University of Victoria

Human Research Ethics Board
Office of Research Services

Application for Ethics Approval for Human Participant Research

Instructions

- Use the **Human Research Ethics Board Guidelines (the Guidelines)** to complete this form. The Guidelines and all other forms are available on the Office of the Vice-President, Research website: http://www.research.uvic.ca/Forms/.
- If you are planning to conduct research in VIHA agencies, please contact the HRE office at (250) 472-4545 or ovprhe@uvic.ca.
- Submit one (1) original and three (3) copies of this application to the Office of Research Services located in A240, University Centre.
  Handwritten applications will not be processed.
- Use the checklist in Appendix A of the application form to ensure your consent form/materials contain all required information. When completing the application, keep in mind how your consent process and form will incorporate your responses.
- Ensure that your answers are clear, consistent and complete. If any sections are not relevant to your research, answer "N/A". This will help ensure that the review process is not lengthened by the Human Research Ethics Board (HREB) requesting clarifications of your responses.
- This form expands to accommodate the length of your answers. You may also use Item 37 to provide any additional information.

Reminders

- If you are conducting research in an institution/agency/setting other than the University of Victoria (UVic), you may be required to obtain ethics approval from other authorities (e.g., school boards, First Nations communities) before proceeding with your research.
- Investigators and co-investigators must ensure that all members of the research team are aware of, and adhere to, UVic regulations and policies for conducting research, including the Tri-Council Policy Statement (TCPS).

Contact Information

For information about the HREB ethics review process, consult the Guidelines located at www.research.uvic.ca. If your question is not answered there, please contact the Human Research Ethics Assistant at ovprhe@uvic.ca or (250) 472-4545.

University of Victoria

Application for Ethics Approval for Human Participant Research

A. Principal Investigator

If your project has more than one Principal Investigator, provide their name(s) and contact information under B. 4 – Other Investigator(s) & Research Team.

Last Name: **ROTH** First Name: **Wolff-Michael** Department/Faculty: **EDCI**

Mailing Address (if different from Dept/Faculty):

Phone: **-7885** Fax: **-7767** Email: **mroth@uvic.ca**

Title/Position:

☒ Faculty ☐ Staff ☐ Post-Doctoral

☐ Ph.D. Student ☐ Master's Student ☐ Undergraduate

Students: Provide your Supervisor's

Name: Email:

Department: Phone:

Graduate Students: Provide your Graduate Secretary's email address:

FOR OFFICE OF RESEARCH SERVICES' USE ONLY		Protocol No.
Committee Chair Approval Signature:		Date:
Start Date:	Annual Review Date:	File Closed:

B. Project Information

1. **Project Title: Pacific Center for Scientific & Technological Literacy: Real science opportunities for students**

   Geographic location(s) of study: **Victoria**

2. **Keywords:** 1. **authentic science** 2. **ethnography** 3. **videotaping** 4. **science**

3. **Project Funding**

   Have you applied for funding for this project? ☒ Yes ☐ No

   If yes, please complete the following:

Source(s) of Project Funding	Project Title used in Funding Application(s)
SSHRC regular program	**Identity in science/mathematics: A cultural historical approach**
NSERC-CRYSTAL Program	**Pacific Center for Scientific & Tehcnological Literacy**

4. **Co-Investigator(s) and Research Team:**
   (*Include students, employees, volunteers, community organizations. The form will expand.)*

Contact Name	Role in Research Project	Institutional Affiliation	Email or Phone
Leanna Boyer	**Research assistant**	**EDCI**	**-7834**
Mijung Kim	**Postdoc**	**EDCI**	**-7885**

5. Anticipated Start Date: April 1, 2006
(*Allow four to six weeks for the HREB review. Researchers must not begin recruitment of participants or data collection prior to receiving HREB approval as this violates UVic policy.)*

6. Anticipated End Date: March 31, 2009
(HREB approval is granted for a maximum of three years and a Research Status Form must be submitted annually to the Office of Research Services until the recruitment and data collection phases are completed. See 1.5.2 of the Guidelines for further information on reporting requirements and researchers' responsibilities.)

