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**Exempt Category 1** covers research conducted in *educational settings* that involves *normal educational practices*, so long as the research is not likely to adversely affect (a) students' opportunity to learn required content or (b) the assessment of teachers.

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## Definitions

An "*established educational setting*" is any place where educational activities regularly occur. In addition to schools and colleges, an educational setting could be an after-school program, work place, library, museum, training center, etc.

"*Normal educational practices*" are activities that typically occur in a classroom or other educational setting. Generally, these are best practices that benefit students and support the required curriculum. Examples include:

- Assessment of attitudes about learning
- Evaluation of classroom or school activities
- Innovative instructional methods
- Test development
- Use of educational tools such as an online course, computer software, or smart phones

## Limitations

In order to qualify for Exemption #1:

- Prisoners cannot be the study population.
- The research must not take time or attention away from normal instruction in a way that might negatively affect student achievement (e.g., negative impact on standardized test scores).
- The research must not impact individual teachers in a way that could adversely affect assessments of their practice/performance.

## Examples

Examples of research studies that are exempt under category #1:

- Development and testing of a science curriculum that meets state standards but is presented in an innovative manner. Data are collected via tests, student attitude surveys, and classroom observations.
- Research on the use of electronic "clickers" in the classroom to elicit immediate feedback from students on their understanding of course concepts.

Examples of research studies that are not exempt under category #1:

- Research that collects information about personal characteristics beyond basic demographics of students, families, or teachers (such as mental health, personal beliefs or opinions beyond those associated with learning or curricula).

- Implementation of an untested curriculum that is not consistent with current required curriculum.

## Required Documentation

Only the URI Human Research Protection Program can make the determination that their research qualifies as Exempt.

Required documentation include:

1. Exempt Research Application
2. Survey and Interview tools
3. Recruitment materials (e.g., emails, flyers)
4. CITI training record(s) for Principal Investigator and Student Investigator
5. If non-URI entities will be used, written authorization from appropriate site authority
6. Informed Consent document (see URI templates for low risk research, child assent, and parental permission).
7. If research will be used for thesis or dissertation, include thesis/dissertation approval form and thesis/dissertation proposal

## Information regarding Family Educational Rights and Privacy Act (FERPA)

FERPA applies to student education records.

- Education records include any records held by an educational institution that contain personally identifiable information about students, including records related to an individual student's performance such as written or electronic records typically found in transcripts (grades/courses/GPA/test scores); student work products such as tests and homework assignments; and interactions with online student learning systems.
- Education records of students in most K-12 schools and colleges/universities are subject to FERPA regulations.

Please see additional guidance for utilizing education records at:

- Faculty Information: <https://web.uri.edu/faculty/studentprivacy/>
- Enrollment Services: <https://web.uri.edu/enrollment/ferpa/>

## Regulatory Language (45 CFR 46.104(d)(1) – Exempt Category 1

“Research, conducted in established or commonly accepted educational settings, that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies, and research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.”