

EXEMPT RESEARCH CHECKLIST

DIRECTIONS: This form is to be completed and submitted to the Committee **only** when the investigator plans a research project which, in the investigator's judgment, is exempt from expedited or full Committee review. Even Exempt studies require at least one member or Agent of the Committee to review it. *Research activities are exempt from regulations for the protection of human research subjects when the **only** involvement of human subjects falls within one or more of the categories below.*

STUDIES INVOLVING **PRISONERS, FETUSES, OR PREGNANT WOMEN as subjects, OR involving HUMAN IN VITRO FERTILIZATION** **WILL NOT** BE ACCEPTED AS EXEMPT FROM COMMITTEE REVIEW.

STUDIES INVOLVING **MINORS** in categories 1, 3, 4, 5, & 6 **WILL** BE ACCEPTED AS EXEMPT FROM COMMITTEE REVIEW. Researchers with category 2 studies involving **MINORS** should call the Committee office, 855-3067, for help in determining the type of review required.

If you are doing research in Indiana public schools, or your research is funded by the US Department of Education, and minors are involved, certain additional restrictions apply. Contact the Committee office, 855-3067, for further information.

Circle the appropriate category #s that apply to your research project & underline, or highlight, the specific section within the category:

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of, or the comparison among, instructional techniques, curricula, or classroom management methods.
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, **unless:** (i) Information obtained is recorded in such a manner that the human subject can be identified, directly or through identifiers linked to the subjects; **and** (ii) any disclosure of the human subject's responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, or reputation. **See page 2, item F.**
3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under paragraph 2, **if:** (i) The human subjects are elected or appointed public officials or candidates for public office; **or** (ii) federal statutes(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter. **See page 2, item F.**
4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the **information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subject.**
5. Research and demonstration projects which are conducted by or subject to the approval of federal department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs (e.g., social security, welfare, etc.); (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.
6. Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

BE SURE YOU HAVE CIRCLED AT LEAST ONE ITEM THAT APPLIES TO YOUR PROJECT AND UNDERLINED THE SPECIFIC SECTION WITHIN THE ITEM, THEN COMPLETE PAGE 5.

INDIANA UNIVERSITY SOUTH BEND
INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS

EXEMPT RESEARCH STATEMENT

If additional space for responses is desired, this document may be retyped onto plain paper Maintaining the identical order and exact question wording while adding extra space where needed.

- A. Provide a brief description, in lay terms, of the purpose of the proposed study and the procedures to be used. If interviewing, will you tape? What happens to the tapes at the end of the study? If they are to be kept, how long? If student research, indicate whether for a course, a thesis, dissertation, or independent research. If the study is only for a course, please review the Student Research Policy to ascertain if this project requires IRB review. For use of existing data provide a description of the data to be used and how it was gathered.

The purpose of the study is to identify educational policy implementation strategies in place for current educational policy initiatives in the public education system in India. The study will be conducted at the National Council of Educational Research and Training (NCERT) in New Delhi India. NCERT is a government organization responsible for assisting and advising the Central (Federal) and State Governments in the realm of K-12 education. Senior functionaries of the organization will be interviewed. Interviews will be recorded on tape (audio) and will be transcribed. Interviews will be conducted during the month of August 08 and will be transcribed through the months of October and November 08. Post transcription, recordings of the interviews will be destroyed. Interviews will be conducted on an anonymous basis. The participants' role and position in the organization will not be made public. The goal is not to retain or record any of identifying clues that would help identify the interview subjects by any third party. This study is a pilot study for my dissertation.

- B. Describe the process by which subjects will be recruited/selected (see Instructions item F), how many (or estimate) will be involved, and any benefits to the subjects. In the event of monetary gain, include all payment arrangements. If merchandise or service is given, indicate the value. If class credit will be given, list the amount and the value as it relates to the total points needed for an A. Describe other ways to earn the same amount. Tell how much payment/credit will be given if the subject withdraws prior to completion of the study. (See policy at <http://www.iusb.edu/~sbirb/compensation.html>) If minors are used, indicate the approximate age range. If only using male or female subjects, explain why. Disclose any relationship between researcher and subjects, such as: teacher/student; superintendent/principal/teacher; employer/employee. (See Students as Subjects Policy) For use of existing data, provide the number of records to be used.

Negotiations are currently in process to recruit interview subjects. Emails were sent to senior functionaries requesting interviews. 5 subjects have been finalized so far. For the pilot study a maximum of 5 to 10 subjects will be interviewed.

