

What you need to know to research

Applying Professional Ethics

A code of ethics

Yes, we have one too!

- From AECT
 - <http://www.aect.org/About/Ethics.asp>
- Covers many aspects, including research:
 - “Shall conduct research using professionally accepted guidelines and procedures, especially as they apply to protecting participants from harm.”
- Requires both established practice in research and formal IRB approval

More than ethics – it’s required!

- Abuses by researchers led to a series of international agreements to ensure that research did not violate human rights and dignity
 - Federally regulated in US, **mandated compliance**
 - 45 CFR 46
- Institutionalized at universities and other entities doing research and using public funds
 - **Institutional Review Board (IRB)**
 - The IRB has the authority to approve, require modifications, or disapprove research.
- **UH Human Studies Program (IRB)**
<http://www.hawaii.edu/irb/>

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UH Human Studies Program (IRB)

Do not start without approval

You need IRB approval before starting most research projects involving human subjects when you are a UHM grad student

A walk through the process



The exempt form

- **Download it now**
FORMS in menu item, first item
 App_Exempt.doc
<http://www.hawaii.edu/irb/>
- For later reference and help, see *Policies & Procedure Manual*

What kind of project are you doing and who are the "humans"?

Before you start

Your Participant Pool – pick one

INSTRUCTIONAL DESIGN	ACTION RESEARCH
<ul style="list-style-type: none"> □ You are using adults (over 18) to evaluate your module who are fellow students and friends □ You are asking a class of adults to evaluate your module and the instructor has agreed □ You are asking a class you teach to evaluate your module 	<ul style="list-style-type: none"> □ You are teaching adults in another instructor's college classroom □ You are teaching adults in your own college classroom □ You are teaching children (under 18) in a DOE school □ You are teaching children in a private or charter school

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<p>The concept of "vulnerable populations"</p>	
<p>Your participants must be truly volunteers and old enough to know what they are signing up for</p>	

Question 1: Is your project research?

Is your project a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge?

YES

II. Is your project "Human Subjects" research?

1. Does your project involve only the analysis of publicly available data?
2. Is this a UH class project (whether individual or group) from which
 - the data will only be submitted to your instructor for a class grade
 - and **will not be published, presented at an academic conference**, given to an agency as a formal report,
 - and will not be used in future research or to qualify for a graduate degree (e.g. Master's or Doctoral dissertation)?

NO

Next question, please

1. Does your research involve obtaining information about **living** individuals?
2. Will the information be obtained through intervention or **interaction** with these individuals?
3. Will your research involve access to private information from which individuals can be **identified** directly or indirectly through a link or code?

YES

YES

YES?

III. Categories of Exemption

Select only ONE!

Choose **N/A** for all the rest and ignore the questions underneath those categories

Research on Educational Practices (Federal Category 1)

- Your research will take place in an established or commonly accepted **educational setting**, involving **normal educational practices**.
- **Only** for classroom studies!



Official definition of "normal"

1. 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 methods**.

May be "normal" practices

- Development of **assessments** related to educational activities.
- Research with **instructional methods** or classroom / school activities which may include pre and post testing, surveys, interviews, and/or observations.
- Obtaining **samples of student work** or scores may be eligible

The captive student

- When you are working with minors...
 - Special exemption for K-12 teachers working with own classroom
 - All students participate but data only from those with permission
- When you are working with college students...
 - May require you do "blind" study if you are instructor
 - Someone else collects permissions and you don't know who agreed until finish

Research Involving Surveys or Interviews (Federal Category 2)


Surveys & Interviews

- Educational tests*, surveys or interviews for participants ages 18 and older.
- Your survey/interview research does **not** include a vulnerable population
- Confidential and low risk or anonymous

Mostly YES if adults

* Standardized tests like SAT or NSSE, NOT pre- and post tests or other classroom assessments

What this one covers



- Most ETEC non-classroom research including:
 - Instructional design
 - Needs assessment
 - May include action research with adults (teachers), workshops

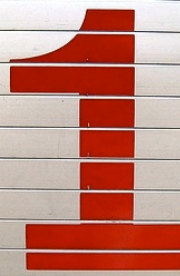
Interviews, surveys, focus groups, observations, experiments

III. Easy to just say "N/A"?

- Research Involving Public Observation (Federal Category 2)
- Research Involving Public Officials (Federal Category 3)
- Research Involving the Use of Existing Data (Federal Category 4)
- Research Involving Public Benefit or Service Program Evaluation (Federal Category 5)
- Research Involving Taste and Food Quality (Federal Category 6)

Exempt Category check box

Did you figure out which ONE applied to your study?



The questions

- ❖ Research design
- ❖ Consent form(s)
- ❖ Survey & interview questions

IV. Description of project

- Write a **1-2 page description of your project.**
 - Just answer the questions, not your whole idea paper!
 - Best to list questions in your document with answers under each
 - Type **N/A** for any question not relevant to your study
 - Write carefully and clearly, word processed, spell checked, proofread

1. Purpose statement – use the one from your idea paper and add a few sentences to explain

2. Research methods

Very short description.

