Exempt Form: Education Research Exemptions

# 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 indicate "Not Applicable" and provide the reason the section is not applicable for the response.
* When you write a protocol, keep an electronic copy. You will need to modify this copy when making changes.
* Do not remove the instructions or headings.
* If you are pasting information from other documents, be sure to use the “Merge Formatting” ("Paste & Match Formatting" on a Mac) paste option so that the formatting of the response boxes is not lost.
* 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. It may be easier to submit an application for each participant group if there if the procedures, consent process, etc... vary greatly.

## Exemption 104 (d)(1): Education Research

This application should be used only for education research that meets the criteria at 45 CFR 46.104 (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** | **Not****Applicable** | **#** | **Statements** |
|  |  |  | 1. | The level of risk to which participants are exposed in this study does not exceed minimal risk. |
|  |  |  | 2. | The research will be conducted in established or commonly accepted educational settings.  |
|  |  |  | 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. |
|  |  |  | 4. | Prisoners will not be included as participants. |
|  |  |  | 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. |
|  |  |  | 6. | The plan for securely collecting and storing the data is adequate. |
|  |  |  | 7. | External site approval is needed. |
|  |  |  | 8. | Psychology subject pool approval is attached, if applicable. |

**Please note, under F.E.R.P.A. and or PPRA Rules, there may be parental permissions of consent required if participants are:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Yes** | **No** |  |  |
|  |  | **1.** | **Under 18 and you are using student records.** |
|  |  | **2.** | **Under 18 and you are videotaping or audiotaping.** |
|  |  | **3.** | **Under 18 and surveys or instructional materials cover sensitive information.** |

**If you responded yes to any one of these, you need parental permissions.**

# Full 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:**

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##### 1. Objectives

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

**Response:**

# Educational Setting and Practice

2.1 Describe the educational setting in which the research will take place.

Response:

2.2 Describe the educational practice that will be compared or studied.

Response:

## Description of Participants and Recruitment

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

Response:

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

Response:

* 1. Include 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 the total approximate number of participants.

Response:

* 1. Indicate whether you will include non-English speaking individuals. If yes, please provide translations for all materials (consent information, recruiting materials, surveys).

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:

# If the study is being conducted anonymously, how will the compensation (monetary, subject pool credit or other form of compensation) be provided without identifying information?

Response:

# Procedures

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

Response:

* 1. Describe your consent process and include your informed consent statement. ([See the Exempt Informed Consent Policy](file:///C%3A%5CUsers%5Ccrockeju%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5CContent.Outlook%5C2L1FYKMW%5CInformed%20Consent%20for%20Exempt%20Studies%20Policy.docx) and [Template](file:///C%3A%5CUsers%5Ccrockeju%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5CContent.Outlook%5C2L1FYKMW%5CNP%20Template%20Informed%20Consent%20for%20Exempt%20Studies.docx))

Response:

* 1. Describe the information that you will collect from participants and how these address the questions/hypotheses in your study. Explain the measures that you are using and their subscales. Describe the demographic information that you are collecting and why. 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. If you are using a web-based application to collect your data, describe the security of data storage during data collection. Describe what will happen to the data once your study is complete. Please be sure to describe options that you will use to enhance data security.

Response:

* 1. Indicate whether sensitive information (according to the PPRA) will be collected. The eight PPRA (ED 2019) sensitive topics are: Political affiliations; Mental and psychological problems potentially embarrassing to the student and his/her family; Sex behavior and attitudes; Illegal, anti-social, self-incriminating and demeaning behavior; Critical appraisals of other individuals with whom respondents have close family relationships; Legally recognized privileged or analogous relationships, such as those of lawyers, physicians, and ministers; Religious practices, affiliations, or beliefs of the student or student's parent; or Income (other than that required by law to determine eligibility for participation in a program or for receiving financial assistance under such program.)

Response:

* 1. Many peer-reviewed journals are now insisting that the raw data set from a study be publicly archived. Have you considered this possibility? Will the deidentified data be stored in a publicly available repository once the data are published? Have you included this possibility in your informed consent statement?

Response:

# Data Analysis & Management

# Describe the format of the data you will store (e.g., excel spreadsheet, SPSS file, video or audio recordings, transcripts, photographs, etc...). Describe data that will be stored temporarily (e.g., a videotape until it is transcribed). Describe data that will be stored over a longer period of time (codes in an excel spreadsheet).

Response:

# Describe how you will securely store, maintain, use, and disseminate all of the data (e.g., training of research assistants, authorization of access, password protection, encryption, physical controls, certificates of confidentiality, separation of identifiers and data, etc...).

Response:

* 1. Will participants be identifiable? (Video and audio recordings, data with a key to the participant's identity, data with names, numbers or other identifiers are considered identifiable.)

**Response: Yes\_\_\_\_\_\_\_\_ No\_\_\_\_\_\_\_\_\_\_**

* + 1. **If yes, you must answer each of the following questions:**

1) What is the justification for collecting data that identifies the participants? Why are the identifiers necessary to conduct the research?

Response:

2) What is the sensitivity of the data being collected? Would disclosure of the data pose a risk to the participants including reputation, employability, legal, financial, health, personal privacy, etc.?

Response:

3) What is the retention period for identifiable data? When will the identified data be deleted or destroyed?

Response:

4) What security controls do you have in place for the identifiable data (i.e., physical safeguards for paper records or recordings, technical safeguards for electronic records, secure sharing or transfer of data outside the institution, if applicable)?

Response:

5) What is the potential risk for harm that would occur if the security of the data was compromised?

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 the statistical analyses 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. Many peer-reviewed journals are now insisting that the raw data set from a study be publicly archived. Have you considered this possibility? Will the deidentified data be stored in a publicly available repository once the data are published? Have you included this possibility in your informed consent statement?

Response:

# Risks to Participants

* 1. List the reasonably foreseeable risks, discomforts, hazards, or inconveniences to the participants that could result from participation in the research. Describe the probability, magnitude, duration, and reversibility of the risks. Consider physical, psychological, social, legal, and economic risks. Keep in mind that loss of confidentiality and privacy are considered risks. Please note that no study is considered to involve “no risk.” Minimal risk is defined as risk that is 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 workplace 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 external site approval (that is 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.**