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TO: Potential Researchers

FROM: William Graves

USD 259 Research Council

SUBJECT: Guidelines for Protection of Human Subjects

All individuals who anticipate conducting research projects involving human subjects (or using data previously gathered from or about human subjects) are responsible for familiarizing themselves with the policies presented in the Guidelines. Important areas of consideration are enumerated below to guarantee that the privacy rights and welfare of subjects are adequately protected; the risks to subjects are outweighed by potential benefits; appropriate procedures have been developed to care for possible emergencies; and that the informed consent of subjects will be obtained by methods that are adequate in explaining the nature of their participation and that insure the informed consent is freely given.

1. A subject or individual is considered to be “at risk” if he/she may be exposed to the possibility of physical, psychological, sociological, or other harm as a consequence of any activity which goes beyond the application of those established and accepted methods necessary to meet his/her needs. Risk may be a consequence of participation as a subject in research projects or other activities such as attitude surveys of students in classes, organizations, etc.
2. The identity of research subjects must not be revealed without explicit permission and safeguards must be developed to prevent information being traced to; or indentified with, subjects. If data are published without permission for identification, the investigator is responsible for adequately disguising their source.
3. The informed consent of subjects must be obtained by methods that are adequate and appropriate. Subjects must be instructed that they are free to withdraw their consent and to discontinue participation in the project or activity at any time.
4. USD 259 employees, teachers, and administrators should exercise extreme care in recruiting subjects for their own research from their own classes and schools. Students must not feel pressured to participate at the request of their instructor or administrator. If bonus credit or class requirements involve participating in research, alternate participation opportunities should be provided.
5. Surveys and questionnaires of student behavior, beliefs, etc., must be utilized with due regard to the student’s right to privacy.
6. Only when a problem is significant and can be investigated in no other way is the investigator justified in exposing research subjects to emotional or physical stress.
7. Some studies depend upon stored data or information which was obtained for quite different purposes. A review by the Research Council must determine whether the use of these data is within the scope of the original consent, whether consent can be obtained, and whether use of data constitutes a risk to those persons upon whom the data were originally gathered.
8. The investigator should recognize that in the final analysis collegial review should not be regarded as relieving him/her of personal responsibility or diffusing it.

The two issues, aside from the paramount one of subject at risk, which are most frequently related to educational research, are safeguarding information and informed consent. Policies on each are clarified below.

1. SAFEGUARDING INFORMATION
2. Questionnaires, inventories, interview schedules, and other data gathering instruments and procedures must be designed so as to limit the personal information to be acquired to that absolutely essential to the project or activity.
3. Names, addresses, identification numbers and data transferred to tapes, discs, and printouts must be encoded or enciphered.
4. Codes and ciphers must be kept in secure places distinctively separate from encoded and enciphered data.
5. All data used in an approved research project and electronically, or otherwise stored, must be destroyed after completion of a project or activity.
6. Security of the transfer, storage, and handling of data must be maintained.
7. INFORMED CONSENT

Informed consent is the agreement obtained from a subject, or from his/her authorized representative, to the subject’s participation in a project or activity.

Consent forms, if required, should be presented at least two weeks prior to presenting the proposal to the Research Council. All informed consent documents must include the following basic elements:

1. A fair explanation of the procedures to be followed, including an identification of those which are experimental
2. A description of the attendant discomforts and risks
3. A disclosure of the benefits to be expected
4. A disclosure of appropriate alternative procedures that would be advantageous for the subject
5. An offer to answer any inquiries concerning the procedures
6. An instruction that the subject is free to withdraw his/her consent and to discontinue participation in the project or activity at any time
7. A signature by an auditor witness or a “short form” signed by the subject and/or a summary of the oral presentation whenever basic elements of informed consent have been presented orally.
8. The agreement, whether written or oral, entered into by the subject, should include no exculpatory language through which the subject is made to waive, or seem to waive, any of his/her legal rights, or to release the institution or its agents from liability or negligence.

DETERMINATION OF THE NEED FOR REVIEW

The determination of when an individual is at risk is a matter of the application of common sense and sound professional judgment to the circumstances of the proposed activity. If any doubt exists regarding the use of human subjects/data, determination of whether the proposal will or will not be approved rests solely with the Research Council.

