**APPENDIX K**

**RESEARCH FUNDED BY U.S. DEPT. OF EDUCATION**

**OR**

**CONDUCTED IN A SCHOOL THAT RECEIVES FUNDING FROM U.S. DEPT. OF EDUCATION**

**Proposed Study Title**:

**Principal Investigator**:

1.0 As applicable, investigators must maintain compliance with the provisions of the Family Educational Rights and Privacy Act (FERPA). FERPA applies when researchers obtain student records or personal education information from an education program. An education program is defined as any program principally engaged in the provision of education, including, but not limited to, early childhood education, elementary and secondary education, postsecondary education, special education, job training, career and technical education, and adult education.

Not applicable, student records are not utilized for this study, nor is personal education information being obtained from an education program – **Skip to item 3.0**

FERPA is applicable, and investigators will comply with the FERPA policy of the school.

(For reference, the University’s policy is available at <http://policy.uconn.edu/?p=368>.)

2.0 Will personally identifiable information be disclosed from an education record of a student **without consent** of the student (or parent of student is a minor)? (**Note:** Consent cannot be waived if the answer to 3.0 is yes)

Yes – go to 2.1

No - skip .to. 3.0

2.1 The disclosure is part of an agreement between organizations or researchers conducting studies for, or on behalf of, educational agencies or institutions to (select the applicable category):

Develop, validate, or administer predictive tests.

Administer student aid programs.

Improve instruction.

2.2 Attach the agreement and confirm it contains the following elements:

The determination of the exception

The purpose, scope, and duration of the study

The information to be disclosed.

That information from education records may only be used to meet the purposes of the study stated in the written agreement and must contain the current requirements in Department of Education regulations on redisclosure and destruction of information.

That the study will be conducted in a manner that does not permit personal identification of parents and students by anyone other than representatives of the Organization with legitimate interests

That the Organization is required to destroy or return all personally identifiable information when no longer needed for the purposes of the study.

The time period during which the Organization must either destroy or return the information.

Agreement will be attached to the IRB submission, with confirmation that all elements noted above are addressed in the agreement.

3.0 Does the research involve use of surveys, psychiatric examination, testing, or treatment, or psychological examination, testing, or treatment, in which the primary purpose is to reveal information concerning one or more of the following:

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

Yes – go to 3.1

No – skip to 4.0

3.1 No student will be required, as part of any research project, to submit without prior consent to surveys, psychiatric examination, testing, or treatment, or psychological examination, testing, or treatment, in which the primary purpose is to reveal information concerning one or more of the above points: Prior consent means:

* + - Prior consent of the student, if the student is an adult or emancipated minor.
    - Prior written consent of the parent or guardian if the student is a minor.

Explain plans for obtaining prior consent. If explained elsewhere (e.g. in the protocol or the application) you may provide reference to the relevant document(s) and section(s).

***Response***:

4.0 Is the research being conducted in a school other than the University of Connecticut?

Yes – go to 4.1

No – go to 5.0

4.1 Through use of the FERPA Verification Form, investigators must obtain and attach to the IRB submission verification from the school of compliance with U.S. Department of Education regulations that require schools to develop and adopt policies in conjunction with parents regarding the items noted on the FERPA Verification Form

Form is completed for each school and will be attached to IRB submission

5.0 For research funded by the U.S. Department of Education all instructional material, including teachers' manuals, films, tapes, or other supplementary instructional material, which will be used in connection with any research or experimentation program or project must be available for inspection by the parents or guardians of the children engaged in such research. Research or experimentation program or project means any program or project in any research that is designed to explore or develop new or unproven teaching methods or techniques. Children are persons enrolled in research not above the elementary or secondary education level, who have not reached the age of majority as determined under state law.

Not applicable, not enrolling children and/or not funded by U.S. Dept. of Education

Not applicable, the research or experimentation program or project is not designed to explore or develop new or unproven teaching methods or techniques.

Material will be made available and plans form informing parents of their rights to inspect such material will be communicated as follows:

***Response***: