Integrity Director at (843) 792-4148. This includes any questions about my rights as a research subject in this study.

I agree to participate in this study. I have been given a copy of this form for my own records.

Signature of Person Obtaining Consent Date	*Name of Participant
Signature of Participant Date	

MUSC
MEDICAL UNIVERSITY of SOUTH CAROLINA

Participant's Personal Representative (if applicable):

_____

Name of Personal Representative *(Please print)*

_____

Signature of Personal Representative Date

Relationship: ___ Spouse ___ Parent ___Next of Kin ___Legal Guardian*
____ DPOA for Healthcare*

**(If you are the health care agent or guardian, please provide proof of your authority to act on behalf of the patient)*

NOTICE OF PRIVACY PRACTICES

MUSC Organized Health Care Arrangement (OHCA)

THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESSS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY.

The Medical University of South Carolina and its affiliates (including but not limited to the Medical University Hospital Authority, MUSC Physicians, and MUSC Physicians Primary Care) participate in a clinically integrated health care setting. As a result of this clinical integration, these organizations function as an Organized Health Care Arrangement (OHCA) as defined by the Health Insurance Portability and Accountability Act (HIPAA). For purposes of this notice, the members of the MUSC OHCA are collectively referred to in this document as "MUSC." **We collect or receive this information about your past, present or future health condition to provide health care to you, to receive payment for this health care, or to operate the hospital and/or clinics.**

HOW WE MAY USE AND RELEASE YOUR PROTECTED HEALTH INFORMATION (PHI)

A. The following uses do NOT require your authorization, except where required by SC law:

1. For treatment. Your PHI may be discussed by caregivers to determine your plan of care. For example, the physicians, nurses, medical students and other health care personnel may share PHI in order to coordinate the services you may need.

2. To obtain payment. We may use and disclose PHI to obtain payment for our services from you, an insurance company or a third party. For example, we may use the information to send a claim to your insurance company.

3. For health care operations. We may use and disclose PHI for hospital and/or clinic operations. For example, we may use the information to review our treatment and services and to evaluate the performance of our staff in caring for you.

4. For public health activities. We report to public health authorities, as required by law, information regarding births, deaths, various diseases, reactions to medications and medical products.

5. Victims of abuse, neglect, domestic violence. Your PHI may be released, as required by law, to the South Carolina Department of Social Services when cases of abuse and neglect are suspected.

6. Health oversight activities. We will release information for federal or state audits, civil, administrative or criminal investigations, inspections, licensure or disciplinary actions, as required by law.

7. Judicial and administrative proceedings. Your PHI may be released in response to a subpoena or court order.

8. Law enforcement or national security purposes. Your PHI may be released as part of an investigation by law enforcement.

9. Uses and disclosures about patients who have died. We provide coroners, medical examiners and funeral directors necessary information related to an individual's death.

10. For purposes of organ donation. As required by law, we will notify organ procurement organizations to assist them in organ, eye or tissue donation and transplants.

11. Research. We may use your PHI if the Institutional Review Board (IRB) for research reviews, approves and establishes safeguards to ensure privacy.

12. To avoid harm. In order to avoid a serious threat to the health or safety of a person or the public, we may release limited information to law enforcement personnel or persons able to prevent or lessen such harm.

13. For workers compensation purposes. We may release your PHI to comply with workers compensation laws.

14. Marketing. We may send you information on the latest treatment, support groups and other resources affecting your health.

15. Fundraising activities. We may use your PHI to communicate with you to raise funds to support health care services and educational programs we provide to the community. You have the right to opt out of receiving fundraising communications with each solicitation.

16. Appointment reminders and health-related benefits and services. We may contact you with a reminder that you have an appointment.

B. You may object to the following uses of PHI:

1. Hospital directories. Unless you object, we may include your name, location, general condition and religious affiliation in our patient directory for use by clergy and visitors who ask for you by name.

2. Information shared with family, friends or others. Unless you object, we may release your PHI to a family member, friend, or other person involved with your care or the payment for your care.

3. **Health plan.** You have the right to request that we not disclose certain PHI to your health plan for health services or items when you pay for those services or items in full.

