



**Central Connecticut State University  
-Institutional Review Board-**

**INITIAL PROTOCOL SUBMISSION FORM**

**SUBMISSION INSTRUCTIONS** – The Initial Protocol Submission Form (IPSF) is now a fill-in form. The fill-in format is designed to facilitate preparation of the IPSF and review by the IRB. As this is a new format there are likely to be periodic updates.

Each item on the IPSF has a text field (Click or tap here to enter text), a check box (☑) or a date menu (Click or tap to enter a date) to enter information about the proposed research. Text fields will expand as information is entered. Click on the check box to place x. To initiate the IRB review process, submit the completed IPSF and supplemental materials to [irb@ccsu.edu](mailto:irb@ccsu.edu). Attach supplemental materials as either a Word or PDF document.

Please provide the information requested. If an item is not applicable enter N/A. If information is not available, enter “Info not available” with explanation. If there is information about the research that is not requested on the IPSF please enter the information in Section VIII, Additional Information.

Principal Investigators are to submit the completed IPSF and supplemental materials to the IRB. PIs as faculty advisors are to review the Lead Investigator’s IPSF for completeness and includes all relevant supplemental materials. The PI will then forward the IPSF to the IRB on behalf of the LI under their supervision. Submissions to the IRB by student researchers will be returned to the student’s faculty advisor.

**SECTION I – General Information**

- 1. PROTOCOL TITLE:** Inequity and Perception: Stories of Interdistrict Transfer
- 2. RESEARCH TEAM:** Principal Investigator (PI) is the designation for faculty conducting research and/or is a faculty advisor. The PI designation is also for a CCSU staff member named as PI on a grant.  
Lead Investigator (LI) is a designation for student researchers. “Other Researcher” is for an individual who is part of the research team and will have direct involvement with research subjects, but is not a PI, Co-PI, LI, or Co-LI.

	NAME	CCSU ID	INSTITUTION/ DEPARTMENT	PHONE/EMAIL
Principal Investigator / Faculty Advisor	XXXXXX XXXXXX	XXXXXXXXXX	CCSU/Department of Educational Leadership, Policy & Instructional Technology	(XXX)-XXX-XXXX XXXXXX@XXX.XXX
Co-Principal Investigator	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Lead Investigator	XXXXXX XXXXXX	XXXXXXXXXX	CCSU/Department of Educational Leadership, Policy & Instructional Technology	(XXX)-XXX-XXXX XXXXXX@XXX.XXX
Co-Lead Investigator	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Other Researcher	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

Other Researcher	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
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**3. HUMAN SUBJECT PROTECTION EDUCATION:** Enter requested information in appropriate space.

	NAME	EDUCATION (CITI, NIH, etc.)	DATE COMPLETED	CERTIFICATE INCLUDED W/APPLICATION?
Principal Investigator / Faculty Advisor	XXXXXX XXXXX	CITI	2-15-2018	Please see Appendix A
Co-Principal Investigator	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap to enter a date.	Click or tap here to enter text.
Lead Investigator	XXXXXX XXXXX	CITI	7-22-2019	Please see Appendix A
Co-Lead Investigator	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap to enter a date.	Click or tap here to enter text.
Other Researcher	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap to enter a date.	Click or tap here to enter text.
Other Researcher	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap to enter a date.	Click or tap here to enter text.

**4. RESEARCH PURPOSE:** Check the appropriate box in the column left of research purpose options. If the option checked is Undergraduate, Graduate or Other describe the course, project and department in the space to the right.

<input type="checkbox"/>	Faculty Research	<input type="checkbox"/>	Undergraduate Course/Project	Click or tap here to enter text.
<input checked="" type="checkbox"/>	Dissertation	<input type="checkbox"/>	Graduate Course/Project	Click or tap here to enter text.
<input type="checkbox"/>	Master's Thesis/Project	<input type="checkbox"/>	Other	Click or tap here to enter text.

**5. FUNDING SOURCES:** Check the appropriate box in the column to the left of the funding options. If research has funding enter funding source information in the space to the right of the funding option.

<input checked="" type="checkbox"/>	Research not funded	Click or tap here to enter text.
<input type="checkbox"/>	Funded by Federal agency or department	Click or tap here to enter text.
<input type="checkbox"/>	Funded by Connecticut State agency or department	Click or tap here to enter text.
<input type="checkbox"/>	Funded by CCSU center, department, school or other	Click or tap here to enter text.
<input type="checkbox"/>	Funded by private organization	Click or tap here to enter text.
<input type="checkbox"/>	Funded by other entity	Click or tap here to enter text.

## SECTION II – Research Overview

Please provide the information requested. If an item is not applicable or information is not available, enter N/A.

- Proposed start date of research activities: September 1, 2020

In 250 to 500 words please provide a brief summary of the proposed research, including study hypothesis or research question, objectives, and rationale. Also cite relevant published research and articles to support the hypothesis or research question for the proposed research.

The disparities in educational opportunities among students from less advantaged backgrounds defined by race, ethnicity, and social class, continue to lead to inequitable outcomes in educational opportunities (Furman, 2012). Decades after the U.S. Supreme Court's 1954 *Brown v. Board of Education* decision

prohibiting separate public schools for African American students, the sources of inequality and how to remedy them still look very different depending on where you reside (Brownstein, 2014). Through court decisions and legislative actions, efforts to physically move historically marginalized students into school communities that offered greater opportunities have expanded tremendously (Smith, Frey, Pumpian, & Fisher, 2017). These efforts have resulted in increased opportunities for students to experience a more equitable and less segregated educational experience. Across the nation, several cities, including Hartford, have proactively implemented interdistrict transfer programs as an education reform strategy in order to combat the disparities in educational opportunities for students. Programs such as the Open Choice Program, which involves families from Hartford applying to a lottery to have their children attend school in a nearby suburban school district, have provided students with many positive opportunities, including increased student achievement, improved racial attitudes and growing acceptance, and future long-term outcomes (Apfelbaum & Ardon, 2015). However, there are also areas of concern that need to be addressed in order to improve the overall experience for Hartford students participating in the Open Choice Program. The intention of this study is not to be critical of the program, but, rather, the study aims to focus on experiences of Hartford students in the suburban communities that participate in this interdistrict transfer program. This qualitative methods study seeks to answer the following research questions:

