



DEPARTMENT OF DEFENSE  
EDUCATION ACTIVITY  
4040 NORTH FAIRFAX DRIVE  
ARLINGTON, VIRGINIA 22203-1635

Education Division

DoDEA Regulation 2071.2

APR - 8 1998

Department of Defense Education Activity  
Research Approval Process

- References: (a) DS Regulation 2071.2, "Research Approval Process," May 24, 1983, hereby canceled
- (b) Title 5, United States Code, Section 552A, as amended, "The Privacy Act of 1974"
- (c) Title 45, Code of Federal Regulations, Part 46, "Department of Health and Human Services Regulation-Protection of Human Subjects"
- (d) DoD Directive 3216.2, "Protection of Human Subjects in DoD Supported Research," January 7, 1983

A. PURPOSE

The purpose of this regulation is to update policy and procedures governing the approval and monitoring of research studies and data collection activities that require the use of school personnel, student and staff information, or school facilities in the Department of Defense Education Activity (DoDEA) School Systems: (1) Department of Defense Dependents Schools (DoDDS) and the (2) Domestic Dependent Elementary and Secondary Schools (DDESS).

B. APPLICABILITY AND SCOPE

The provisions of this regulation apply to all research studies and data collection activities proposed by qualified individuals, organizations or institutions. Requests may originate either from staff employed by DoDEA, or from persons or groups outside of DoDEA, such as graduate students, universities, and research organizations. It pertains exclusively to requests not funded by DoDEA.

This regulation does not apply to research studies, including data collection activities, funded by DoDEA and conducted by DoDEA administrators and teachers in executing their responsibilities to maintain and improve instructional programs and administrative practices.

### C. DEFINITIONS

Research studies, including data collection activities, referred to in this regulation are those studies that involve students or staff in activities such as:

1. Studies conducted to develop and/or validate educational theories, techniques, instruments, methods and/or materials.
2. Studies describing, examining, and assessing, or evaluating policies, practices, programs, methods, organizational structure, human interaction, teaching, learning materials, facilities, and/or other aspects of the school system.
3. Studies conducted to obtain information, opinions, or attitudes through measurement means, such as surveys, questionnaires, interviews, observations, tests, and/or inventories.

### D. POLICY

It is the policy of DoDEA that all research conducted in the DoDEA school system by non-contractual agencies, individuals or groups of individuals follow the approval procedures provided in this regulation. A review committee created at DoDEA Headquarters will determine the soundness of the research proposed and determine approval. It is the policy of DoDEA that research conducted in the DoDEA schools shall not unduly affect the students or employees of DoDEA or DoDEA as an organization.

### E. PROCEDURES

#### 1. Submission

a. All individuals who wish to conduct research in DoDEA districts/schools shall complete the Research Study Request, Endorsement and Agreement form (Enclosure 1).

1. All requests must be complete with required support documentation (e.g., copies of survey forms, observation checklists, etc.). Incomplete requests will be returned for revisions.

2. The requester shall submit an original and five copies of the request.

3. Research in DoDEA districts/schools must align with the DoDEA Community Strategic Plan.

b. The requester shall obtain the endorsement and signature of a professional person sponsoring the research on the Research Study Request, Endorsement and Agreement, Part 2.

c. A signed Research Study Request, Endorsement and Agreement, Part 3 is required in order for the request to be considered. The requester shall sign one copy of the Research Study Request, Endorsement and Agreement, Part 3 and submit it with all materials to acknowledge receipt of, and compliance with, the guidelines listed in the agreement.

d. The requester shall submit forms and all support materials to the following office:

Department of Defense Education Activity  
Research and Evaluation Branch  
4040 N. Fairfax Drive  
Arlington, VA 22203-1635

## 2. Approval

a. All requests will be reviewed by a research committee, established at DoDEA Headquarters, with appropriate members to be appointed by the Chief, Research and Evaluation Branch.

b. The research committee shall convene three times during the school year for the purpose of reviewing research requests: September, October, and April.