7. Scholarly Review:

What type of scholarly review has this research project undergone?

☐ None ☒ External Peer Review (e.g. granting agency) ☐ Supervisory Committee

☐ Supervisor—required for all student research projects ☐ Other, explain below:

C. Description of Research Project

8. Purpose and Rationale of Research

Briefly describe below: *(The form will expand to the length of your answers.)*

a) The research objective(s) and question(s)

This study focuses on what high school and college students do in formal educational settings of science instruction and their out-of-school/college science experiences, for example, in stewardship or internship programs. Their actions allow inferences about identity and emotional components of knowing and learning. The purpose of this study is to *document* changes in participation in the two types of settings (formal, informal), as this is made visible and audible in the changing participation of students in science and technology related activities. The research will follow high school or college student participants from their formal science instruction into out-of-school science experiences.

b) The importance and contributions of the research

This research program advances scholarship in four important ways. First, it contributes ethnographic descriptions and theoretical analyses of knowing and learning in science/mathematics as individuals move recurrently between different activity systems (high school, research laboratories) and of the role of emotion, motivation, and identity in this movement. Second, the research program addresses current theoretical shortcomings by including the production|reproduction of emotion, motivation, and identity into cultural-historical activity theory and thereby significantly expanding it.

9. Methodology and Procedures

(For community-based research, autobiographical or observational research, please see Item 9 of the Guidelines.)

a) Which of the following methods will be used? (*Check all that apply.)*

☒ Recording of participants
Using: ☐ audio ☒ video ☒ photos or slides

☐ Interviewing participants in person ☐ Interviewing participants by telephone

☐ Conducting group interviews or discussions

☒ Observing participants
In 9b) provide a description of who will be observed and where and see Item 20 of the Guidelines for more information on observations, waivers and informed consent

☐ Administering a standardized questionnaire or survey

☐ In person ☐ telephone ☐ mail back ☐ email ☐ web-based

☐ Other, describe:

☐ Conducting or administering a non-standardized questionnaire or survey

☐ In person ☐ telephone ☐ mail back ☐ email ☐ web-based

☐ Other, describe:

☐ Administering a standardized cognitive instrument or test

☐ Analyzing secondary data

☐ Anonymized data (Eligible for Waiver or Skip to Item 30, then Section L)

☐ Non-anonymized data (Skip to Item 13g, 14, 15, 19-20, 25, 27-31 & Section L,)

In 9b) describe the source of the data, (e.g., institutional, organizational, educational files, personal writings) and explain whether and how consent was obtained from the individuals for use of their data.

☐ Using computer-administered tasks

☐ Testing of computer program or products

☐ Using human tissue (e.g., blood, hair, DNA, gametes)
Ensure BioSafety Human Tissue Form is completed, signed and attached. If using human tissue only, skip to 13g-15, 19-end

☐ Other, specify:

b) Provide a sequential description of the procedures/methods to be used in your research study. List all of your research instruments and assessment tools, and in an appendix provide copies of all instruments. If not yet available, provide drafts or sample items/questions. For multi-method or other complex research, use this section and the following sections in ways best suited to explain your project.

High school/ college students will be observed [recorded in handwritten fieldnotes] and videotaped in their normal science lessons and in the out-of-school *authentic science* settings offered by research laboratories (e.g., Mazumder, Earle) and the EcoRowing and SeaQuarium program that participate in the NSERC-funded and ethically approved *Pacific Center for Scientific and Technological Literacy*. The students are offered the opportunity to participate in the program through the science laboratories and the professors who lead them.

c) Where will participation take place? (e.g., UVic classroom, coffee shop, elementary school)

High school students, UVic laboratories and research sites—we already have one study going in A. Mazumder's lab.

d) How much time will be required of participants?

No time apart from their regular participation in the school or after-school programs; the extent of the participation depends on the agreement made between the scientist and the student.

10. Selection and Recruitment of Participants

a) What is the target population for participant selection?