**P1849 PUPIL RIGHTS AND PARENTAL INVOLVEMENT**

**BOARD POLICY:**

**Instructional materials, including teachers’ manuals, films, tapes, or other supplementary material which will be used in connection with a pupil’s educational program shall be available for inspection by the lawful custodian.**

**Personal information from a pupil in the specific areas listed in AIP #1 and the plan for subsequent analysis and evaluation of that personal information shall be available for inspection by the lawful custodian. Active written consent of the lawful custodian is required prior to participation by the pupil unless designated as an annually approved district instrument by the Board of Education.**

Administrative Implemental Procedures:

1. The responsible party shall obtain active written consent prior to participation which requests personal information from a pupil relative to any of the following: a. Political affiliations

b. Mental and psychological problems

c. Sexual behavior and sexual attitudes

d. Privileged or confidential relationships

e. Income (other than that required by law to determine eligibility for participation in a program or for receiving financial assistance under such program)

f. Self-incriminating behavior

2. Each school shall be responsible for giving notice of this policy to lawful custodians and pupils.

Administrative Responsibility: Learning Services

Latest Revision Date: November 2010

Previous Revision Date: March 2006 P1849

Updated administratively for alignment purposes: November 2013

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**P1851 RESEARCH PROJECTS**

**BOARD POLICY:**

**Research projects are encouraged for the purpose of improving educational practices. Such projects are monitored by the Research Council chairperson under guidelines established by the Research Council.**

Administrative Implemental Procedures:

1. All persons wishing to conduct research in USD 259 must prepare and submit a proposal to the Research Council.

2. An explanation should be included in the project proposal showing how the project relates to the district’s strategic plan goals or objectives. The proposed project should be beneficial to the school district by generating new knowledge, improving practices, providing opportunities for USD 259 personnel in the area of research and self-improvement or, in some cases, providing a material benefit.

3. The Research Council will review and make recommendations on research projects proposed by graduate students or by other reputable researchers or outside agencies.

4. Building principals, in cooperation with their staff, will determine whether an approved research project will be conducted in their school.

5. Research proposals should meet the following criteria: a. Offer promise of improving educational practices.

b. Show evidence of careful planning, including a review of current literature, if appropriate.

c. Be planned in advance so as to minimize interruptions in the regular school program and conflicts with scheduled school events. Generally, requests to gather data during the regular school term must be scheduled between September 15 and April 15.

d. Conform to the values and standards of the school and community.

e. Pertain to a relevant educational problem; contain an appropriate research design, and outline methods and procedures clearly.

f. Make no undue demands upon the time of pupils and staff.

g. Respect the rights of privacy of personal data concerning pupils and employees, in compliance with the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g, as amended, and its interpretive regulations, 34 C.F.R. § 99.1, et seq.

h. Include informed consent statements from parents, students, and district staff when necessary, pursuant to FERPA.

i. Adhere to district guidelines and provide for the protection of human subjects under the law.

j. Respect the right of individuals to refrain from participation on research studies.

k. Involve, generally, graduate level research or its equivalent. Normally, requests by undergraduate college students will not be approved.

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6. The investigator is responsible for fulfilling the following requirements: a. Contact the office of Assessments and Research to obtain appropriate forms for submitting a proposal to conduct a research project.

b. Submit all required forms, including a detailed description of the proposed project and an abstract, to the Research Council chairperson.

c. Secure Research Council approval of the proposal and submitting written approval of the building principal(s) of the schools involved in the study before collecting the data.

d. Make changes to the design of the proposal or specific procedures if requested.

e. File a progress report with the Research Council at the end of each school year for an incomplete study.

f. Deposit a copy of the written report or summary of the study with the Research Council upon completion of the study.

7. The school district is responsible for the following: a. Evaluating proposals, either individually or by a meeting of the Research Council to consider proposals. Persons submitting proposals may be requested to meet with the council or to provide additional information.

b. Approve requests, subject to defined conditions or limitations.

c. Denying requests if the Research Council feels that guidelines have not been met or it would be inappropriate to have such studies conducted in the Wichita Public Schools.

d. Notifying candidates promptly regarding acceptance or rejection of proposals.

e. Maintain file copies of written reports or summaries of research studies for a period of five years.

f. Ensure that disclosure of information in student education records is done in compliance with FERPA.

