

**RESEARCH EXEMPTION REQUEST**  
**(Category 1)**  
**Purdue University**  
**Institutional Review Board**

**Exemption under Title 45 CFR §46.101**

(b)(1) exempts research conducted in established or commonly accepted educational settings, involving normal educational practices, such as

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

**PLEASE BE AWARE** that you cannot begin the project until you have received notification that the exemption has been granted.

**1. Project Title:**

SMARTER Teamwork: System for Management, Assessment, Research, Training, Education, and Remediation for Teamwork

**2. Anticipated Funding Source:**

National Science Foundation

**3. Principal Investigator** [ See Policy on Eligibility to serve as a Principal Investigator for Research Involving Human Subjects]:

Matthew W. Ohland, Associate Professor, ENE, ARMS, 496-1316, 494-5819, [ohland@purdue.edu](mailto:ohland@purdue.edu)

**4. Co-Investigators and key personnel** [See Educ. Policy for Conducting Human Subjects Research]:

Richard Layton, Associate Professor, Mechanical Engineering, Rose-Hulman Institute of Technology, CM 145, Phone 812-877-8905, [Richard.A.Layton@Rose-Hulman.edu](mailto:Richard.A.Layton@Rose-Hulman.edu)

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Gregory J. Ross, Undergraduate Researcher, Phone 219-742-4587, [gjross@purdue.edu](mailto:gjross@purdue.edu)

**5. Consultants** [See Education Policy for Conducting Human Subjects Research]:

Hal R. Pomeranz, Principal, Deer Run Associates, 3600 Vine Maple St. Eugene, OR 97405, Phone 541-683-8680, Fax: 541-683-8681, [hal@deer-run.com](mailto:hal@deer-run.com)

**6. Anticipated Duration of Study:** Please indicate when this project will end.

Project END Date: August 14, 2013

## Participant Population

### 7. Expected Age Range

Check all that apply:

- 0-7  
 8-17  
 18-64  
 65 and older

### 8. Describe location of subjects during research data collection

Check all that apply:

- Purdue University, specify campus: West Lafayette  
 Elementary/Secondary Schools, specify:  
 Community Center, specify:  
 Other University Campus, specify: 120 campuses total, data collected electronically  
 Subject's Home, specify:  
 International Location, specify: See attached list of universities using the system  
 Other location, specify:

*Research procedures or recruitment conducted off-campus within a school, business, or other setting must have permission from an appropriate authority associated with that site.*

**X I have attached letters of permission from the appropriate authority allowing the research to occur at the proposed setting(s). Permission granted by selective release using an online system each time a survey is completed.**

In the case of research conducted in educational settings (i.e. primary and secondary schools, institutions of higher education, etc.), please note that you should check with each school district you will work with to determine if separate school IRB approval or district approval is required.

## Summary of Activities

*(use lay language, do not cut and paste from or refer to grant or abstract)*

### 9. Briefly state your research question.

To what extent can a system be designed to support the management, assessment, research, training, education, and remediation of teamwork, primarily in higher education?

### 10. Will the activity/activities occur during class time or outside of class time?

- During Class Time  
 Outside of Class Time

**11. What research activity/activities will take place?**  
*(check all that apply, then check if subjects can choose not to participate)*

**Can Subjects  
Choose Not to  
Participate?**

- |  | YES                      | NO                                  |
|--|--------------------------|-------------------------------------|
| <p><input checked="" type="checkbox"/> <b>Implementation of a novel educational method</b> .....▶</p> <p>Describe how it differs from the standard method:</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">                     Students participate in teams formed using novel strategies and evaluate their peers using a novel system. Novel approaches such as video-based modeling will be used to teach team effectiveness to students and team management to faculty. Students cannot choose not to participate because team formation and peer evaluation data are being collected as a routine part of team management in the classroom. Further, it would be impossible to understand team dynamics without peer evaluation data from each of the students on a team.                 </div> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <p><input type="checkbox"/> <b>Testing</b> .....▶</p> <p>Describe how often and when:</p> <div style="border: 1px solid black; height: 20px; margin-bottom: 10px;"></div> <p><b>PLEASE BE AWARE</b> that if you do not already have access to any of the above information, you may only obtain it after the custodian of the records de-identifies the data.</p>  | <input type="checkbox"/> | <input type="checkbox"/>            |
| <p><input checked="" type="checkbox"/> <b>Review and collection of student grades and standardized test scores</b> .....▶</p> <p>Describe what scores or grades will be collected:</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">                     In some parts of this research, course grades (particularly team project scores) may be shared with the researchers after personally identifiable information has been removed.                 </div> <p><b>PLEASE BE AWARE</b> that if you do not already have access to any of the above information, you may only obtain it after the custodian of the records de-identifies the data.</p>  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <p><input type="checkbox"/> <b>Will you be observing and recording data on teacher or student?</b> .....▶</p> <p><b>1. Indicate teacher or student below:</b></p> <p><input type="checkbox"/> On Teacher      <input type="checkbox"/> On Student</p> <p><b>2. How will the data be recorded?</b></p> <p><input type="checkbox"/> Written Notes    <input type="checkbox"/> Audio      <input type="checkbox"/> Video      <input type="checkbox"/> Photographs</p>  | <input type="checkbox"/> | <input type="checkbox"/>            |
| <p><input type="checkbox"/> <b>Review of student coursework</b> .....▶</p> <p>Describe what course work will be reviewed and how identity will be protected:</p> <div style="border: 1px solid black; height: 20px; margin-bottom: 10px;"></div> <p><b>PLEASE BE AWARE</b> that if you do not already have access to any of the above information, you may only obtain it after the custodian of the records de-identifies the data.</p>   | <input type="checkbox"/> | <input type="checkbox"/>            |
| <p><input checked="" type="checkbox"/> <b>Use of questionnaires, interview questions, etc. If applicable, include a copy.</b> .....▶</p> <p>Describe procedures to be followed:</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">                     Students are taught to work in teams in various ways, and faculty attempt various ways to remediate team problems. Students engage in online surveys related to team formation and peer evaluation as part of classroom activity. Faculty provide feedback on team functioning.                 </div>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <p><input type="checkbox"/> <b>Other.</b> .....▶</p> <p>Describe:</p> <div style="border: 1px solid black; height: 20px; margin-bottom: 10px;"></div>  | <input type="checkbox"/> | <input type="checkbox"/>            |