Secondary and college students; adults involved in "teaching"

b) Provide the number of participants and describe salient characteristics:

i) Anticipated number of participants: **5**

ii) Characteristics of participants (e.g. age, gender, race, ethnicity, class, position, etc.):

no distinction made; the instructors are not asked to participate per se, as they are not the focus of the study. They will asked to consent that the study be conducted in their classroom. At most 2 instructors will be asked.

c) Provide a description of your exact recruitment process. Explain:
   i) Who will recruit/contact participants (e.g. researcher, assistant, third party) and describe any relationship between the investigator(s) and participant(s) (e.g. instructor-student, manager-employee)
   ii) How will the recruitment be done (e.g. in person, by telephone, letter, email, advertisement) and from what source(s) will the participants be recruited
   iii) The steps in the recruitment process
   iv) Whether the permission of other bodies is required (e.g. school boards).

The school boards and schools already have been recruited and indicated willingness in the *Pacific Center*. The students are aware of the curriculum interventions. The research will be described to them by a researcher in person; they contact the researcher if they want to participate in the research component. All students interested may participate in the research. <u>At this time, no provisions have been made to work with college students or in a college; the instructors agree that the study be conducted in their class but no data will be collected on the instructors and no request is made to participate in the study.</u>

Attach all relevant recruitment materials in an appendix or apendices. See Item 10(c) in the Guidelines for information on ethical recruitment.

D. Possible Inconveniences, Benefits, Risks and Harms to Participants

11. Benefits

Identify any potential or known benefits associated with participation and explain below.
When identifying and explaining the benefits, keep in mind that the anticipated benefits should outweigh any potential risks.

☒ To the participant ☒ To society ☒ To state of knowledge

a. All participants and non-participants benefit through becoming aware of knowing and learning and changes therein as they may reflect upon their own experiences.

b. The state of knowledge about how *learning environments* mediate knowing and learning will be advanced and how learning is related to identity, emotion, and motivation as these are expressed in the concrete actions of participants in their everyday pursuits.

12. Inconveniences

Identify and describe any known or potential inconveniences to participants:
Please consider all inconveniences, including time devoted to the research.

No known inconveniences anticipated. Those who sign up for the research will know that a camera is going to be used, and they therefore will do so despite inconveniences THEY anticipate. Over the past 20 years, I have videotaped over 400 students and about 100 scientists, technicians, and workers. To date, only 1 student has not signed up. No student or adult EVER expressed being inconvenienced.

13. Estimate of Risks

Could this study involve the following? Please answer each question by putting an **X** in the appropriate boxes:

a) Could a participant feel demeaned or embarrassed during their participation in the research?
   ☒Very unlikely ☐Possibly ☐Likely

b) Could a participant feel fatigued or stressed due to the research?
   ☒Very unlikely ☐Possibly ☐Likely

c) Could a participant experience any other emotional or psychological discomfort as a consequence of participation?
   ☒Very unlikely ☐Possibly ☐Likely

d) Is there any social risk, possible stigmatization, loss of status, privacy and/or reputation?
   ☒Very unlikely ☐Possibly ☐Likely

e) Are there any physical risks?

☒Very unlikely ☐Possibly ☐Likely

f) Could a participant experience any economic risk? (e.g. job security, job loss)

☒Very unlikely ☐Possibly ☐Likely

g) Do you see any chance that participants may be harmed in any other way? (e.g. risk to community)

☒Very unlikely ☐Possibly ☐Likely

14. Possible Risks

If you indicated in Item 13 (a) to (f) that any risks are *possible* or *likely*, please explain below:

a) What are the risks?
b) What will you do to try to minimize or prevent the risks?
c) How will you respond if the risk of harm occurs? (e.g. what is your plan?)

n/a

15. Level of Risk

a) Using the TCPS definition of "minimal risk" cited below, do you believe your research qualifies as "minimal risk" research? ☒ Yes ☐ No

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 risk affects the way the application is reviewed not the substance of the ethical review."

b) Explain your answer to 15(a) by referring to the level of risk stated in the TCPS definition:

The participants are not being asked to do anything other than what they are doing; they are only observed and videotaped, and occasionally may be asked questions about what is currently going on.

