



Action Research Project Handbook

Division of Education
Office of Graduate Studies

PREFACE

The Action Research Project (ARP) is the culminating experience for candidates seeking the Master of Education degree in Curriculum & Instruction, Educational Leadership (building level), Reading Specialist, and School Counseling. It is also the culminating experience for those in the certificate only programs for Educational Leadership (building level), Reading Specialist, and School Counseling.

Reviewing one's practice, making reflective changes, and analyzing the impact of those changes upon learners are the elements that enable action research to be the mechanism by which there is a positive impact on learners. Effective educators conduct action research on a continuous basis. The Action Research Project is an extension of the work that effective educators do every day.

The purpose of the Action Research Project is for candidates to design, implement, and analyze a project to determine its impact upon learners. Its intent is to empower advanced candidates to be confident action researchers as instructional leaders in the schools they serve.

Note: The Action Research Handbook was approved by the Teacher Education Committee on April 5, 2021 and the Graduate Committee on April 27, 2021.

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MISSION STATEMENT

Northwestern Oklahoma State University provides quality educational and cultural opportunities to learners with diverse needs by cultivating ethical leadership and service, critical thinking, and fiscal responsibility.

VISION STATEMENT

Northwestern aspires to be a vibrant, innovative regional University of choice whose students, faculty, staff, and alumni succeed and lead in their academic, professional, cultural and service endeavors.

CORE VALUES

As a part of its philosophical basis, Northwestern Oklahoma State University holds certain values. These include:

Academic excellence

Northwestern will provide the best possible educational experience for every student.

- *Focus on quality teaching and advising
- *Respond effectively to the learning needs of each student
- *Embrace the role of technology in the educational process
- *Promote opportunities for teaching and learning outside of the classroom

Accessibility

Northwestern is committed to the accessibility of its programs and services.

- *Embrace our mission as a multi-campus regional university
- *Continually work to maintain affordability
- *Seek new methods to deliver programs and services to our constituents

Community

Northwestern will strive to create a sense of community that extends beyond campus boundaries.

- *Seek partnerships and initiatives that will improve the quality of life for area residents
- *Promote institutional and individual service to others
- *Embrace our role in a global society

Diversity

Northwestern will respect the individual rights of all persons.

- *Value the differences in every individual
- *Promote the expression of differing opinions and beliefs
- *Appreciate the culture and backgrounds of each person
- *Treat every individual with respect

Responsibility

Northwestern will maintain the highest levels of ethical standards and accountability.

- *Act with integrity and accept responsibility
- *Use our resources in the most effective and efficient manner
- *Conduct business in an atmosphere of transparency
- *Promote a culture of continuous improvement

EDUCATOR PREPARATION PROVIDER MISSION STATEMENT

We enlighten and empower our graduates through program excellence to educate those whom they serve.

EDUCATOR PREPARATION PROVIDER GOALS

- Apply content and pedagogical skills to activate learning. (CAEP A.3)
- Establish collaborative relationships with students, families, colleagues, and stakeholders. (CAEP A.3)
- Respond to the needs of diverse learners. (CAEP A.3)
- Engage in continuous learning. (CAEP A.4)
- Employ reflective practices. (CAEP A.4)

**Procedures for Master of Education Degree (M.Ed.)
Curriculum & Instruction; Educational Leadership (building level); Reading
Specialist; School Counseling**

Prior to the first semester of enrollment:

1. Admissions process
Complete application process to NWOSU
Meet requirements and complete application process to the office of Graduate Studies

Required during the first semester of enrollment:

1. Complete EDUC 5010 Graduate Seminar
Establish ALCA account; begin Graduate Candidate File
Advisory Committee assigned
Advisory Committee notified
2. Meet **Milestone 1** requirements as follows:
 - Candidate self-evaluation of dispositions
 - Submit Graduate Candidate File to Chair for approval
 - Review program expectations and support available

(Note: EDUC 5933 Classroom Research must be taken within the first nine hours of the program. Failure to do so will result in a hold being placed on the candidate's future enrollment in coursework.)

Required minimum of two (2) semesters before graduation:

1. Complete EDUC 5933 Classroom Research with a passing grade ("C" or better).
2. Schedule Milestone 2 meeting with Advisory Committee
3. Meet **Milestone 2** requirements as follows:
 - Candidate will present Action Research Project (ARP) proposal to Advisory Committee for approval to proceed with ARP (required before further enrollment in graduate courses).
 - Candidate receives IRB approval for conducting research
4. Submit Plan of Study to Advisory Committee members
5. Receive letter of candidacy from the Graduate Studies office
6. Dispositions assessment (by faculty member)

Required two (2) semesters before graduation:

1. Candidate will conduct Action Research Project over two (2) consecutive academic semesters

Required the semester of graduation:

1. Meet Milestone 3 requirements as follows:

- Candidate will present completed Action Research Project to Advisory Committee and selected stakeholders
 - Candidate will complete all exit documents
 - Faculty disposition evaluation; Candidate disposition self-evaluation; submit Graduate Candidate File to advisor for approval
2. Candidate will graduate.

