ED 405 383 TM 026 250

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TITLE Conducting Research: Protocol for Collecting School

or Student Data in a Public School System.

INSTITUTION Prince George's County Board of Education, Upper

Marlboro, Md.

PUB DATE 25 Jul 96

NOTE 22p.; Paper presented at the National Center for

Education Statistics Summer Conference (Washington,

DC, July 1996).

AVAILABLE FROM Division of Instruction, Prince George's County

Public Schools, 14201 School Lane, Room 201F, Upper

Marlboro, MD 20772.

PUB TYPE Guides - Non-Classroom Use (055) --

Speeches/Conference Papers (150)

EDRS PRICE MF01/PC01 Plus Postage.

DESCRIPTORS \*Confidentiality; Databases; \*Data Collection;

\*Educational Policy; Elementary Secondary Education;

Ethics; \*Public Schools; Research Design; 
\*Researchers; Research Methodology; Research 
Projects; \*Research Proposals; School Districts

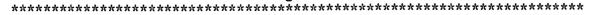
IDENTIFIERS Parental Consent for Minors; \*Prince Georges County

Public Schools MD; \*Protocols

#### **ABSTRACT**

The Prince George's County Public School District is a multiculturally diverse district in Maryland serving a heterogeneous population of students, most of whom are black (70.3%) and many of whom qualify for free or reduced-price meals (40%). The school system welcomes the opportunity to participate in research projects, but has acknowledged its obligation to protect the privacy and respect the learning of its students. The Board of Education has established a formal protocol researchers must follow to collect student and school data and has set up research application policies and a research application database. The School Board policy governs internal and external student data collection activities. This paper explains the policy and process to those who wish to conduct research in one of the nation's largest and most diverse school districts. At least 30 days before the proposed start of the study, the researcher must submit an application and research proposal that includes a parental consent form. The school district's Office of Research, Evaluation, and Accountability reviews the application and consults with professional staff as needed. Applications are entered into the school district's research database. Approval depends on respect for the confidentiality of students and parents and the school district's available resources. Attachments include the policy statement, the application form, a concerns and hazards statement, and other forms to support the application process. (Contains three figures.) (SLD)

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### Conducting Research: Protocol for Collecting School or Student Data in a Public School System

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Jacqueline K. Reed, Ph.D. Office of Research, Evaluation and Accountability Prince George's County Board of Education Upper Marlboro, Maryland

Presented at the National Center for Education Statistics 1996 Summer Conference Washington, D.C. July 25, 1996

# Conducting Research: Protocol for Collecting School or Student Data in a Public School System

### Introduction and Background

Prince George's County Public Schools (PGCPS) is a multiculturally diverse school system in Maryland, serving a heterogeneous population of elementary, middle and high school students. An overwhelming majority of the system's 119,951 students are Black (70.3%), with the remaining population distributed as follows: 18.6% White; 5.2% Hispanic; 3.9% Asian/Pacific Islanders; and 0.4% American Indian (Prince George's County Public Schools, 1996). Although the County was recently described in a national newspaper as a jurisdiction on the vanguard of a wealthy, majority African American community, 40% of the student population qualifies for free or reduced meals. The school system indeed represents a cross section of students who are part of one of the most multiculturally diverse communities in the nation. The district's 180 educational facilities house the largest public school system (K-12) in the state of Maryland, and is also the 17th largest in the United States. Local programs and initiatives include an extensive Magnet Program consisting of 16 themes found in 51 schools, the Comer Project, and the American Indian Educational Program. Reform initiatives in which the district participates include Equity 2000, ATLAS (Authentic Learning and Assessment for all students) and Pacesetter Programs. Consequently, the school district receives numerous requests to study its students, parents, schools, programs, administrators and staff from a wide range of educators, students and government agencies.

Although the school system welcomes the opportunity to participate in research projects, it is mindful of its obligation to protect the privacy of students and their parents. The school district cooperates with external researchers when it is feasible, in terms of the operation of the schools, and where the results of the proposed research are judged to be useful to educators within the system. However, gone are the days when researchers needed to simply enter a school, contact the principal, ask the principal's permission to administer a questionnaire to a class of students and leave with data in hand. The Prince George's County Board of Education has responded to the community's demand that parents be informed of external research if their child is a prospective participant in a research project whose purpose is outside the regular curriculum. The response is through a formal protocol for the collection of student and school data: research policies and procedures, a research application process, and a research application database.