1. What are the perceptions of Hartford students attending suburban high schools through the Open Choice Program?
  2. How are the Hartford students who participate in the Open Choice Program viewed or perceived by the receiving community?
  3. What is the perceived impact of participation in the Open Choice Program on students?
  4. What are teacher perceptions about the experience of students in the Open Choice Program?
  5. What are the perceptions of families of Hartford students attending suburban high schools through the Open Choice Program?
2. Describe the subject population demographic which is specific to the objectives of the proposed research stating age range, gender, ethnicity/race or whether subjects will be children, prisoners, students, employees, individuals with impaired decision-making capacity, or economically or educationally disadvantaged persons. The target population for this study includes predominantly African American and Hispanic and/or Latino high school students in grades 9-12, ages 14-18, in five traditional, suburban high schools in the Hartford, CT region who participate in the Open Choice Program. The five high schools represent different districts in Connecticut and varying Demographic Reference Groups (DRGs), which are groupings of school districts clustered by levels of community need and wealth. The sample of this study will include 5-6 students in each high school, for an approximate total of 25-30 students. Also, 1-2 parents/guardians of Open Choice students in each high school will be included, for an approximate total of 5-10 parents. The study will also include 2-3 certified educators in each high school, with differing years of experience and certification endorsements, for an approximate total of 10-15 educators. Gender, age, and ethnicity/race (also educator role, for the educator population) will not be specific for the selection criteria, though, if enough volunteers were available, requiring sampling of the volunteer pool, these variables would be considered for balance within each participant category. However, in CT, teachers are predominantly White, and their ages would typically range from about 22 years old to retirement age. Parents/guardians would likely range in age from about 28 years old through retirement age. This study includes students and families, who are likely to be economically disadvantaged, and employees of the five school districts.

### SECTION III – Sponsors, Affiliates, and Collaborators

3. Describe any arrangements with an agency, organization, or institution that is a collaborator for this research. Include a name of the collaborator official with contact details and a gatekeeper letter. If the gatekeeper letter is not available indicate the status for procuring the letter.  
I have received permission from the XXXX, XXXX, XXXX, XXXX, XXXX School Districts to conduct my research (See Appendix B for school district gatekeeper letters.).
4. Describe the status of the collaborator IRB for this proposed research. If the collaborator IRB has approved this research include a copy of the approval. If the collaborator does not have an IRB enter N/A.  
N/A.
5. Describe any plans to recruit subjects or to obtain data from an agency, school, organization or institution other than CCSU.

Study participants will be recruited on a volunteer basis. All students and parents/guardians participating in the Open Choice Program at the five selected high schools will be recruited to participate in the study, as well as certified educators. Preference will be given to certified educators who have experience with Open Choice Program students in their classrooms or on their caseloads. Upon the permission from the CCSU IRB granting permission to begin research, I will email the principal of each high school requesting a meeting with them and the school's Open Choice Liaison in order to explain the purpose of the study and explore if there are any additional concerns with implementation (See Appendix C for principal invitation letter.). At this initial meeting, copies of all recruitment materials will be provided, as well as paper copies of consent and assent forms. I will ask if the building principal, the Open Choice Liaison, or another designee can forward the study invitation to all certified educators, students and parents/guardians in the Open Choice Program. There will be three different invitation emails with subject lines reading: "Open Choice Program Student Volunteers Wanted for a Research Study," "Open Choice Program Parent/Guardian Volunteers Wanted for a Research Study," and "Certified Educator Volunteers Wanted for a Research Study" (See Appendix D for study recruiting materials and invitation emails.). Invitation emails will explain the purpose of the study and request their participation. They will also explain that I am interested in selecting 5-6 students, 1-2 parents/guardians, and 2-3 certified educators in order to conduct interviews. I will ask to be copied on the invitation emails in order for interested participants to email me directly. Once interested participants are identified, emails will be sent to them directly by me, asking if participants have any additional questions and to schedule interview dates. I will also explain the consent and assent forms and that they can be obtained from the Open Choice Liaison's office. Shortly after scheduling the interviews, I will confirm their interview times and email reminders a few days before the scheduled interviews.

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### SECTION IV – Human Subjects

6. Describe the expected demographics for the proposed research sample if known.

The target population sample for this study includes approximately 25 to 30, predominantly African American and Hispanic and/or Latino high school students in grades 9-12, ages 14-18, as well as approximately 5-10 predominantly African American and Hispanic and/or Latino parents/guardians. The study will also include approximately 10 to 15 certified educators, with differing years of experience and certification endorsements. Gender, age, and ethnicity/race (also educator role, for the educator

population) will not be specific selection criteria, though, if enough volunteers were available, requiring sampling of the volunteer pool, these variables would be considered for balance within each participant category. However, in CT, teachers are predominantly White, and their ages would typically range from about 22 years old to retirement age. This study will only include Open Choice Program students, parents/guardians, and certified educators of the five selected high schools in the Hartford, CT region. The five traditional, suburban high schools represent different districts in Connecticut and varying Demographic Reference Groups (DRGs). The selection criteria for students to be selected for my sample is that they: (a) are Open Choice Program students residing in Hartford and (b) are currently enrolled in the Open Choice Program in grades 9-12. The selection criteria for parents/guardians to be selected for my sample is that they: (a) are parents of Open Choice Program students residing in Hartford and (b) whose children are currently enrolled in the Open Choice Program in grades 9-12. The selection criteria for certified educators to be selected for my sample is that they: (a) are certified high school educators, with differing years of experience and certification endorsements, holding a valid state license, (b) are currently employed by the selected school district and, (c), currently have experience with Open Choice Program students in their classrooms or on their caseloads.

