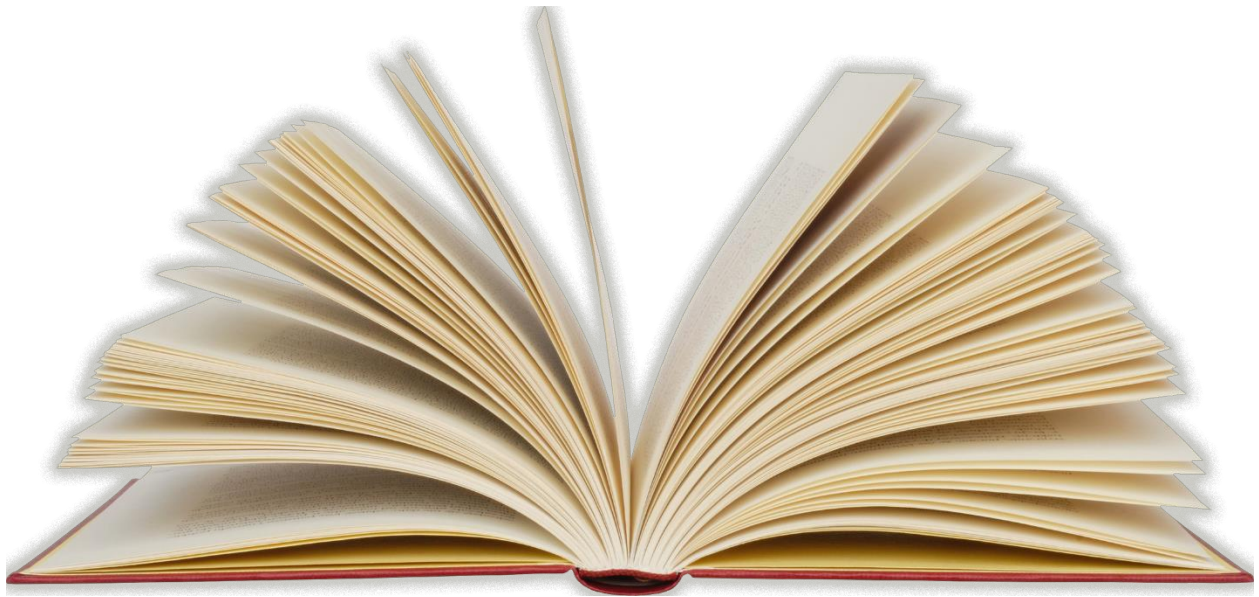




NEW HAVEN PUBLIC SCHOOLS



**New Haven Public Schools
Educational Research
Application**

Office of Data, Research, and Analytics



NEW HAVEN PUBLIC SCHOOLS

Application Fee \$100 Individual \$250 Organization
Application to Conduct Educational Research

Primary Researcher(s): (First and Last Name(s)/Organization)
Research Proposal Title:

Checklist

Application Requirements

The following forms must be submitted with your application:

- Assurances (this form)
- Agreement to Comply w/ State and Federal Privacy Laws
- Request to Conduct Research Form (all sections)
- Detailed Research Proposal (all required sections)
- Itemized List of District Resources to Conduct Research
- Summary of All Data Gathering Instruments (surveys, questionnaires, etc.) – *(if applicable)*
- Acknowledge and Copies of IRB approvals – *(if applicable)*
- School or District Sponsorship Form – *(optional)*

Assurances (Please Initial)

1. Changes will not be made to the scope and/or structure of the study, unless approved in advance by the New Haven Public Schools.
2. Study findings will not be published or released which identify the district, its schools, students, or staff, without written approval of the Superintendent of Schools or her Designee.
3. A final copy of research findings, including but not limited to a full written report, will be submitted to the Superintendent of Schools or her Designee and to each entity that participated in the study.

Date Submitted _____ **Signature of Primary Researcher** _____



Agreement to Comply with State and Federal Privacy Laws (*Read and Sign*)

Any research that requires access to student level information MUST comply with state and federal student data privacy laws. The sections below are designed to assist researchers in outlining their plan to achieve compliance. To understand full legal responsibilities, researchers should consult state and federal statutes.

Connecticut State Law – Public Act No. 16-189 – An Act Concerning Student Data Privacy

Effective October 1st, 2016, any new contracts or agreements with external actors, agencies, organizations, or vendors, that require the collection, use, or transfer of student information, student records or student generated-content, must include additional protocols and procedures to ensure proper handling and protection of such data. This requirement is extended to researchers.