Prince George's County Public Schools has had policies and procedures governing the conduct of research studies since 1974. Although the Board of Education's first set of regulations provided mandatory procedures that were for employee authorization to conduct research, over the years the policy has been expanded to apply to external as well as internal researchers. The original policy provided procedures for employees who needed to conduct research in the system as a requirement of a college course or for a degree. The original policy was amended in 1976 and most recently, in 1994. The School Board policy now governs all



internal and external student data collection activities, including tests, surveys, interviews, video and audio recordings. Our data collection procedures not only include a formal research policy but also an application and review process. The newly developed application database serves as a tool that facilitates the school system's ability to allocate limited school system resources. This presentation will inform a cross section of educators of policies and procedures for conducting research in one of the nation's largest and most diverse school districts.

#### Research Policies and Procedures

Board of Education Policy Number 5125.4, INFORMED CONSENT: STUDENT DATA GATHERING (see Appendix A), governs all research conducted in Prince George's County Public Schools. In brief, the policy states that the Board believes that no student enrolled in the public schools of Prince George's County should be the unwilling or unknowing subject of any research study or student records access unless such activities are approved in advance by the parents of each child involved. The policy further forbids the following: 1) the practice of "passive consent" in the administration of any external (third party) research; 2) the administration of any external (third party) research study without written authorization from the Superintendent of Schools or the Office of Research, Evaluation and Accountability; and 3) any research study, instructional program, or course which includes questionnaires or surveys that ask students questions, the nature of which might reveal potentially criminal or immoral activity. The policy also contains a glossary of the following words and phrases that are key to its goals and objectives:

Research Study: As defined by this policy, a research study includes any activity conducted to identify and/or ameliorate an educational issue or problem. Research studies include experimental studies, philosophical research, survey studies, case studies, student record reviews and analysis, anecdotal observations and interviews, the evaluation components of grant-funded programs (federal, state, local, conditions, universities, or private) and other data-gathering activities.

"Informed Consent": Nothing can be construed as "informed consent" unless it conforms to the requirements delineated in the Family Rights and Education Act (1974) and includes the following:

- 1. A description of the data to be collected, maintained or released.
- 2. The names and positions of those by whom the data may be collected, maintained and to whom it may be released.
- 3. The purpose for the collection, maintenance or release of the data.
- 4. The signature of the parent/guardian or eligible student if 18 years of age or older.

"Passive Consent": The Board of Education does not recognize the concept of passive consent.



"External (Third Party) Consent": Any employee of the Prince George's County Public Schools who does not have an educational "need-to-know" status as defined in the Family Educational Rights and Privacy Act (1974), or who seeks to conduct a research study for reasons of personal gain, interest or benefit; any government, institution agency or other persons who seek to conduct a research study or those who seek personally identifiable data who are not provided access to such as delineated in the Family Educational Rights and Privacy Act (1974).

The Board of Education policy is extensive and explicit. It stipulates that all research activities must be both evaluated and approved by the Office of Research, Evaluation and Accountability (REA) prior to implementation. This statement applies to studies conducted both internally and externally. Copies of the policy are provided to external researchers by REA, and school system staff are reminded of its existence annually through the system's internal bulletins.

### The Research Application Process

At least thirty days prior to the proposed start date of the study, anyone who wishes to conduct research in Prince George's County Public Schools first obtains a copy of the school system's Research Application (Appendix B) from the Office of Research Evaluation and Accountability. The applicant is asked to submit five copies of the completed application, along with one complete research proposal and five sets of: a) a summary of the research proposal, b) all assessment instruments, protocols, etc., and a parental consent letter/form prepared by the applicant, as necessary. Applicants are responsible for ensuring that the application is complete, since an incomplete application could cause a delay in the review of application materials. Applicants who are proposing a study which is required as partial fulfillment of a college/university degree must obtain the signature of the course/thesis or dissertation advisor. Applicants who are employeds of PGCPS must, in addition, obtain the signature of their supervisor.

