IRB NUMBER: _____

KENT STATE UNIVERSITY INSTITUTIONAL REVIEW BOARD

APPLICATION FOR APPROVAL TO USE HUMAN RESEARCH SUBJECTS

Move through this document using TAB or mouse. DO NOT USE THE ENTER KEY. ***Please type all information. HANDWRITTEN FORMS WILL NOT BE ACCEPTED. To check a box, double-click in the box. Submit completed form with signatures and all required attachments to the IRB REVIEWER associated with your Department or College, or to: Office of Research Safety and Compliance, Research and Graduate Studies, 137 Cartwright Hall, Phone: 330-672-2704.***

Project Title: *Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction*

Principal Investigator

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Status:
- ☐ Faculty
- ☒ Doctoral Student
- ☐ Graduate Student
- ☐ Undergraduate Student
- ☐ Other: (Specify:)

Project:
- ☐ Faculty Research
- ☐ Student Dissertation
- ☐ Student Thesis
- ☒ Course Requirement: (Course #: EVAL 85518
- ☒ Other : (Specify: Graduate Research)

KSU Faculty Co-Investigator(s) (Use additional sheets if necessary)

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Status:
- ☒ Faculty
- ☐ Doctoral Student
- ☐ Graduate Student
- ☐ Undergraduate Student
- ☐ Other: (Specify:

Faculty Advisor (If PI is a student)

Name: Kristie Pretti-Frontczak
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Protocol Funding: ☒ Not-applicable ☐ Pending ☐ Awarded Federal: ☐ Yes ☐ No
Funding Agency: If funded or pending, attach detailed information regarding proposal (including title).

Estimated Project Duration: Starting Date: March 15, 2012 (But not before approval is obtained)
Ending Date: December, 2012

KSU IRB USE ONLY

IRB Reviewer Determination
- ☐ Level I – Exempt, Category_____
- ☐ Level II – Expedited, Category_____
- ☐ Level III – Full Board review
- ☐ Disapproved

Primary Reviewer Date

Secondary Reviewer Date

IRB Administration Action
- ☐ Approved Level I – Exempt, Category_____
- ☐ Approved Level II – Expedited, Category_____

Administrator, IRB Date

Chair, IRB Date

AGENDA Date

_____

Correspondence

E-mail approval

_____ Date

E-mail notice of annual review

_____ Date

Full Board Review Action		**Meeting Date:**	
☐ Approved	☐ Contingent Approval	☐ Tabled	☐ Disapproved
	☐ Contingencies Met	Date:	

Part I: Please answer the following questions by checking the correct response.

☐Yes ☒No **1.** Will participants be identifiable to anyone other than the researchers through records, responses, or identifiers linked to the participants?

☐Yes ☒No **2.** Could participants be at risk of criminal or civil liability, damage to employability or to financial standing, or undue embarrassment, if responses became known outside this research project?

☐Yes ☒No **3.** Does research deal with sensitive aspects of participants' behavior, such as illegal conduct, drug use, sexual behavior, use of alcohol, or potential harm to self or others?

☐Yes ☒No **4.** Does research involve the study of existing data? (If yes, please specify.)

☐ Documents, archives, and/or records ☐ Biological specimens

4.a. Is the database, archives, or record collection publicly available? ☐Yes ☐ No
4.b. Are the subjects who provided the data individually identifiable? ☐Yes ☐ No
4.c. Will any identifying information that may link your data to individuals be included in your research records? ☐Yes ☐ No

☒Yes ☐No **5.** Does the research involve audio, video, digital, or image recordings of participants? (If yes, please specify.)

☐ Video-taped ☒ Audio-taped ☐ Photographed ☐ Other: (Specify:)

☒Yes ☐N/A **6.** Are participants free to withdraw at any time without penalty?

☐Yes ☒No **7.** Is there deception of participants? (If so, answer questions in Part VII, #35-44)

☐Yes ☒No **8.** Does the research deal with participants under the age of 18?

☐Yes ☒No **9.** Will identifiable medical information be collected?

10. Does the research deal with any of the following vulnerable populations:

☐Yes ☒No	Legally incompetent adults	☐Yes ☒ No	Traumatized or Comatose
☐Yes ☒No	Cognitively/Mentally impaired	☐Yes ☒ No	Economically Disadvantaged
☐Yes ☒No	Physically challenged	☐Yes ☒ No	Terminally ill
☐Yes ☒No	Pregnant women	☐Yes ☒No	Prisoners

11. Does the project involve: (If yes, also answer question #20 on page 4).

☐Yes ☒No	Administering drugs	☐Yes ☒ No	Medical devices
☐Yes ☒No	Administering alcohol	☐Yes ☒ No	Invasive procedures
☐Yes ☒No	Administering nutritional supplements	☐Yes ☒No	Drawing blood
☐Yes ☒No	Taking tissue samples	☐Yes ☒No	Giving injections

12. Are you collecting any portion of your data on-line? ☐Yes ☒No

13. Are you requesting a waiver of any elements of the consent process? ☐Yes ☒No
(If yes, answer questions in Part VIII, #43-44.)

Part II: Summary of Research

14.) Describe the purpose and significance of the proposed research; include sufficient background information and the specific objectives of the study. Summarize the major hypotheses. (Use non-technical language that can be understood by someone outside the discipline.)

The purpose of the study it is to examine and attempt to describe, document, and understand the contextual and situational factors, characteristics, and influences that surround classrooms that engage in data-driven decision-making (DDDM) using a tiered model of instruction. DDDM refers to the process by which teachers collect

performance data on children (e.g., observational and anecdotal notes, test results, data collection sheets, permanent products such as class projects or writing samples, etc.) and use that information to plan instruction that meets the needs of a diverse group of children. A tiered model of instruction can be understood as a method of delivering instruction and intervention based on children's developmental needs. In a tiered model, teachers assess children's current performance and determine whether the child is able to work towards general or universal content standards, goals, or objectives (Tier 1). If the child is missing a component of the skill(s) necessary to meet learning goals or objectives, or if they have yet to obtain the foundational skill(s) required, teachers provide targeted supports (Tier 2) or individualized and intentional instruction (Tier 3 in some models) to address the child's needs. The goal becomes twofold; to provide instruction or intervention that the child needs to succeed, and to assist the child in moving forward to obtain universal outcomes. As such, a tiered instructional model that is driven by DDDM is fluid, with instructional planning and children's placement in tiers changing as their performance dictates. Students do not stay in any given tier based on any one assessment; to determine when a student should move to a more or less intensive tier with new or modified goals, data must be collected to make such decisions.

The data that is gathered from the selected research questions, and thus the findings that emerge, will provide us with great context about how teachers implementing a tiered model using DDDM perceive the process as well as the types of supports and resources they feel have been available to them. In an immediate sense, this can help researchers to consider ways that teachers might best be supported to implement such systems. On a larger scale, the findings can provide enlightenment regarding the use of DDDM, especially within tiered models of instruction. It might also shed light on the way DDDM and/or tiered models of instruction are perceived in relation to other methods of data collection and accountability. The study will provide some illumination on the possible social validity of this model.

The proposed study is grounded in a framework that draws upon current issues facing the field of early childhood today. It draws heavily from emerging research on the concepts of tiered instructional models and data collection practices. The proposed research is informed by an interpretive, phenomenological view of the phenomena under investigation. Two main questions frame the proposed study:

A) In preschool classrooms that utilize a tiered model of instruction, how do teachers experience the data collection and decision-making process?; and

B) How do preschool teachers perceive the supports and resources available in the school, district, or community?

My main objective in conducting this research is to obtain rich, meaningful accounts of how tiered models of instruction driven by DDDM are experienced by the preschools teachers using them. My broader, overarching objective is to better understand the extent to which these systems and processes are successful in improving the performance of preschool students; however, I believe that a contextual investigation that seeks to derive meaning from the way teachers experience implementing a tiered model using DDDM will assist the fields of Early Childhood, Early Childhood Special Education, and Early Intervention (EC/ECSE/EI) in identifying more general themes of successes, barriers, and the surrounding school environments in which these practices are currently employed.