Procedures for Certificate-Only Candidates
Educational Leadership (building level); Reading Specialist; School Counseling

Prior to the first semester of enrollment:

1. Admissions process
Complete application process to NWOSU
Meet requirements and complete application process to the office of Graduate Studies

Required during the first semester of enrollment (*Milestone 1*):

2. Complete EDUC 5010 Graduate Seminar
Establish ALCA account; begin Graduate Candidate File
Advisor assigned
Advisor notified
Complete Plan of Study with Advisor; submit to Graduate Studies office

Required before beginning ARP:

3. Complete designated specialty course that includes overview of Action Research Project (ARP)
4. Schedule Milestone 2 meeting with Advisor
5. **Meet Milestone 2 requirements as follows:**
 - Candidate presents Action Research Project proposal to Advisor (others may attend presentation as designated by Advisor) for approval to proceed with ARP
 - Candidate receives IRB approval for conducting research

Required two (2) semesters before completing certificate-only program:

6. Candidate will conduct Action Research Project over a minimum of two (2) consecutive academic semesters (first semester to propose the project; second semester to conduct the project)

Required the semester of program completion:

7. **Meet Milestone 3 requirements as follows:**
 - Candidate will present completed Action Research Project to Advisor and others as designated
 - Candidate will complete all exit documents
 - Faculty disposition evaluation; Candidate disposition self-evaluation; submit Graduate Candidate File to Advisor for approval
8. Candidate will complete certificate program.

ACTION RESEARCH PROJECT (ARP)

The Action Research Project (ARP) is a culminating assessment (capstone) requiring an advanced candidate to demonstrate required skills for having a positive impact on student learning. It is an ongoing project as the candidate matriculates through the advanced program and will include collaboration with the candidate's Advisory Committee and stakeholders. The ARP will demonstrate the candidate's ability to apply information from courses as foundational support (**CAEP A.2; A.3.3; A.3.4**).

For Master of Education candidates, the ARP begins in EDUC 5933 Classroom Research with the development of a research proposal (**CAEP A.1.1**). Advanced candidates will also have an overview of the ARP in applicable specialty area courses. The candidate will collaborate with a P-12 school to identify and research a specific student learning need (**CAEP A.1.1; A.2.1**). The collaboration will include a review of initial data leading to identification of a need that is pertinent to the candidate's specialized content area (**CAEP A.1.1**).

A minimum of two semesters prior to completion of the advanced program, the candidate will present the action plan to conduct the ARP to the candidate's Advisory Committee, or, with the consent of the other committee members, the Advisory Committee Chair only (Milestone 2). The action plan will be assessed using the Milestone 2 rubric in the Action Research Project Handbook. The candidate will demonstrate in the presentation how collaboration with a P-12 partner school led to a determination of an area of need in student learning and a plan to address the need (**CAEP A.2.1**). The use of current research and the collection and analysis of data to determine the need will be articulated in the candidate's presentation (**CAEP A.1.1; A.3.4**). Also included in the presentation is a timeline for implementation that was collaboratively developed with the P-12 partner school (**CAEP A.2.1; A.2.2**). The candidate's presentation must include use of instructional technology and exemplify professionalism in all aspects of the presentation as per the rubric (**CAEP A.1.1**). The Advisory Committee may consent to submission of a video by the candidate for the presentation. Approval of the proposed action plan by the candidate's Advisory Committee is required. After approval of the proposal the candidate will submit an Institutional Review Board (IRB) application. Upon IRB approval, implementation of the ARP will occur. Advanced candidates in certificate-only programs (Educational Leadership, Reading Specialist, School Counseling) will present their ARP proposal to their Advisor and others as may be designated by the Advisor. The Advisor may choose to allow the candidate to submit a video presentation. The content of the presentation is the same as candidates in the Master of Education programs and will be assessed by the Advisor using the Milestone 2 rubric. IRB approval is a requirement for certificate-only candidates.

