

See the following exhibits:

Exhibit A: Acknowledgment of and Agreement with Criteria for Approving Studies – 3  
pages

Exhibit B: Approvals for Permission to Conduct Research in the Houston Independent  
School District – 3 pages



EXHIBIT A

ACKNOWLEDGMENT OF AND AGREEMENT WITH  
CRITERIA FOR APPROVING STUDIES

A research proposal that meets the following criteria will be considered for approval:

1. The study must align with the District's strategic plan and the District's core initiatives of an effective teacher in every classroom, an effective principal in every school, rigorous instructional standards and supports, data driven accountability, and culture of trust through action.
2. The study has a theoretical basis from which the research questions and hypotheses are derived. The research questions and hypotheses are supported by previously published research.
3. The description of the methodological procedures includes the research design, sampling design, and data analyses. The methods are contemporary, efficient, and appropriate.
4. A copy of all instruments and their source is included. Information on validity and reliability is provided. An original instrument has been piloted and a summary of the pilot results, including information on the source of items, is provided. Justification of the use of the instruments with the proposed sample and with the research questions and hypotheses will lead to interpretable results.
5. The data collected meets the assumptions of the data analysis. The data analyses test the hypotheses and will lead to interpretable results.
6. Any study involving students requires active, informed, and written consent of the parent or guardian. Active, informed consent to research is not simply the signing of a document provided by the researcher, nor verbal or implied acquiescence to participation. Instead, active, informed consent describes a process by which potential subjects are offered information about the research as it applies to them, followed by a reasoned and voluntary decision to participate. The active, informed consent document provides a guide for the researcher and potential subject. The document must describe the research in such a way that the potential subject will understand the information necessary to reach an informed choice about participation. Specific information about each study must be tailored to the level of understanding of each person invited to consent, assent, or give permission. The principal investigator is responsible for ensuring that an active, informed consent is obtained from each research subject and that the document is signed and dated appropriately.
7. The study must not violate the Family Educational Rights and Privacy Act of 1974, which protects the privacy of students' educational records. The study must demonstrate that there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data. [See FL]
8. The Institutional Review Board (IRB) of the university/organization is responsible for oversight of the study; however, the HISD Department of Research and Accountability will also monitor the study to ensure compliance with ethical conduct guidelines estab-

lished by the Department of Health and Human Services, and the Office for Human Research Protection (OHRP), as well as the disclosure of student records outlined in the Family Educational Rights and Privacy Act (FERPA).

9. The study must make provisions for protecting the confidentiality of personal data concerning students and employees. Students, parents, or employees will not be personally identified in any reports or publications that may result from this study. Any personal information gathered during this study will remain confidential to every extent of the law. Personal identifiers must be masked in studies that gather sensitive information dealing with matters that the subjects would not wish to have known by others (e.g., drug use, sexual history, and the like). [See DBA(LEGAL), FL, and FL3(REGULATION)]
10. Any study requesting access to confidential student data and information must comply with the guidelines in FL and FL3(REGULATION)]. [See FL]
11. No social security numbers will be released to the researcher. Approval to release social security numbers requires the researcher to undergo a formal appeal process, which includes an appeal letter submitted to the assistant superintendent, Research and Accountability. The appeal process does not guarantee release of the information.
12. Electronic data will be released using secure and encrypted transmittal procedures.
13. Any study involving access of employee records must be voluntary and requires written consent of the employee. [See DBA(LEGAL)]
14. The study must attempt to identify methods or factors that will improve the quality of education for children in the District.
15. The study is not offensive to the values and standards of the school, community, or any racial or ethnic group and does not inquire in an obtrusive manner into religion, gender, home, or family life. [See EF]
16. Initial permission to conduct research will be granted only through Research and Accountability. However, permission to conduct research does not guarantee any schools' willingness to participate. In all instances, the principal of a school will have the ability to make the final decision regarding participation.
17. The study makes minimal interruptions of the regular school program and makes no undue demands upon the time of students, teachers, administrators, or other District personnel. Campus selection must be considered and may be limited due to other currently active studies on that campus.
18. The study is planned well in advance to avoid conflicts in scheduling. Generally, data collection cannot occur during Districtwide testing periods.
19. The study does not require additional allocation of District funds.
20. The Acknowledgment of and Agreement with Study Criteria form must be signed. In addition, a \$50 nonrefundable application fee is required for master's and doctoral degree students who are not District employees. A \$250 nonrefundable application fee is required for organization/university employees requesting permission to conduct re-