15.) Describe the study design, research methods and procedures. (Please append copies of the consent form and all measures, including interview questions and self-report questionnaires, to this form.) What are the qualifications of the individual(s) who will be collecting the data?

The proposed study will be a qualitative , phenomenological study and will serve to enlighten and enrich the literature on tiered models as well as DDDM. As principal investigator (PI) of the study, I will be responsible for observations, interviews, and most of the transcribing of audio data. My noted co-investigator, Sanna Harjusola-Webb, will assist with recruiting participants to the study, in addition to data analysis and interpretation, as well as publication.

Research Approach and Rationale

The proposed study will use a phenomenological approach. It will seek to examine the lived experiences of teachers implementing a tiered model of instruction using DDDM, including their activities and perceptions of the classroom as well as the surrounding supportive/political framework of the school and community. The findings of the study will endeavor to describe the phenomena of the implementation of a tiered model driven by DDDM through the eyes of the teachers employing such systems. In phenomenology, we describe the phenomena under study without relying upon statistical data and instead allow the rich descriptive information we collect to stand on its own. The proposed study will derive general themes from the data during the interpretation stage; the purpose of generating such themes is to derive deeper meaning and commonalities across individual subjects' experiences.

Operating under the interpretative/phenomenological paradigm, the study posits that the essence of everything is rooted in how it is experienced. Thus, in order to truly understand tiered models of instruction, DDDM, and how these practices are integrated, we must have insight into the contextual significance of the way they are implemented. While we can certainly examine student records to assess whether there is a correlation between the tiered model and/or DDDM and student performance, such statistically-based evidence would not speak to the social validity of the practice or the function the practice serves in the minds of those that use it.

It is extremely important that we understand the way the phenomena is perceived so that we can attempt to make sense of the ways in which it has been successful or challenging through the lens of those with intimate familiarity with the phenomena.

Issues Related to Risk and Consent

-No one under the age of 18 will be interviewed for this study. No data or identifiable information will be collected from students in the classroom; only the notes of the PI and interview transcripts (including audio-recordings) will be stored for any period of time.

--Confidentiality and privacy will be maintained through the use of rigorous protection of audio recordings and the use of pseudonyms or codes in all written documentation.

--Consent forms will explain all of the details of the study and assure potential participants that their participation is voluntary. These forms are attached.

Data Collection

I will be collecting data for this study in two primary ways. These methods include three in-depth interviews with each participant, as well as observation of the participants in the teaching context/environment. I will be using interview protocols (see Appendices A and B) to semi-structure the interviews; however, the protocols are flexible and will allow me to follow-up on specific thoughts or comments of participants as well as to add lines of questioning based upon analysis of observational data. The initial interview will last approximatelty one hour; subsequent interviews will occur following a period of observarion by the principal investigator (twice). Interviews will be tape-recorded, though I may also take notes as I see fit. Interviews will occur face-to-face in each respective teacher's classroom at times during which children are not present. Generally, there will be an interview at the beginning, middle, and end of the study period.

I will also be observing each of the teachers in their classrooms. I will visit each classroom twice for several hours during each visit. During these observations, I will not participate or interfere with the daily activities and instruction of the classroom, but instead will use an informal observation protocol and take field notes during each visit. The observation protocol will be semi-structured and used to gather information and focus attention during observation (see Appendix C). The unit of analysis will be the data collection and management practices (including decisions made based on this data to inform instruction) and the experience of the teacher(s). The protocol may also assist in providing direction as I write field notes, which are expected to often expand upon the questions that will be listed as guiding questions in the protocol.

I will use a reflective journal throughout the study in order to bracket my biases.

Data Analysis

The three in-depth interviews that each teacher participates in will be transcribed in writing using appropriate voice-to-text software and other programs that allow invesitgators to stop, pause, rewind/forward the recording for transcription accuracy. This data will be reviewed and analyzed for commonalities across participants.

Given the qualitative nature of the study, it is necessary to take additional steps to ensure the transferability of the results. As such, in order to ensure appropriate triangulation of the data, a small portion of this data will not be used in the initial analyses but instead will be catalogued and archived for analysis after my initial analyses have been generated. Archival, retrieval, and analysis of this data will occur prior to the end of the project and only while the IRB remains active. The purpose of this activity is to provide for referential adequacy, one means of ensuring that the conclusions I draw from the analysis are appropriate. Selection of statements to be archived will be chosen based upon teacher responses to similar interview questions; more clearly, one teacher's interview response regarding a particular general interview question will by archived while the other responses will be used in the initial analysis. This will not be done for all related interview question, but rather will be performed randomly on a small portion of the data. Once more, this process will only occur during the time in which the IRB remains active; all data will be destroyed at the end of the study period.

Observation protocol, field notes, and interviews will occur concurrently in order to learn the context of the events that are described by the teachers. Findings from these analyses will provide new lines of questioning that I will use during subsequent interviews, and vice-versa. That is, the process of data analyzation will be ongoing. I will employ a constant comparison of observational and interview data so that I can work towards organizing the data into systematic/thematic categories. Possible commonalities across data will be broken into units of meaning and will be flagged as initial themes. I will then code these initial themes using Nvivo software (a common program used for the purpose of coding data). Themes that emerge will then be refined and re-examined through member checks. The ultimate result will be the generation of general themes that the teachers describe as part of their experience; they will be synthesized based on context.

Bracketing of my presuppositions must also be addressed during data collection and analysis. Therefore, I will keep a reflective journal during the study in order to memo and document statements or occurrences I recognize or worry may color my interpretation of the data. As I proceed to data analysis, I will refer to my journal as I review the data and flag any data collected through interview transcripts that appears to be influenced by past experiences or biases- that is, if I provided leading questions that may have encouraged or discouraged participants' in an unfavorable way. I will also consider my preconceived notions as I develop the units of meaning for the generation of themes and will address these during the interpretation process. The co-investigator will assist in this process.

Trustworthiness and Credibility

Establishing the trustworthiness and credibility of the eventual findings of the proposed research is essential in discussing the quality of the potential results. Lincoln and Guba (1985) describe four main tenets that are useful to consider to this end; these include truth value (confidence in the truth), applicability (extent of application to other subjects or contexts), consistency (probability that the same findings would result with the same/similar subjects or contexts), and neutrality (degree that findings are based on subjects and conditions as opposed to biases and perspectives of the researcher).

Three major activities are associated with demonstrating credibility; prolonged engagement, persistent observation, and triangulation of data. The proposed study will include all three. I will be engaged with the study participants in the setting in which the phenomena of interest occurs, I will persistently observe teachers in their classroom environments, and given that I am using several methods to collect data (i.e., multiple interviews, observations) concurrently, triangulation of data will be achieved.

Member checks will be conducted with teacher participants to ensure that interview transcripts and other data collected is interpreted appropriately to the extent that it adequately represents their lived experience using the DDDM in the context of a tiered model of instruction. Additionally, referential adequacy will be ensured through the archival of a portion of the interview data (please refer back to the Data Analysis section above for a description of this process; to reiterate, archival of data will occur within the timeframe of the project and only while the IRB remains active; all data will be destroyed at the project's end as required).

Given the use of the multitude of methods planned to ensure credibility, it can be argued that the truth value, applicability, neutrality, and consistency of the findings is likely to be strong.

Qualifications of Investigators

The qualifications of the PI (myself) include successful completion of all masters and doctoral-level research courses less the current course for which this study will begin to be conducted; this includes a previously written qualitative proposal which was received with high esteem and from which the IRB application and current pilot study is based. Further, I have been involved in research, writing, and teaching (including publications, conference presentations, and as an instructor covering such topics) around the theme of tiered models and data-driven decision-making over the past several years.