Action Research Project Presentation

During the final semester of the program, the candidate will present the completed ARP to the Advisory Committee. Stakeholders will be encouraged to participate in the presentation. The presentation will be assessed using the Milestone 3 rubric aligned with CAEP Advanced Standards. The presentation will be a simulation of a presentation to a Local Education Agency (LEA) Board of Education; therefore, it is to be professional in content, delivery, and dress

(CAEP A.1.1). The use of instructional technology in the presentation is required **(CAEP A.1.1)**. The presentation will be a maximum of twenty minutes in length followed by approximately twenty minutes for questions and discussion. To be eligible for the ARP presentation, the candidate must have completed all coursework or be enrolled in the final hours; must have no outstanding grades of "Incomplete" in courses as stipulated on the degree plan of study; and must not be enrolled in more than nine hours in a regular semester or six hours in a summer term (summer includes the May interim) **(CAEP A.3.3)**. Waiver of any of the established policies is at the discretion of the candidate's Advisory Committee.

Areas of emphasis in the presentation include the role of collaboration with the P-12 partner school; data collection, analysis, and interpretation; and determination if the action plan met the specified need **(CAEP A.2.2; A.3.4)**. The candidate and the Advisory Committee Chair will confirm the action plan received approval from the IRB **(CAEP A.2.2)** prior to implementation (see Milestone 3 rubric). Each area assessed must earn an "acceptable" or "target" level of performance as determined by the Advisory Committee and input from stakeholders. An assessment of "unacceptable" in any area will result in a revised project and subsequent presentation. A successful ARP and presentation are required for completion of the advanced program **(CAEP A.3.3; A.3.4)**. The candidate will provide a written artifact to the Advisory Committee detailing the same information provided in the presentation. Advanced candidates in the certificate-only programs (Educational Leadership, Reading Specialist, School Counseling) will present the Action Research Project to the candidate's Advisor and others as may be designated. The candidate's presentation will follow the same guidelines as candidates in the degree seeking programs and will be assessed using the Milestone 3 rubric.

Upon successful completion of all program requirements, including the presentation of the ARP, the Advisory Committee will provide verification all requirements have been met to the Graduate Studies office. If all requirements have not been met, a Plan of Improvement will be completed by the Advisory Committee to be implemented by the candidate (See Appendix). The Advisor for candidates in the certificate-only programs will provide verification all requirements of the program, including the presentation of the ARP, to the Graduate Studies office.

CAEP Advanced Standards:

<http://www.caepnet.org/~media/Files/caep/standards/advprogramstandards-onepager-lastedit819.pdf?la=en>

Action Research

What is Action Research? Action research seeks transformative change through the simultaneous process of taking action and doing research, which are linked together by critical reflection. Action research practitioners reflect upon the consequences of their own questions, beliefs, assumptions, and practices with the goal of understanding, developing, and improving social practices. This action is simultaneously directed towards self-change and towards restructuring the organization or institution within which the practitioner works.

The nature of action research places the researcher in the middle of the inquiry and not on the outside as an observer and/or experimenter. Action researchers do not claim ‘neutrality’ but rather account for their position in the action and inquiry. A strength of action research is that the researcher studies what she or he does in concert with others. Therefore, the knowledge created through action research is inevitably dialogical in nature, and is thus always a negotiated and co-created knowledge. This knowledge is not inert, but serves to improve the quality of life by engaging participants in a quest for deeper understandings that lead to improvement.

Action researchers are often guided by questions of this kind, ‘How do I improve my practice?’ Action research takes time, energy, commitment, and courage because it is about changing oneself, which means changing one’s thinking, and recognizing that, once changed, there is no going back. However, action researchers are also engaged in a process of authentic collaboration with participants who seek to improve their practices. The focus is on the actors (participants) within their local social contexts. These participants are often co-researchers (but not always). The four key processes of an action research cycle include planning, implementing the plan, gathering and analyzing data as the plan is implemented, and reflecting on these results. The choice of specific data collection and analysis methods (practices) occurs in alignment with the action researcher’s personal and professional epistemological and ontological belief systems, while also reflecting the discourses of the larger organization and society within which the action research is being conducted. Further, the choice of research methods in action research is dependent upon the question, problem, dilemma or dissonance to be examined, and the nature of the practice situation. The cycles of action research represent iterative problem solving linked by reflection. Critical reflection on action and reflexive writing are key and central processes of action research.

Making decisions about involvement in action research carries certain risks. It involves interrogating one’s thinking and deciding actively to change established self-perceptions and personal and professional habits to move into the future, recognizing that action researchers are responsible for their decisions and the consequences of these decisions. Specific action research practices are informed by researchers’ values that carry hope for the future including the procedural principle of democracy and insights from the most advanced social theories of the day.