The categories below indicate populations that are considered vulnerable to coercion or undue influence. Check each category that is applicable to this proposed research. If none enter N/A

<input checked="" type="checkbox"/>	Children
<input type="checkbox"/>	Individuals with impaired decision making capacity
<input checked="" type="checkbox"/>	Economically or educationally disadvantaged persons
<input type="checkbox"/>	Prisoners
<input type="checkbox"/>	Probationers or parolees
<input type="checkbox"/>	Veterans

7. Describe any relationship that members of the research team might have with the prospective subjects.  
The researcher is the principal at one of the five high schools in the study. Thus, he is familiar with some of the prospective subjects for this study.
8. Do you plan to recruit CCSU students through a class that you or one of your faculty collaborators instruct?  
 Yes (Answer 9a)      No (Go to #10)
  - 9a. Please explain why this population is necessary to the study and indicate what precautions will be taken to minimize potential undue influence or coercion.  
N/A
9. Describe recruitment procedures and attach recruitment materials.

Study participants will be recruited on a volunteer basis. All students participating in the Open Choice Program at the five selected high schools will be recruited to participate in the study, as well as their parents/guardians and certified educators. Preference will be given to certified educators who have experience with Open Choice Program students in their classrooms or on their caseloads. Upon the permission from the CCSU IRB granting permission to begin research, I will email the principal of each high school requesting a meeting with them and the school’s Open Choice Liaison in order to explain the purpose of the study and explore if there are any additional concerns with implementation (See Appendix C for principal invitation letter.). At this initial meeting, copies of all recruitment materials

will be provided, as well as paper copies of consent and assent forms. I will ask if the building principal, the Open Choice Liaison, or another designee can forward the study invitation to all certified educators, students, and families in the Open Choice Program. There will be three different invitation emails with subject lines reading: “Open Choice Program Student Volunteers Wanted for a Research Study,” “Open Choice Program Parent/Guardian Volunteers Wanted for a Research Study,” and “Certified Educator Volunteers Wanted for a Research Study” (See Appendix D for study recruiting materials and invitation emails.). Invitation emails will explain the purpose of the study and request their participation. They will also explain that I am interested in selecting 5-6 students, 1-2 parents/guardians, and 2-3 certified educators in order to conduct interviews. I will ask to be copied on the invitation emails in order for interested participants to email me directly. Once interested participants are identified, emails will be sent to them directly by me, asking if participants have any additional questions and to schedule interview dates. I will also explain the consent and assent forms and that they can be obtained from the Open Choice Liaison’s office. Shortly after scheduling the interviews, I will confirm their interview times and email reminders a few days before the scheduled interviews.

10. Describe criteria for subject inclusion and screening procedures of prospective subjects. If any inclusion/exclusion criteria are based on gender or ethnicity/race explain rationale.

The selection criteria for students to be selected for our sample is that they: (a) are Open Choice Program students residing in Hartford and (b) are currently enrolled in the Open Choice Program in grades 9-12 in the selected five high schools. The selection criteria for parents/guardians to be selected for my sample is that they: (a) are parents of Open Choice Program students residing in Hartford and (b) whose children are currently enrolled in the Open Choice Program in grades 9-12. The selection criteria for certified educators to be selected for our sample is that they: (a) are certified high school educators, with differing years of experience and certification endorsements, holding a valid state license, (b) are currently employed by the selected school district, and, (c) currently have experience with Open Choice students in their classrooms or on their caseloads. However, ultimately, this study will be accepting volunteers. So long as the volunteers meet the above criteria, barring a large number of interested participants, all volunteers will be interviewed. If enough volunteers were available, requiring sampling of the volunteer pool, gender, age, ethnicity/race, and educator role (when applicable) would be considered for balance within each participant category.

11. Describe the minimum number of eligible subjects needed for the proposed research or the anticipated number that will participate.

The desired number of eligible subjects for this study will be approximately 25-30 high school students participating in the Open Choice Program, 5-10 parents/guardians, and 10-15 certified educators in five public high schools.

12. Describe any compensation of subjects or indicate if there is no compensation. SONA credits are considered compensation. If subjects are compensated explain details should the subject not complete or withdraws from the research activity.

No compensation will be provided for any participants in this study.

13. Describe research procedures. Procedures include interviews, self-administered surveys or questionnaires, focus groups, psychometric or educational testing, follow-up for longitudinal studies. Procedures can also include web-based data collection, analyzing data obtained from institutional records or secondary data sources both publically available or with limited access. Attach a copy of the materials that will be used for collecting data.

Research procedures for this study include student, parent/guardian, and educator interviews, examining Hartford students’ experiences in suburban communities that participate in this interdistrict transfer

program (See Appendix E for semi-structured interview protocol for certified educators, students and parents/guardians). There will be 7 open ended items for certified educators, 7 for parents/guardians, and 9 for students.

14. Describe who will administer the proposed research procedures, where and when procedures will take place, and the frequency and duration of visits /sessions for the research.  
The researcher will administer the proposed research procedures. Student interviews will be conducted in the studied school's Guidance Department offices, or in another setting within the students' school deemed comfortable to the students, while certified educators interviews will be conducted in their classrooms or offices. Interviews will be conducted face-to-face and will not be longer than 45 minutes in duration. Parent/guardian interviews will be conducted by phone and will also not be longer than 45 minutes in duration. Interviews will start after September 1, 2020 and will be concluded prior to October 31, 2020. Educator interviews will take place at the five high schools, in a setting deemed most comfortable for the interviewees, such as their classrooms or offices.  
The student interviews will be conducted one-to-one, unless a student would like the Open Choice Liaison or another trusted staff member to join him or her. In order to safeguard participant response interpretation, interviews will follow the same order of open-ended items used for the semi-structured interview protocol (See Appendix E for semi-structured interview protocol for certified educators, students, and parents.). It should be noted that, due to the uncertainty of the COVID-19 precautions at the time of interviews, it is possible that all interviews will be conducted via phone or teleconference.
15. If applicable, describe any audio or video recording that will occur and the purpose.  
The interview process will include note-taking and audio recordings. Interview recordings will be kept confidential by the researcher in a secured Dropbox folder, on a password-protected computer in the researcher's office, and with a backup copy on a USB flash drive that will be kept in a locked file cabinet in the researcher's office. Data files will only be accessible by the researcher and his advisor, Dr. XXXXX XXXXX. All files will be destroyed five years after the completion of the study. Participant consent and assent forms will be the only way to identify participants, and these paper forms will be kept in a locked file cabinet in the researcher's office. No names will ever be used to connect data and participants' identities.
16. If applicable, describe if any deception or incomplete disclosure of informed consent will take place and explain the rationale.  
None.
17. Describe all potential risks and discomforts associated with participation whether physical, psychological, economic or social (e.g., pain, stress, invasion of privacy, embarrassment, breach of confidentiality).  
Every attempt will be made to reduce potential risks and discomforts associated with participation in this study. As included in the consent form, there is a possibility that some of the items in the interviews, especially for students and parents/guardians, may make someone feel uncomfortable.
18. Describe measures that will be implemented to minimize risks and discomforts to subjects.  
If participants feel uncomfortable, they can choose not to answer certain items, take a break and continue later, or choose to stop the interview with no penalty or negative consequence. Students can also request for the Open Choice Liaison at their school or another trusted staff member to join him or her during the interview.