Intent to Conduct Research Notification – At least 10 school days before the start date of the proposed research, the District must notify any student and parent/guardian who may be affected by the initiative. To help facilitate this requirement, researchers must provide the District a written notice that stipulates the intent of the study. The notice shall include:

- the start date of the research project;
- a brief description of its purpose and intent;
- a statement explaining what student information will be used, collected, and generated during the course of the study;
- and an opt-out clause (for which students or parents can sign and return to school);

Furthermore, researchers shall provide the District with sufficient copies of the notice for distribution. If copies are not provided 10 school days before the research start date, then the start date will be delayed.

Security Safeguards – Researchers shall take action to ensure the security and confidentiality of student information, student records and student-generated content at all times.

Breach of Security Notification – Upon discovery of a security breach that involves student information, student records or student-generated content, researchers shall immediately contact [Dr. Michele Sherban](#) by phone at (475)2201160 or by email M.SHERBAN-KLINE@new-haven.k12.ct.us and provide the list of individuals affected by the breach. The New Haven Public Schools will then take the necessary steps outlined in Public Act 16-189 and may choose to subject researchers to further investigation.¹

Restricted Use of Data – The new law places additional restrictions on data use and rights. For instance, all student-generated content resulting from the study shall remain the property of the student or the student's parent/guardian. In addition to maintaining the security, the confidentiality, and the privacy of such records, researchers' use of information shall not deviate from the approved purpose.

For more information on this legislation, please consult [Public Act 16-189](#).

¹ Note – in case of a security breach, the research project and any associated data sharing agreements shall be immediately suspended. From the date of discovery, the researcher will have 30 days to conduct an audit of internal data security practices, protocols, and systems that may have contributed to the breach as well as include an action plan to restore credibility. The researcher will then be required to submit a full report to the NHPS and present any findings. The NHPS will then determine whether the research project shall be reinstated; and if so, under what conditions.



Federal Law – Family Educational Rights and Privacy Act (FERPA)

Any use of student information must comply with the protection and privacy laws specified under FERPA. To comply with this requirement, researchers should preserve the integrity and confidentiality of student records; and therefore refrain from disclosing any personally identifiable information (PII).

To achieve this requirement, any disclosure of student information must be de-identified, and any communication of statistics and counts by student groups and populations must satisfy the minimum threshold for reporting standards. The State and District permit the publication of summary statistics and population counts for student groups according to [suppression standards](#). The threshold (n-size) for data reporting is restricted to 20 or more. Hence, if researchers had information on 19 students and wanted to make public their findings, they would not be able to do so by State and District standards. The minimum threshold for reporting statistics prevents persons from tracing back the data.

Federal Law – Protection of Pupil Rights Amendment (PPRA)

The administration of surveys (or other research instruments) to students must comply with the legal requirements of PPRA. For example, in addition to the notification of rights, the District is required to inform students, parents, and legal guardians of any survey instrument that requests the disclosure of personal information as it relates to one or more of the following “eight protected areas”:

- political affiliations or beliefs of the student or the student’s parent;
- mental or psychological problems of the student or the student’s family;
- sex behavior or attitudes;
- illegal, anti-social, self-incriminating, or 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).

Hence, to meet this requirement, any researcher that uses a survey instrument designed to elicit information related to the eight protection areas must obtain District approval before its administration. The researcher must provide sufficient notification that includes obtaining parent/guardian consent.

Date Submitted

Signature of Primary Researcher



Request to Conduct Educational Research

Primary Researcher: (First Name and Last Name)	Organization/Position:
Phone Number (XXX)-XXX-XXXX	Email Address:
List All Other Researcher(s) Involved in this Proposal:	

Researcher’s Relationship to New Haven Public Schools

- Internal Staff Member (Employee of NHPS)
- External Researcher (University Affiliated)
- External Researcher (Independent)
- Other (Please explain -)

Type of Application (Choose one)

- New
- Continuation (of currently approved project)
- Updated (minor changes to previous application)
- Other (Please explain -)
- Resubmitted (significant changes to application)

Purpose of Research Project (Select all that apply)

- Complete Coursework
- Pilot/Test Proprietary Software or Resources
- Complete Certification
- Publish Research and Findings
- Complete Advanced Degree(Select degree level.)
- Other (Please explain -)

BRIEF OVERVIEW OF RESEARCH PROJECT

Does the research proposal support the District’s Strategic Operating Plan? Yes No

Does it require the use of time allocated for instruction or independent learning? Yes No

Does it provide a direct benefit to students, staff, or the district? Yes No

Will it require a significant amount of district resources (time, commitment, etc.)? Yes No

Does it require the collection or use of student level data? Yes No

Does it explicitly state how it will safeguard student, staff, school or district level data? Yes No

Desired start date? End date?

