**INSTRUCTIONS: Complete Research Protocol**

* *Depending on the nature of what you are doing, some sections may not be applicable to your research. If so, you must provide the reason the section is not applicable for the response. For example, under the Grant Applicability section, many would answer, “This protocol is not funded by a grant or contract.”*
* *When you write a protocol, keep an electronic copy. You will need to modify this copy when making changes.*
* *Do not remove the italics instructions or headings.*
* *If you are pasting information from other documents be sure to use the “Merge Formatting” paste option so that the formatting of the response boxes is not lost. If information is presented outside of the response boxes, it will not be accepted.*
* *If this study involves multiple participant groups who participate in different research procedures, consent processes, etc., be certain to provide information in each applicable section for each participant group and clearly label each participant group within a section or subsection.*

**EXEMPTION 101.B1: EDUCATION RESEARCH**

This application should be used only for education research that meets the criteria at 45CFR46.104(d)(1):

*Research involving normal educational practices that are not likely to adversely impact students’ opportunity to learn required educational content or the assessment of educators who provide instruction such as: (1) Most research on regular and special education instructional strategies; or (2) Research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management.*

In order to qualify for this exemption, the level of risk to participants may not exceed minimal risk (physical, psychological, social, undue stress and/or invasion of privacy.) **Do not use this form if your research involves any activities other than education research.**

**In order to use this form, you must be able to check “YES” to the following statements:**

|  |  |  |
| --- | --- | --- |
| Yes[ ]  No [ ]  | 1. | The level of risk to which participants are exposed in this study does not exceed minimal risk. |
| Yes[ ]  No [ ]  | 2. | The research will be conducted in established or commonly accepted educational settings.  |
| Yes[ ]  No [ ]  | 3. | The research is about normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. |
| Yes[ ]  No [ ]  | 4. | Prisoners will not intentionally be included as participants. |
| Yes[ ]  No [ ]  | 5. | Individuals who lack the capacity to provide informed consent (e.g., Alzheimer’s patients, individuals with certain mental disabilities) will not be included as participants. |

**Please note, under F.E.R.PA. Rules, there may be permissions of consent required if participants are:**

|  |  |  |
| --- | --- | --- |
| **Yes[ ]  No [ ]**  | **1.** | **Under 18 and you are using student records.** |
| **Yes[ ]  No [ ]**  | **1.** | **Under 18 and you are videotaping.** |

**If you responded yes to either one of these or both of these, you need parental permissions.**

**PROTOCOL TITLE:**

*Include the full protocol title.*

Response:

**PRINCIPAL INVESTIGATOR:**

*Name*

*Department*

*Telephone Number*

*Email Address*

**FACULTY SPONSOR (for student projects):**

*Name*

*Department*

*Telephone Number*

*Email Address*

**VERSION NUMBER:**

*Include the version number of this protocol.*

Response:

**DATE:**

*Include the date of submission or revision.*

Response:

**Table of Contents**

1. Objectives
2. Educational Setting and Practice

3.0 Description of Participants and Recruitment

4.0 Procedures

5.0 Data Analysis and Management

6.0 Risks to Participants

7.0 Potential Benefits

8.0 External Approvals

# Objectives

* 1. *Describe the purpose and specific aims, for the research. If applicable, state specific hypotheses to be tested.*

Response:

# Educational Setting and Practice

# *Describe the educational setting in which the research will take place*.

Response:

# *Describe the educational practice that will be compared or studied.*

Response:

# Description of Participants and Recruitment

* 1. *Describe the characteristics of the participants in the study. Include the criteria that define who will be included or excluded in your final study sample.*

Response:

* 1. *Describe when, where, and how potential participants will be recruited.*

Response:

* 1. *Describe materials that will be used to recruit participants. (Attach copies of these documents with the application. For advertisements, attach the final copy of printed advertisements. When advertisements are taped for broadcast, attach the final audio/video tape. You may submit the wording of the advertisement prior to taping to preclude re-taping because of inappropriate wording, provided the HREB reviews the final audio/video tape.)*

Response:

* 1. *Indicate whether you will include non-English speaking individuals. Provide justification if you will exclude non-English speaking individuals.
	(In order to meet one of the primary ethical principles of equitable selection of participants, non-English speaking individuals may not be routinely excluded from research.*

*In cases where the research is designed to investigate areas that would necessarily require certain populations who may not speak English, the researcher is required to make efforts to recruit and include non-English speaking individuals; however, there are studies in which it would be reasonable to limit participants to those who speak English, e.g., pilot studies, small unfunded studies with validated instruments not available in other languages, numerous questionnaires, and some non-therapeutic studies which offer no direct benefit.)*

Response:

* 1. *Indicate the total approximate number of participants.*

Response:

* 1. *Describe any monetary, subject pool credit or other forms of compensation which will be provided to participants and any conditions which must be fulfilled to receive compensation.*

Response:

#

1. **Procedures**
	1. *Fully explain step by step, your research process.*
2. What is the plan;
3. How it will be taught;
4. Where it will take place.
5. The duration of an individual’s participation in the study.

Response

* 1. *Describe the information that you will collect from participants. Attach all surveys, scripts, grading rubrics and data collection forms. Be sure to describe if you will be collecting data using photographs, audiotapes and videotapes.*

Response

* 1. *Document authorization of use or permission to modify a copyrighted instrument, or document access in the public domain of non-copyrighted instruments (if applicable).*

Response:

# Data Analysis & Management

* 1. *Describe the final form of the data (i.e. excel spreadsheet with codes, de-identified transcripts, video clips) that you plan to maintain and the steps that will be taken to secure the data (e.g., training, authorization of access, password protection, encryption, physical controls, certificates of confidentiality, and separation of identifiers and data) during storage, use, and dissemination.*

Response:

* + 1. *Will participants be identifiable?*

Response:

* + 1. *Who will have access to the data?*

Response:

* 1. *Describe the ways in which the data will be analyzed. For example, for a quantitative study, a description of any statistics should be provided. For a qualitative study, a description of the methods of data generation/process of analysis such as coding themes or heuristic engagement with the material, such as journaling and field notes, should be provided.*

Response:

1. **Risks to Participants**
	1. *List the reasonably foreseeable risks, discomforts, hazards, or inconveniences to the participants related the participants’ participation in the research. Include, as may be useful for the HREB’s consideration, a description of the probability, magnitude, duration, and reversibility of the risks. Consider physical, psychological, social, legal, and economic risks. Please note that no study is considered “no risk.” Minimal risk is defined as risk not greater than that encountered in everyday life.*

Response:

# Potential Benefits

# *Describe the anticipated benefits to participants, society and/or others. (There must be some benefit described)*

Response:

#  External Approvals

# *Describe any approvals that will be obtained prior to commencing the research, e.g., school or external sites. Note: If this is an external agency or organization, a letter of cooperation from the highest-ranking official is necessary to be submitted directly to the H.R.E.B. Office either on letterhead or their work place e-mail; after pending approval of the proposal is received.*

Response:

**PLEASE NOTE: Unless this study is conducted at SUNY New Paltz, you will be asked to provide a letter of permission or a letter of cooperation from the highest-ranking administrator of the school district or educational setting. In a public school district this would be the Superintendent of the district. The letter should be on the institution’s letterhead or from the work e-mail address of this individual. It must clearly identify your project, the investigator and the administrator. The letter must be obtained AFTER receiving HREB approval.**