search in HISD. The fee does not guarantee the proposal will be approved; only that it will be reviewed and a letter of acceptance or rejection will be provided to the researcher. The fee will be waived for Houston Independent School District employees conducting research as a requirement for a master's or doctoral degree.

21. The study indicates a date by which the Research Committee can expect to receive two final copies of the study. If the Research Committee does not receive a copy of the final report by the indicated date or a satisfactory explanation of failure to meet the deadline, the dean of the applicant's college or the director of the agency involved will be informed. Further studies from the same college agency may not be approved until the research applicant has complied with this requirement.

Acknowledgment of and Agreement with Study Criteria  
(The proposal will not be reviewed without this signed agreement.)

I have read the above and hereby agree the research study meets the criteria established by the Houston Independent School District Department of Research and Accountability.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



EXHIBIT B

APPROVALS FOR PERMISSION TO CONDUCT RESEARCH  
IN THE HOUSTON INDEPENDENT SCHOOL DISTRICT

This exhibit concerns the formation of the Peer Examination, Evaluation, and Redesign Program committees and the appointment of their members. This approval is exercised as needed.

**SCHOOL PARTICIPATION**

Responsible Party	Level of Authority	Requirements and Other Information
<u>From the appropriate area of responsibility:</u>  School Principals	Participation of a school in an approved research project	Research Committee approval of any proposal to conduct research.

**RESEARCH COMMITTEE APPROVAL**

Responsible Party	Level of Authority	Requirements and Other Information
Research Committee	New or revised re-search proposals	A proposal to conduct research is required. <ol style="list-style-type: none"> <li>1. The Research Committee may approve, require changes to, or reject a proposal to conduct research in HISD.</li> <li>2. At least two of the three committee members must agree that a proposal meets criteria for approval.</li> <li>3. The study is aligned with the District's strategic plan and focused on the District's core initiatives of an effective teacher in every classroom, an effective principal in every school, rigorous instructional standards and supports, data driven accountability, and culture of trust through action.</li> <li>4. Campus selection must be considered and may be limited due to other currently active studies on a campus.</li> <li>5. The study must not violate the Fam-</li> </ol>

		<p>ily Educational Rights and Privacy Act of 1974.</p> <p>6. The study must not be offensive to the values and standards of the school, community, or any racial or ethnic group, and must not inquire in an obtrusive manner into religion, gender, home, or family life.</p> <p>7. The study must not seriously interrupt the regular school program and must make no undue demands upon the time of students, teachers, administrators, or other District personnel.</p>
<p>Research Committee continued</p>	<p>New or revised re- search proposals</p>	<p>8. The study must be planned well in advance to avoid conflicts in scheduling. Generally, data collection cannot occur during Districtwide testing periods.</p> <p>9. The study must make provisions for protecting the confidentiality of personal data concerning students and employees. Electronic data must be released using secure and encrypted transmittal procedures.</p> <p>10. The study does not require additional allocation of District funds.</p> <p>11. The Acknowledgment of and Agreement with Study Criteria form must be signed and applicable fees paid.</p> <p>12. No changes by the investigator will be made without prior approval of the committee, except those necessary to eliminate obvious hazards.</p> <p>13. When the Research Committee requires changes to a proposal, the applicant must submit a modified proposal, which will be considered in the same manner as first applications.</p>



		14. When the Research Committee rejects a proposal, deficiencies will be outlined for the applicant.
--	--	--

1. References.

DME2(REGULATION)

DME1(REGULATION)

2. The assistant superintendent, Research and Accountability, is responsible for maintenance of this exhibit.