

# Guidance for Research in the K-12 Environment

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## 1. What are key considerations for planning research in the K-12 environment?

- What regulations apply to education research?
- What is Lindenwood's policy for FERPA and PPRA compliance?
- How will you obtain consent or assent in an educational setting?

There are several sets of regulations to consider when conducting research in an educational setting. These regulations pertain to research involving human subjects and accessing educational records or data collected by an educational program.

### 3. What is Lindenwood University policy for research compliance with FERPA and PPRA?

FERPA and PPRA assign the obligation of compliance to researchers and educational institutions. Institutions may apply these regulations differently. The researcher is expected to be aware of FERPA and PPRA requirements, and conduct research according to how each educational institution granting access to students or data from educational records applies these regulations.

The Lindenwood University IRB will assist researchers by:

- Including reminders about FERPA and PPRA requirements on IRB application forms.
- Providing information and consultation about FERPA and PPRA compliance upon request.
- Providing consultation to ensure student data released for research purposes are appropriately deidentified.
- Determining if a data collection process is subject to PPRA regulations.

### 4. How to I obtain assent or consent in the K-12 research environment?

Researchers are required to obtain and document consent from all adult participants, unless a waiver of alteration of consent has been approved by the IRB. Researchers are also required to obtain assent from minor participants, according to the assent plan approved by the IRB. There are cases in which the requirement to obtain and document consent or assent can be waived in the K-12 research context, however, FERPA regulations require written authorization to release educational records for research purposes in all but a few well-defined circumstances.

- **Requirements for obtaining consent if FERPA applies:** Researchers must obtain written informed consent authorizing the release of education records for research purposes, unless the disclosure falls under one of the following exceptions in 9-1.315 A((R)-4.9(a)-3.h(t)-5.6(b)10.(m)1.5gh())J0.



- **Requirements for obtaining consent if PPRA applies:** Researchers must obtain written informed consent from parents or legal guardians for research on students involving surveys, psychiatric evaluation, testing, or treatment, psychological evaluation, testing, or treatment, in which the primary aim is to collect “protected information.” These requirements are applicable even when only anonymized or deidentified data are collected.

**5. When do I need to obtain permission from a school or research site?**

A researcher who is student, staff, or faculty of Lindenwood University may also be an employee of a school or school district. This may offer access to students and student records as part of their employment. However, research involving students or educational records requires IRB approval and any other applicable site permission prior to the conduct of research. These additional requirements may involve approval from the site or district. If site approval is required, the Lindenwood University IRB requires a letter of permission be attached to the IRB application prior to approval.

Each school district or institution will have a different p



forms with parents and guardians