19. Describe any potential benefits to the individual subjects, group of subjects, and/or society. If there is no direct benefit to subjects it should be stated. NOTE: Compensation/payment for participation is not considered a benefit. Although there are no direct benefits to subjects in this study, they might reflect on the Open Choice Program and provide an opportunity for student, parent/guardian, and educator voice.
20. Describe what identifiable data will be obtained from the subjects. Audio, photo, and video recordings are generally considered identifiable unless distinguishing features are masked.  
The only identifiable information that will be collected is via the consent/assent forms. Due to the small number of anticipated participants, demographic information could potentially identify certain research participants. These data will be kept securely in a locked file cabinet in the researcher's office. As with names, demographic information will not be carried throughout data analysis and reporting.
21. Describe how confidentiality of subject information will be maintained and how long research data will be kept. Maintaining confidentiality of subject information can be managed by limiting access to research records, securing records on password protected computer, saving data in encrypted files, storing information in a locked cabinet, etc.  
All data and subject information collected within this study, including interview recordings, will be kept confidential by the researcher in a secured Dropbox folder, and with a backup copy on a USB flash drive that will be kept in a locked file cabinet in the researcher's office. Additionally, paper consent forms will also be kept in the same locked file cabinet in the researcher's office. Data files will only be accessible by the researcher and his advisor, Dr. XXXXX XXXXX. All files will be destroyed five years after the completion of the study. No individual or school names or demographic information will be used in any part of the study in order to protect the identities of participants. Participant consent and assent forms will be the only way to identify participants.

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## SECTION V – Informed Consent Process

22. Check the space next to the informed consent process option for this proposed research and attach a copy of the consent form, script, or statement for the option. If not applicable enter N/A [Click or tap here to enter text.](#)  
All participants who are 18 years and over will be asked to sign the consent form. All participants less than 18 years old will sign an assent form, and their parent or guardian will need to sign the consent form (See Appendix F for informed consent and assent forms.).

<input checked="" type="checkbox"/>	1. Subjects will be given the standard consent and assent form(s) to read, sign, and return to researcher(s).
<input type="checkbox"/>	2. Subjects will be given an information sheet to read.
<input type="checkbox"/>	3. Subjects will be briefed orally by the researcher and given an information sheet.
<input type="checkbox"/>	4. Subjects will only be briefed orally.
<input type="checkbox"/>	5. Subjects will be given an online survey consent statement to read and acknowledge.
<input type="checkbox"/>	6. Subjects will be given a short form consent with a witness to the oral presentation.
<input type="checkbox"/>	7. Request to waive informed consent.

23. If requesting a waiver for documentation of informed consent for options 2, 3, 4, 5, and 6 above, check the space next to the appropriate condition below to justify the waiver. If not applicable enter N/A  
N/A



<input type="checkbox"/>	The only record linking the subject and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality.
<input type="checkbox"/>	The research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside the research context.

24. Describe the process for obtaining parental/guardian permission and assent from a child for research involving children. Attach copy of parental/guardian permission form and child assent form.  
 Prior to conducting the interviews, participants will be provided with consent forms, via email, as well as paper copies, describing the importance of the study and procedures, assurances of confidentiality, and other considerations (See Appendix F for informed consent form.). All participants who are 18 years and over will be asked to sign the consent form. All participants younger than 18 years old will sign an assent form, and their parent or guardian will need to sign the consent form.

### SECTION VI – Investigator Certifications

1. **Potential Conflicts of Interest:** Potential conflicts of interest exist when there is a divergence between an individual's private interests and his or her professional obligations to CCSU such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise.

Each investigator will disclose all significant financial interests: (I) that would reasonably appear to be affected by the research, educational, or service activities or proposed for funding, by an external sponsor; or (II) in entities whose financial interests would reasonably appear to be affected by such activities.

I certify that I am aware of this policy and have no conflicts to disclose.

**Date and LI initials:** 4/24/20 XX      **Date and PI initials:** 4/24/20 XX

2. **Scientific Misconduct Statement:** CCSU does not tolerate scientific misconduct as defined by the Public Health Service (PHS): “Misconduct in science is defined as (1) plagiarism, deception or other practices that seriously deviate from those that are commonly accepted within the research community for proposing, conducting or reporting research; or (2) material failure to comply with federal requirements that uniquely relate to the conduct of research.” I certify that I am aware of CCSU’s policy on scientific misconduct, and that everything I have reported on this form is accurate and true to the best of my knowledge. I also understand that deception on this form may result in the rejection of my application and/or the revocation of IRB approval for this project.

**Date and LI initials:** 4/24/20 XX      **Date and PI initials:** 4/24/20 XX

3. **Faculty Advisor Responsibilities:** If applicable, the PI as a faculty advisor must certify that he or she has reviewed the student’s proposed research application and assures that the application is complete and the information contained accurate, confirms the integrity of the student’s proposed research design, and that rights and welfare of the research subjects are protected at all times.

**Date and LI initials:** 4/24/20 XX      **Date and PI initials:** 4/24/20 XX

### SECTION VII – IPSF Checklist of submission materials.

**Check each appropriate box before sending submission materials.**

- The relevant sections of the IPSF are complete.
- Attached is a copy of each informed consent document, parent permission form, and assent or oral consent script if applicable.

