

UNIVERSITY OF NORTHERN IOWA INSTITUTIONAL REVIEW BOARD (IRB)

PreK-12 Classroom Research

Exempt Determination Form

This form is only for teachers in Pre-K12 settings who are UNI graduate students conducting research in their own classrooms. To use this form, the research must be minimal risk, conducted in their own school, focused on normal educational practices, and not likely to adversely impact student learning. Another condition for using this form is that any sensitive data or artifacts being used in the study must be de-identified, so that no person other than the researcher would be able to trace the information back to a given individual. Sensitive data is that which might embarrass the students or parents (e.g., grades, testing results, disciplinary information, social attitudes, etc.), or put them at risk of criminal or civil liability. If direct identifiers will be stored with sensitive data (or the data is easy to trace back even without direct identifiers), then you must submit the study for review using the standard IRB forms and process. Video and audio recordings are necessarily identifiable and thus must not contain any sensitive information about the participants (or the study must be reviewed using the standard form). Music, art, and physical education activities can be reviewed using this form if they are consistent with normal educational practices. Classroom research involving secondary data analysis may also be submitted using this form. This form is not for university faculty who are conducting classroom research in the university setting or entering K-12 settings to conduct their research projects.

If the IRB determines that your study meets the criteria for the Exemption, you will receive an email authorizing the study to proceed. If the IRB determines that standard review is required, you will be requested to complete a standard form. If your study is being done for a university class, your results will not be shared outside of class, and the study is minimal risk only - no IRB review is required (K-12 or standard). If you are not sure which form is appropriate, further guidance is available on the [IRB website](#) or you may email the IRB Administrator.

Instructions for Submission

1. Review IRB guidance on [IRB website](#).
2. Review training requirements on the [IRB Training webpage](#).
3. Download and complete most current form version from the [IRB Forms webpage](#).
4. In order for this form to save your changes, you must open it directly using Adobe Acrobat Reader (or Acrobat Professional/Acrobat DC), not through an internet browser.
5. Email document(s) to anita.gordon@uni.edu, and you must **“cc” your advisor** on the email.
6. Submission of this application indicates that the Principal Investigator (PI) and Faculty Advisor acknowledge they are responsible for ensuring that all personnel comply with university requirements and federal regulations for human subjects research.

Project Title

PI Name

PI Dept

PI Email

Faculty Advisor

Advisor Email

PI Status

Faculty/Staff

Graduate Student

Other Key Personnel

List names, emails, and departments for all other key personnel. Consult guidance for definition of key personnel. If none, list none. Also enter organization(s) involved, including those for any non-UNI collaborators.

Training: Do the PI and Advisor have human subjects training documentation on file? (required)

Do all other key personnel have human subjects training documentation on file? Enter yes, or if not, list those with training still pending.

Est. Start Date

Est. End Date

Methods

Describe all study procedures and types of data or information to be collected or used.

Personal Identifiers

Outline the identifiers which will be collected and/or stored by the researcher. As noted above, if any direct identifiers will be used or stored, there must be no risk to participants from disclosure. Also describe which indirect identifiers (e.g., gender, race, grade in school) will be collected and/or stored and how the data will be kept so that re-identification by unauthorized persons cannot later occur.

Parental Permission or Notification

Signed consent forms may be used but are not required for these studies, unless required by your school.

Indicate whether you will be using signed parental permission forms, or if you will simply be informing parents about the study and inviting them to contact you if they would prefer their child not participate.

Signed parent permission forms

Not applicable (in rare circumstances)

Parental notification (electronic or hard copy)

Consent Documents

By checking the box to the right, the researcher and faculty advisor confirm that the following study information will be provided to all students and parents in the study.

1. identifies that it is a research study
2. describes all study activities/methods and time/effort involved
3. states that activities are voluntary and they can withdraw at any point (or if activities are a normal part of the class, that providing permission to use their data is voluntary)
4. states that there is minimal risk involved
5. identifies any benefits to students, school, or the field of study
6. if any audio or video recordings will be made*, how they will be shared and with whom
7. any compensation being offered
8. contact information for researcher, faculty advisor, and IRB administrator

Note: Do not state that the UNI IRB has approved the study. You may, if you wish, state that the UNI IRB has found the study to be Exempt from IRB review, according to federal regulations.

Final Step

An email, letter, or approval form from someone in authority at the school or district must be provided to the IRB Administrator that the school has provided permission for the study to occur. If all information and requirements above have been met, the study will then be authorized to begin. *No study activities may be undertaken (including discussing the study with students) until you receive this email authorization.*