Dr. Harjusola-Webb will serve as co-principal investigator for the project. She is an assistant professor in early childhood intervention at the College and Graduate School of Education, Health, and Human Services in the School of Lifespan Development and Educational Sciences at Kent State University (KSU). She has been strongly involved in several federally funded projects at the Juniper Gardens Children's Project working with young children and their caregivers. She has experience in naturalistic language and communication interventions with infants and toddlers, community-based collaborative training programs, and early childhood professional development. Dr. Harjusola-Webb has experience in the administration of a university grant which utilized distance technology to train early childhood interventionists, and has participated in the validation process of a set of practical general outcome measures for use by early childhood interventionists for measuring young children's growth in communication.

Part III: Research Participants

16.) Briefly describe the characteristics of your population(s). Describe the ethnic background, sex, age, state of health, and the criteria for inclusion or exclusion of participants. (Include rationale for use of special classes of participants such as pregnant women, children, institutionalized mentally disabled, prisoners, or those whose ability to give voluntary informed consent may be in question.) If your population is all one gender or ethnic group, please explain.

I will be studying six preschool teachers that are currently implementing a tiered model of instruction using DDDM (please see question 18 in this IRB application for an explanation of how I will select final participants). Therefore, it should be understood that the participants that are selected to participate are likely to be a homogenous group; please see the section on Ethical Considerations that follows this description.

By preschool, I intend to look at teachers that are instructing children that range in age from three to five. Although these teachers are the focus of the study, there are other individuals who will be indirectly participating in the research. Students in each of the teacher participants' classrooms will be indirect participants to the extent that parental permission is obtained to observe the classroom when their child is present (please see Part V of the IRB application as well as Appendix E for the parental consent form). These students are likely to be diverse in ability and will include typically developing children, children with disabilities, and children at-risk. Further, preschool administrators will be participants in the study in the sense that they must permit me to have access to the teacher participant and students (please see Part V of the IRB application as well as Appendix F for the teacher/adminstrator consent form).

Ethical Consideration: Most preschool teachers are female, so my participants are likely to be female as well. Given that such a comprehensive system of instruction and planning is a relatively new concept and is currently being implemented in districts that have more resources and funding, it is possible that the district as well as the children served are predominatly a specific race or from a particular economic background; depending on which schools have the resources and supports in place to implement this system, it is possible that potential participants will be somewhat homogenous.

Once the initial sample has been drawn, however, I will look at the demographics of the districts and potential participants to attempt to include participants that serve poorer neighborhoods and that are diverse in their gender, race, and ethnicity.

17.) Indicate the anticipated sample size.

Six preschool teachers that are currently implementing a tiered system of instruction using DDDM (it should be understood, however, that the definition and implementation of a tiered system may vary across the sample).

18.) Explain the recruitment process. State how potential participants will be identified and who will make the initial contact. Explain how you will ensure that recruitment and selection of participants is equitable. (Please include all recruitment materials, including scripts, flyers, and advertisements as attachments to this form.)

These classrooms are located in northeastern Ohio; it is not yet known what specific localities these will constitute given that teacher participants have not yet been selected. It should be noted, however, that I will locate possible classrooms through convenience methods (i.e., having knowledge of and access to probable contenders). I have already spoken with the adminstrators of two local programs that are willing to provide participants (these adminstrators are my colleagues) Further, my co-investigator, Dr. Sanna Harjusola-Webb, will assist in identifying and contacting potential participants using the recruitment script (please see Appendix D). Since this is a qulaitaitve study and not quantiative, random selection and/or assignment are not applicable.

Sampling. Samples that are selected to participate will be determined using the criterion sampling method to ensure the teachers are employing a tiered system of data-driven decision making. Our definition of what constitutes a tiered system of decision-making is broad by design to allow for those individuals that self-identify as meeting this criteria to discuss their experiences. The convenience method of sampling will be used prior to the criterion sampling method to gather an initial pool of potential participants. I am aware of a number of preschools in northeast Ohio, that are overseen by my collegaues, that utilize rudimentary tiered systems; as noted, I will be able to gain access to them through my colleagues that are able to make such decisions. Once this first sample has been established, the criterion sampling method will be utilized. My goal is to recruit six teachers from a variety of preschools.

The criteria teachers must meet in order to be included in the study is the implementation of a tiered model of instruction, including using data collection to drive instructional efforts. Depending on what is known about the classroom, I may be able

to determine which teachers are most likely to be representative of a diverse classroom prior to first contact. If this is the case, I will likely have consent forms sent to such classrooms at that time.

Part IV: Risks/Benefits

19.) Identify any expected or potential risks or discomforts (including physical, psychological, social, or legal) to which participants may be exposed as a result of participation in the research project (beyond those encountered in everyday life).

There are no expected risks or discomforts beyond those encountered in daily life.

a.) What safeguards will you use to protect the participants from these risks, as well as to protect their rights, welfare, and privacy? (Must provide a response; never answer "N/A".)

To maintain confidentiality, pseudonyms and/or coding will be used in all documentation (e.g., observation protocols, field notes, written interview transcripts, reflective jounral entries, etc.). Audio recordings will be kept on a USB drive locked in the PI's file cabinet. Participants will be fully informed of all information relevant to the study in the consent forms.

20.) Describe the anticipated benefits to individual subjects and to society expected to be gained from this project. (This should include any direct benefits to the participants as well as any generalized gain in knowledge. If there are not direct benefits to individual subjects, state that.)

There is no guarantee that individual subjects will benefit from taking part in this study. The proposed study will, however, offer illumination into the way teachers currently implementing such a system experience the task and may serve to shed light on whether such a system is perceived as more or less effective by the teachers that utilize it.

The proposed study is unique in the sense that it addresses the use of DDDM in the context of a tiered model of insturction. Additionally, it seeks to document teachers' experiences and perceptions of using a novel system of data management and instructional planning. Therefore, the study offers a valuable contribution to the literature on tiered instruction and DDDM. Arguably most important, however, the study may provide the groundwork for reconceptualizing the way we think about accountability and measuring student performance at the preschool level. Indeed, given the great lengths I will be taking to ensure credibility and transferability, the findings that emerge will be applicable to similar classrooms and may assist in the future development of professional development programs that provide early childhood professionals with the tools needed to implement such a system successfully.

21.) Describe the qualifications of the person administering drugs, alcohol, or nutritional supplements, or drawing blood, taking tissue samples, or giving injections.

Please note:

i. *Persons doing venipuncture must provide a copy of their certification to draw blood and proof that they completed a blood-borne pathogens training course.*
ii. *Indwelling venous catheters and lines can only be inserted and accessed by licensed/registered/certified medical personnel such as physicians, RNs, and EMTs. Proof of certification is required.*
iii. *Arterial blood sampling can only be carried out in an appropriate medical facility such as a hospital, clinic, or the KSU Health Center. The procedure can only be carried out by qualified personnel under the direct supervision of a licensed physician.*

N/A

***22.)* Describe any form of compensation to participants. (i.e., money, extra credit, etc. If money, extra credit, or grade is given to students who participate in the project, what opportunity for extra credit or grade is provided to students who choose not to participate?)**

Please note:

a. *If the research participation affects the course grade (e.g., extra credit), then alternative opportunity for course credit is needed.*
b. *For multi-phase projects, compensation should not be contingent upon completion of the whole project. Rather, some compensation should be given for each phase of the project. The nature of the compensation should be stated in the consent form.*

N/A

23.) Research participants will be informed of the risks and benefits through:

- ☒ Consent form (Include with application)
- ☐ Verbal Script (Include with application)
- ☒ Parental Consent form for parents/guardians (required for children 18 of age and younger)
- ☒ Assent form (in addition to Parental Consent form for children 12 years of age and younger)

Part V: Informed Consent *(You **must** include a copy of the informed consent document with application materials. Visit the IRB website for more information about informed consent documents)*

24.) Describe the consent process. Explain when and where consent will be obtained and identify who will be obtaining informed consent.

Although these teachers are the focus of the study, there are other individuals who will be indirectly participating in the research. Students in each of the teacher participants' classrooms will be indirect participants to the extent that parental permission is obtained to review student records and observe the classroom when their child is present (please see the following description regarding Informed Consent as well as Appendix E). These students are likely to be diverse in ability and will include typically developing children, children with disabilities, and children at-risk. Further, preschool administrators will be participants in the study in the sense that they must permit me to have access to the teacher participant and students (please see the folowing description regarding Informed Consent as well as Appendix F).