(ASSIGNED BY IRB) IRB Protocol Number: [Comments]

- Attached are all required gatekeeper letters and/or external IRB information and documentation for any planned external collaborations.
- Attached are copies of all measures, survey instruments, interview guides/questions, and questionnaires, etc.
- Attached are copies of all of all recruitment materials including oral scripts, email notices, web postings, flyers, etc., survey instruments, interview guides/questions, and questionnaires, etc.
- Attached is a copy of an ethics tutorial completion certificate for each member of the research team (e.g.; CITI ).

**Date and LI initials:** 4/24/20 XX

**Date and PI initials:** 4/24/20 XX

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## **SECTION VIII – Additional Information**

Click or tap here to enter text.

## REFERENCES

- Apfelbaum, K., & Ardon, K. (2015). *Expanding METCO and closing achievement gaps. Pioneer*. Retrieved from <https://files.eric.ed.gov/fulltext/ED565731.pdf>
- Brownstein, R. (2014, April). How Brown v. Board of Education changed and didn't change American education. *The Atlantic Daily*. Retrieved from <https://www.theatlantic.com/education/archive/2014/04/two-milestones-in-education/361222/>
- Furman, G. (2012). Social justice leadership as praxis: Developing capacities through preparation programs. *Educational Administration Quarterly*, 48(2), 191-229. <https://doi.org/10.1177/0013161X11427394>
- Smith, D., Frey, N., Pumpian, I., & Fisher, D. (2017). *Building equity: Policies and practices to empower all learners*. Alexandria, VA: ASCD.

APPENDIX A  
CITI PROGRAM CERTIFICATES



Completion Date 22-Jul-2019  
Expiration Date 21-Jul-2022  
Record ID

This is to certify that:

NAME

Has completed the following Citi Program course:

**Human Subjects Research**  
**Group 2: Faculty/Graduate Students - Human Subjects Research**  
**1 - Basic**

(Curriculum Group)

(Course Learner Group)

(Stage)

Not valid for renewal of certification through CME. Do not use for TransCelerate mutual recognition (see Completion Report).

Under requirements set by:

**Central Connecticut State University**

**CITI**  
Collaborative Institutional Training Initiative

Verify at [www.citiprogram.org/verify/?w7bc3c218-84a8-42aa-9094-d8621f991711-32516303](http://www.citiprogram.org/verify/?w7bc3c218-84a8-42aa-9094-d8621f991711-32516303)



Completion Date 15-Feb-2018  
Expiration Date 14-Feb-2021  
Record ID

This is to certify that:

Has completed the following CITI Program course:

**IRB Members - Basic/Refresher** (Curriculum Group)  
**IRB Members - Basic/Refresher** (Course Learner Group)  
**1 - Basic Course** (Stage)

Under requirements set by:

**Central Connecticut State University**



Verify at [www.citiprogram.org/verify/?wd0cdd834-1e4e-4f78-a8c7-a112e96da216-26139968](http://www.citiprogram.org/verify/?wd0cdd834-1e4e-4f78-a8c7-a112e96da216-26139968)

**APPENDIX B**  
**SCHOOL DISTRICT APPROVAL LETTERS**

March 26, 2020

Dear CCSU Institutional Review Board:

[redacted] is the [redacted] High School. He has proposed a research project for his doctoral dissertation on Hartford students lived experiences attending suburban high schools as participants in the Open Choice Program. This research will be conducted during the fall of the 2020-2021 academic school year, during which he will be interviewing high school staff and Hartford students participating in the Open Choice Program. I understand that invitations to participate in this study will be extended to staff members and students participating in the program. Participation in the study will be voluntary.

I understand that interviews will be conducted at the high school in a one-to-one setting. I understand that all the information collected from individuals will be done with informed consent from the participating individuals and students' parents. Any invited staff or students may refuse participation with no negative consequences at any time during this project. I am also aware that all research results will be reported in a fashion that precludes identification of any participant and that access to audio recordings and raw data will be limited to the researcher and his advisor.

I support this research and planned activities, which involve staff and students within our school district.

Sincerely, *[Signature]*

[redacted]

March 26, 2020

Dear CCSU Institutional Review Board:

[redacted] is the [redacted] High School. He has proposed a research project for his doctoral dissertation on Hartford students lived experiences attending suburban high schools as participants in the Open Choice Program. This research will be conducted during the fall of the 2020-2021 academic school year, during which he will be interviewing high school staff and Hartford students participating in the Open Choice Program. I understand that invitations to participate in this study will be extended to staff members and students participating in the program. Participation in the study will be voluntary.

I understand that interviews will be conducted at the high school in a one-to-one setting. I understand that all the information collected from individuals will be done with informed consent from the participating individuals and students' parents. Any invited staff or students may refuse participation with no negative consequences at any time during this project. I am also aware that all research results will be reported in a fashion that precludes identification of any participant and that access to audio recordings and raw data will be limited to the researcher and his advisor.

I support this research and planned activities, which involve staff and students within our school district.

Sincerely,

[REDACTED]

April 9, 2020

Dear CCSU Institutional Review Board:

[REDACTED] is the [REDACTED] High School. He has proposed a research project for his doctoral dissertation on Hartford students' lived experiences attending suburban high schools as participants in the Open Choice Program. This research will be conducted during the fall of the 2020-2021 academic school year, during which he will be interviewing high school staff and Hartford students participating in the Open Choice Program. I understand that invitations to participate in this study will be extended to staff members and students participating in the program. Participation in the study will be voluntary.

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I support this research and planned activities, which involve staff and students within our school district.

Sincerely,

[REDACTED]



17 April 2020

To: CCSU Institutional Review Board

[ ] is the [ ] High School. He has proposed a research project for his doctoral dissertation on Hartford students lived experiences attending suburban high schools as participants in the Open Choice Program. This research will be conducted during the fall of the 2020-2021 academic school year, during which he will be interviewing high school staff and Hartford students participating in the Open Choice Program. I understand that invitations to participate in this study will be extended to staff members and students participating in the program. Participation in the study will be voluntary.

I understand that interviews will be conducted at the high school in a one-to-one setting. I understand that all the information collected from individuals will be done with informed consent from the participating individuals and students' parents. Any invited staff or students may refuse participation with no negative consequences at any time during this project. I am also aware that all research results will be reported in a fashion that precludes identification of any participant and that access to audio recordings and raw data will be limited to the researcher and his advisor.