16. Deception

Will participants be fully informed of everything that will be required of them prior to the start of the research session? ☒Yes ☐ No *(If no, complete the attached Request to Use Deception form.)*

E. Compensation

17. Is there any compensation for participating in the research? (e.g., gifts, money, social advantage, bonus points) ☐ Yes ☒ No

If yes, explain the nature of the compensation and why you consider it necessary:

(It is important to consider if the amount of the compensation is such that the participant could consider it a form of inducement.)

F. Power-over Relationship

18. Are you or any of your co-researchers in any way in a position of authority or power over participants? Examples of a "power-over" situation include teachers-students, therapists-clients, supervisors-employees and possibly researcher-relative or researcher-close friend.

☐ Yes ☒ No ☐Varies

If *yes* or *varies*, describe below:

i) why it is necessary to conduct research with participants over whom you, the researcher, has power
ii) the nature of the relationship
iii) what safeguards (steps) will be taken to minimize inducement, coercion or potential harm
iv) how the dual-role relationship and the safeguards will be explained to potential participants.

n/a

G. Free and Informed Consent

The following questions address the competence of participants to give consent, the process used in your research to obtain consent, ongoing consent, and the participants' right to withdraw. Consult Item 19 of the Guidelines for further information.

19. Participant's Capacity (Competence) to Provide Free and Informed Consent

Describe your prospective participants: ***(Check all that apply.)***

☒ Competent adults

☐ Non-competent adults:

- ☐ Consent of family/authorized representative will be obtained
- ☐ Assent of the participant will be obtained

☒ Competent Children

Minimal Risk Research

- ☐ Children under 13: consent of parent/guardian will be obtained, and child consent will be obtained
- ☐ Youth 13 to 18: consent of youth will be obtained, and parental consent is required due to institutional requirements (e.g. school districts)
- ☐ Youth 13 to 16: consent of youth will be obtained, parents will be informed
- ☐ Youth 13 to 16: consent of youth will be obtained, parents will *NOT* be informed
- ☒ Youth 17 to 18: consent of youth will be obtained, parents will not be informed
- ☐ Other, explain:

Above Minimal Risk Research

- ☐ Parent or guardian consent will be obtained and child/youth assent/consent will be obtained
- ☐ Other, explain:

☐ Non-competent Children:

- ☐ Consent of parent/guardian
- ☐ Assent of the child/youth will be obtained

☐ A protected or vulnerable population (e.g., inmates, patients).

20. Means of Obtaining Consent: *Check all that apply. See Item 20 of the Guidelines.*

☒ Initial verbal explanation and a signed Consent Form. (*Attach copies.)*

☐ A Letter of Information and a signed Consent Form. (*Attach copies.)*

☐ A Letter of Information and verbal consent. (*Attach a copy of the Letter of Information and describe below how you will document verbal consent. Explain below in Item 22 why written consent is not appropriate.*)

☐ Implied consent (e.g. through mail back or web-based questionnaires or surveys).

☐ Other means. (*Describe and provide justification below in question 22.)*

☐ Consent will not be obtained. (*Explain below in question 22.)*

21. Indigenous Community Approval

The TCPS suggests that Indigenous community approval may be required when the research involves Indigenous people, the cultural knowledge and/or resources of Indigenous people, or where individuals speak on behalf of an Indigenous nation. (See Item 22)

a) Does your research specifically study and involve:

Individuals from an Indigenous community?

☐ Yes ☒ No

A particular Indigenous community or communities as a central focus of the research?

☐ Yes ☒ No

b) Have you sought approval from an Indigenous community or communities for this study?

☐ Yes ☐ No

c) If not, briefly justify your decision not to seek Indigenous community approval:

22. Informed Consent Process

Describe the exact steps used in the informed consent process. See Items 20 and 22 in the Guidelines.

During the initial contact made by the participant, the researcher informs him or her that a consent form will have to be signed for the purpose of protecting participant and researcher. Some time prior to the first data collection session, the researcher presents the consent form to the potential participant who has declared interest in participation and will, if requested, explain items that are not understood or require other clarification.