C. Your prior written authorization is required (to release your PHI) in the following situations:

You may revoke your authorization by submitting a written notice to the privacy contact identified below. If we have a written authorization to release your PHI, it may occur before we receive your revocation

1. Any uses or disclosures beyond treatment, payment or healthcare operations and not specified in parts A & B above.

2. Psychotherapy notes.

3. Any circumstance where we seek to sell your information.

WHAT RIGHTS YOU HAVE REGARDING YOUR PHI

Although your health record is the physical property of MUSC, the information belongs to you, and you have the following rights with respect to your PHI:

A. The Right to Request Limits on How We Use and Release Your PHI. You have the right to ask that we limit how we use and release your PHI. We will consider your request, but we are not always legally required to accept it. If we accept your request, we will put any limits in writing and abide by them except in emergency situations. Your request must be in writing and state (1) the information you want to limit; (2) whether you want to limit our use, disclosure or both; (3) to whom you want the limits to apply, for example, disclosures to your spouse; and (4) an expiration date.

B. The Right to Choose How We Communicate PHI with You. You have the right to request that we communicate with you about PHI in a certain way or at a certain location (for example, sending information to your work address rather than your home address). You must make your request in writing and specify how and where you wish to be contacted. We will accommodate reasonable requests.

C. The Right to See and Get Copies of Your PHI. You have the right to inspect and receive a copy of your PHI (including an electronic copy), which is contained in a designated record set that may be used to make decisions about your care. You must submit your request in writing. If you request a copy of this information, we may charge a fee for copying, mailing or other costs associated with your request. We may deny your request to inspect and receive a copy in certain very limited circumstances. If you are denied access to PHI, you may request that the denial be reviewed.

D. The Right to Get a List of Instances of When and to Whom We Have Disclosed Your PHI. This list may not include uses such as those made for treatment, payment, or health care operations, directly to you, to your family, or in our facility directory as described above in this Notice of Privacy Practices. This list also may not include uses for which a signed authorization has been received or disclosures made more than six years prior to the date of your request.

E. The Right to Amend Your PHI. If you believe there is a mistake in your PHI or that a piece of important information is missing, you have the right to request that we amend the existing information or add the missing information. You must provide the request and your reason for the request in writing. We may deny your request in writing if the PHI is correct and complete or if it originated in another facility's record.

F. The Right to Receive a Paper or Electronic Copy of This Notice: You may ask us to give you a copy of this Notice at any time. For the above requests (and to receive forms) please contact: Health Information Services (Medical Records), Attention: Release of Information / 169 Ashley Avenue / MSC 369 / Charleston, SC 29425. The phone number is (843) 792-3881.

G. The Right to Revoke an Authorization. If you choose to sign an authorization to release your PHI, you can later revoke that authorization in writing. This revocation will stop any future release of your health information except as allowed or required by law.

H. The Right to be Notified of a Breach. If there is a breach of your unsecured PHI, we will notify you of the breach in writing.

HEALTH INFORMATION EXCHANGES

MUSC, along with other health care providers belongs to health information exchanges. These information exchanges are used in the diagnosis and treatment of patients. As a member of these exchanges, MUSC shares certain patient health information with other health care providers. Should you require treatment at another location that is a part of one of these exchanges, that provider may gather historical health information to assist with your treatment. You have the option of saying that this cannot be done. If you choose not to take part in these alliances, please contact the MUSC Privacy Office at 792-4037.

HOW TO COMPLAIN ABOUT OUR PRIVACY PRACTICES

If you think your privacy rights may have been violated, or you disagree with a decision we made about access to your PHI, you may file a complaint with the office listed in the next section of this Notice. **Please be assured that you will not be penalized and there will be no retaliation for voicing a concern or filing a complaint. We are committed to the delivery of quality health care in a confidential and private environment.**

PERSON TO CONTACT FOR INFORMATION ABOUT THIS NOTICE OR TO COMPLAIN ABOUT OUR PRIVACY PRACTICES

If you have any questions about this Notice or any complaints about our privacy practices please call the Privacy Officer (843) 792-4037, the Privacy Hotline (800) 296-0269, or contact in writing: HIPAA Privacy Officer / 169 Ashley Avenue / MSC 332 / Charleston SC 29425. You also may send a written complaint to the Office of Civil Rights. The address will be provided at your request.

CHANGES TO THIS NOTCE

We reserve the right to change the terms of this Notice at any time. We also reserve the right to make the revised or changed Notice effective for existing as well as future PHI. This Notice will always contain the effective date. You may view this notice and any revisions to it at: http://www.musc.edu/privacy.

EFFECTIVE DATE OF THIS NOTICE

This Notice went into effect on April 14, 2003.
Revised September 2013.