I support this research and planned activities under the conditions stipulated above, which involve staff and students within our school district.

Sincerely,

[ ]

[ ]

[REDACTED]

Dear CCSU Institutional Review Board:

[REDACTED] is the [REDACTED] High School. He has proposed a research project for his doctoral dissertation on Hartford students lived experiences attending suburban high schools as participants in the Open Choice Program. This research will be conducted during the fall of the 2020-2021 academic school year, during which he will be interviewing high school staff and Hartford students participating in the Open Choice Program. I understand that invitations to participate in this study will be extended to staff members and students participating in the program. Participation in the study will be voluntary.

I understand that interviews will be conducted at the high school in a one-to-one setting. I understand that all the information collected from individuals will be done with informed consent from the participating individuals and students' parents. Any invited staff or students may refuse participation with no negative consequences at any time during this project. I am also aware that all research results will be reported in a fashion that precludes identification of any participant and that access to audio recordings and raw data will be limited to the researcher and his advisor.

I support this research and planned activities, which involve staff and students within our school district.

Sincerely,

[REDACTED]

## APPENDIX C

### PRINCIPAL INVITATION LETTER

Dear Principal:

My name is XXXXX XXXXX, from XXXXXX High School. I am a doctoral candidate in the Department of Educational Leadership, Policy & Instructional Technology at Central Connecticut State University (CCSU) in New Britain, Connecticut. I am conducting a research study as part of the requirements of my doctoral degree. The purpose of the study is to examine Hartford students' lived experiences attending suburban high schools as participants in the Open Choice Program. CCSU's Institutional Review Board has approved the study.

Your district's superintendent has agreed to allow your school's participation. I would like to schedule a meeting with you and your school's Open Choice Liaison in order to explain the purpose of the study and explore if there are any additional concerns with conducting the study. I will provide copies of all recruitment materials, as well as paper copies of consent and assent documentation. I would ask after our initial meeting, if you, the Open Choice Liaison, or another designee to forward a study invitation email to your certified educators, students, and parents. I am interested in selecting approximately 2-3 certified educators and 5-6 students in order to conduct interviews. I am also interested in interviewing 1-2 parents/guardians of Open Choice students.

The interviews will take approximately 45 minutes, and the results of these interviews will remain confidential. All participants less than 18 years old will sign an assent form, and their parent or guardian will need to sign the consent form. All participants who are 18 years and over will be asked to sign a consent form. Interviews will be audio recorded, and later transcribed for accuracy. All data collected will be kept confidential and only accessible by the researcher and my advisor, Dr. XXXXX XXXXX. The recordings will be deleted after the study is complete.

Thank you for your consideration. If you have any research-related questions or questions about this study, you may email me at [XXXXXXXX@XXX.XXX](mailto:XXXXXXXX@XXX.XXX) or contact me at XXX-XXX-XXXX.

Thank you.

XXXXX XXXXX

## **APPENDIX D**

### **RECRUITING MATERIALS**

**STUDY INVITATION LETTER FOR STUDENTS**

**OPEN CHOICE PROGRAM STUDENT VOLUNTEERS WANTED  
FOR A RESEARCH STUDY**

Hello Students! My name is XXXXX XXXXX, and I am looking to learn more about your experiences attending suburban high schools, as participants in the Open Choice Program. Your participation in the research study is voluntary, and there will be no consequences attached to your choice whether or not to participate. All students in the Open Choice Program at your high school will be invited to participate. The study has been approved by your superintendent and principal, and I have also spoken with your school's Open Choice Program Liaison. If you are selected for this study, you will be asked to participate in a one-to-one interview. This should take approximately 45 minutes. This interview will be audio recorded, for purposes of accuracy, but your responses will remain completely confidential. Interviews will be conducted at your school. To learn more about this research, please contact your school's Open Choice Liaison or me, XXXXX XXXXX, the Central Connecticut State University student researcher conducting this study. I can be reached by emailing XXXXXXXXXXXX@XXXX.XXX

Thank you for considering. I hope to speak with many of you, and I look forward to learning about your experiences in this important program.

Sincerely,

XXXXX XXXXX

**STUDY INVITATION LETTER FOR CERTIFIED EDUCATORS**

## CERTIFIED EDUCATOR VOLUNTEERS WANTED FOR A RESEARCH STUDY

Hello Fellow Educators! My name is XXXXX XXXXX, and I am a doctoral candidate in the Department of Educational Leadership, Policy & Instructional Technology at Central Connecticut State University (CCSU) in New Britain, Connecticut. I am conducting a research study as part of the requirements of my doctoral degree. The purpose of the study is to examine Hartford students' lived experiences attending suburban high schools as participants in the Open Choice Program. Your participation in the research study is voluntary, and there will be no consequences attached to your choice whether or not to participate. Your district's superintendent, as well as your principal, have agreed to allow your school's participation. All certified educators in your building will be invited to participate, though I need to interview educators who work with students in the Open Choice Program in some capacity. If you are selected for this study, you will be asked to participate in a one-to-one interview. This should take approximately 45 minutes. This interview will be audio recorded, for purposes of accuracy, but your responses will remain completely confidential. Interviews will be conducted in your school building. If you are interested in participating in the study, please email me at XXXXXXX@XXX.XXX.

Thank you for your consideration, and I hope to speak with many of you.

Sincerely,

XXXXX XXXXX

**STUDY INVITATION LETTER FOR PARENTS/GUARDIANS**

**PARENT/GUARDIAN VOLUNTEERS WANTED FOR A  
RESEARCH STUDY**

Hello Parents/Guardians! My name is XXXXX XXXXX, and I am looking to learn more about your child's experiences attending suburban high schools, as a participant in the Open Choice Program. Your participation in the research study is voluntary, and there will be no consequences attached to your choice whether or not to participate. All parents/guardians whose children participate in the Open Choice Program will be invited to participate. If you are selected for this study, you will be asked to participate in a one-to-one phone interview. This should take approximately 45 minutes. This interview will be audio recorded, for purposes of accuracy, but your responses will remain completely confidential. To learn more about this research, or if you are interested in participating, please contact your school's Open Choice Liaison or me, XXXXX XXXXX, the Central Connecticut State University student researcher conducting this study. I can be reached by emailing XXXXXXX@XXX.XXX.