In sum, after each potential pool of participants has been identified through convenience methods using the recruitment flyer (please see Appendix D), I will provide consent forms to the teacher, administrator, and all parents of students within the selected class. I may provide these directly, or I may have a colleague (if not in direct authority over the individual) or a KSU faculty member initially distribute these documents. Each of these forms describes the nature and purpose of the research, the procedures that will be followed and materials used, as well information and statements related to their rights to refuse to participate or to stop at any time. I will further send letters of notification to all parties indicating whether they will be a part of the research.

There are no known risks associated with the materials or procedures in this study beyond those encountered in everyday life. Confidentiality will be assured through data coding/pseudonyms in addition to all other common sense steps protecting participants' identities. See Appendices E, F, G, and H for the complete informed consent forms for parents and teachers, teacher's audio consent form, and the assent form for children.

25.) If you will be using children under 18, explain in detail how you will obtain parental consent and assent (for children under 12) or consent (for children 12 to 18). If assent/consent will be obtained orally, supply a script of what you will say and how you will give the children the opportunity to agree to participate or decline.

Assesnt/consent forms will be provided to parents; children will not be direct subjects of the research but given that the PI will be visiting the classroom for observation and taking notes, it is a necessary step. Forms will either be provided to the teacher to send home with students or they may be mailed/emailed. This will not occur until the teacher participants have been selected through the convenience and criterion sampling methods. Please see Appendices E and H for these forms.

26.) Explain how the possibility of coercion or undue influence will be minimized in the consent process (e.g., if employer is approaching employees, instructors are approaching students, physicians are approaching patients, if compensation is involved, etc.).

This is a low-risk study and participants' identities will be kept confidential. They will be approached by either the researchers or someone who is not an employer; care will be taken to make sure that participants are not approached by anyone who has direct authority over the participant.

Part VI: Privacy and Confidentiality of Records

27.) Will this study use or disclose protected health information from a covered entity (a covered entity is a Doctor, Clinic, Dentist, Pharmacy, Health Clinic etc... that sends transactions electronically) as defined in the Health Insurance Portability and Accountability Act (HIPAA)?

☒ Not Applicable
☐ Applicant will use a HIPAA Authorization (specify type below)
☐ Form provided by covered entity ☐ Form created by applicant
☐ Applicant requests IRB waiver of Authorization

28.) Where will the signed consent forms be kept? *(Consent forms must be kept in a secured location on campus, not in a private home or office.) If the study does not involve consent forms, answer "N/A".*
Raw data, electronic files, and consent forms will be maintained in a locked office in a locked file cabinet on the KSU campus (room 220; White Hall)

29.) Describe specifically how you will maintain the confidentiality of the data.
Consent forms will be kept in a locked cabinet in 220. The principal investigator, co-invesitagtor, and faculty advisor will have the only keys. Teacher participant names and school districts will also be witheld from notes and other data-collection tools; audio tapes in which it is conceivable individual(s) could possibly be identified will also be stored and maintained in the locked file cabinet in a locked room on campus (220 WH).

30.) How will the data/results of the research be disseminated?

☐ Thesis
☐ Dissertation
☒ Publication
☒ Course Requirement: Course #: EVAL 85518
☒ Public presentation
☒ Other: Specify: I may use this as pilot study for further investigation

31.) How will the data be stored after study completion? *Please be specific as to the retention or destruction of audio/video data or cell lines.*
The files will be maintained in the locked cabinet in room 220 WH as long as the IRB is active; once the study is complete and the IRB is inactive or complete, the files will be destroyed. It should be noted that after initial data collection, some data will remain archived will other data is destroyed. Upon completion of data analysis and interpretation, these files will be reviewed a final time to ensure referential adequacy. When this is complete, and prior to the IRB becoming inactive, they too will be destroyed.

32.) a). If the participants' personal files (school, medical, etc.) will be read, where are the files kept (name the place, e.g. doctor's office, hospital, clinic, etc.) and who will gather the information?
N/A

b). Has permission been obtained to gather this information? (Attach documentation)
N/A

c). Do the participants (and/or their parents or guardians) know that these files will be read? If no, explain.
N/A

33.). a). Will individual results or other data be disseminated to the participants (and/or their parents or guardians)?
No assessments or tests will be provided by the PI as part of the study; information related to teachers' perceptions, beliefs, ideas, etc. will be gathered, analyzed, and coded in an attempt to look for larger meaning and patterns. The results of this data analysis (the results of the study) will be provided to teacher participants at their request. Results will not be provided to parents given that the study does not invole the children directly

b). If so, explain the qualifications of the person(s) interpreting the results.

Results are simply related to the interepration of the study data. The qualifications of the PI (myself) include successful completion of all masters and doctoral-level research courses less the current course for which this study will be conducted; this includes a previously written qualitative proposal which was received with high esteem and from which the IRB application and current pilot study is based. Further, I have been involved in research, writing, and presentations around the theme of tiered models and data-driven decision-making over the past couple of years.

34.) Does the proposed study involve deception? ☒ **No** ☐ **Yes** (Please complete Part VII)

Part VII: Projects Involving Deception

35.) **Describe the type of deception being used. Consider in your answer both deception by omission (an important aspect of the research is withheld from the subject) and deception by commission (the subject is misled about the true purpose of the research).**

N/A

36.) **Why is deception a necessary and unavoidable component of the experimental design? (Does the deception improve the internal or external validity of the study?)**

N/A

37.) **Has this research protocol (involving deception) been previously used? If "Yes," please provide information on any actual harms to the participants and reactions of the participants to the use of deception in this research.**

N/A

38.) **What alternative procedures were considered that did not involve deception and why were these alternatives rejected?**

N/A

39.) **Since deception precludes informed consent by the subject prior to participation:**

a.) **How will participants be debriefed?**

N/A

b.) **Who will debrief them?**

c.) **Will the debriefing of participants be:**

☐ Immediate (immediately following the experimental session in which deception occurs)
☐ Delayed
☐ Full (all deceptive aspects of the study will be revealed)
☐ Partial (some deceptive aspects of the study will remain unexplained)

40.) **If debriefing is delayed, why is delayed debriefing necessary and when will debriefing occur?**

N/A

41.) **If debriefing is partial, why is the partial debriefing necessary? Why is unexplained deception necessary? Would the subject be harmed in any way by full debriefing?**

N/A

41.) **Even if the subject is partially debriefed during the study, will full debriefing occur later?**

N/A

42.) **Does the presence of deception increase the risk of harm to the subject?**

N/A

43.) **Is the respondent free to withdraw his/her data after being fully debriefed? (e.g., form like audio/video taping).**

N/A

Part VIII: Request for Waiver of Elements of Informed Consent

43.) Are you requesting a waiver of the documented informed consent form for each participant? ☐ **Yes** ☒ **No**

Please indicate the justification for requesting this waiver:

- ☐ **The only record linking the subject to the research would be the signed consent document and the principal risk of the research would be breach of confidentiality.**
- ☐ **The research involves only minimal risk to the subjects and involves no procedures for which written consent is normally required outside of the research context (e.g. anonymous surveys of adults).**

Note: Participants must still be provided with a written statement regarding the research that contains the required elements of informed consent. Refer to the Informed Consent Template on our website for more information.

44.) Are you requesting a waiver or alteration of any of the other required elements of informed consent?
☐ **Yes** ☒ **No** *(An IRB may, on occasion, approve a consent process that alters some or all of the required elements of informed consent or waive the requirement for informed consent. The following criteria must be met: 1) the research involves no more than minimal risk, 2) waiver or alteration will not adversely affect the rights and welfare of subjects, 3) the research could not practicably be carried out without waiver or alteration, and 4) when appropriate, the subjects will be provided with additional pertinent information after participation.)*

a.) Provide justification for the waiver.

b.) Indicate why the proposed research presents no more than minimal risk to participants.

c.) Explain whether or not a waiver of written informed consent would adversely affect the rights and welfare of participants.

d.) Explain why it would be impracticable to carry out the research without a waiver or alteration of informed consent.

e.) How will pertinent information be provided to participants, if appropriate, at a later date?

