UNIVERSITY OF VICTORIA
OFFICE OF THE VICE-PRESIDENT, RESEARCH
HUMAN RESEARCH ETHICS COMMITTEE

Application for Ethical Review of Human Research

Instructions:

1. Use the *Ethics Applications Guidelines* to complete this form. The Guidelines and all other forms are available on the Office of the Vice-President, Research web site: http://www.research.uvic.ca/Forms/
2. Submit one (1) original and three (3) copies to Office of the Vice-President, Research. *Handwritten applications will not be processed.*
3. Use the attached *Participant Consent Form Template* to construct your consent form.
4. If you downloaded this file, you can complete it on your computer.

A. Applicant Information

Principal Investigator: **Wolff-Michael Roth** E-Mail: **mroth@uvic.ca**

Department: **Curriculum and Instruction** Phone: **-7885**

Mailing Address:

Are you: ☑ Faculty ☐ Staff ☐ Graduate Student ☐ Undergraduate Student

If you are a student:

Name of Supervisor: E-Mail:

Department: Phone:

B. Project Information

Project Title: **Navigating Knowledge Boundaries between Formal Education and Workplace**

Keywords: 1. **life-long learning** 2. **practices** 3. **knowing** 4. **learning**

Geographic location of study: **Capital Regional District**

Have you applied for funding for this project? ☐ No ☑ Yes (If "yes", complete the following.)

Source(s) of funding:	Exact title of grant(s):
1 **SSHRC**	**Navigating Knowledge Boundaries between Formal Education and Workplace**
2	
3	

Other Investigators on this project:

Name	Institutional Affiliation	E-mail address
1		
2		
3		
4		
5		

Employees (e.g., research assistants) should not be listed as investigators.
If investigators change, inform the Chair of the Human Research Ethics Committee.

Proposed Start Date: (allow 4-6 weeks for review)

FOR OFFICE OF VICE-PRESIDENT, RESEARCH USE ONLY:			VPR File Number:	
Date Received:	Sent to Rev1:	Returned Rev1:	To Chair:	
	Sent to Rev2:	Returned Rev2:	Notice:	
Committee Chair Approval Signature:			Date:	
Start Date:			Annual review date:	
Funding source reference info:				

C. Signatures

Your signature indicates that you agree to abide by all policies, procedures, regulations and laws governing the ethical conduct of research involving humans. Policies and procedures can be found on the Office of the Vice-President, Research web site: http://www.research.uvic.ca/

Principal Investigator: _____ Date: _____

The signature of the supervisor below indicates that the supervisory committee has reviewed and approved the student's proposal and that the supervisor has assisted the student in the preparation of this application.

Student's Supervisor: _____ Date: _____

The signature of the administrator indicates that adequate research infrastructure is available to conduct this research.

Chair/Director or Dean: _____ Date: _____

D. Level of Risk

The Tri-Council definition of "minimal risk" is the following:

> *The research can be regarded as within the range of minimal risk if potential participants can reasonably be expected to regard the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the participant in those aspects of his or her everyday life that relate to the research. The designation of minimal or non-minimal levels of risk only affects the* way *the application is reviewed, not the* substance *of the ethical review.*

Based on this definition, do you believe your research qualifies as "minimal risk research"?

- ☐ No
- ☑ Yes (If "yes", please explain your answer below.)

E. Scholarly Review

Many research projects must undergo scholarly review. What type of scholarly review has this research undergone?

- ☑ None
- ☑ External Peer Review (e.g., granting agency)
- ☐ Supervisory Committee (required for all student research projects)
- ☐ Special Review (explain below)

This project is currently under review at SSHRC

F. Research Project Information

*The following information is required by the Committee to review the ethics of your research. Items marked by * must be included as part of the process of informed consent for participants. Researchers are encouraged to adapt the information provided to the Committee for the consent from and process (see the attached "Prototype Participant Consent Form"). The use of lay language is required.* ***Use the space provided****. If more information must be provided, append an additional page and label with the appropriate heading.*

* 1. What are the purposes and objectives of your research?