_____ **Date Submitted** _____ **Signature of Primary Researcher**



Detailed Research Proposal

This form outlines key sections that should be included when submitting a research proposal for District review. Each section should be succinctly stated (1000 characters or less). Failure to complete any section – unless otherwise noted – may automatically result in adverse decision by the District. If any section is non-applicable, write “N/A” and explain why.

Purpose for Research

State the primary purpose and the intended audience for this research initiative.

Question of Inquiry or Statement of Problem

Briefly state the question of inquiry and/or the statement of the problem.

Literature Review (Optional)

Requests to conduct educational research should be informed by prior research. Please list any research that supports your theory of change or hypotheses. (Bullet points will suffice).

Theory of Change/Hypothesis (optional)

Clearly state your theory of change/hypothesis.

Research Design and Procedure – (may exceed character limit)

Clearly outline your research design and the procedures to conduct your research. Also, include, a timeline for implementation as well as time commitments for participants.



Type of Data Provided by the District (if applicable)

Briefly describe the type of data that would need to be provided by the district to facilitate this study. Please note it is at the discretion of the district as to the extent, content, amount of data that can be collected (Note – You may have to submit an additional form at a later time).

Intended Use of Data (may exceed character limit)

Explain the intended use of data collected and generated during the course of the study.

Legal Mandates – Student and Family Data Privacy – (may exceed character limit)

Please explain how you will comply with [state](#)¹ and [federal](#)² laws related to student and family data privacy and confidentiality.

Protecting Staff and School Level Data

Briefly state how you intend to protect the anonymity of staff and school level data and information.

Rationale for District Approval – (may exceed character limit)

Please explain why the Review Committee should approve this research proposal. In your response, you should explicitly answer the following questions: 1) how this project will support the District’s Strategic Operating Plan; 2) how it will directly benefit students, staff, or the district; and 3) how it explicitly advances the quality of teaching and learning in the district?

¹ Link to Connecticut State Law – Public Act 16-189 – “An Act Concerning Student Data Privacy”. A brief summary of the Act may be found [here](#).

² Information related to FERPA and other federal privacy laws may be found [here](#).



Itemized List of District Resources Required to Conduct Research

(if applicable to Research Proposal)

If the research requires the use of school and/or district resources (time, staff commitments, facilities, materials, etc.), then researchers must provide a detailed list of such items.³

	Resource/Item	Unit	Quantity	Reason for Item
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

Acknowledgement

By signing below, you agree that the itemized list accurately reflects all resources, services, and materials needed from the District to conduct this research project. If additional resources are required, then it is the responsibility of the “primary researcher” to submit an updated list.

Failure to provide such a list could void the research agreement.

Date Submitted

Signature of Primary Researcher

³ *** Please note – the District has the right to charge a fee for any resources used to facilitate the research project. Before any such services or materials are rendered, the District will provide a quote (if required).



Summary of Data Gathering Instruments

(if applicable)

For each instrument (survey, questionnaire, interview, etc.) used to collect data, the researcher must provide the name of the instrument, its form, the intended subject, and the intended purpose behind it.

Name of Instrument	Form (Method)	Intended Subject	Purpose of Instrument	Frequency of Administration
1. <i>After-School Learning Opportunities for Algebra Students</i>	<i>Survey</i>	<i>Students and Parents</i>	<i>Measure access to mathematic resources at home</i>	<i>One-Time Survey</i>
2.				
3.				
4.				
5.				

The researcher MUST also attach copies of all surveys, questionnaires, and instruments to be used when submitting an application to conduct research.

_____ **Date Submitted**

_____ **Signature of Primary Researcher**



IRB Requirements and Consideration

(if applicable)

Institutional Review Board (IRB) is a committee established to review and approve research involving the use of human subjects.⁴ In regard to education research, the committee is designed to protect the rights and welfare of human subjects, such as students, parents, teachers, and staff in schools and districts.