Part IX: Conflict of Interest

45.) Do the researchers conducting this protocol have any potential conflicts of interest? *Conflicts of interest may include financial or personal interest, or any condition in which the investigator's judgment regarding a primary interest may be biased by a secondary interest. Examples include speaking and consultation fees, travel expenses, stock options, royalties, company ownership or equity, etc.)*

☒ **No** ☐ **Yes (If yes, conflict of interest must be disclosed)**

IRB NUMBER: _____

Investigator Assurance

I certify that the information provided in this application is complete and correct. I understand that as Principal Investigator, I have ultimate responsibility for the protection of the rights and welfare of human research subjects, the conduct of the study, and the ethical performance of the project.

I agree to comply with all Kent State University policies and procedures on research involving human subjects (KSU policy #3342-3-03.2), as well as with all applicable federal, state, and local laws regarding the protection of human subjects in research. I agree that:

- The project will be performed by qualified personnel, according to the KSU approved protocol.
- Approval from the Institutional Review Board will be obtained prior to implementing any changes to the protocol.
- If the project involves approval/permission from other institutions, the research will not begin until permission has been obtained from these institutions.
- Legally effective informed consent will be obtained from human subjects if applicable, and documentation of informed consent will be retained in a secure environment for three years after termination of the project.
- Injuries, adverse events, and/or unanticipated problems involving risks to subjects or others will be reported in writing to the Kent State University IRB promptly, and no later than within 5 working days of the occurrence.
- A Continuing Review and Progress Report will be completed and submitted before the review deadline, as determined by the IRB appropriate to the degree of risk (but not less than once per year). All protocols are approved for a maximum period of one year. Research must stop at the end of the approval period unless the protocol is re-approved for another term.
- All research staff, employees, and students assisting in the conduct of the research will be informed of their obligations and responsibilities in the above commitments.

I further certify that the proposed research will not begin until approval has been obtained. A signed approval letter from the Office of Research Safety and Compliance communicates IRB approval.

1-18-2012
Signature of Principal Investigator **Date**

1.18.2012
Signature of Co-Investigator **Date**

Faculty Advisor Assurance:

I have reviewed and approved the research project described in this application. I agree to meet with the student on a regular basis to monitor study progress and assure that the well-being of subjects is adequately safeguarded. I agree to be available to assist the student investigator should any problems arise in the study.

1-18-12
Signature of Faculty Advisor **Date**

IRB NUMBER: _____

Kent State University Institutional Review Board
Application for Approval to Use Human Research Subjects

CHECKLIST- THE FOLLOWING MATERIALS MUST BE SUBMITTED WITH THE APPLICATION FOR APPROPRIATE REVIEW (Note: all items may not be necessary for the specific application)

Double click on the box, a window will appear asking if it should be checked or unchecked

CHECK IF NECESSARY:	FORMS SUBMITTED:	APPENDIX LETTER OR NUMBER (IF NOT NECESSARY, MARK "N/A"):
☒	**Completed Application** (including signatures)	
☒	**Recruitment script and materials**	Appendix D
☒	**Surveys, questionnaires, interview questions**	Appendices A & B (Initial Interview and Subsequent Interviews)
☒	**Data collection materials**	Appendix C (Observation Protocol)
☒	**Informed Consent Documents**	Appendices E &F (Parental and Teachers/Adminstrators)
☒	**Audio/Visual Consent Forms**	Appendix G
☒	**Assent Statement/Script** (for children ≤ 12; will also need parental consent form)	Appendix H
☐	**Debriefing Script**	N/A
☐	**Approval from other institutions**	N/A
☒	**Signed Investigator Assurance**	Included in main application document (p. 13)
☒	**Training Verification/CITI certificate**	Appendix I (includes PI and Co-PI)

Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

APPENDIX

Appendix A
Initial Interview Protocol

Appendix A: Initial Interview Protocol

Note: This protocol is applicable to the first interview for each participant; subsequent interviews will be based on observations made during classroom visits. Subsequent interviews will continue to focus on these questions, but will situate the interview in the context of the observations of the day. The Subsequent Interview Protocol can be found in Appendix B.

Sub-Question 1: How do teachers experience the data collection and decision-making process?

Possible Prompts related to DDDM

1. What does the term data-driven decision-making (DDDM) mean to you?
   a. Do you feel you engage in this practice?

2. What ways of collecting student performance data do you feel are most useful?
   a. What ways of data collection are easiest, even if they are not the most useful?
   b. What ways of data collection are most difficult, even if they are the most useful?

3. How do you or did you design your data management system (your methods of collecting data and using that information to plan instruction)?
   a. What have you done to try to make *collecting* student performance data more manageable?
   b. What have you done to try to make *using* student performance data more manageable?
4. Do you feel you make instructional decisions based on the data collected?
   a. Tell me more about your experiences. Do you tend to adjust instruction for one child in particular or many children?
   b. Can you give an example of making an instructional decision based on performance data?

5. How do you or could you use data collected in your classroom to provide evidence to your school district as to the effectiveness of your instruction?

Possible Prompts Related to Tiered Instruction

6. What thoughts come to mind when you hear the phrase tiered models of instruction?
   a. How does the act of tiering instruction affect you, your school, or your students?

7. Have you ever changed the frequency of data collection based on children's' needs?
   a. If the frequency of data collection is different dependent on the needs of a child, how much time do you believe is necessary to re-evaluate the goals and needs of the child?

Sub-Question 2: How do preschool teachers perceive the supports and resources available in the school, district, or community

Possible Prompts

8. How would you describe the support you receive for your classroom data collection practices?
    a. How do you make use of resources available to you such as colleagues (e.g., paraprofessionals, specialists, other aides) and/or materials (hand-held computer devices, data collection sheets, etc.) to assist in data collection?
    b. What additional resources or supports would help you to better collect and use data to improve instructional efforts?

9. How would you describe the culture of your school?
    a. In what ways does the culture of the school help you use a data-driven and/or tiered system of instruction?
    b. In what ways does the culture of the school present roadblocks to using a data-driven and/or tiered system of instruction the way you see fit?

10. What words would you use to describe the atmosphere of your:
    a. Classroom?
    b. School?
    c. Community?

Appendix B

Subsequent Interview Protocol

Appendix B: Subsequent Interview Protocol

(situated in the context of the day's observations)

Sub-Question 1: How do teachers experience the data collection and decision-making process?

Possible Prompts related to DDDM

1. Do you feel you made data-driven decisions today in planning and/or responding to the events of today's lessons?

2. What are your thoughts on the way you collected data today, as well as the way you used data?
    a. What was easy?
    b. What was difficult?
    c. What kind of data did you collect and how did you collect it?
    d. How did you use data to inform your instruction today?
    e. How will you use data from today to inform future instruction?

3. Do you feel your data collection efforts today were based on student needs, why or why not?

Possible Prompts Related to Tiered Instruction

4. How well do you feel you successfully tiered instruction for your class for today's lessons?

5. Do you feel you collected data differently, or at a different frequency, for some children?
    a. If so, was this dependent on student needs?
    b. Was this a conscious, planned decision or was it spontaneous given the children's actions or needs for the activities today?

Sub-Question 2: How do preschool teachers perceive the supports and resources available in the school, district, or community

Possible Prompts

6. What resources, materials, and/or supports were available or missing today?
    a. What supports or resources do you wish you had available today, and why?

7. What words would you use to describe the atmosphere in your classroom today?

Appendix C

Observation Protocol

Appendix C: Observation Protocol

Date: _____ Time: _____

Teacher Code: _____ Routine: _____

Please take field notes in the following areas:

1. Teacher actions
    a. Demeanor (e.g., cheerful, stressed, distracted, engaging, etc.)

    b. Interactions with children

    c. Interactions with staff

2. What activities has the teacher planned?

3. Who (if anyone) collects data?
    a. What methods or tools are used to collect data?

    b. What resources, materials, or supports are available?

    c. What available resources, materials, or supports are utilized?