### Studies Eligible for Screening and Review

Proposals for research activities originating within PGCPS offices, departments, and other units are eligible for review, as are unsolicited research proposals submitted by external third parties. Proposals for Master's degree thesis and dissertation research originating from PGCPS employees are eligible for review, as are proposals for dissertation research originating from persons other than PGCPS employees. The policy stipulates that studies conducted by persons who are students below the doctoral level and who are not PGCPS employees, and studies whose research designs and/or methodologies do not meet the standards or requirements described in the research policies and procedures, be neither supported or approved.



### Applicant Responsibilities

All persons who plan to conduct a research study in Prince George's County Public Schools are expected to obtain a research application (Appendix B) and a copy of the research policy from the Office of Research, Evaluation and Accountability. At least thirty days prior to the proposed start date of the study, the applicant should submit a complete research application package consisting of one copy of the research proposal and five sets of:

- a) the research application;
- b) a summary of the research proposal;
- c) all assessment instruments, protocols, etc.; and
- d) a parent consent letter/form prepared by the applicant, as necessary.

Applicants are responsible for ensuring that the application contains all required signatures. The signature sections of the application further state that through their signatures:

- the PGCPS immediate supervisor of a School System employee is aware of the employee's research request;
- the Thesis Committee Chairperson has reviewed the applicant's research proposal and finds it to be technically competent, theoretically sound and significant in focus,
- the applicant understands that among the terms of the research application, its acceptance:
  - 1. in no way obligates the school system to participate in the research;
  - 2. does not constitute a commitment of resources or endorsement of the study or its findings.
  - 3. comes with a stipulation that the applicant will not reveal the identity of the participants, nor include identifiable characteristics of schools or of the school system unless authorized by Research, Evaluation and Accountability.

The applicant further agrees to conduct the research project within the stipulations of the letter of approval, Board Policy 5125.4 and Administrative Procedures 4134.34. Applicants of approved research also agree to provide the school system with one (1) bound copy of the research results, at the completion of the study.

## School System Responsibilities

Each applicant's application package (application, proposal, summary, protocols, instruments, etc.) is reviewed by REA and between three and five other School System professional staff who, based on the nature of the proposed research, should be consulted. These school system staff might include chief educational administrators, principals, specialists, coordinators, supervisors, and site-based personnel. A complete application package is sent to each reviewer, along with a Research Application Review Form and a list of "Hazards and Concerns" (Appendix C). These concerns represent particular areas and issues which are



problems for conducting research in public schools and are provided to give reviewers a sense of administrative parameters. It is very unlikely authorization can be granted to any research application containing one or more of these concerns; however, the list is not intended to contain all hazards which will result in denial of authorization. The flow of the research application process is depicted in Appendix D).

Reviewers are informed that the application they are evaluating has met minimum Board requirements and are asked to provide a qualitative review of the proposed research. They are given two or three weeks to evaluate the application and return their evaluation to REA on an enclosed Research Application Review form (Appendix E). Applicants are not provided the names of persons who evaluate their application. The decision to accept or reject an application is a determination based on the compilation of reviewers' overall recommendations to either approve or reject an application. REA notifies the applicant of the final disposition of the research application. A copy of this letter is also mailed to the thesis committee chairperson, if the applicant is a graduate student. PGCPS reviewers receive a blind copy of applicant's notification letter. Researchers whose applications are authorized by REA are asked to secure the written approval of the prospective participating school/office administrator (Appendix F).

Monitoring external research is limited to ensuring that all required administrator letters are signed. Researchers whose studies involve student participants are informed that they are expected to retain all signed parental consent letters until the conclusion of their research. If the researcher has not completed data collection within a one-year period, an extension may be requested; however, extensions are limited to a maximum of one year. The school system reserves the right to withdraw authorization from any research project if it is perceived that problems impacting negatively on the system are occurring. Researchers are asked to forward one copy of the final research report within one month of the completion of the study.