Many individuals who move from formal educational to workplace situations experience the problem that their book knowledge does not seem to be useful in the everyday world. Yet the modern economy requires individuals to upgrade and retool repeatedly during a lifetime. To better understand and theorize movements across these knowledge boundaries, I conduct three ethnographic case studies of individuals who, such as co-oop students, repeatedly move from formal education to work and from work to school. I concentrate on scientific and mathematical knowledge because of their importance in the modern world.

* 2. Why is this research important? What contributions will it make?

Central to the project will be the work of building grounded theory conceptualizing the boundary crossing activity. A more rigorous understanding of the requirements of successful boundary crossing has practical outcomes in that they allow educators and administrators to design more effective programs and transitions into the workplace.

G. Participants

* 3a. How will you recruit participants?

☐ By letter (enclose a copy) ☐ By telephone (enclose the script) ☑ By advertisement (enclose a copy)
☐ Through another organization or a third party (e.g., school records)
Enclose evidence of permission to use these organizations or third parties in recruitment.
☐ Other (please describe below)

Advertisement will be posted in the context of co-op programs at UVic and Camoson College. Interested participants will receive a cover letter inviting participation of the workplace in principle, indicating to set up a meeting in which the details of data collection relevant to the particular situation will be negotiated.

* 3b. How will participants be selected? In the space below, provide the description you will use in the consent process to inform participants of why and how they were selected for inclusion in the study.

First come first serve basis until 3 workable student/workplace arrangements have been found.

4a. The competence and ability of potential participants to make informed decisions about whether to participate is an important consideration. Describe your prospective participants:

☑ Competent adults ☐ Incompetent adults
☐ Competent children/youth ☐ Incompetent children/youth
☐ A protected or vulnerable population (e.g., inmates, patients)

4b. Provide details of the types of participants who will be included in the study (e.g., numbers, gender, age, position).

Most likely participants are college students enrolled in co-op programs. There is no preference along the dimensions of age, gender, etc. Three key participants will be chosen on a first-come first-serve basis. Worplaces depend on the students. Individuals working close to the primary participant will be asked to participate should the circumstances of data collection require this. These individuals will be asked whether they are willing to do the corresponding task/interview that the primary person does. All items not relevant in consent form will be striken through and initialled.

5. If participants will/may not be able to provide consent for themselves, how will you gain consent?
See the Ethics Application Guidelines for further detail if your research involves children.

n/a

H. Procedures

* 6a. Which of the following will the participants be expected to complete? (check all that apply)

☑ be interviewed individually ☐ complete a questionnaire ☐ participate in a group interview
☑ be observed ☐ provide human tissue (e.g., blood, hair, DNA, gametes)
☐ provide access to records or other personal materials
☑ Other (specify below)

Participants will be observed over 3 semesters (school/workplace/school) Problem-solving tasks related to science and/or mathematics. Each semester, there will also be a problem solving session will last between 60-120 minutes, depending on participant. About 2 1–2 hours observations/week.

6b. Provide details to your answer in 6a (e.g., name of questionnaire, source of documents, type of task).
In an appendix, provide sample interview questions, copies of instruments, or examples of questionnaire items.

Observation will be throughout at least 3 semesters (learning cycles). Tests: Appropriate, that is, ecologically valid science/mathematics tasks are developed only after intensive observation of the particular situation. What the tasks ultimately will be can therefore not specified in advance. However, a typical graph interpretation task (involving science and mathematics) used in a similar research situation in the past has been appended.

* 6c. How will these procedures and methods be described to participants in the process of obtaining informed consent?

To obtain the data, unobtrusive observation will be used and occasional problem-solving sessions. If the participant agrees, activities may be videotaped. (Should situations include more than the participant, consent will also be acquired from other individuals present in the situation. No observation will be collected, no video-recording made, of individuals who have not provided consent.) In interview situations, options for note-taking, tape-recording, or video-recording are provided.

* 6d. How much time will be required to participate?