4. Is a tiered model apparent? In what ways?

5. Are students on-task or otherwise engaged? What does the teacher and/or staff to assist children off-task?

6. Is challenging behavior occurring?

    a. How is this addressed?

    b. Do teachers or staff seem to make note of the occurrence?

NOTES:

Appendix D: Recruitment Script

KENT STATE
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College of Education: Department of Lifespan Development & Educational Sciences

Participants Needed for Research

Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

Are you implementing a tiered model of instruction ***or*** collecting data to inform your instruction? We are looking for teachers to participate in a study that will document teachers' experiences with using data to inform instructional efforts. The study seeks to demonstrate the meaning of data-driven decision-making as teachers see it, the successes and challenges teachers face, and the way available supports and resources affect this process.

As a participant in this study, you will be asked to engage in three interviews with the principal investigator; the first interview will last approximately one hour and subsequent interviews will last about half an hour. The primary investigator will also observe your classroom (but will not participate in routines and activities) on two occasions.

For more information about this study, or to volunteer, please contact:

Ashley Lyons
(330) 672-0597
Email: *anlyons@kent.edu*

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Appendix E

Informed Consent for Parents

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Informed Consent to Participate in a Research Study

Study Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

Principal Investigator and Co-Investigators: Ashley Lyons, M.Ed. & Sanna Harjusola-Webb, PhD

Your child's teacher is being invited to participate in a research study. As a result of this participation, a researcher will causally observe your child's classroom on several occasions. This consent form will provide you with information on the research project and the associated risks and benefits of the research. Your child's participation is voluntary. Please read this form carefully. It is important that you ask questions and fully understand the research in order to make an informed decision. You will receive a copy of this document to take with you.

Purpose: The principal investigator, Ashley Lyons, will be interviewing the teacher and observing the class in order to learn more about the teacher's experience with using student performance data to inform instruction. This study will examine how teachers use student performance data to meet the instructional needs of a diverse group of children.

Procedures: The principal investigator will visit your child's classroom two to three times between mid/late March and the end of the school year for observation. The observations will not interfere with your child's daily routine and the investigator will not participate in classroom activities. Observational notes taken will never personally identify your child, and will be destroyed at the end of the study. Your child's teacher will also engage in 3 face-to-face interviews to discuss their experience and feelings associated with using data to inform instruction as part of a data-driven decision-making process. These interviews will be tape-recorded, transcribed in writing, and destroyed at the end of the study.

Benefits: This research will not benefit you or your child directly. However, your child's participation in this study will help us to better understand teachers' experiences with using data to inform instruction, as well as how teachers perceive this practice as affecting children's learning outcomes. The research will contribute to the professional literature on the use of data-driven decision-making and will provide a unique perspective on teacher accountability.

Risks and Discomforts: There are no anticipated risks beyond those encountered in everyday life. Your child's typical classroom routines and activities will not be altered for the purpose of this study.

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Study Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

Privacy and Confidentiality: All data related to this study (e.g., observational field notes, written and/or audio interview transcripts) will be kept in a locked room in a locked file on the Kent State campus. No identifying information will be collected about your child. Your child will remain anonymous in all notes and transcriptions though coding or pseudonyms. This parental consent form will be kept separate from study data, and responses will not be linked to your child. This consent form will be the only record linking your child to this research. Only the Principal Investigator and Co-Investigator will see this information. To the extent that the results of this study are shared or published, all identifying information (including the names of the teacher, the school, and the district) will be withheld.

We will make every effort to prevent anyone who is not on the research team from knowing that your child's teacher participated in the study. For example, if your child's name is mentioned on the audio-recording during an interview, it will be transcribed with a code and the audio-tape destroyed once transcription is complete. Students, if referenced in any capacity, will be similarly coded in the investigator field notes.

Compensation: Participation or non-participation in this research will have no effect on your child's grade in the classroom (if one is provided).

Voluntary Participation: Allowing your child to take part in this research study is entirely up to you and your child. You and/or your child may choose not to participate or may discontinue participation at any time without penalty or loss of benefits to which he/she is otherwise entitled. You will be informed of any new, relevant information that may affect your child's health, welfare, or willingness to continue participation in this study.

Contact Information: If you have any questions or concerns about this research, you may contact Ashley Lyons at 330-672-0597, or by email at anlyons@kent.edu. You can also contact Sanna Harjusola-Webb, co-investigator/faculty advisor, at 330-672-0585. The Kent State University Institutional Review Board has approved this project. If you have any questions about your rights or complaints about the research, you may call the IRB at 330-672-2704.

Consent Statement and Signature: I have read this consent form and have had the opportunity to have my questions answered to my satisfaction. I voluntarily agree to grant permission for access to my child's class records as a part of this study. I understand that a copy of this consent will be provided to me for future reference.

_____ _____

Parental Signature **Date**

Thank you for your consideration of this request. You will get a copy of the consent form

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Appendix F
Informed Consent for Teachers and Administrators

KENT STATE
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Informed Consent for Participation in Research Study (Teachers/Administrators)

Study Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

Principal and Co-Investigators: Ashley Lyons, M.Ed. & Sanna Harjusola-Webb, PhD

WHY AM I BEING INVITED TO TAKE PART IN THIS RESEARCH?
You are being asked to participate in a qualitative research study that seeks to document teachers' experiences with using data to inform instructional efforts. The study seeks to demonstrate the meaning of data-driven decision-making as you see it, the successes and challenges you have faced, and the way you believe the supports and resources available have supported your use of this process.

WHO IS DOING THE STUDY?
Ashley N. Lyons, M.Ed., a doctoral student and graduate assistant is the principal investigator; Sanna Harjusola-Webb, Ph.D., is providing advisory support in this effort. The tentative title of the study is:

WHAT IS THE PURPOSE OF THE STUDY?
By completing this study, I hope to learn how teachers that identify themselves as embracing data-driven decision making perceive the experience, to what extent they find it successful, and the types of supports and resources they feel they have to assist in effectively implementing the process.

WHERE IS THE STUDY GOING TO TAKE PLACE AND HOW LONG WILL IT LAST?
Observations and interviews will take place in your classroom over a one to two month period. Data analysis is expected to be complete by December 2012.

WHAT WILL YOU BE ASKED TO DO?

- You will be asked to engage in 3 interviews, in-person, related to your experience and feelings associated with using data to inform instruction as part of a data-driven decision-making process. The initial interview will last approximately one hour. Subsequent interviews will occur after a classroom observation and will be based on the classroom events of the day; these interviews will last about half an hour.

- Interviews will be tape-recorded and portions of these interviews will be archived for review by the researchers upon the conclusion of data analysis. This is done to ensure that the findings reached 'match' with data that was not included in the initial analysis. All audio-tapes and transcribed interviews will be destroyed at the end of the study.

- The principal investigator, Ashley Lyons, will observe your classroom two times throughout the study period. She will not participate or interfere with your instruction or assessment, but instead will simply observe your class. Subsequent interviews will take place after each observation.

I am also available to answer any questions you may have.

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Study Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

To reiterate, the presence of the researcher in your classroom during days in which the class is being observed will not interfere with your regular classroom routines and activities. Further, participating in the tape recording aspect of the interviews is entirely voluntary; there will be no pressure from Kent State University or preschool personnel to participate in this manner.

The principal investigator will take appropriate actions to assure confidentiality for you. Names of children, families, and professional staff will not appear in the research, and personally identifiable information such as names will be coded and kept in a protected and encrypted computer document. At no time will information reveal the identity of you or your classroom.

WHAT ARE THE POSSIBLE RISKS AND DISCOMFORTS?
To the best of our knowledge, the things you will be doing have no more risk of harm than you would experience in everyday life.

WILL I BENEFIT FROM THE STUDY?
There is no guarantee that you will benefit from taking part in this study. Sharing your experiences with using data to inform instruction may, however, assist other teachers and it will contribute to the professional literature on the use of data-driven decision-making.

DO I HAVE TO TAKE PART IN THE STUDY?
If you decide to take part in the study, it should be because you really want to do so. You can ask to stop at any time during the study.