23. Ongoing Consent

Ongoing consent is required in research that occurs over multiple occasions or an extended period of time.

a) Will your research occur over multiple occasions or an extended period of time?
☒ Yes ☐ No

b) If yes, describe how you will obtain ongoing consent:

Before each session, participants will be informed that they may decline participation for the day or for the remainder of the study. In the latter case, see #24. In the 20 years of doing this kind of research, and involving over 500 individuals, I have NEVER had someone bail out.

24. Participant's Right to Withdraw

Free and informed consent requires that participants have the right to withdraw at any time without consequence or explanation. See Items 24 and 25 of the Guidelines.

Describe what will be told to participants about their right to withdraw at any time from the research. If compensation is involved, explain what participants will be told about compensation if they withdraw.

You have the right to withdraw from the research without any consequences; you may specify whether the data collected so far can be or cannot be used in the data analysis. On the eventual day, the researcher would say: "If you would prefer that the data sources involving you not be used, you may indicate to me now; in this case, any records will be destroyed (erased).

25. What happens to a person's data if s/he 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. Describe how this agreement will be obtained*:*

As the participant has already consented to the research, a negative response to the second part of #24 will lead to a signed statement on the part of the researcher that the data will not be used in the analysis. One copy for the withdrawing participant, one copy for the researcher.

H. Anonymity and Confidentiality

26. Anonymity *See Item 26 of the Guidelines*

Here, anonymity means that no one, including the principal investigator, is able to associate responses or other data with individual participants.

Are the participants anonymous?

☐ Yes ☒ No

27. Confidentiality *See Item 27 of the Guidelines*

Here, confidentiality means that the protection of the person's identity (anonymity) and the protection, access, control and security of his or her data and personal information during the recruitment, data collection, reporting of findings, dissemination of data (if relevant) and after the study is completed (e.g., storage).

a) Will you protect the confidentiality of the participants and their data?

☐ No

☐ Yes, completely

☒ Yes, with limits (*Check relevant boxes below.)*

- ☒ Limits due to the nature of group activities (e.g. focus groups) the researcher can not guarantee confidentiality
- ☒ Limits due to context: The nature or size of the sample from which participants are drawn makes it possible to identify individual participants (e.g. school principals in a small town)
- ☐ Limits due to selection: The procedures for recruiting or selecting participants may compromise the confidentiality of participants (e.g. participants are identified or referred to the study by a person outside the research team)
- ☐ Limits due to legal requirements for reporting
- ☒ Other

b) If confidentiality will be protected, describe the procedures to be used to ensure the anonymity of participants and for preserving the confidentiality of their data. If there are limits to confidentiality due to the methods (e.g. group interview), sample size or legal requirements (e.g., reporting child abuse) so that you cannot guarantee confidentiality, explain what the limits are and how you will address them with the participants: *See Item 27 of the Guidelines*.

All members of the research team will have access, not only the person actually collecting the data. In class, participants may be identified because they are followed by a camera; non-participants (if any) may be identified because they will be NEVER followed by the camera.

c) If confidentiality will not be protected, explain why. If you are asking the participants to waive their right to confidentiality (you plan to identify them with their data), explain what steps will be taken to respect their privacy, if any. *See Item 27 of the Guidelines.*

In case that the researchers want to use photographs or video offprints that allow the identification of an individual, prior consent will be sought.

I. Use and Disposal of Data

28. Use(s) of Data

a) What use(s) will be made of the data?

Data analysis, construction of scientific knowledge about knowing and learning

b) Will your research data be analyzed, now or in future, by yourself for purposes other than this research project?

☐ Yes ☒ No ☐ Possibly

If yes or possibly, how will you obtain consent for future data analysis from the participants?

Data sources are analyzed for the purpose of publication; which publications issue from the research can inherently not be foreseen, for there is no end to the writing of research articles and "the project" goes beyond the actual availability of funds. The reason for this is that data on learning are precious and of importance to learning societies—such as Canada—in the near as well as distant future.

c) Will your research data be analyzed, now or in future, by other persons for purposes other than explained in this application?