The action researcher, like all researchers, is expected to share research findings as part of the process of knowledge creation. Action researchers also expect to have those findings scrutinized by other professionals, including professionals whose knowledge and belief systems may vary markedly from those of the action researchers.

Rowell, L. Polush, E. Riel, M, & Bruewer, A. (2015). *Action researchers' perspectives about the distinguishing characteristics of action research: a Delphi and learning circles mixed methods study*. Access online at <http://www.tandfonline.com/doi/abs/10.1080/09650792.2014.990987#>. VPOWPOIH-Ox

Northwestern Oklahoma State University
MASTER OF EDUCATION
Action Research Project Action Plan Rubric – Milestone 2

Standards	Indicators	Target 3	Acceptable 2	Unacceptable 1
Candidate collaborates with P-12 Partner School to determine area of research need in the area of student learning. (CAEP A.2.1; A.3.4)	<ul style="list-style-type: none"> • P-12 partner school • Collaboration • Student learning 	The candidate described the specific steps and gave examples of the collaborative process used with a P-12 partner school for the purpose of identifying an action research project.	The candidate described in general terms the overall process used with a P-12 partner school for the purpose of identifying an action research project.	There was minimal or no articulation of a collaborative approach with a P-12 school in determining a research need that addressed student learning.
Candidate collects data. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Initial data collection process • Analysis 	The candidate identified the data source and type (quantitative, qualitative); how initial data was collected; and the analysis process used to determine the need for the action research project.	The candidate identified the source of initial data and the analysis process used to determine the need for the action research.	There was minimal or no articulation of the initial data source; and/or lacks information about initial data analysis; and/or minimal or no data referenced upon which to base the action research project.
Candidate's Action Research Project is in his or her area of specialized content or disciplined knowledge.	<ul style="list-style-type: none"> • Content knowledge • Prior learning • New knowledge 	The candidate articulated the alignment of the action research project to the candidate's content area or discipline (program of study). The	The candidate articulated how the action research project aligns with the candidate's content or	There was minimal or no articulation of the relationship between the action research project and the candidate's content or

(CAEP A.1.1; A.3.4)		candidate described how the action research project will apply to him/her upon completion of their program.	discipline (program of study).	discipline (program of study).
Candidate demonstrates understanding of current research on identified specific need. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Current research • Student learning need 	The candidate described current research pertaining to the identified specific need; stated why the research was appropriate; and described how current research supported the identified need.	The candidate described current research pertaining to the identified specific need.	There was minimal or no description of current research on the identified specific need.
Candidate collaborates with P-12 Partner School to develop an action plan to address the identified specific need in student learning based on current research. (CAEP A.2.1; A.3.4)	<ul style="list-style-type: none"> • Action plan • Student learning need • Current research • Collaboration 	The candidate described the action plan; articulated the collaboration process in developing the action plan with the P-12 partner school; and how the plan was based on current research specific to the student learning need.	The candidate described the action plan and articulated the collaboration process in developing the action plan.	There was minimal or no articulation of a collaborative approach with a P-12 partner school in the development of an action plan to address the identified need in student learning.
Candidate collaborates with P-12 partner to develop a timeline for implementation of action plan. (CAEP A.2.1; A.3.4)	<ul style="list-style-type: none"> • Plan timeline • Collaboration 	The candidate articulated a timeline for implementation of the action plan. The candidate stated the role of the P-12 partner school in creating the timeline for implementation of the action plan. The candidate presented the role the partner school will have in the implementation of the project.	The candidate articulated a timeline for implementation of the action plan that was developed in collaboration with the P-12 partner school.	There was minimal or no articulation of a collaborative approach with a P-12 partner school to develop a timeline for implementation of the action plan.
Candidate uses technology in presentation. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Technology use • Visual technology • Audio technology 	The candidate used a <i>variety</i> of technology throughout the presentation. The technology supported and <i>enhanced</i> information presented in an organized manner with no	The candidate used a single application of technology in the presentation. The technology supported information presented with	The candidate failed to use technology in his/her presentation; and/or technology failed to align with information presented; and/or lacked professional

		avoidable technical errors or problems.	no technical errors that detracted from the presentation.	appearance; and/or there were avoidable technical errors.
Candidate's presentation is professional. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Clarity • Word usage • Gestures • Articulation • Citations • APA guidelines • Professional dress 	The candidate's presentation was coherent, fluid, and adhered to advanced collegiate expectations. Grammar usage followed proper English language guidelines. Nonverbal communication (eye contact, hand gestures, etc.) was appropriate. The candidate was professionally dressed. References were included and followed APA citation guidelines.	The candidate's presentation was coherent and adhered to advanced collegiate expectations including proper grammar usage. The candidate was professionally dressed. References were included and followed APA citation guidelines with minor errors.	The candidate's presentation lacked coherence and/or failed to demonstrate the expectations of an advanced candidate; and/or there were grammatical errors that detracted from the presentation; and/or the candidate failed to dress professionally; and/or the references were missing or failed to meet APA guidelines.