1. All requests will be processed during those times only.

2. All requests must be received by the first day of the month to be reviewed.

c. The Chief, Research and Evaluation Branch, shall approve requests based on recommendations of the research committee members.

d. Research approved by the Chief, Research and Evaluation Branch, must also be approved by the Superintendents and Principals of the districts and schools in which the study will be conducted. The Superintendent and Principal Approval Form (Enclosure 2) will be included with the letter of preliminary research approval from the Chief, Research and Evaluation Branch. After approval by the Principal, he/she will forward the request to the Superintendent of his/her district. Once the Superintendent has reviewed the request, he/she will forward the approval form to the Chief, Research and Evaluation Branch. The Chief, Research and Evaluation Branch, will then send a letter to the requester stating the final decision.

## 3. Conducting Research

a. Data collection for approved research conducted during each school year in DoDEA districts/schools must begin between October 1 and March 1 and be completed by May 15.

b. Individuals conducting research studies in DoDEA schools/districts must conduct themselves professionally at all times. Failure to do so will be sufficient cause for termination of the research study.

c. Research approved by the DoDEA Research and Evaluation Branch only allows the requester to proceed with the research as described; it is not an endorsement and does not compel any personnel of the DoDEA system to participate in research studies.

d. The Research and Evaluation Branch shall maintain a permanent file of all research requests.

#### 4. Reporting Requirements

a. The requester must submit an annual update of ongoing research by the anniversary date of the research approval.

b. The requester must submit two copies of the final research report to the DoDEA Research and Evaluation Branch.

c. If the researcher wishes to publish the research, approval must be granted by the Chief, Research and Evaluation Branch who will in turn coordinate this with DoDEA Legal Counsel and Public Affairs, before submission for publication. After publication acceptance, the researcher must provide the Chief, Research and Evaluation Branch, with one copy of the published work.

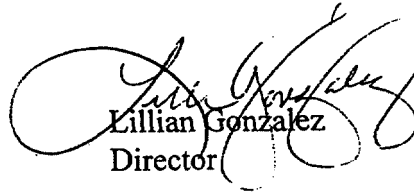
d. The report must prominently display a disclaimer that the work and opinions are of the author and in no way represent the views of the Department of Defense or any of its Activities.

#### 5. Personal and Organizational Rights

Participation in research studies by students, parents, and school staff is voluntary. Informed consent is required from students and/or parents; a copy of the consent form will be kept in each student's permanent file. Anonymity of each participant must be preserved. Privacy Act (5 USC 552a) information will not be provided to the researcher unless: 1) the researcher is informed that he/she is receiving Privacy Act information, 2) the researcher collects Privacy Act waivers from each participant, and 3) the researcher executes an agreement acknowledging the strictures for the Privacy Act and his/her duties to adhere to that Act. The identity of schools shall be revealed only when authorized by the Chief, Research and Evaluation Branch. Approval of a research proposal does not constitute commitment of resources or endorsement of the study or its findings by DoDEA.

F. EFFECTIVE DATE

This regulation is effective immediately.



Lillian Gonzalez  
Director

Enclosures-3

1. Research Study Request, Endorsement and Agreement, Parts 1, 2, and 3
2. Superintendent/Principal Approval
3. Parental Consent

Distribution: X

Cancelled

# Research Study Request, Endorsement and Agreement

## Part 1

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone: ( ) \_\_\_\_\_ ( ) \_\_\_\_\_

Fax: ( ) \_\_\_\_\_ e-mail: \_\_\_\_\_

1. Study Title:

2. Proposal Abstract:

Cancelled

3. Explain how your research study (1) is aligned with the DoDEA Community Strategic Plan, and (2) will impact your field of study.

4. What is the major hypothesis(es) or question(s) to be tested?

Cancelled

5. Describe the population and/or sample to be studied.

Sample	Number	Description (Grades, Schools, Demographics)
<b>Students</b>		
<b>Administration</b>		
<b>Staff/Others</b>		
<b>Parents</b>		

6. Describe your plans for conducting the study including administration of instruments, other data collection activities, and the timetable you will follow. (Include a copy of all questionnaires, surveys, exams, interview protocols, etc. you plan to use).