☐ Yes ☐ No ☒ Possibly

If yes or possibly, by whom and how will you obtain consent from the participants for future data analysis by other researchers?

Because SSHRC policy requires data to be shared, anonymized versions of transcriptions may have to be made available to other researchers upon request.

29. Commercial Purposes

a) Do you anticipate that this research will be used for a commercial purpose?

☐ Yes ☒ No

If yes, explain the commercial purpose *See Item 29 of the Guidelines:*

30. Maintenance and Disposal of Data

Describe your plans for preserving and protecting data or for destroying data after the research is completed. For all data (e.g. paper records, audio or visual recordings, electronic recordings), indicate the:

i) means of storage (e.g., a locked filing cabinet, password protected computer files)
ii) location of storage
iii) time duration of storage.

tapes will be copied to password protected video files and then locked in metal filing cabinet; location is on computer and backup drive; there is no intent to delete files

31. Dissemination

How do you anticipate disseminating your research results? (*Check all that apply)*

☒ Directly to participants
☒ Thesis/Dissertation/Class presentation
☒ Presentations at scholarly meetings
☒ Published article, chapter or book
☐ Internet
☐ Media (e.g. newspaper, radio, TV)
☐ Other, explain:

Any master's or doctoral student have research stipends and will, following the NSERC model, complete their theses with the data sources; participants receive a 1–2 page debriefing or, alternatively, will be debriefed through a presentation (this is what we generally do in workplace research; sometimes, when the participants are interested, we also provide them with full articles/books)

J. Researchers

32. Conflict of Interest

Are you or any of the research team members in a perceived, actual or potential conflict of interest in regard to this research project (e.g., in relation to participants, partners in research, private interests in companies or other entities)?

☐ Yes ☒ No

If yes, please detail the conflict and how it will be managed:

33. Researcher(s) Qualifications

In light of your research methods, the nature of the research and the characteristics of the participants what special training or qualifications do you and/or your research team have or need to acquire?

I have done 20 years of this research. I run a column of an international journal on research ethics. I have been co-chair of human ethics. I apprentice all new members on the research team, who do the research component WITH me prior to doing it on their own.

34. Risk to Researcher(s)

a) Does this research study pose any risks to the researchers, assistants and data collectors?

no risk is anticipated

b) If there are any risks, explain the nature of the risks, how they will be minimized, and how they will be responded to if they occur.

K. Further or Special Questions

35. Multiple Site Research

a) Does this project involve collection of data at multiple sites within Canada?
☐ Yes ☒ No

b) Does this project involve collection of data which requires the approval of another body (e.g. research ethics board) or organization/site (e.g. school board)?
☒ Yes ☐ No

c) If you responded Yes to a) or b), list the sites, bodies or organizations:

Victoria school board is already on board, as are the participating schools, which was part of getting the funding in the first place

36. International Research

Will this study be conducted in a country other than Canada?
☐ Yes ☒ No

If yes, provide details below of how this research addresses the law, customs and regulations of the host country:

37. Other Information

If there is anything else the HREB should know about this study, provide that information below:

not that I know or would be aware of

L. Agreement and Signatures

Principal Investigator and Student Supervisor

I affirm that:

- I have read this application and it is complete and accurate.
- The research will be conducted in accordance with the University of Victoria regulations, policies and procedures governing the ethical conduct of research involving human participants.
- The conduct of the research will not commence until ethics approval has been granted.
- The researcher(s) will seek further HREB review if the research protocol is modified.

Principal Investigator	*Student Supervisor*
_____	_____
Signature	Signature
_**Wolff-Michael Roth**_____	_____
Print Name	Print Name
___**FEB 24, 2006**_____	_____
Date	Date

Chair, Director or Dean

I affirm that adequate research infrastructure is available for the conduct and completion of this research.

_____
Signature

_____
Print Name

_____
Date

Appendix A: Checklist for Consent Materials

The HREB will closely review your consent materials. Whether you use a consent form, letter of information and/or a script for verbal consent, the Board will review the materials to determine that they include the appropriate informed consent elements in the checklist below. Use the checklist to prepare your materials and consult the Guidelines for further information. Include the completed checklist and the consent document(s) with your application.