WHAT WILL IT COST ME TO PARTICIPATE?
There are no costs associated with taking part in this study.

WILL I RECEIVE ANY PAYMENT OR REWARDS FOR TAKING PART IN THE STUDY?
No personal compensation will be provided.
WHO WILL SEE THE INFORMATION I GIVE?
Your information (e.g., interview transcripts, written and/or audio) will be kept in a locked room in a locked file on the Kent State campus. Further, your name and other identifying information will be coded or a pseudonym used. Only the Principal Investigator and Co-Investigator will see this information. To the extent that the results of this study are shared, your name, school, and other identifying information will be withheld.

We will make every effort to prevent anyone who is not on the research team from knowing that you participated in the study. For example, if your name is mentioned on the audio-recording during an interview, it will be transcribed with a code and the audio-tape destroyed once transcription is complete. Student names, if referenced in any capacity, will be similarly coded in the investigator observation notes. Your name will be kept separate from the information collected, and these two things will be stored in different places under lock and key.

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Study Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

WHAT IF I DECIDE I DO NOT WANT TO PARTICIPATE IN THE STUDY AFTER IT BEGINS?
If you decide to take part in the study you still have the right to decide at any time that you no longer want to continue. You will not be treated differently if you decide to stop.

WHAT IF I HAVE QUESTIONS?
If you have any questions or concerns about this research, you may contact Ashley Lyons at 330-672-0597, or by email at anlyons@kent.edu. You can also contact Sanna Harjusola-Webb, co-investigator/faculty advisor, at 330-672-0585. The Kent State University Institutional Review Board has approved this project. If you have any questions about your rights or complaints about the research, you may call the IRB at 330-672-2704.

You will be told if any new information is learned which may influence your willingness to continue taking part in this study. Your consideration of participation in this study is greatly appreciated.

Respectfully,

Ashley N. Lyons
Kent State University

Sanna Harjusola-Webb, Ph.D.
Kent State University

Consent Statement and Signature
I have read this consent form and have had the opportunity to have my questions answered to my satisfaction. I voluntarily agree to grant permission to observe the classroom and to engage in interviews about data-driven decision-making. I will sign a second form regarding the recording of interviews. I understand that a copy of this consent will be provided to me for future reference.

_____ _____
Signature of teacher/principal agreeing to take part Date

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Appendix G

Audio-Recording Consent for Teachers

KENT STATE
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Title: Data-Driven Decision-Making: Teachers' Experience Using Data to Inform Instruction

Principal and Co-Investigators: Ashley Lyons, M.Ed. & Sanna Harjusola-Webb, PhD

1. I agree to participate in three separate audio-taped interviews about my feelings regarding data-driven decision-making (DDDM) to plan instruction as part of this project and for the purposes of data analysis. I agree that Ashley Lyons may audio-tape this interview. The date, time and place of each interview will be mutually agreed upon.

_____ _____

Signature Date

2. Further, I have been told that I have the right to listen to the recording of the interview before it is used. I have decided that I:

____want to listen to the recording ____do not want to listen to the recording

Sign now below if you do not want to listen to the recording. If you want to listen to the recording, you will be asked to sign after listening to them.

3. Ashley Lyons may / may not (circle one) use the audio-tapes made of me. The original tapes or copies may be used for *(check all that apply)*:

____this research project _____publication _____presentation at professional meetings

_____ _____

Signature Date

Address:

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Appendix H

Informed Assent for Children

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Assent Script

Procedure for obtaining assent from children

Hi, [child's name].

My name is Ms. Lyons, and I am trying to learn more about how your teacher teaches your class and helps you learn. Is it okay if I sit down and watch your class sometimes? Do you have any questions before we start? *[Clarify if necessary]*. If you want me to leave at any time, let me know.

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Appendix I

Required Changes to Initial IRB Submission

Appendix I: Required Changes to IRB Application: How the Changes have been Addressed

1. ***Regarding the collection of existing data based on archives not publically identifiable:*** All access to records of any kind (including the records kept solely be teachers for data collection purposes) has now been eliminated as a component of this research. Therefore:

    - Question #4 has been changed
    - In Question #15, the risk statement has been revised. Additionally, all mention of records, document analysis, and other related references have been removed under Data Collection, Data Analysis, and Trustworthiness and Credibility. The entire section has been modified accordingly.
    - It should also be noted I have changed the number of participants in the study (Question #16) to 6 in order to provide a more robust sample given the removal of record review. Further, this is the minimum number recommended for most publishable qualitative studies.
    - For the same reason, I have changed the number of observations to two and have adjusted the interview protocol, providing more explicit structure for subsequent interviews based on observations

The purpose of this study is to explore teacher's lived experiences, and thus we will instead rely on observations in the field and interviews with teacher participants. No records of any kind will be viewed by the researchers at any time.

2. ***Regarding the observational protocol:*** it has now been included in the Appendix.

3. ***Regarding saving data for triangulation purposes:*** I have made this more clear by stating several times in several different ways that this is for triangulation, that it will only occur during the active IRB, and that all data will be destroyed at study end.

4. ***Regarding the role of the Co-Investigator:*** I have made this more clear by revising the statement in #15 (first paragraph).

5. ***Regarding Question #17:*** I have revised this; again, the sample size is now 6.

6. ***Regarding initial contact:*** I have included a recruitment script in the Appendix

7. ***Regarding potential coercion of teachers:*** I have removed mention of this; I have reworded interview questions in such a way to get around this concern.

8. ***Regarding 19a and data for future use:*** This was a misstatement (I am aware I cannot keep data for later use) and has been removed completely from the application.

9. ***Regarding mention of participants, including those that are indirect, needing to be introduced in Question #16 and not #24:*** This has been rectified; indirect participants are first mentioned in Question 16 as required.

10. **Regarding provision of signed Investigator Assurance Form in PDF:** I was not sure what was meant by this but assume that it was a problem that the Assurance Form was included as an email attachment and not contained within the application file/attachment. I have rescanned all documents to fix this.

11. ***Regarding Sanna's CITI form:*** It has now been included.

12. ***Regarding the consent form for parents:*** I have revised the consent form per the suggestions. Further, student records will not be viewed now but I am still requesting parental permission for observation given that I will be taking notes about classroom activities and teachers may discuss students in general when they discuss collecting data and making decisions.

Institutional Review Board Checklist IRB Number

Name of Principal Investigator Ashley Lyons & Sanna Harjusola-Webb

Title of Project Data-driven decision-making: Teachers' experience using data to inform instruction

Please address all checked items ☒ and other conditions below

Consent Form	
☐	Please print the consent form on Kent State University letterhead or type in equivalent of KSU letterhead at top of document/email/webpage.
☐	You have confused "Anonymous" and "Confidential." Please change to the appropriate word. If the survey is anonymous (i.e., you do not know who the participants are) please use anonymous. If linking names and responses is "nearly impossible", please use "confidential"
☐	Explain to participants how confidentiality will be protected.
☐	Please remove the statements about accidental injury and unforeseen risk.
☐	Add a statement indicating that participation in this project is voluntary.
☐	Tell participants that deciding to participate or not will not impact grades/class standing/relationship to the institution.
☐	Add a statement informing participants that they are free to withdraw at any time.
☐	Please spell out all the acronyms.
☐	Please add a statement detailing the purpose of this project.
☐	Please add a statement explaining the potential benefits of this project.
☐	Please add a statement explaining the anticipated risks of participation.
☐	Children participating in this study also need to give assent. Explain how you will seek this assent.
☐	Tell participants they may contact Kent State University IRB at 330.672.2704, with questions about participant rights.
☐	Provide contact information for the P.I. and project advisor regarding questions about the study.
IRB Application	
☐	Your application must be reviewed by a departmental reviewer before arriving in the Research Compliance Office. Please visit our website http://www.kent.edu/research regarding contact information for IRB departmental reviewers.
☐	Please include a copy of the instruments (list of questions, survey) to be used in this study.
☐	Please submit a copy of the recruiting letter or script that will be used in this study.
☐	Include information about how the subjects will be recruited for this study.
☐	Please indicate how you will limit participation to subjects that are at least 18 years of age.
Data Collection	
☐	Add a statement indicating that completion of the survey constitutes consent to participate.
☐	Please inform participants how much time participation in the research (e.g., survey, interview, focus group) will require.
External Approval	
☐	Please include documents that show IRB approval from other participating institution(s).
☐	Please provide documents that show approval from participating agencies, school districts, etc.