### Research Application Data Base

In 1994, the Office of Research, Evaluation and Accountability developed a Research Application Data Base that serves as a management tool for tracking and describing the pool of applications to conduct research in the school system. Each research application is coded and all application data are entered into the data base. Application reports are prepared based on these data. An example of such reports are the Distribution of PGCPS Research Applications - School Years X provides an overview of applications received from 1992 to 1996 and demonstrates that the total number of applications received has increased annually over this four-year period. However, it must also be noted that between 1993 and 1996, approved applications decreased from a high of 91% (1993) to 38 % (1996). Converseley, the number of denials has increased to almost a third (31%) of all applications submitted in SY 1996. The reversal of these figures may possibly be explained through the process of implementing the revised research policies and procedures. Reviewers evaluation decisions were probably influenced by such and this affected the outcome of some research decisions. Consequently, different types of data are available for some applications that date back as far as 1989. On the other hand, it is unfortunate that since some of the content of the application has changed over time, reports of some application data are



# Distribution of PGCPS Research Applications

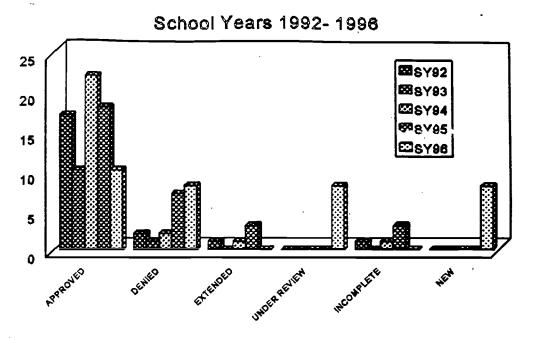


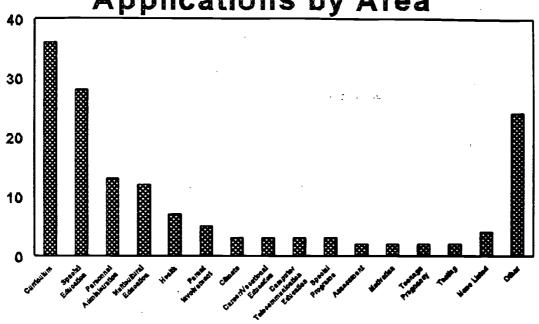
Figure 1

Figure 1 presents a picture of the approval decisions for research applications submitted during School Years 1992-1996. The total number of applications received has increased annually over this four-year period. However, it should be noted that between 1993 and 1996, approved applications decreased from a high of 91% (1993) to 38% (1996). Conversely, the number of denials has increased to almost a third (31%) of all applications submitted in SY 1996.

The data indicate that the percentage of approved applications decreased after the implementation of the revised research policy. It stands to reason that the new policy may present difficulties for some researchers. More careful review of the data are planned to further look at to compare and contrast the types of applications submitted before and after the revised policy.



Distribution of 1989-96 Research Applications by Area

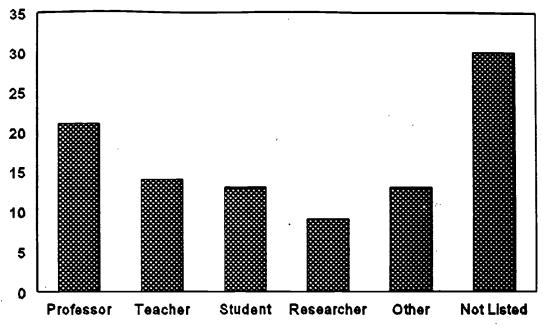


examples of Other category include Eating Disorders and Children Social Adjustment

Figure 2

Figure 2 presents subjects in the category of Curriculum (e.g. Reading, Mathematics, etc.) as having the largest percentage of research applications, followed by Special Education, Personnel/Administration, and Multicultural Education. The large number of applications for which the applicant supplied no research area indicates the need to insist that applicants submit more complete applications. A viable option might be to refuse applications that fail to include a set of minimal data highlighted on the application.