Thank you for considering, and I hope to speak with many of you about your child's experiences in this important program.

Sincerely,

XXXXX XXXXX

## APPENDIX E

## INTERVIEW PROTOCOLS FOR CERTIFIED EDUCATORS AND STUDENTS

Table 8

*Semi-Structured Interview Protocol for Certified Educators*

Items	Literature connection	Research Items Addressed
Discuss the benefits and challenges for Hartford students participating in the Open Choice Program.	(Apfelbaum & Ardon, 2015; Ayscue & Orfield, 2015; Cotto & Feder, 2014; Dougherty et al., 2009); Frankenberg, 2007; Orfield & Ee, 2015; Wells, et al., 2009)	1, 2, 3, 5
Describe the perception between town resident students and students participating in the Open Choice Program.	(Dougherty, 2011; Herbert, 2016; Kovner, 2020; Orfield et al., 1997; Semuels, 2019; Smith et al., 2017)	1, 2, 3
Discuss the perception of daily interactions between town resident students and students participating in the Open Choice Program.	(Cotto & Feder, 2014; Dougherty, 2011; Frankenberg, 2007; Garrett-Farb, 2011; Wells, et al., 2009)	1, 2, 3
Describe any activities that have been developed at your school for welcoming and/or involving Open Choice students and or their families to the community.	(Cotto & Feder, 2014; Dougherty & Hans, 2015; Frankenberg, 2007; Garrett-Farb, 2011)	1, 2, 3, 4, 5
Describe the perception between town resident community members and students participating in the Open Choice Program.	(Apfelbaum & Ardon, 2015; Dougherty, 2011; Orfield & Ee, 2015; Orfield et al., 1997)	2, 3
Tell me about the degree of diversity in the honors and Advanced Placement courses in your school.	(Crenshaw et al., 1995; Ladson-Billings & Tate, 1995; Oakes, 2005)	2, 4
Describe the perception of how students participating in the Open Choice Program are treated by teachers and staff.	(Apfelbaum & Ardon, 2015; Ayscue & Orfield, 2015; Boykin & Noguera, 2011; Hill Collins & Bilge, 2016; Marcotte & Dalane, 2019; Smith et al., 2017; Wells, et al., 2009)	1, 2, 3, 4, 5

Table 9

*Semi-Structured Interview Protocol for Students*

Items	Literature connection	Research Items Addressed
Tell me about your experiences with being accepted in your school.	(Freivogel, 2002; Gay, 1996; Sleeter & Grant, 2000 )	1, 2, 3
Describe the perception between town resident students and students participating in the Open Choice Program.	(Dougherty, 2011; Herbert, 2016; Kovner, 2020; Smith et al., 2017	1, 2, 3
Discuss the perception of daily interactions between town resident students and students participating in the Open Choice Program.	(Cotto & Feder, 2014; Frankenberg, 2007; Garrett-Farb, 2011)	1, 2, 3
Describe any activities that have been developed at your school for welcoming and/or involving Open Choice students and or their families to the community.	(Cotto & Feder, 2014; Dougherty & Hans, 2015; Frankenberg, 2007; Garrett-Farb, 2011)	1, 2, 3, 4, 5
Describe the perception between town resident community members and students participating in the Open Choice Program.	(Apfelbaum & Ardon, 2015; Dougherty, 2011; Orfield & Ee, 2015; Orfield et al., 1997)	2, 3
Discuss the perception of differences in opportunities, if there are any, offered in your current school compared to those provided in Hartford.	(Boykin & Noguera, 2011; Hill Collins & Bilge, 2016; Smith et al., 2017)	1, 2, 3, 4, 5
Tell me if you participate in any extracurricular activities, including sports, at your school.	(Frankenberg, 2007; Holme & Richards, 2009; Orfield et al., 1997; Palmer, 2003; Wells et al., 2009)	2, 3
Tell me about the degree of diversity in the honors and Advanced Placement courses in your school.	(Crenshaw et al., 1995; Ladson-Billings & Tate, 1995; Oakes, 2005)	2, 4
Describe the perception of how students participating in the Open Choice Program are treated by teachers and staff at your school.	(Apfelbaum & Ardon, 2015; Ayscue & Orfield, 2015; Boykin & Noguera, 2011; Marcotte & Dalane, 2019; Smith et al., 2017; Wells, et al., 2009)	1, 2, 3, 4, 5



Table 10

*Semi-Structured Interview Protocol for Parents/Guardians*

Items	Literature connection	Research Items Addressed
Discuss the benefits and challenges for Hartford students participating in the Open Choice Program.	(Apfelbaum & Ardon, 2015; Ayscue & Orfield, 2015; Cotto & Feder, 2014; Dougherty et al., 2009); Frankenberg, 2007; Orfield & Ee, 2015; Wells, et al., 2009)	1, 2, 3, 5
Describe how you and your child have been treated by community members at the school your child currently attends.	(Dougherty, 2011; Herbert, 2016; Kovner, 2020; Orfield et al., 1997; Semuels, 2019; Smith et al., 2017)	1, 2, 3, 5
Describe how you and your child have been treated by teachers and staff at the school your child currently attends.	(Apfelbaum & Ardon, 2015; Ayscue & Orfield, 2015; Boykin & Noguera, 2011; Hill Collins & Bilge, 2016; Marcotte & Dalane, 2019; Smith et al., 2017; Wells, et al., 2009)	1, 2, 3, 4, 5
To what degree are you aware of any activities that have been developed at your child's school for welcoming and/or involving Open Choice students and or their families to the community?	Cotto & Feder, 2014; Dougherty & Hans, 2015; Frankenberg, 2007; Garrett-Farb, 2011)	1, 2, 3, 4, 5
Discuss the perception of differences in opportunities, if there are any, offered at the school your child currently attends compared to those provided in Hartford.	(Boykin & Noguera, 2011; Hill Collins & Bilge, 2016; Smith et al., 2017)	1, 2, 3, 4, 5
Thinking about the school your child currently attends, how would you describe the school's responsiveness to your feedback and concerns?	(Cotto & Feder, 2014; Frankenberg, 2007; Grooms, 2014; Orfield & Ee, 2015; Orfield et al., 1997; Palmer, 2003)	1, 2, 3, 4, 5
Thinking about the school your child currently attends, to what degree would you say you are satisfied or dissatisfied with the quality of education they are receiving?	(Apfelbaum & Ardon, 2015; Boykin & Noguera, 2011; CREC, 2019; Dixon & Rousseau, 2005; Frankenberg, 2007; Orfield & Frankenberg, 2013; Smith, 2009)	1, 2, 3, 5