Score: _____

Comments

Northwestern Oklahoma State University
MASTER OF EDUCATION
Action Research Project Presentation Rubric – Milestone 3
Presentation to Advisory Committee &
Selected Stakeholders (Advisor for Certificate-Only)

Standards	Indicators	Target 3	Acceptable 2	Unacceptable 1
Candidate received IRB approval. (CAEP A.2.2; CAEP A.3.4)	<ul style="list-style-type: none"> • Approved IRB 	Confirmation that the candidate received IRB approval prior to implementation of the ARP is provided.	NA	The candidate failed to receive IRB approval prior to the implementation of the ARP.
Candidate implements action plan in P-12 Partner School. (CAEP A.2.2; A.3.4)	<ul style="list-style-type: none"> • Action plan • Implementation steps 	The candidate articulated the specific steps used to implement the plan in the P-12 partner school. The candidate described aspects of the implementation that worked well, those with which there were difficulties and the resolution of the difficulties.	The candidate articulated how the plan was implemented in the P-12 partner school. The candidate described strengths or weaknesses of the implementation	There was minimal or no articulation of how the candidate implemented the plan in the P-12 partner school; and/or failed to identify strengths or weaknesses.
Candidate collects data throughout implementation of action plan. (CAEP A.1.1; A.2.2; A.3.4)	<ul style="list-style-type: none"> • Data collection 	The candidate articulated the process used to collect data throughout the implementation of the action plan. The candidate described adjustments encountered in collecting data and why	The candidate articulated the process used to collect data throughout the action plan.	There was minimal or no articulation of the candidate's collection of data during the implementation phase of the action plan.

		the adjustments were necessary.		
Candidate analyzes, interprets, and uses data. (CAEP A.1.1; A.2.2; A.3.4)	<ul style="list-style-type: none"> • Data analysis • Interpretation of data • Data usage 	The candidate articulated the specific steps for analyzing, interpreting, <i>and</i> using data from the action plan. The candidate aggregated <i>and</i> disaggregated the data.	The candidate articulated how data collected during the action plan were analyzed, interpreted, <i>and</i> used.	There is minimal or no articulation of how the candidate analyzed, interpreted, <i>and</i> used data that were collected during the action plan.
Candidate determines if action plan met the specified need. (CAEP A.1.1; A.2.2; A.3.4)	<ul style="list-style-type: none"> • Informed decision making • Analysis of data 	The candidate presented conclusions of the research and the data to support the conclusions. The extent to which the action plan met the specified need is stated. The candidate includes recommendations for future research based on conclusions.	The candidate presented conclusions of the research and the data to support the conclusions. The extent to which the action plan met the specified need is presented.	The candidate fails to present conclusions based on data and/or there is minimal or no articulation of the action plan meeting the specified need.
Candidate's Action Research Project is in his or her area of specialized content or disciplined knowledge. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Content knowledge • Knowledge application • Implications 	The candidate articulated the impact of the action research project on the candidate. The candidate articulated the implications of the research on the program of study and on the education profession in general.	The candidate articulated the impact of the action research project on the candidate and the program of study.	There was minimal or no articulation of the impact of the action research project on the candidate and the program of study.
Candidate uses technology in presentation. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Technology use • Visual technology • Audio technology 	The candidate used a <i>variety</i> of technology throughout the presentation. The technology supported and <i>enhanced</i> information	The candidate used a single application of technology in the presentation. The technology aligned with and supported	The candidate failed to use technology in his/her presentation; or technology failed to align with information presented; or lacked professional

		presented in an organized manner with no avoidable technical errors or problems.	information presented with no technical errors that detracted from the presentation.	appearance; or there were avoidable technical errors.
Candidate's presentation is professional. (CAEP A.1.1; A.3.4)	<ul style="list-style-type: none"> • Clarity • Word usage • Gestures • Articulation • Citations • APA guidelines • Professional dress 	The candidate's presentation was coherent, fluid, and adhered to advanced collegiate expectations. Grammar usage followed proper English language guidelines. Nonverbal communication (eye contact, hand gestures, etc.) was appropriate. The candidate was professionally dressed. References were included and followed APA citation guidelines.	The candidate's presentation was coherent and adhered to advanced collegiate expectations including proper grammar usage. The candidate was professionally dressed. References were included and followed APA citation guidelines with minor errors.	The candidate's presentation lacked coherence and/or failed to demonstrate the expectations of an advanced candidate; and/or there were grammatical errors that detracted from the presentation; and/or the references were missing or failed to meet APA guidelines.