Observation is planned to cover at a minumum, 3 separate learning cycles (semesters); that is, semester/co-op placement/semester or co-op placement/semester/co-op placement. Special time requirements consist in an interview/problem solving session at the end of each learning cycle, which, with the type of tasks specified in 6b, normally takes between 1 and 2 hours.

* 6e. Where will participation happen?

School and workplace for observation; location to be chosen by participant for the problem-solving sessions.

6f. What special training or qualifications are required for data gatherers?

I have conducted such research for more than a decade. From experience I know that no specific prior training is required. I will induct each doctoral student into the fieldwork by accompanying him/her for at least 5 days in the field, which includes insistence on getting daily consent.

I. Potential Risks and Benefits

* 7. What are the potential or known inconveniences associated with participation and how will these be described in the consent process?

There is a potential unless being observed is taken to be inconvient. Participants are continuously reminded of their right to interrupt or terminate data collection. Any requests for interviews and problem-solving sessions will include accommodation to participants' needs.

* 8a. Are there any of the following potential risks to participants?

☐ physical ☐ social ☐ psychological ☐ emotional ☐ economic ☑ Other (specify)

* 8b. Provide details to your answer below and describe how you will explain the risks to participants.

I have conducted research in a variety of workplaces before. Based on this experience, there are no known or anticipated risks. This is especially true because all participants asked each day whether they are OK with data collection. No data are ever collected if there is the slightest doubt that it would inconvenience participants or by-standers.

* 9. If there are any anticipated risks, how will they be minimized and dealt with if they occur (e.g., provide referrals to counseling services)? How you will describe this minimization to participants.

n/a (see 8b)

* 10a. Are there any potential or known benefits associated with participation?

☑ directly to the participant ☑ to society ☑ to state of knowledge

* 10b. How will you describe these benefits to the participant?

Participation in research is often associated with increased self-awareness, leading to more learning. The study should generate new and better theory of how people deal with the different kinds of knowledge required and learned in schools and at the workplace. Educational systems should be able to design better learning environments.

* 10c. If there are any inducements (e.g., gifts, compensation, grades, bonus points) to participate, what are they and why are they necessary?

To alleviate the potential inconvenience arising extended observation and to remunerate access to extant workplace-related knowledge and learning, a token $100 per learning cycle (semester, co-op term) will be offered (pro-rated should individual terminate partipation).

J. Consent

* 11a. Informed consent requires that participation be voluntary and that the participants have the right to withdraw at anytime without consequences. How will you explain these options to potential participants?

Participation in this study is voluntary and you have the right to withdraw at anytime without consequences. The token remuneration will be prorated.

* 11b. What happens to a person's data if he/she withdraws part way through the study?

☐ it will not be used in the analysis
☐ it is logistically impossible to remove individual participant data
☑ it will be used in the analysis if the participant agrees to this (specify how this agreement will be obtained)

* 11c. How will you explain this to the participants?

Should you decide to withdraw from the study, you will be asked if your data can be used for analysis. The data will be automatically destroyed unless your approval has been obtained.

* 12a. Are you in any way in a position of authority or power over participants?
Examples of a "power over" dilemma include teachers/students, therapists/clients, and supervisors/employees.

☑ No
☐ Yes (If "yes", explain your relationship and how coercion will be prevented.)

* 12b. Provide a description of how this will discussed in the consent process.

n/a

* 13. How will you provide for ongoing consent by participants during the data gathering period? How will this be described to participants?
This is primarily an issue in research that occurs over multiple occasions or an extended period of time.

Participants will be asked at the beginning of each observation/contact period if they consent to data collection.

* 14. Do you anticipate that this research will be used for a commercial purpose?

☑ No
☐ Yes (If "yes", explain how you will describe this to the participants in the consent process.)

K. Anonymity and Confidentiality

Questions 15 and 16 deal with anonymity and confidentiality. While these two concepts are related, they are NOT the same. Please refer to the Guidelines and the brief definitions below to assist you in answering these questions.

***Anonymity** refers to the protection of the identity of participants. Anonymity can be provided along a continuum, from "complete" to "no" protection. Complete protection means that no identifying information will be collected.*

* 15a. Will the anonymity of participants be protected?