- How you will **collect and analyze data**
 - **Not** about how you will design your module or instruction if action research
 - Are you using interviews, surveys, observations, experiments?

Does not require justification or citations.

3. Educational practices

- **Only** if you checked this as your **ONE** area for approval.
- KISS – don't over describe.
 - Want to know about your evaluation **not** details about your intervention (instructional methods)
 - How will you find out if it worked?

N/A if this isn't what you checked on the form!

Hints for educational practices

- Be clear this is a normal lesson you would teach to your students
- Point out that **all** students will participate in the activities as usual
- Note that you will only **report** on those who have **permission** to participate in the research
- Your evaluation methods should be primarily things you usually do anyway
- FERPA protects student data you may access as a teacher but not as a researcher

4. Existing data

Only if accessing non-published data tables.
Not for your studies, **write N/A**

5. Recordings

- If you plan to record, tell how you will keep the recordings secure
- Note permission to record part of informed consent
- Additional recommendations
 - No video unless essential
 - Don't record minors, just keep notes
- If no recording, say that

6. Participants

- What they want to know isn't just who you will study but how you are selecting them.
- How will you ask them
 - Voluntary means no form of coercion
 - They don't allow you to pay to participate, no raffles or lotteries
 - May compensate all for time/energy involved, everyone gets the same

More on participants

- Be very clear how you will select your study group
 - In classroom, only those who have permission even if everyone does the activity
 - How will you ask them to join the study? Who are the ideal participants?
 - No vulnerable populations for exempt
 - Selection should be "equitable"

Documents you will create

V. Attachments

1. The Consent Form

Based on the idea that your subjects should know

1. Why they are being studied
2. Any risks involved
3. Voluntary nature of the research
4. Who to call with questions



Informed consent form

- Must be documented by the researcher – keep a file
- Generally done by combination of a verbal explanation and an **"informed consent" letter** with space for signature
- Use one of **Examples** at UH IRB (also search on Internet for easy modifications) – link under "How to Apply"
 - Very standardized so generally okay to copy
 - CHS has checklist online to help with writing

Check one out – IRB, see menu for **Sample Consent**

<http://www.hawaii.edu/irb/>

Privacy protections

- In your reporting you are expected to ensure individuals cannot be identified
 - Includes not using real name of K-12 school but okay to include it in IRB application
- Protections during research:
 - **Anonymity** (you don't know who they are)
 - Anonymity protects subjects' privacy by maintaining no record of their identity. Even informed consent forms constitute a record, which is why they are sometimes waived.
 - **Confidentiality** (you know but will keep it secret)
 - Confidentiality protects subjects' privacy by keeping identifying information separate from the data gathered, coding any identity category on the data set, and locking up the list of subjects by code until the list is destroyed.

Special circumstances

Anonymous online survey (you really don't want to know who they are)! –

- ✓ still need form but not signatures (sample on IRB web site)

Special circumstances 2

K-12 students or minors (under 18)

- ✓ Must have signed permission from parents for participation
- ✓ **Assent** form for children 12 and over
 - May have form for younger children or just discuss in class so they understand

Examples at UH IRB site and online



Special circumstances 3

College students in a class you teach

- ✓ Do same for all students in the class during the semester you teach
- ✓ Ask someone else to collect consent forms so you don't know who will be participating



V 3. Instruments

- Need **all** survey questions, interview questions, observation form, lab recording forms, etc.
 - Do **not** include standard classroom teaching materials or assessments, pre- and post-tests for content
- Draft allowed but need to submit final before actually doing study
 - UH IRB has form for this change

Must have all sections to submit



Getting approval from CHS

- Submit by **email**
 - Digital signature trick – in Word, under Tools, choose “Unprotect Document” (do this last!)
 - Your instructor must approve and sign form
- Able to check status online at IRB web site
- Notification by email
- Keep for your records.

Current process is taking about three-four weeks

More Permissions

- You must have permission from the organization where you are doing your study
 - May be from manager, principal, etc. Note approval in your description but don't need to submit letter.

Special requirements for DOE

- Must submit online application <http://apps.hidoe.k12.hi.us/research/>
 - Requires significant documentation, similar to UHM but more
 - May submit **before** you have UHM approval but will not be approved until you attach UHM IRB letter
 - Requires minimum six weeks for approval
- **Not recommended for this year as approvals unlikely to be obtained in time to finish and graduate**

Not applicable for charters or private, require localized permissions

What if my project did not fit any of those categories?

Talk to your instructor!

Do not collect data before approval!



Really, really important!

What next?

No questions tonight

- ? Review recording and carefully look at forms and IRB web site for policies, guidance
- ? Email simple questions to your instructor after review
- ? Time will be set up for individual advising if needed