Score: _____

Comments:

APPENDIX

PLAN OF IMPROVEMENT FORM (Action Research Project)

If any section of the Action Research Project presentation at Milestone 3 earns a rating of unacceptable, a Plan of Improvement will be implemented.

Candidate's Name _____ Today's Date _____

Date/Time/Place for Follow-up Assessment _____

(This date will be between one to four weeks, following the initial evaluation.)

<i>Area Requiring Improvement</i>	<i>Suggestions for Improvement</i>

Committee Chair Signature _____

Committee Member Signature (if applicable) _____

Committee Member Signature (if applicable) _____

Candidate's Signature _____

(Candidate's signature reflects reception of this document, but not necessarily agreement with it.)

FOLLOW-UP ASSESSMENT

<p>This Plan of Improvement has been:</p> <p>_____ Fully Accomplished</p> <p>_____ Not Accomplished</p>
--

<p>Committee's Recommendation to Director of Graduate Studies:</p> <p>_____ Additional Plan of Improvement</p> <p>_____ Recommend for licensure</p>

Committee Chair Signature/Date _____

Candidate's Signature/Date _____

One copy to candidate, one copy to candidate's file in Graduate Office, one copy to candidate's committee chair.

Northwestern Oklahoma State University Graduate Studies

Action Research Project Presentation ~ Milestone 3

Each candidate enrolled in the Master of Education degree program (except Adult Education Management and Administration) shall be responsible to schedule a tentative date for the presentation of his/her action research project in collaboration with the Advisory Committee. The presentation is to be completed *no later* than two weeks prior to the last day of regular classes in the semester.

This form, with necessary signatures of advisory committee members, must be returned to the Office of Graduate Studies by April 1, July 1, or November 1 in the semester of the presentation. For those in certificate-only programs, the signature of the advisor is required.

Consent of the advisory committee members and approval by the Associate Dean of Graduate Studies, as indicated by the signatures below, shall finalize the schedule.

Return this completed application to: Office of Graduate Studies
Northwestern Oklahoma State University
709 Oklahoma Blvd
Alva, OK 73717

Action Research Project Presentation ~ Milestone 3

Student: _____

Date: _____

Time: _____

Location: Campus and Room #: _____

Signatures:

Student: _____

Chair: _____

Member: _____

Member: _____

Approved: _____ Date: _____

Associate Dean of Graduate Studies

Is my Action Research Project EXEMPT from IRB review?

Note: Even EXEMPT projects must be submitted to the IRB Chair and receive an EXEMPT approval before proceeding with your project.

RESEARCH CATEGORIES OF EXEMPTION FROM FURTHER IRB REVIEW

Research activities in which the only involvement of human research participants will be in one or more of the following categories, are usually exempt from further IRB review: (*Check all that apply to your research study.*) To save formatting issues, you may “X” before the checkboxes rather than filling in the box.

Example: X (1) research on regular and special education instruction strategies, or

A. Research conducted in established or commonly accepted educational settings, involving normal education instruction practices, such as

- (1) research on regular and special education instruction strategies, or
- (2) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

B. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior.

- (1) information obtained will be recorded in such a manner that research participants can be identified, directly or through identifiers linked to the participants;
- (2) any disclosure of the research participants' responses outside the research could reasonably place the them at risk of criminal or civil liability or be damaging to the participants' financial standing, employability, or reputation.

C. Research involving the use of educational tests (as above), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph B. (2) of this section, **if:**

- (1) the research participants are elected or appointed officials or candidates for public office; or

- (2) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

D. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, **if**:

- (1) the sources are publicly available; or
- (2) the information will be recorded by the investigator in such a manner that participants cannot be identified, directly or through identifiers linked to the participants.

Note: If you have checked B (1) and B (2), your research is not exempt from IRB review. You must apply for Expedited or Full* IRB review.

***ARPs requiring a Full IRB review need to be re-evaluated by the student researcher and the advisor to make sure the project meets the criteria of an Action Research Project.**

Types of IRB Review: Exempt, Expedited, and Full: <https://www.nwosu.edu/sponsored-programs/irb>

NWOSU IRB Action Research Project (ARP) Exempt & Expedited Proposal Template

Research activities in which the only involvement of human subject research participants will be in one or more of the following categories is exempt from further IRB review. Exemption applies to research that is of minimal risk and with adults **except**:

Category A (below) – which also applies to children and

Category B (below) – which applies to children in two circumstances: 1) when the research involves the use of standardized educational tests and 2) when the research involves observation of public behavior when the investigator(s) do not participate in the activities being observed. (Survey and interview procedures do not apply to children.)