# Percent Distribution of Applicants' Positions



Examples of Other include Statistical, Consultant and Speech Pathologist

Figure 3

Figure 3 presents the distribution of applicants' positions. The category of "Professor" includes assistant, associate and full professors. "Researcher" includes those who identify themselves as such titles of researcher, assistant/ associate researcher, etc. As with the preceding Figure 2, the majority of applicants failed to supply this information. However, based on the information provided, the majority of the applicants identified themselves as professors, followed by teachers and students. Future data reports will analyze the relationship of the positions to the applicants place of employment. In this fashion, REA will study the percent of PGCPS employees submitting research applications, their position (teacher, administrator, etc.), and the degree they are pursuing (M.A., Ph.D., etc.).

#### Conclusion

The Office of Research, Evaluation and Accountability is forging ahead with its goal of fully implementing the Board of Education's research policy. Although the procedures may initially inconvenience a few, students and their parents, staff and the community will benefit from a research application office that serves the interests of its constituents.





# Prince George's County Public Schools Board of Education Upper Marlboro, Maryland

5125.4 Policy Number

### BOARD OF EDUCATION POLICY

### INFORMED CONSENT: STUDENT DATA GATHERING

The Board of Education believes that no student enrolled in the public schools of Prince George's County should be the unwilling or unknowing subject of any research study or student records access unless such activities are approved in advance by the parents of each child involved. Furthermore, the Board of Education forbids the following:

1) the practice of "passive consent" in the administration of any external (third party) research study; 2) the administration of any external (third party) research study without written authorization from the Superintendent of Schools or the Office of Research and Evaluation; and 3) any research study, instructional program, or course which includes questionnaires or surveys that ask students questions, the nature of which might reveal potentially criminal or immoral activity.

### I. <u>Definitions</u>

- A. Research Study: Any activity conducted to identify and/or ameliorate an educational issue or problem. Research studies include experimental studies, philosophical research, survey studies, case studies, student record reviews and analysis, anecdotal observations and interviews, study grant programs or the evaluation components of grant-funded programs (federal, state, local, foundations, universities, private) and other data-gathering activities.
- B. "Informed Consent": Nothing can be construed as "informed consent" unless it conforms to the requirements delineated in the Family Rights and Education Act (1974) which shall include:
  - A description of the data to be collected, maintained or released.
  - . The names and positions of those by whom the data may be collected, maintained and to whom it may be released.
  - . The purpose for the collection, maintenance or release of the data.
  - . The signature of the parent/guardian or eligible student if 18 years of age or older.



- Anticipated uses of the results of the research
- A statement of benefits reasonably to be expected
- A statement that participation is completely voluntary and that a participant may withdraw at any time without penalty or prejudice
- A statement about the confidentiality of the research and exceptions to any guarantees of confidentiality required by Family Rights and Education Act (1974) and local implementing policies
- An offer to answer questions about the project

Further, informed consent is not required when the Board of Education acting as a whole through the Superintendent of Schools, or the Superintendent of Schools, requires information or evaluation of system programs, materials, activities or issues which necessitate a staff-conducted research study using current or past student/family information.

### III. External (Third Party) Research Studies

The Board of Education recognizes that third parties, including private individuals or school system employees seeking to do research for their own educational goals or research interests, seek to gather student data. Further, the Board of Education recognizes that institutional third parties, including universities, foundations, special interest organizations, and federal and state agencies, seek to gather student data for a variety of purposes. Also, the Board of Education recognizes that grant programs often include evaluation requirements which involve the participation of students in the data-collection component or the collection of personally identifiable student data.

Informed Consent of the parent or eligible student if 18 years of age or older is required for any third party research study seeking student participation in the data collection process, access to personal student data, family data as found in student records or as obtained by test, questionnaire or survey. All third party research studies, even when officially authorized by central school system personnel in accordance with Administrative Procedure 4131.34 (Revised 7/94), shall require written informed parental consent.



# PRINCE GEORGE'S COUNTY PUBLIC SCHOOLS UPPER MARLBORO, MARYLAND 20772

### Research Application

INSTRUCTIONS: Type requested information in the spaces provided. Enter check marks in appropriate blocks where answer options are provided. All requests to conduct research must be accompanied by one complete research proposal, five (5) copies of a summary of that proposal and five (5) copies of the research application. The summary should contain no more than five pagal and must include no less than: (1) Research Project Description; (2) Hypotheses/ Assumptions; (3) Significance; (3) Methodology/ Procedures; and (4) Specific Benefits to PGCPS. Please note that failure to provide all of the information requested will affect the time required to process your research application.