Sample	Instrument/Type of Data Collected	Amount of Time Required	Timeline



7. Describe the statistical or other analysis techniques to be used in the treatment of your data.

8. In what form(s) and to whom will you report your findings?

Cancelled

**Research Study Request, Endorsement and Agreement**

**Part 2**

**Research Requester:** \_\_\_\_\_

**Research Title:** \_\_\_\_\_

**Faculty or Staff Sponsor**

**Name:** \_\_\_\_\_

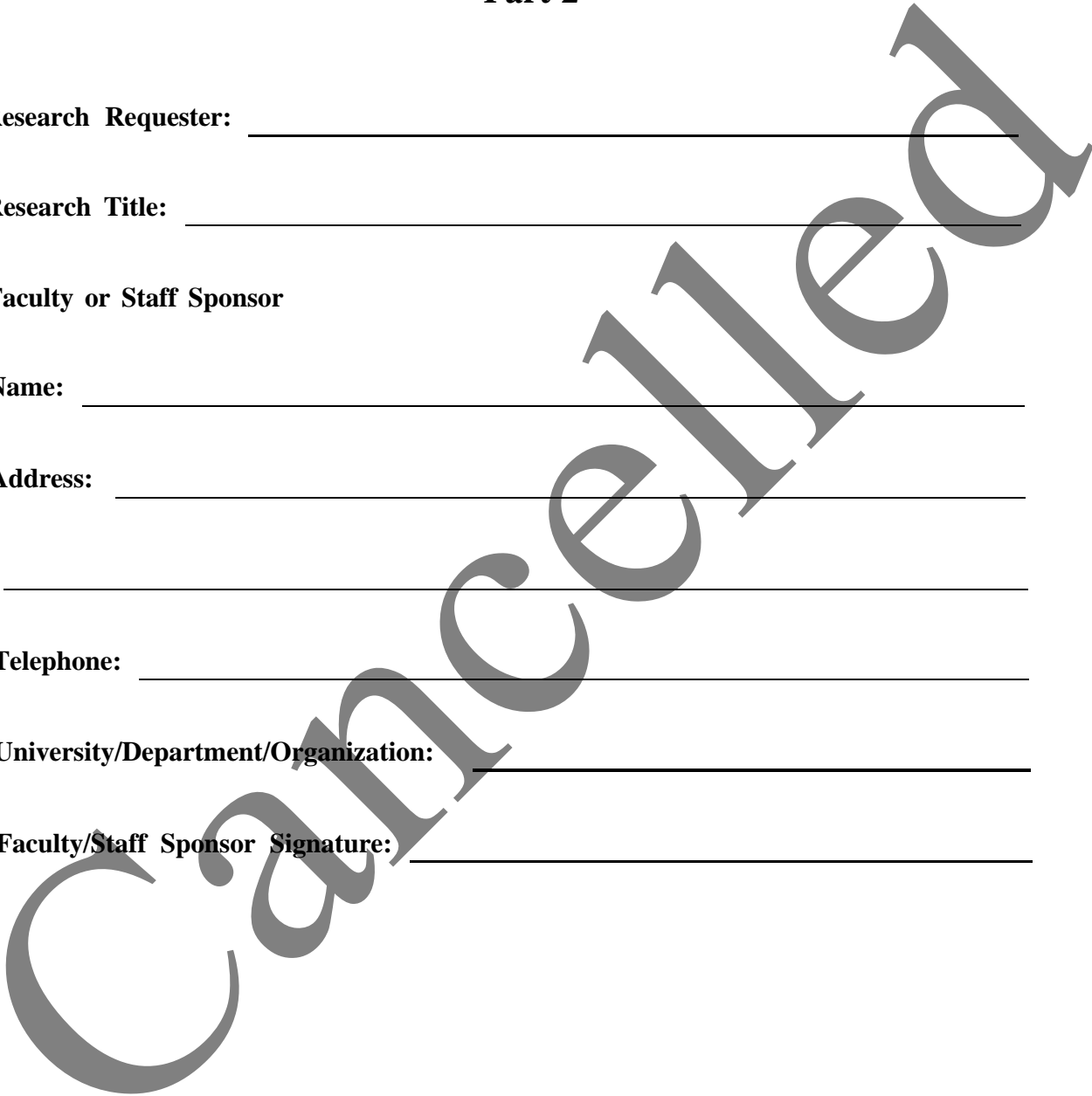
**Address:** \_\_\_\_\_

\_\_\_\_\_

**Telephone:** \_\_\_\_\_

**University/Department/Organization:** \_\_\_\_\_

**Faculty/Staff Sponsor Signature:** \_\_\_\_\_



# Research Study Request, Endorsement and Agreement

## Part 3

### Guidelines:

1. Research involving campus level personnel, especially that which involves principals, teachers and students, may only be conducted between October 1 and May 1.
2. Research involving pupils and personnel of the DoDEA must protect the dignity, well-being, and confidentiality of the individual(s), including the rights guaranteed legally and constitutionally and by DoDEA policies. All information obtained is held in the strictest of confidence, under the Privacy Act (5 USC 552a).
3. The research shall not unduly interfere with the classroom instructional process or the regular operations of the school or district.
4. Personal, social, and psychological research of any nature must NOT be in conflict with the rights of individuals or groups.
5. Approved research shall be conducted in accordance with the policy and regulations of DoDEA. The researcher shall cooperate with the staff member(s) designated by the district or school to coordinate the research. It is the researcher's responsibility to become familiar with DoDEA operating policies.
6. Approval of a request to conduct research is not an endorsement and does not compel any personnel of, the DoDEA to participate in research studies.
7. An approved research study may be terminated at any time by the Principal; Superintendent; Chief, Research and Evaluation Branch; Associate Director for Research and Evaluation; or the Director, DoDEA.

I acknowledge receipt of the Guidelines for Research in DoDEA and agree to abide by the guidelines as stated.

I acknowledge that Privacy Act information will not be issued to me unless I have 1) been informed that I am receiving Privacy Act information, 2) collected Privacy Act waivers from each participant, and 3) executed an agreement acknowledging the strictures for the Privacy Act and my duties to adhere to that Act.

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Signature of Researcher

