APPENDIX M

# Research in Educational Institutions & Organizations

The University of Denver Institutional Review Board (DU IRB) requires that any research conducted in an educational institution or organization (pre-school, public and private elementary and high schools, universities), involving students, administrators, teachers or other school personnel must provide documentation that the proposed research has been approved by the schools, school district authorities or research related committees affiliated with their organization. Documented approval is required for both **NEW** studies and **CHANGES** in existing studies that will include or add new schools, students or school personnel. **IRB applications without a letter of approval or support from the school(s) will delay IRB approval.**

## 1.0 Identify the Type of educational institution/organization or schools involved in the proposed research:

☐ Pre-School

Public School/School District

Private or Charter School

College or University

Other: Click here to enter text.

## 2.0 List the Names and locations of the school(s) involved in the proposed Research:

Click here to enter text.

## 3.0 Describe the potential participant(s) for the research?

**Check all that apply.** Attach copies of all consent, parental permission, and assent documents in your IRBNet package for participants selected below.

**Administrative Personnel**

Administrators (Superintendent, Principal, Director)

☐ Counselors

School nurse

Support Personnel

Coaches

Other:

**Teacher(s)**

☐ Pre-school/Kindergarten level

Grade School level

Middle/High School level

University/College level

**Students**

Pre-School

Kindergarten

Grades 1 – 4

Grades 5 – 8

High school

University/College (under the age of 18)

University/College (over the age of 18)

Cognitively Challenged Minors (under the age of 18)

Cognitively Challenged Adults (over the age of 18)

## 4.0 Will the proposed research involve normal educational practices in established or commonly accepted education settings?

If **YES**, proceed to 4.1

If **NO**, proceed to 4.3

**4.1 Will the students’ opportunity to learn the required educational content be adversely impacted if they participate in the proposed research (i.e., miss regular assignment instruction)?**

If **YES**, describe how the research will address the potential impact on the students’ ability to learn the required educational content.

Click here to enter text.

If **NO**, proceed to 4.2

**4.2** **Will normal educational practices or the assessment of the educators who provide instruction be impacted by their participation in the proposed research (i.e., loss of privacy, performance evaluations, coercion to participate from authority figure, etc.)?**

If **NO**, proceed to **4.3**

If **YES**, describe any potential issues that may affect the participants who are in an educator role and how the researcher will accommodate or address the potential issues?

Click here to enter text.

**4.3 Will the research involve observing students?**

If **NO**, proceed to **4.4**

If **YES**, describe how the students will be informed about the researcher observing them in their classroom? NOTE: If the research involves observing students who are under the age of 18, the parental permission form must include information about observing their child. Refer to the [**Parental Permission Form template**](http://www.du.edu/orsp/media/documents/new_irb_forms/parental_permission_form_new.docx) for wording.

Click here to enter text.

**4.4 Will the research involve observing or audio/video recording teachers or other school personnel?**

If **NO**, proceed to **5.1**

If **YES**, has a separate authorization statement been included in the consent document allowing the researcher to observe or to audio/video record them?

If **YES**, proceed to section **5.1**

If **NO**, information must be included in the informed consent document. Refer to the [**Informed Consent template**](http://www.du.edu/orsp/media/documents/new_irb_forms/template_informed_consent_full_expedited_final.docx) for wording.

## 5.0. Recruitment of Students or School Personnel

**5.1 Will the instructor or teacher be recruiting their own students for their research?**

If **NO**, proceed to **5.2**

If **YES**, please describe what safeguards will be implemented to avoid potential coercion for the students to participate.

Click here to enter text.

**5.2 Will the researcher rely on other instructors or administrators to assist in the recruitment of students or other school personnel to participate in the proposed research?**

If **YES,** describe what safeguards will be implemented to ensure potential participants do not feel coerced into participating if recruited by a person of authority or by their teacher/instructor.

Click here to enter text.

If **NO**, describe what communication methods will be used to recruit students or other school personnel for this research?

Click here to enter text.

## 6.0 Does the educational institution or organization have its own Institutional Review Board (IRB) or research evaluation policies?