A. IDENTIFICATION OF APPLICANT

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e	re to provide all of the information requested will affect time required to process your research application.
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	<del></del>
	Home Telephone Number  Area Code Prefix Number
	Business Address
	Zip Code
	Your Professional Position (check one)
	[ ] Principal [ ] Professor [ ] Teaching Asst
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PGCPS? <u>\$</u>	will be budgeted	d for conducting	this research in
(de	ollar figure)		
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	[ ] Other (specify)	
c)	Procedures which will be use students:	ed to gather data from
	[ ] Group testing	[ ] Questionnaires
	[ ] Individual testing	[ ] Observation
	[ ] Interviews-face to face	[ ] Inventories
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d)	Are file data on students re [ ] Yes	equired? es, type(s) of other
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2. Wil:	Are file data on students re [ ] Yes	equired? es, type(s) of other for which data are needed:  former students be subjects ts a, b, c, and d of this tion d.2.)



#### F. INSTRUMENTS, EQUIPMENT, AND INSTRUCTIONAL MATERIALS

1. What tests, observation guides, questionnaires, attitude scales, interest inventories, and other typed or printed instruments will be used? Specify below and enclose five (5) Copies:

	five (5)	copies:				
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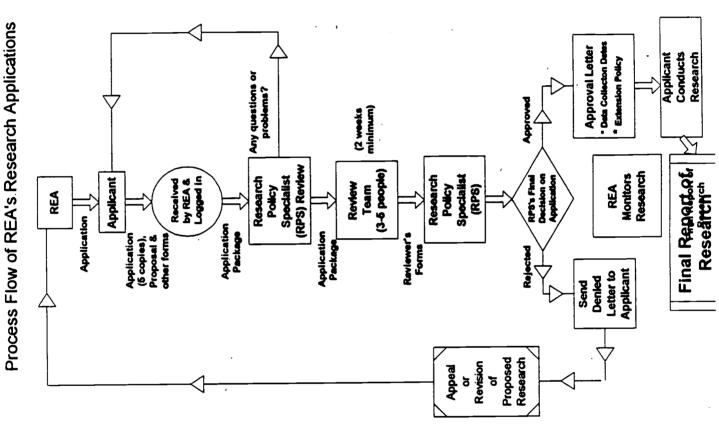
# Prince George's County Public Schools Office of Research and Evaluation

# Research Applications HAZARDS AND CONCERNS\*

- Research would place an unnecessary <u>burden</u> on participating school(s), program(s), STUDENTS/TEACHERS or the System
- Sensitive topics (e.g. sex, drugs, violence, etc.)
- Researcher needs require archival/central office data (problematic because PGCPS cannot provide staff to retrieve such data)
- Research topics that overlap a PGCPS' own initiative or study (i.e., potential confusion not permitted)
- Research requiring some physical measurement (e.g. touching or sampling of urine, blood, etc.)
- Repeated measures (e.g. pre/post-test, longitudinal studies, etc.), or data collection phase extends for several months
- Multiple schools required (potential problems with coordination and administration of research instruments)
- Researcher requests for out of school contact, either geographically or not during school hours
- Assessment schedules that conflict with System's
- Study requires additional student assessment in grades already heavily assessed (e.g., third, fifth, eighth, and ninth)



<sup>\*</sup>These concerns represent particular areas and issues which are problems for conducting research in public schools. Thus, it is very unlikely authorization can be granted to any research application containing one or more of these concerns. This list is not intended to contain all hazards which will result in denial of authorization.









### Prince George's County Public Schools Research, Evaluation and Accountability (REA)

### RESEARCH APPLICATION REVIEW SUMMARY

Please review and rate the attached research proposal for the categories listed below. We would appreciate receiving the completed form within two weeks of receipt of these materials. You may use additional sheet to write any comments you would like to make about the proposal being considered. Thank you for your time and assistance.

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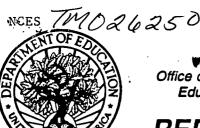
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