Final determination as to whether a research project is exempt from further review rests with the IRB. If the project is determined to be exempt by the IRB, the principal investigator is still required to submit any project modifications to the IRB as modification could change the status to non-exempt research.

RESEARCH CATEGORIES EXEMPT FROM FURTHER IRB REVIEW

A. Research conducted in established or commonly accepted educational settings, involving normal education instruction practices, such as

- 1) research on regular and special education instruction strategies; or
- 2) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

B. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, unless:

- 1) information obtained is recorded in such a manner that participants can be identified, directly or through identifiers linked to them; and
- 2) any disclosure of the research participants' responses outside the research could reasonably place the participants at risk of criminal or civil liability or be damaging to their financial standing, employability, or reputation.

C. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), surveys procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (B) of this section, if:

- 1) the research participants are elected or appointed officials or candidates for public office; or
- 2) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

D. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if:

- 1) these sources are publicly available; or
- 2) the information is recorded by the investigator in such a manner that participants cannot be identified, directly or through identifiers linked to the participants.

Date Received in Office: _____

APPLICATION FOR EXEMPTION

The IRB retains final judgment as to whether a research study is exempt from further IRB review. Note: Exempt status does not necessarily mean that the investigator is exempt from informed consent procedures. For any questions regarding this form or Exempt status, please contact the Director of Sponsored Programs/IRB Chair, Tandy Keenan, at 580-327-8110 or TRKeenan@NWOSU.edu.

Date:

Principal Investigator Name(s):

Email:

Phone:

If Student(s), Research Advisor's Name:

Email:

Phone:

School:

Division/Department:

Building/Office #:

Project Title:

Anticipated dates of project:

Beginning:

Ending:

ANSWER EACH QUESTION (1 – 9): (Answer all questions. If it does not apply to your project, use N/A.)

1. Briefly, what is the purpose of your research (what do you want to learn from the project)?
2. What will be required of the research participant(s)?

3. From where will you recruit the participant(s)?

4. Total number of Participants and Controls: # of Males, # of Females, Transgender, or Other

5. Categories of Participants and Controls

- Adults
- Adolescents (13-17 years of age)
- Mid-Childhood (6-12 years of age)
- Preschool (3-5 years of age)
- Using existing data, no subjects recruited

6. Institutional Affiliation of Participants

- None
- Schools/College/University
- Other (specify):

7. Mentally Competent Adult (able to give consent)

- Mentally Incompetent Adult (unable to give consent-must be a part of regular classroom research. If not, parental/guardian consent may be required.)

Note: Some categories of research participants are considered more vulnerable than others and are not eligible for participation in Exempt research.

8. Demographic Information (check all applicable items):

- | | |
|--|--|
| <input type="checkbox"/> Names | <input type="checkbox"/> Marital Status |
| <input type="checkbox"/> Income | <input type="checkbox"/> Addresses |
| <input type="checkbox"/> Job Title | <input type="checkbox"/> Phone #s |
| <input type="checkbox"/> Age/Date of Birth | <input type="checkbox"/> Types of Employers |
| <input type="checkbox"/> Sex | <input type="checkbox"/> Member of a Vulnerable Population (child, inmate, etc.) |
| <input type="checkbox"/> Race/Ethnicity | <input type="checkbox"/> Other (specify): |

- Member of Small Population (sports team, etc.)

Note: Some types of demographic information are considered personal identifiers and may increase the level of risk of the research to the participants.

Please explain how any of the above demographic information will be used.

Describe the steps to be taken to protect the privacy and/or confidentiality of participants' responses or to maintain anonymity of the research records. (If privacy/confidentiality will not be maintained, state this.)

Note: *If personal identifiers will be retained and used, you must explain this in the informed consent agreement and tell participants how you will use their identifiers.*

9. How will you inform participants about the research project and procedures?

- Informed Consent Agreement
- Not Applicable

10. Where will the research be conducted (where will you interact with participants or obtain existing data)?

11. How will data be securely stored (for both hard copies and/or electronic data)? How long will data be kept? How will it be destroyed?