## APPENDIX F

### INFORMED CONSENT FORM FOR PARTICIPANTS

CENTRAL CONNECTICUT STATE UNIVERSITY

XXXXX XXXXX

XXXXXXX@XXXX.XXX

XXXXXXX@XXX.XXX

Department of Educational Leadership, Policy, & Instructional Technology

Doctoral Program in Educational Leadership

1615 Stanley Street

New Britain, CT 06050

Principal Investigator: XXXXX XXXXX

INFORMED CONSENT STATEMENT

#### 1. Invitation to Participate and Description of the Project.

You are invited to participate in a study examining Hartford students' lived experiences attending suburban high schools, as participants in the Open Choice Program. All participants who are 18 years and over need to sign this consent form. All participants less than 18 years old will need their parent or guardian to sign this consent form, as well as sign an assent form. Participation in the research study is voluntary. Before agreeing to be part of this study, please read the following information carefully. Feel free to ask questions if you do not understand something.

#### 2. Description of Procedure.

If you participate in this study, you will be asked to participate in a one-to-one interview. This should take approximately 30-45 minutes. This interview will be audio recorded, (voice only) for purposes of accuracy, but your responses will remain completely confidential. All recordings will be in sole possession of the principal investigator and will be destroyed after transcription.

#### 3. Risks and Inconveniences.

In no way will any of your personal information be shared with anyone outside of the research project. Your identity will remain confidential and none of your personal information will ever be directly linked to your name or any other identifying characteristics. There is a possibility that some of the questions in the interviews may make you feel uncomfortable. If you do feel uncomfortable, you can do any of the following: you can choose not to answer certain questions; you can take a break and continue later, you can choose to stop the interview with no penalty or negative consequence.

#### 4. Benefits:

This study was not designed to benefit you directly. Still, what we learn from this study will help us better understand student experiences attending suburban high schools as participants in the Open Choice Program. However, you will have a chance to reflect on the benefits and/or challenges you may have experienced from participation in this program.

5. Financial (or other) considerations:

We are not offering any monetary incentives. However, we thank you for your time in participating in this study.

6. Confidentiality.

Any and all information obtained from you during the study will be kept confidential. Your privacy will be protected at all times. You will not be identified individually in any way as a result of your participation in this research. The data collected, however, may be used as part of publications related to interdistrict transfer programs. Your name would not be used in any such publications.

7. Voluntary Participation.

Your participation in this study is entirely voluntary. You may refuse to participate in this research. Such refusal will not have any negative consequences for you. If you begin to participate in the research, you may at any time, for any reason, discontinue your participation without any negative consequences.

8. Other considerations and questions.

Please feel free to ask any questions about anything that seems unclear to you and to consider this research and consent form carefully before you sign.

Authorization: I have read or listened to the above information and I have decided that I will participate in the project described above. The researcher has explained the study to me and answered my questions. I know what will be asked of me. If I don't participate, there will be no penalty or loss of rights. I can stop participating at any time, even after I have started.

I agree to participate in the study. My signature below also indicates that I have received a copy of this consent form. Student participants will also need parent's permission.

Participant's signature \_\_\_\_\_  
Name (please print) \_\_\_\_\_  
Date \_\_\_\_\_

Parent's signature \_\_\_\_\_  
*(for student participants under the age of 18 only)*  
Name (please print) \_\_\_\_\_  
Date \_\_\_\_\_

Researcher/associate signature \_\_\_\_\_  
Name (please print) \_\_\_\_\_  
Date \_\_\_\_\_

If you have further questions about this research project, please contact the principal investigator, XXXXX XXXXX, (XXX)-XXX-XXXX, XXXXXXXX@XXXX.XXX. If you have questions about your rights as a research participant or if you have a research-related complaint or questions about your rights as a research participant please contact the CCSU IRB Administrator at irb@ccsu.edu.

## ASSENT FORM FOR STUDENT PARTICIPANTS

You are being asked to be a part of a research study examining Hartford students' lived experiences attending suburban high schools, as participants in the Open Choice Program.

**What we are studying:** This study is being used to learn about students' lived experiences attending suburban high schools, as participants in the Open Choice Program.

**What we will ask you to do:** If you agree to be a part of the study, you will be asked to participate in a one-to-one interview. This should take approximately 30-45 minutes. Interviews will take place in your school, perhaps in the Guidance Office.

**What you will gain or lose from the study:** There is nothing you will gain or lose from this study other than the time you take to help us. Still, what we learn from this study will help us better understand student experiences attending suburban high schools as participants in the Open Choice Program. You will have a chance to reflect on the benefits and/or challenges you may have experienced from participation in this program.

**Your answers will be kept private:** We will not share any information about whether or not you took part in this study. Also, no one will ever know how you answered any of the questions.

**Taking part is voluntary:** Taking part in this study is your choice, and you do not have to participate if you do not want to. You can also decide that you do not want to continue at any time, even if you have already started. You can also request for the Open Choice Liaison at your school or another trusted staff member to join you during the interview.

**If you have questions:** If you have questions, you can talk to the person in charge of the study, XXXXX XXXXX. If, after the study is over and you still have questions or concerns about the study, you can talk to your parents or your principal, and they will either answer your questions or call XXXXX XXXXX to get answers for you.

I have read the above information, and have received answers to any questions I asked.

I agree to take part in the study.

(ASSIGNED BY IRB) IRB Protocol Number: [Comments]

Your Signature \_\_\_\_\_ Date \_\_\_\_\_

Your Name (printed) \_\_\_\_\_