Attach all surveys, instruments, interview questions, focus group questions, etc.

**12. Will the activity occur regardless of whether you are conducting research or not?**

YES

NO

**13. Describe what non-participants will do during the research (activities and supervision):**

*It is important that the study design not penalize students who will not be participating if not all students will be participating.*

There are no non-participants.

## Compensation

**14. Will you give subjects gifts, payments, compensation, reimbursement, services, or extra credit?**

YES

NO

*Note: If extra credit will be offered for participation in the research activity, an alternative activity must be provided to non-participating students for a comparable amount of credit.*

If yes, please explain:

## Recruitment

**15. How will potential subjects be identified for recruitment? (i.e. how will you select the schools, teachers, and students for recruitment)**

Faculty self-select to use the system for classroom management of teamwork and have the choice to release data to the researchers after personally identifiable data have been removed.

**16. Describe your relationship with the population you wish to study. (i.e. are you the teacher, principal, a graduate assistant, a fellow student, or clarify if you have not had prior contact with this group, etc.)**

The research team provides teamwork management services free of charge for faculty.

**17. Describe with whom (i.e. graduate student) and how (i.e. in a classroom setting, by mail, e-mail, etc.) you will make initial contact with the subjects.**

The research team never contacts with the subjects directly. As part of its functioning, the online system sends students emails with instructions to complete surveys online, but students do not reply to these messages.

*Attach a copy of any and all recruitment materials to be used (i.e. advertisements, bulletin board notices, e-mails, letters, phone scripts, or URLs).*

## Confidentiality

**18. Will the data be collected anonymously (without identifiers)?**

YES. Skip to end of document.

NO. Describe the identifiers to be collected:

In the online system, students have an identifier that is assigned by faculty and student email addresses are included.

**19. Describe provisions that will be taken to maintain confidentiality of data (i.e. surveys, audio, video, etc.):**

The research team does not have access to this data, which is stored on a server behind Purdue's firewall and maintained by Hal Pomeranz of Deer Run Associates, a nationally recognized computer security expert. Internal IDs are assigned to student data for tracking purposes, but researchers do not have the ability to connect that tracking ID to any personally identifiable information. When student grades are reported, the faculty member teaching the class will be responsible for associating the grades with the tracking IDs so that researchers never handle personally identifiable information.

**20. Estimate how long it will take to transcribe audio and/or video tapes and when they will be destroyed.**

No audio or video tapes are being collected.

**21. Will the PI be able to identify subjects (i.e. identifiers, code keys, etc.)?**

YES

NO

**22. Will identifiable data be made available to anyone other than the PI?**

YES

NO

If yes, explain who and why they will have access to the identifiable data:

As indicated above, the tracking IDs are not associated with any personally identifiable information. They are used to track student team performance over time, but without regard to their identity.

As Principal Investigator of this study, I assure the IRB that the following statements are true: I have read the Human Subjects "[Research Exemption Request Guidelines](#)." The information provided on this form is correct. I will seek and obtain prior written approval from the IRB for any substantive modification in the protocol, including changes in procedures, research team members, funding agencies, etc. I will not begin my research until I have received written notification of final IRB exemption. I will comply with all IRB requests to report on the status of the study. I will maintain records of this research according to IRB guidelines.



Principal Investigator Signature

February 9, 2009

Date

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**Submit the original request to: Institutional Review Board (IRB), 610 Purdue Mall, Hovde Hall,  
Room 300**

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