*The DU IRB strongly recommends contacting the educational institution (i.e., school district), in advance, to obtain school permission/approval. If required by the school(s), PLAN AHEAD and submit your application early to get your research project assigned to their research review agenda. Refer to the* [***IRB Guidance: Research in Schools***](https://www.du.edu/orsp/media/documents/new_irb_forms/guidance_research_in_schools_v1_01020.docx)

**NO** – **The educational institution or organization does not have an IRB or research advisory board.** Documentation is still required stating approval from an appropriate administrator (i.e., superintendent, principal, director) before final IRB approval will be granted. This documentation/letter must be on letterhead and signed by an authorized signatory official.

**YES** – **The educational institution or organization has their own IRB or research advisory committee.** Documentation of approval by the board/committee must be provided before final IRB approval will be granted.

**OBTAINING CONDITIONAL IRB APPROVAL:** *If a school district uses a committee to review research proposals, it is important to plan additional time into the approval process since the study must be reviewed by both the DU IRB and the school’s review committee. Often K-12 school sites will require proof of IRB review prior to their approval. The DU IRB can provide conditional approval as evidence of that review to sites. However, final approval will not be granted until appropriate site permission has been attached to the IRB project in IRBNet.*

## 7.0 Does your proposed research align with the proposed school(s) goals and priorities?

If **YES**, describe how the proposed research aligns with one of the school’s goals or priorities.

Click here to enter text.

If **NO**, describe how the proposed research may contribute to one of the school’s goals or priorities.

Click here to enter text.

## 8.0 Family Educational Rights and Privacy Act (FERPA)

The Family Educational Rights and Privacy Act (FERPA) is a Federal law administered by the U.S. Department of Education; 34 CFR Part 99. FERPA applies to all educational agencies and institutions that receive federal funding.

FERPA aims to protect the privacy of Student Education Records. Education records include any record containing any personally identifiable information (PII) directly related to the student. PII is not limited to name but may include indirect identifiers as well.

Examples include:

• Documents with a student’s name, ID number, or other identifier;

• Class rosters or grade lists;

• Place of birth;

• Ethnicity;

• Residency status;

• Advisor’s name;

• Class schedule;

• Courses completed;

• Grades;

• Disciplinary records;

• Student info displayed on a computer screen.

**8.1 Will the research involve collecting any personally identifiable information (PII) or indirect identifiers?**

If **NO**, proceed to section **9.0**

If **YES**, does the consent or parental permission form, or consent form for participants over age 18, include a FERPA authorization statement?

If yes, proceed to section **9.0**

If no, insert the required FERPA language into the parental permission form and/or consent form. Refer to the [**Parental Permission Form template**](http://www.du.edu/orsp/media/documents/new_irb_forms/parental_permission_form_new.docx).

**NOTE:** If the researcher has access to students PII or other indirect identifiers due to their current employment at a school or university, accessing and utilizing this data is not allowed for research purposes without the individual or parent/guardian authorization.

## 9.0 Protection of Pupil Rights Amendment (PPRA)

The Protection of Pupil Rights Amendment (PPRA) is a Federal law administered by the U.S. Department of Education; 34 CFR Part 98. PPRA applies to programs and activities of an educational agency or other recipient of funds under any program funded by the U.S. Department of Education.

The Protection of Pupil Rights Amendment (PPRA) affords certain rights to parents of minor students in regard to surveys that ask questions of a personal nature. Briefly, the law requires that schools obtain written consent from parents before minor students are required to participate in any survey, analysis, or evaluation that reveals information concerning the following sensitive areas:

• Political affiliations or beliefs of the student or the student’s guardians;

• Mental and psychological problems potentially embarrassing to the student or 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.)

**9.1** **Will the research involve collecting information that would reveal any sensitive areas protected by PPRA?**

If **NO**, you have completed Appendix M. **Attach this appendix form to your IRBNet package**.

If **YES**, describe how this confidential information will be managed and stored to protect the individual’s privacy. NOTE: If the research involves collecting sensitive information protected by PPRA on students under the age of 18, the parental permission form must include a PPRA authorization. Refer to the [**Parental Permission Form template**](http://www.du.edu/orsp/media/documents/new_irb_forms/parental_permission_form_new.docx)for wording.

Click here to enter text.