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Date

## Superintendent/Principal(s) Approval

I have reviewed the *Research Study Request* for \_\_\_\_\_  
entitled' \_\_\_\_\_  
\_\_\_\_\_

I *agree/disagree* (circle one) that my school will participate in this research study. I also understand that given my approval, this research will be conducted in accordance with DoDEA policy.

**Date:** \_\_\_\_\_ **School Name:** \_\_\_\_\_

**Principal's Name:** \_\_\_\_\_

**Principal's Signature:** \_\_\_\_\_

**Please forward this request to your Superintendent after completion of this form.**

*The following should be completed by the Superintendent:*

I *agree /disagree* (circle one) that my school will participate in this research study. I also understand that given my approval, this research will be conducted in accordance with DoDEA policy.

**Date:** \_\_\_\_\_

**Superintendent's Name:** \_\_\_\_\_

**Superintendent's Signature:** \_\_\_\_\_

*The following should be completed by the Principal and/or Superintendent.*

If you disagreed above, please state your reasons below.

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Superintendents: Return to the DoDEA: Chief, Research and Evaluation Branch  
Fax: 703 696-8924

## Parent Consent

My signature below indicates that I have read the information provided and have decided to allow my child to participate in the study entitled \_\_\_\_\_

\_\_\_\_\_ to be conducted at my child's school. I understand that by my receipt of this consent form, the principal has agreed to participate in this research project.

I also agree to the conditions listed below with the understanding that I can withdraw my child at any time should I choose to discontinue the participation.

1. Classroom observations may be conducted, and student's test scores and individual written work may be collected as part of this research.
2. The identity of the subjects will be protected.
3. The information gathered will become part of the data analysis for the study and may contribute to published research reports and presentations.
4. There are no foreseeable inconveniences or risks involved to my child participating in the study.
5. My participation is optional. My decision whether or not to participate will not prejudice my future relations with the DoDEA, the school or teacher. If I decide to participate, I am free to discontinue participation at any time without prejudice.
6. If I agree to participate, a copy of this form will remain in my child's permanent record and remain until s/he leaves this DoDEA school.

**Parent/Guardian:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_