It is the responsibility of the researcher to gain approval from their institution's IRB committee prior to submitting an application. If the research proposal does not warrant an IRB review, then the researcher must demonstrate and explain "proof of exemption."

Please note, even if the researcher's IRB committee has approved the proposal, **the District has the right to accept or reject it.** For this reason, the District strongly urges researcher to disclose how they plan to protect any data used, collected, or generated from the study, how they plan to de-identify any private information; and how they plan to gain informed consent and debrief subjects/participants (if using a survey instrument or conducting a RCT).

For this reason, researchers are encouraged to submit a complete application with surveys and IRB documentation attached. Otherwise, approval may be delayed.

Select One (Required)

- This research project requires an IRB review; and I am pending its review.
- This research project required an IRB review; and I have attached documentation of its approval.
- This research project DOES NOT require an IRB review; and I have attached documentation explaining "*proof of exemption.*"

Date Submitted

Signature of Primary Researcher

⁴ "Living individual about whom an investigator (whether professional or student) conducting research obtains: 1) data through intervention or interaction with the individual, or 2) identifiable private information." HHS.gov



NEW HAVEN PUBLIC SCHOOLS

INTERNAL APPLICANTS ONLY

Sponsorship Form

(Completed by School or District Leader)

Research Proposal Title: [insert research project/proposal title]

I, (insert first name followed by last name), (insert title) of (insert “school name” or “New Haven Public Schools”) understand:

- the above research study and what it requires of staff, students, and/or parents in my school/district;
- that the privacy and confidentiality of any staff or student will be protected;
- that I have the right to allow or reject this research study to take place at my school;
- that I have the right to terminate the study at any time;
- that I have the right to review all consent forms and research documents at any time during the study and up to three years after its completion.

Select One (Required)

I grant permission to the researcher to conduct the above named research project in my school as described in the proposal.

I DO NOT grant permission to the researcher to conduct the above named research in my school as described in the proposal.

Data Release Agreement (Required – If permission to conduct is agreed upon)

I understand that data should be released only by the departments that own them. My staff and I shall NOT release data to the researcher without prior approval from the District’s Educational Research Review Board.

Date Submitted

Signature of School/District Sponsor



NEW HAVEN PUBLIC SCHOOLS

Request to Modify Approved Project or Proposal

(if applicable)

If an existing project or approved proposal has been modified from the original application, then the researcher is required to gain approval before changes are implemented. To initiate this process, you must submit this form to MICHELE.SHERBAN-KLINE@new-haven.k12.ct.us with the subject line "Request to Modify – [Insert the Title of the Approved Project/Proposal]".

Describe what changes or modifications have been made to your previously, approved project or proposal.

Explain how these changes will impact human subjects included in the study.

Explain how these changes will impact school and/or district resources.

Date Submitted

Signature of Primary Researcher



Criteria for Evaluating Request to Conduct Educational Research

When evaluating research proposals, the Review Committee will use the criteria below. (Note - additional weight will be given to proposals/projects that support District goals and initiatives, clearly contribute value to student learning and staff development, and do not place excessive burden on district resources.)

Criteria	Rating or Determination
1. Does the research proposal adhere to the standards and templates outlined in Policies and Guidelines for Conducting Educational Research?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Are there any sections of the request/proposal blank, incomplete, or missing?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the data request/proposal align with HPS's Strategic Operating Plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Is the research motivated to advance any special interests or private gains?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Does the project provide value-added to students or the District? ⁵	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. What is the burden placed on the District? ⁶	<input type="checkbox"/> Extensive <input type="checkbox"/> Moderate <input type="checkbox"/> None
7. Is there District or school-based support for this initiative? (e.g. copies of communication from teachers, administrators, and/or district leaders)	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. If student level data is required, does the request/proposal adequately describe how the data will be used to comply with state and federal data privacy laws?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9. Has the researcher agreed to not disclose school names or any findings without the approval of the Superintendent or designee?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10. Has the researcher agreed to issue a complete report and summary of findings to the District before making them public?	<input type="checkbox"/> Yes <input type="checkbox"/> No

⁵ Potential benefits should significantly exceed both the amount of time spent and resources involved.

⁶ Note – research should not disrupt the education process, including instructional time and independent learning. Undue burden extends to all students, parents, schools, and district staff members of NHPS.