- C. Where will this study be conducted? If done during regular class time, what will non-participants do? How much time will be required of the subjects? If using questionnaires, how will they be distributed and collected? Describe methods for preserving confidentiality. How will data be recorded and stored, with or without identifiers? If identifiers are used describe the type: names, job titles, number code, etc. How long are the identifiers kept? If coding system is used, is there a link back to the subject's ID? If yes, where is the code list stored in relation to data, and when is the code list destroyed? How will reports be written, in aggregate terms or will individual responses be described? Will subjects be identified in reports (see item 5 on Informed Consent Statement & Study Information Sheet Checklist)? For use of existing data tell whether identifiers are still attached to the data.

Interviews will be conducted on the office premises of NCERT. Face-to-face interviews (open ended) will be conducted and the interview will be recorded (audio recording only). Audio recordings of the interviews will be stored as MP3 files on my external hard drive. Interview recording will be labeled according to the date and the time that the interview was conducted. All measures will be taken to ensure that the subjects remain anonymous in the interviews. This will include avoiding making references during the interview to the current position that the subject holds. If during the interview, personal references are made, parts of the interview with such references will be deleted during transcription and will not be used as data for the study. Questions asked will exclusively relate to participants' knowledge of existing implementation strategies. Therefore, most of the report of collected data will entail simply reporting the subjects' awareness of the implementation strategies. Along with described responses of the participants, the final research report will also include quotes from the interview; however, the identity of the participant will not be revealed in the report.

- D. Coinvestigators, not listed or signing on the Documentation of Review and Approval Page, are to be listed here and should sign here, pledging to conform to the statements on the Documentation of Review and Approval page. **Please provide the person's name & e-mail address.**

INDIANA UNIVERSITY
BLOOMINGTON CAMPUS COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS

DOCUMENTATION OF REVIEW AND APPROVAL

of
Research Project Utilizing Human Subjects

Study #

TITLE OF PROJECT Exploring Educational Policy Implementation Strategies in Public Educational Institutions in India

PROJECT DURATION - START DATE 08/15/2008 END DATE 12/31/2008

PRIN. INVESTIGATOR Pratima Dutta SCHOOL/DEPARTMENT Instructional Systems Tech

ADDRESS 3423 John Hinkle Pl. E-MAIL pdutta@indiana.edu PHONE 812-219-2720
Bloomington, IN 47408

RANK: Faculty ☐ Res. Scientist ☐ Post-Doc ☐ Staff ☐ Student: undergrad ☐ masters ☐ PhD/EdD ☐

If PI's rank is OTHER than faculty, name of faculty overseeing the research (SPONSOR) Charles M. Reigeluth

SPONSOR'S E-MAIL reigelut@indiana.edu CAMPUS ADDR Education 2236 PHONE (812) 856-8464
W. W. Wright Education Building

FUNDING AGENCY and #

As the principal investigator, my signature testifies that I pledge to conform to the following:

As one engaged in investigation utilizing human subjects, I acknowledge the rights and welfare of the human subject involved.

I acknowledge my responsibility as an investigator to secure the informed consent of the subject by explaining the procedures, in so far as possible, and by describing the risks as weighed against the potential benefits of the investigation.

I assure the Committee that all procedures performed under the project will be conducted in accordance with those Federal regulations and University policies which govern research involving human subjects. Any deviation from the project (e.g., change in principal investigator, research methodology, subject recruitment procedures, etc.) will be submitted to the Committee in the form of an amendment for its approval prior to implementation.

PRINCIPAL INVESTIGATOR:

PRATIMA DUTTA
(typed/printed name)

(signature)

7/28/08
(date)

As the faculty sponsor, my signature testifies that I have reviewed this application and that I will oversee the research in its entirety, through the termination report.

FACULTY SPONSOR:

Charles Reigeluth
(typed/printed name)

(signature)

7/28/08
(date)

CAMPUS LEVEL REVIEW

This protocol for the use of human subjects has been reviewed and approved by the Indiana University/Bloomington Campus Committee for the Protection of Human Subjects.

Exempt Review ¶# with signed/documentation of consent,

Expedited Review ¶# Full Review, Not Approved, Withdrawn

Chairperson/Agent IUB Committee

Date

logged in ts approval logged copy to PI rank code Col

test: PI sponsor co-PI

3/07

RESEARCH STUDY INFORMATION SHEET

For exempt studies only

Study #

INDIANA UNIVERSITY - BLOOMINGTON STUDY INFORMATION SHEET

Exploring Educational Policy Implementation Strategies in Public Educational Institutions in India

You are invited to participate in a research study. The purpose of this study is to identify educational policy implementation strategies in place for current educational policy initiatives in the public education system in India.