****OTHER CONDITIONS in Addition to any items checked above****

1. since you've said in #4 that you'll collect existing data based on archives not publicly available and personally identifiable you need to be very specific about why you need that data and what specific data you'll be searching for. In #15 you address these records but don't identify what you'll be looking for. IRB will not be OK with just looking around. You'll need to specify what you are looking for and consent will have to include your access to that specific information.
2. IRB may be concerned about the not yet developed observational protocol
3. Saving some of the date for later use won't be OK (data analysis section). If this data is for triangulation or some other activity associated with Qual research then be clear about it. I can not clearly determine what you're going to be doing with those data that are set aside.
4. You make statements throughout that your coinvestigator may do something. That's a little hard to understand. It seems like you'll do everything and maybe you'll ask Sanna to do something which does not make her role in the research very clear.
5. I don't understand #17
6. If initial contact is made by folks other than you there has to be a recruitment script
7. In #19 you bring up the potential for coercion of the teachers by their superiors. The letters of cooperation from the schools or superiors and the consent letters from the teachers need to address this.
8. In 19a you again mention gathering data you might keep for future studies - you can't do that.
9. participants, even indirect ones for whom you're seeking consent should be mentioned in #16 and not first introduced in #24
10. You'll have to provide in the PDF signed Investigator Assurance Form - found as an attachment.
11. Sanna's CITI form is also required
12. Please use the IRB Template for the consent form (parents) - it's under what you are looking for in the "records"

Appendix J

PI and Co-PI CITI Verification

CITI Collaborative Institutional Training Initiative

Social & Behavioral Research - Basic/Refresher Curriculum Completion Report
Printed on

Learner: Sanna Harjusola-Webb (username: shwebb)
Institution: Kent State University
Contact Information
Early Intervention
Special Education
Kent, OH 44242 Portage
Department: EFFS
Phone: 3306720585
Email: shwebb@kent.edu

Social & Behavioral Research - Basic/Refresher: Choose this group to satisfy CITI training requirements for Investigators and staff involved primarily in Social/Behavioral Research with human subjects.

Stage . Basic Course Passed on 07/10/09 (Ref # 2783329)

Required Modules	Date Completed	Score
Belmont Report and CITI Course Introduction	07/10/09	3/3 (100%)
Students in Research - SBR	07/10/09	9/10 (90%)
History and Ethical Principles - SBR	07/10/09	3/4 (75%)
Defining Research with Human Subjects - SBR	07/10/09	4/5 (80%)
The Regulations and The Social and Behavioral Sciences - SBR	07/10/09	5/5 (100%)
Assessing Risk in Social and Behavioral Sciences - SBR	07/10/09	5/5 (100%)
Informed Consent - SBR	07/10/09	4/4 (100%)
Privacy and Confidentiality - SBR	07/10/09	3/3 (100%)
Research with Prisoners - SBR	07/10/09	4/4 (100%)
Research with Children - SBR	07/10/09	4/4 (100%)
Research in Public Elementary and Secondary Schools - SBR	07/10/09	4/4 (100%)
International Research - SBR	07/10/09	3/3 (100%)
Internet Research - SBR	07/10/09	5/5 (100%)
Conflicts of Interest in Research Involving Human Subjects	07/10/09	2/2 (100%)
Kent State University	07/10/09	no quiz

For this Completion Report to be valid, the learner listed above must be affiliated with a CITI participating institution. Falsified information and unauthorized use of the CITI course site is unethical, and may be considered scientific misconduct by your institution.

Paul Braunschweiger Ph.D.
Professor, University of Miami
Director Office of Research Education
CITI Course Coordinator

Return

CITI Collaborative Institutional Training Initiative (CITI)

Responsible Conduct of Research Curriculum Completion Report
Printed on 1/22/2012

Learner: Ashley Lyons (username: anlyons1)
Institution: Kent State University
Contact Information 640 Turney Rd. #104
Bedford, OH 44146 USA
Department: EHHS/ECIS
Phone: 330-752-3858
Email: anlyons@kent.edu

Social and Behavioral Responsible Conduct of Research Course 1.: This course is for investigators, staff and students with an interest or focus in Social and Behavioral research. This course contains text, embedded case studies AND quizzes.

Stage 1. Basic Course Passed on 10/18/09 (Ref # 3638392)

Required Modules	Date Completed	Score
The CITI Course in the Responsible Conduct of Research	10/18/09	no quiz
Introduction to the Responsible Conduct of Research	10/18/09	no quiz
Introduction to Research Misconduct	10/18/09	no quiz
Research Misconduct 2-1495	10/18/09	6/6 (100%)
Data Acquisition, Management, Sharing and Ownership 2-1523	10/18/09	5/5 (100%)
Publication Practices and Responsible Authorship 2-1518	10/18/09	4/5 (80%)
Peer Review 2-1521	10/18/09	5/5 (100%)
Responsible Mentoring 01-1625	10/18/09	5/6 (83%)
Conflicts of Interest and Commitment 2-1462	10/18/09	6/6 (100%)
Collaborative Research 2-1484	10/18/09	5/6 (83%)
The CITI RCR Course Completion Page	10/18/09	no quiz
Kent State University	10/18/09	no quiz

For this Completion Report to be valid, the learner listed above must be affiliated with a CITI participating institution. Falsified information and unauthorized use of the CITI course site is unethical, and may be considered scientific misconduct by your institution.

Paul Braunschweiger Ph.D.
Professor, University of Miami
Director Office of Research Education
CITI Course Coordinator

Return

CITI Collaborative Institutional Training Initiative

Social & Behavioral Research - Basic/Refresher Curriculum Completion Report
Printed on 1/22/2012

Learner: Ashley Lyons (username: anlyons1)
Institution: Kent State University
Contact Information 640 Turney Rd. #104
Bedford, OH 44146 USA
Department: EHHS/ECIS
Phone: 330-752-3858
Email: anlyons@kent.edu

Social & Behavioral Research - Basic/Refresher: Choose this group to satisfy CITI training requirements for Investigators and staff involved primarily in Social/Behavioral Research with human subjects.

Stage 1. Basic Course Passed on 10/18/09 (Ref # 3638391)

Required Modules	Date Completed	Score
Belmont Report and CITI Course Introduction	10/13/09	3/3 (100%)
Students in Research	10/13/09	8/10 (80%)
History and Ethical Principles - SBR	10/17/09	4/4 (100%)
Defining Research with Human Subjects - SBR	10/17/09	5/5 (100%)
The Regulations and The Social and Behavioral Sciences - SBR	10/17/09	5/5 (100%)
Assessing Risk in Social and Behavioral Sciences - SBR	10/17/09	5/5 (100%)
Informed Consent - SBR	10/17/09	4/4 (100%)
Privacy and Confidentiality - SBR	10/17/09	3/3 (100%)
Research with Prisoners - SBR	10/17/09	4/4 (100%)
Research with Children - SBR	10/18/09	4/4 (100%)
Research in Public Elementary and Secondary Schools - SBR	10/18/09	4/4 (100%)
International Research - SBR	10/18/09	3/3 (100%)
Internet Research - SBR	10/18/09	5/5 (100%)
Conflicts of Interest in Research Involving Human Subjects	10/18/09	2/2 (100%)
Kent State University	10/18/09	no quiz

For this Completion Report to be valid, the learner listed above must be affiliated with a CITI participating institution. Falsified information and unauthorized use of the CITI course site is unethical, and may be considered scientific misconduct by your institution.

Paul Braunschweiger Ph.D.
Professor, University of Miami

Director Office of Research Education
CITI Course Coordinator

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