☐ Yes (completely) ☐ Yes (partially) ☑ No

* 15b. If "yes", how will anonymity be protected and how will this be explained in the consent process?

* 15c. If "no", justify why loss of anonymity is required and explain how this will be explained in the consent process.

By definition, observation involves loss of anonymity. There is also the potential that participation of a particular individual can be inferred from the presence of the observer.

Confidentiality *refers to the protection, access, control and security of the data and personal information.*

* 16a. Will you provide confidentiality to the participants and their data? ☑ Yes ☐ No

* 16b. If "yes", how will confidentiality be protected and how will this be explained in the consent process?

All data will be kept in a locked metal cabinet in the researcher's laboratory. All data will be accessible only to the research team. All transcriptions will use code names. The computer-based file containing real and code names will be password protected, accessible only to the research team. Special consent will be sought should the researcher desire to show video in public.

*16c. If "no", justify the lack of confidentiality and explain how this will be explained in the consent process.

L. Results and Uses of Data

* 17. What other uses will be made of the data? How will this be described to participants?

No other uses of the data will be made.

* 18. When the research is complete what are your plans for preserving and protecting data or for destroying data? How will these plans be described to participants?

At the end of the research, all data are code-named. The linkage to the real names will be unnecessary and the file containing this information will be deleted. Original addresses will be kept in a password-protected file to allow subsequent dissemination of results to participant; file will be deleted after last report is completed and delivered to the participant. The videotapes will be kept in a locked cabinet.

* 19a. How do you anticipate disseminating your results?

- ☑ Directly to participants
- ☑ Thesis/Dissertation/class presentation
- ☑ Presentations at scholarly meetings
- ☑ Published article
- ☑ Internet
- ☐ Other (specify below)

* 19b. How will you describe the dissemination of results to participants during the consent process?

You will automatically receive brief summary reports generated from the study. You will also receive copies of any published articles.

M. Contact Information

* 20. How will participants be able to contact you (and/or your supervisor) if they have questions or concerns about the study? *Provide telephone numbers that participants may use for the principal investigator, and (if applicable) the student's supervisor, and other researchers. The consent form must include the telephone number of the Associate Vice-President, Research (250-472-4362).*

Should you have any questions or concerns, you may contact the principal investigator at 250-721-7885 or by email at mroth@uvic.ca. You may also contact the Associate Vice-President Research at 250-472-4362.

* 21a. Other than the investigators, what are the names of individuals (employees or volunteers) who will be involved in data gathering or management? *If not known at the time of submission, provide this information to when it becomes available*.

1. **doctoral student 1**
2. **doctoral student 2**
3. **doctoral student 3**
4.
5.

21b. If these individuals require special training, skills, and/or qualifications, what are they and how will they be adequately prepared?

Although special training, skills, and/or qualifications are not required, the PI will personally induct each doctoral student to fieldwork.

N. Special questions related to additional review criteria

22. Does this study involve any form of deception?

☑ No ☐ Yes (If "yes", complete the attached *Request to Use Deception Form*)

23a. Does this project involve collection of data at multiple sites within Canada? ☑ No ☐ Yes

23b. If "yes", are your collaborators required to obtain ethical approval for this project at other sites?

☑ No ☐ Yes (If "yes", provide research ethics board certificate of approval)

24a. Will this study be conducted in a country other than Canada? ☑ No ☐ Yes

24b. If "yes", provide details below of how this research conforms to the laws, customs and regulations of the host country.

25. If there is anything else you believe the Committee should know about this study, provide that information below.

no

26. If applicable, attach the following documents to this application. Check those that are appended.

- ☑ Consent forms (use the attached *Participant Consent Form Template*)
- ☑ Recruitment materials
- ☑ Interview schedules **(sample problem)**
- ☐ Questionnaires
- ☐ Deception Form (use the attached *Request to Use Deception Form*)
- ☐ Human Tissues Form
- ☐ Permission to gain access to confidential documents or materials
- ☐ Approval from external organizations where required (or proof of having made a request for permission)