ATTACHMENTS:

- questionnaire, survey, list of potential interview questions, etc. to be used with research participants
- informed consent agreement, cover letter, telephone introductory script

- permission to use existing data and/or permission from external institution (if applicable)
- parental consent form, if applicable
- other

PRINCIPAL INVESTIGATOR'S ASSURANCE STATEMENT: I understand Northwestern Oklahoma State University's policies concerning research involving human subject research participants and I agree:

- 1) to comply with all IRB policies, decisions, conditions, and requirements;
- 2) to accept responsibility for the scientific and ethical conduct of this research study;
- 3) to obtain prior approval from the IRB before amending or altering the research protocol or implementing changes in the approved consent/assent form as it could change the exempt status of this research study;
- 4) to report to the IRB in accord with IRB policy any adverse event(s) and/or unanticipated problem(s) involving risks to participants;
- 5) to notify Sponsored Programs if external funding is received during the research study and comply with any additional regulatory requirements;
- 6) each individual listed as study personnel in this application possesses the necessary experience for conducting research activities in the role described for this research study. Furthermore, by signing below, I also attest that I have appropriate facilities and resources for conducting this study.
- 7) By submitting this proposal to the NWOSU IRB Chair for review, I confirm that my student advisor, if applicable, is aware of and approves of this submission. Advisors will be cc'd on all email correspondence between the IRB Chair and the student researcher.

PI Signature _____ Date _____

SAMPLE INFORMED CONSENT

Principal Investigator: [NAME]

Research

Study:

[TITLE].

Dear:

The following information is provided for you to decide whether you wish to participate in this research study. You are free to decide not to participate or to withdrawal at any time without adverse effects.

The purpose of this study is to [INCLUDE A ONE TO TWO SENTENCE DESCRIPTION ABOUT THE PURPOSE OF YOUR STUDY]. This study will be an action research study involving participants [DESCRIBE THE SETTING] and will be an examination of practices that are a part of your regular work.

Data collection will include [DESCRIPTION OF WHAT DATA WILL BE COLLECTED].

The collected data will be kept in a secure, password protected computer and/or in a locked file cabinet. This data may be kept for continued research purposes but will not be viewed by anyone other than the principal investigator and the research team for this study.

Do not hesitate to ask any questions about the study either before participating or during the time that you are participating. I would be happy to share my findings with you after the research is completed. Although the results of this study may be published, your name and other personal identifying characteristics will be changed. However, some contextual information pertinent to the study may be used (such as information about the school, the grade levels, and/or subject matter necessary for understanding the study). While your participation in and the results of this study are not associated in any way with your employment or evaluation of your job performance, the results of the study,

with the protections described above, will be public and may be read by school supervisors.

There are no known risks or discomforts associated with this study. The expected benefits associated with your participation include an expanded understanding of **[DESCRIBE WHAT YOU HOPE TO LEARN]**, as well as **[DESCRIBE HOW THEY MIGHT PERSONALLY BENEFIT FROM PARTICIPATION]**.

Please sign your consent with full knowledge of the nature and purpose of the procedures. A copy of this consent form will be given to you for your records.

Name of Participant	Signature of Participant	Date
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[NAME],
Principal
Investigator
Phone:
Email:

SAMPLE INFORMED CONSENT PARENT LETTER

(ONLY REQUIRED IF THE PUBLISHED PRODUCT WILL INCLUDE IDENTIFIABLE STUDENT INFORMATION OR RESEARCH GOES BEYOND TYPICAL CLASSROOM RESEARCH)

SCHOOL HEADING

[DATE]

Dear Parents,

This year I am doing an action research project on [provide a general name of the topic]. I am involved in action research to continue to improve my teaching practices and provide the students with sound teaching practices.

I will be focusing my project on [DESCRIBE WHO WILL PARTICIPATE, WHAT THEY WILL DO, AND HOW IT MIGHT BENEFIT THEM: Example--a targeted group of fourth-grade students. I will meet with them twice a week, 45 minutes each time, to give them additional instruction on writing strategies].

I will be [DESCRIBE DATA COLLECTION: collecting work samples, student surveys, and other data throughout the project. ASSURANCES: Students will remain anonymous in my written report, and any work samples used will not include their real names or identifying information].

If you have any questions regarding my action research project, feel free to contact me.

If you do not want your child to participate in this research, he or she will [describe what this child will do while others participate].

Sincerely,

Signature

[Printed NAME] [TITLE]

Phone:

Email:

Student's name:

Parent/Guardian's signature:

My child may participate in this research project

_____ Yes

_____ No

SAMPLE PRINCIPAL OR EQUIVALENT PERMISSION LETTER

School/District Letterhead

[DATE]

Principal Investigator:

Topic of Study:

I have communicated with the above-named researcher regarding their research proposal. I hereby give my permission to conduct the research as proposed in my school(s).

Sincerely,

[PRINCIPAL NAME]

Signature of Principal or Equivalent

Date