INFORMATION

Process of the Study

1. Date collected through interviews
2. All interview subjects are to remain anonymous at all costs
3. Interviews are audio recorded
4. Audio recordings of the interviews are transcribed
5. Transcriptions are analyzed to develop a detailed description of the current educational policy implementation strategies in place.

Each interview session will last no more than an hour. The objective is to get as much information as possible in the first interview. However, subjects may be asked for a second interview session. However, subjects can refuse to participate in the interview sessions. Collecting data will take no more than three weeks. Transcription and analysis of the data collected will be completed by December 2008.

A maximum of 5 to 10 subjects will be interviewed to collect the data

Interviews will be audio recorded. Files will be saved in MP3 format on an external hard drive and will be destroyed after the interview recordings have been transcribed. All interview subjects will remain anonymous. If during the interview proceedings any personal information related to the subjects is accidentally revealed, the section with the recording will not be transcribed and will therefore not be included in the study.

BENEFITS

Conducting this study will enable the researcher to gauge a descriptive understanding on the current systems of policy implementation strategies. Doing so will help the researcher to then possibly envision and propose alternative strategies to educational policy implementation if a need exists.

CONFIDENTIALITY

Identities of all subjects will be kept anonymous. As interviews will be recorded, any accidental data that could hint toward to subjects' identities, that data will be destroyed and will not be used in the study.

CONTACT

If you have questions at any time about the study or the procedures, you may contact the researcher, Pratima Dutta, at 3423 John Hinkle Pl, Bloomington, IN 47408, USA, 812-219-2720, and pdutta@indiana.edu.

If you feel you have not been treated according to the descriptions in this form, or your rights as a participant in research have not been honored during the course of this project, you may contact the office for the Indiana University Bloomington Human Subjects Committee, Carmichael Center L03, 530 E. Kirkwood Ave., Bloomington, IN 47408, 812/855-3067, or by e-mail at iub_hsc@indiana.edu.

PARTICIPATION

Your participation in this study is voluntary; you may refuse to participate without penalty. If you decide to participate, you may withdraw from the study at anytime without penalty and without loss of benefits to which you are otherwise entitled. If you withdraw from the study before data collection is completed your data will be returned to you or destroyed.

Information Sheet date 7/28/2008

☾ A copy of this information sheet will be given to the participant prior to the interview.

☾

Brief Explanation of the research Design

The proposed study is an exploratory qualitative study modeled on grounded theory design. Grounded theory design is appropriate in the current scenario as this study does not aim to test a hypothesis; rather, the goal is to develop an understanding of the current system. The aim is to let the data and its formative analysis guide the researcher to develop an understanding of a specific aspect of the existing system. For the purpose of this study, it is imperative that the interviews be open ended so as to allow the participants to give as much information as they see fit.

As the interviews progress, and as themes and codes start surfacing, interview questions will gravitate more towards being more specific in addressing the emergent themes.

Representative Sample of Interview Questions

- While in your current office, were there any educational policies that were implemented nationwide?
- Are you aware of any implementation strategies that were in discussion prior to implementation of the said policy?
- When creating implementation strategies what are the different aspects of the system? (Clarify with example if interview asks for clarification)
- Do you have mechanisms in place to ensure that all participants in the implementation believe in the change and are willing to see it through?
- How important do you think it is to ensure that all stakeholders in the implementation process buy into the new policy? And why?

Dear Prof./Dr./Mr./Ms. _____

I am a PhD student at Indiana University Bloomington's School of Education. I am about to start work on my dissertation and will be conducting a pilot study in the month of August. The goal of this pilot study is to develop an understanding of educational policy implementation strategies that are currently in place. In other words, I am looking to develop an understanding of the various implementation strategies that are discussed and executed when new education policies are implemented.

My data collection would entail interviewing senior functionaries in your department. I am specifically looking to interview functionaries who have been actively involved in education policy creation as well as implementation.

With that in mind, I would like to request an interview with you. The interview will not last more than an hour and you are allowed to abandon the interview at anytime if you please. The interview process will essentially be an open-ended interview process. I will be audio recording the interview; however, your identity as well as your position in the organization will be kept absolutely anonymous.

If you agree, I can forward you the potential interview questions as well as a detailed description of the purpose of your study. If you have any questions regarding the protocol, do feel free to email me with any questions that you may have.

Thank you for your consideration, and looking forward to holding a fruitful interview session with you.

Sincerely,

Pratima Dutta

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