Administrative Responsibility: Learning Services – Assessments and Research

Latest Revision Date: March 2011

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**Wichita Public Schools, USD 259**

**RESEARCH PROPOSAL**

Investigator(s):            Date:

Mailing Address:       Telephone:

Email Address:

Name and Address of Company, University/College, School/Department:

University/College Advisor (applicable to students only):

Complete this form using brief, concise statements and send one copy to Assessments & Research, Wichita Public Schools, USD 259, 903 S. Edgemoor, Wichita, Kansas 67218, for presentation to the Research Council (or email to [wgraves@usd259.net](mailto:wgraves@usd259.net)). This form must be dated and signed by a majority of the USD 259 Research Council members before commencement of any new research project. The investigator(s) agrees upon completion of the research project to submit a copy of the final report to Assessments & Research, USD 259.

1. Title or brief description of the proposed study:

1. Statement of the educational problem:

1. Specific purpose and expected outcomes:

1. Hypothesis(es) to be tested (if applicable):

1. What specific USD 259 Strategic Plan Objectives have you identified as being directly related to this proposal? State the relationship (see enclosed listing) and how USD 259 will benefit from this research:

1. Description of sample needed: grade levels, students, teachers, and/or management employees, and desired location(s) if there is a preference.

1. Procedures and methods to be employed. (What will be done by the investigator and participants in the study, data to be gathered, and data gathering instruments to be used?) If possible, attach copy of instrument(s) to be used in gathering data.

1. Data treatment and analysis:

1. Expected starting date:

Duration of study:

Expected completion date of dissertation or final report:

1. Protection of human subjects:
   1. Rights of privacy guaranteed Yes  No Permission for participation on record Yes  No
   2. Clearance by company, university/college/school Yes  No

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**REQUIREMENTS FOR RESEARCH CHECKLIST**

The following requirements have been established for individuals wishing to conduct research in USD 259, Wichita Public Schools:

1. Complete “RESEARCH PROPOSAL” form.

2. Complete “RIGHTS OF HUMAN SUBJECTS” checklist, if applicable.

3. Copy of all survey instruments or questionnaires that will be utilized in conducting the research.

4. Copy of proposal abstract or prospectus, if applicable.

5. Letter of endorsement from college dean, department head, or research advisor indicating that the project has been reviewed and that the researcher has met all requirements necessary to conduct the proposed research, if applicable.

**All of the above items must be completed and on file at Assessments & Research, Wichita Public Schools, 903 S. Edgemoor, Wichita, Kansas 67218 prior to Research Council Committee approval.**

**RIGHTS OF HUMAN SUBJECTS CHECKLIST**

**Yes No**

|  |  |  |
| --- | --- | --- |
| 1. Are you acquainted with the guidelines on the Rights of Human Subjects? |  |  |
| 1. Do you explain procedures (in writing or orally) in terms which can reasonably be assumed understandable to subjects (including, and especially, when subject’s primary language is not standard English)? |  |  |
| 1. Does your treatment include the use or implied use of drugs or electric shock? |  |  |
| 1. Does your treatment include the use of money (including paying subjects to participate)? |  |  |
| 1. Do you explicitly inform subjects of their right to refuse to participate? |  |  |
| 1. Do you explicitly inform subjects of rights to withdraw from participation at any time? |  |  |
| 1. Do you explicitly offer to answer subject inquiries about your study prior to their participation? |  |  |
| 1. Will you assure subjects of anonymity or explicitly inform subjects their responses are not anonymous to the investigator? |  |  |
| 1. Have you provided adequate safeguards for the data? |  |  |
| 1. Could any of your procedures reasonably be construed as anxiety provoking? |  |  |
| 1. Could any of your procedures or questions reasonably be construed as an invasion of an individual’s privacy? |  |  |
| 1. Do you intend to use students from your own classes as subjects? |  |  |
| 1. Do your procedures involve any deception of subjects? |  |  |
| 1. Do you offer to debrief subjects at the end of your investigation? |  |  |
| 1. Do you obtain informed consent from subjects or the parents or guardians or subjects, or persons responsible for safeguarding data? |  |  |
| 1. Has an endorsement been obtained from university/college advisors or department heads in support of this project? (if applicable) |  |  |
| 1. Are you going to involve subjects off campus? |  |  |