

**Doane College Institutional Review Board
EDL Exemption Request Form
Revised November, 2008**

Doane College Policy Statement:

Doane College's Institutional Review Board (IRB) is a standing committee comprised of individuals which reviews proposed research involving human participants to determine whether the research meets the ethical standards required by the Department of Health and Human Services (HHS), as described in the Code of Federal Regulations, part 46: <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>

For IRB purposes, research is defined as "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." (45 CFR 46.102(d)). This broad definition highlights the fact that gathering information about people with the intention of sharing that knowledge in some form with others (such as the general public or other scholars in the form of conference presentations or journal publications) is research that must be reviewed by an IRB.

Some research activities submitted to the Doane College Institutional Review Board (IRB) may be exempt from formal IRB review processes. When specifically deciding whether a research activity is exempt from such review, the IRB chair (or person designated by the chair) will rely on the exemption categories provided by the Code of Federal Regulations, Title 45, Part 46. (Specifically, 46.101(b)). These categories are listed below.

Doane College Educational Leadership (EDL) School Improvement Project (SIP)/Continuous Improvement Project (CIP) Requirement

The Doane EDL School Improvement Project (SIP)/Continuous Improvement Project (CIP) requires each EDL student to engage in a real, school-based project that is patterned off the process of school improvement required of all schools in the state of Nebraska by the Nebraska Department of Education. The EDL focus is for each student to lead a collaborative team in...

- Identifying and analyzing real data from their school.
- Asking questions of data and of instructional practices.
- Seeking research-based best practice for potential interventions to implement and measure.
- Measuring results and reporting conclusions and new learning.
-

Each EDL student prepares a six chapter paper describing the work in SIP/CIP accomplished within their school setting, thereby demonstrating each of the Educational Leadership Outcomes of Strategic Leadership, Instructional Leadership, Organizational Leadership, and Community/Political Leadership.

According to the Doane College IRB, school-based projects, like the EDL SIP/CIP, have exempt status meeting Criteria items # 1, 2 & 4, outlined below. Even though exempt of IRB review, each SIP/CIP must meet criteria for ethical consideration of participants ensuring confidentiality, also outlined below.

Dr. Jed K. Johnston, Dean of Graduate Studies in Educational Leadership
November, 2008

EDL Student Name: _____ **EDL Cadre** _____

EDL SIP/CIP Project Title:

Problem Statement:

Project Learning Goal/s:

Best Practice Intervention:

(Please attach a copy of the EDL SIP Plan of Action to this form)

Some school districts require that all projects conducted by graduate students comply with district policy by completing a research proposal that needs to be reviewed and acted upon by the district. In such situations, EDL students should attach the following completed form to the proposal submitted to their district.

1. Exempt Status: The Educational Leadership School Improvement/Continuous Improvement Project (SIP/CIP) is not considered as research and qualifies for Doane College exempt status by the standards required by the Department of Health and Human Services (HHS), as described in the Code of Federal Regulations, part 46:

<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>.

The Doane EDL SIP/CIP is a school-based project patterned after the process for school improvement required by the Nebraska State Board of Education. The SIP/CIP is not “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.” An experimental design approach is not acceptable. Instead, it is a project grounded in school improvement processes utilized by the school district. The SIP/CIP requires each EDL student to examine public data on achievement trends in their school, requires the use of only acceptable, research-based best practice, and requires the measurement and reporting of the results of the implementation of such practice. Results are of a formative nature and identify no specific individuals, but instead represent the impact of the measurement on instructional practice. Progress of how EDL students understand the SIP/CIP process is shared in the confidential setting of the Cadre Seminars of EDL687 and EDL695, but no student results are reported.

2. Indicate which specific exemption(s) you believe applies to your EDL SIP/CIP. (Please check all that apply.)

_____ **(1)** Research conducted in established or commonly accepted educational settings, involving 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.

_____ **(2)** Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:

(i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

N/A (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

_____ (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

N/A (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

N/A (6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed; or, (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

3. Statement of Confidentiality for Ethical Consideration. Briefly describe how you will address each question.

- How will you provide for confidentiality?
- How will you safeguard participants?
- How will you share results?
 - With what audience? (school site, Cadre)
- How project complies with current school SIP/CIP initiatives?
- How is project consistent to school policy/guidelines?

4. Signatures:

EDL Student _____ **Date** _____

EDL Instructor _____ **Date** _____

EDL Dean _____ **Date** _____

[A copy of this form is to be included as part of the Appendices for the SIP/CIP.]