The following items should typically be included:

General Points:

- ☐ The language level is appropriate to the age and reading level of the participants (use lay/plain language)
- ☐ Consistent use of pronouns: first person (I) for researcher(s), second person (you) pronouns for participants
- ☐ The font is at least 12-point for readability for participants and reviewers
- ☐ The pages are numbered.

The Materials Must State:

- ☐ That a copy of the consent form (when written consent is obtained) will be left with the participant and a copy will be kept by the researcher.
- ☐ A clear offer to answer any questions concerning the procedures to ensure that they are fully understood by the participant.
- ☐ "You may verify the ethical approval of this study, or raise any concerns you might have, by contacting the Associate Vice-President Research at (250) 472-4545 or ovprhe@uvic.ca."

Introduction:

- ☐ The title of the project
- ☐ That the person is being invited to participate in a research study
- ☐ An explanation of who is sponsoring or funding the research (if applicable)
- ☐ A statement indicating that the project is research for a graduate thesis, dissertation or project (if applicable).
- ☐ The purpose of the research, consistent with that described in the protocol
- ☐ The name and identity of the researcher(s) and affiliation with the University of Victoria (e.g., graduate student, Professor of Sociology)
- ☐ Contact information for the researcher(s) (and supervisor if applicable)
- ☐ The full identity of dual-role researcher(s) (if applicable)
- ☐ Disclosure of any conflicts of interest.

Conditions for Participating:

- ☐ That participation is voluntary.
- ☐ A description of the procedures the participants will be involved in and time commitment of each.
- ☐ A description of any potential or known inconveniences (do not include if time for participation is the only inconvenience).
- ☐ Information regarding audio/videotaping/photographing and the option to explicitly consent to such recording
- ☐ That the individual may decline to answer any question (for research with interviews/questionnaires)
- ☐ That the participants can withdraw from the study, at any time, without negative consequences
- ☐ A clear explanation of what will happen to the data of a person who withdraws (e.g., will it not be used – destroyed or given to the participant; will it be included in the analysis with participant consent; is it logistically impossible to remove individual participant data).

Benefits / Risks:

- ☐ Potential benefits.
- ☐ Any possible or likely risks

☐ The plan for minimizing possible stressors or risks and for responding to them if they arise.

Compensation:

☐ Information about any payment, compensation or contribution for participation, and reasons they are considered necessary.

Access to Information and Confidentiality/Publication of Results:

☐ Information regarding who will have access to the data
☐ The degree of anonymity that will be provided and how this will be maintained
☐ The degree of confidentiality that will be provided and how this will be maintained.
☐ Limits on anonymity and confidentiality, if any (e.g., disclaimer for focus groups, small number of participants in a setting such that they could be identified).
☐ Information regarding retention and disposition of the data (during & after completion of the research)
☐ Use of data, including commercial purposes
☐ A statement indicating the researcher's intent to publish or make public presentations based on the research and whether or not the participant's identity will remain confidential (e.g., will pseudonyms be used?).

When appropriate, the following can be included:

☐ Why the research is important.
☐ A clear explanation of why the person has been invited to participate.
☐ A clear explanation of how the person was recruited (how you came to contact the person).
☐ Offer of a summary of the research results to participants (and a means to provide the summary).

Request to Use Deception in the Conduct of Human Research

Deception involves the use of limited or partial disclosure in the consent process where full disclosure would render the research *impossible*. Deception is most commonly used in social or psychological research where full disclosure would likely influence the responses received. To be ethically acceptable, research involving deception must meet five tests (see the HRE Guidelines). The following questions will help the committee to ascertain whether the use of deception is ethically acceptable in this study:

A. Why do you believe this use of deception is unlikely to adversely affect the rights and welfare of participants?

B. Why does this research require the use of deception?

C. What measures will you take to inform participants about the true purpose of the study once they have completed their participation? Provide a draft "script" you will use to explain this below.

D. Does this study involve a therapeutic intervention of any kind? Describe the intervention below.

E. How do you intend to deceive the participant on the purpose of the study or intended results?