

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.

Principal Investigator:

Date:

The signature of the supervisor below indicates that the supervisory committee has 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 and Scholarly Review

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.

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

NO X Yes Please explain your answer below:

The anticipated participants in this research are the researcher and secondary students. As the regular school curriculum in language arts and English asks students to reflect on responses to literature in connection with their own experiences and interpretations, their participation in this research can be considered of no greater risk than what they are often asked to do in regular aspects of their daily life in school.

Please note, the designation of minimal or non-minimal levels of risk only affects the **way** the application is reviewed, **not the substance** of the review.

What type of scholarly review has this research undergone?

None External Peer Review (e.g. granting agency) Supervisory Committee
Special Review (explain below)

E. Research Project Information

The following information is required by both the Committee (to review the ethics of your research) and, where noted (*), by participants (as part of the process of informed consent). Researchers are encouraged to adapt the information provided to the Committee for the consent form and process. The use of lay language is required. **Only use the space provided.**

1. "What is(are) the purpose(s) and objective(s) of your research?"

The purpose of this study is to understand, describe and interpret the experiences of reading and relating to fictional by adolescent readers. Specifically, the study explores the ways in which the reading engagement with these fictional characters informs the participants' choices for ethical action in their own lives. What is the nature of readers' identification and empathy experiences with fictional characters in literature? In what ways do adolescent students perceive they are able to project these experiences to their intentions for living ethically?

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

Teachers ask students to read and respond to literature and fictional characters in order to make connections with their personal understanding. We also ask our students to treat each other well, behave ethically and become responsible citizens. Literature(Levi-Strauss, Bruner, Coles) suggests that humans come to understanding of others through learning their stories. It is important to explore the connections which students actually make between fictional worlds of literature and lived worlds of experiences with others. What is the nature of students' perceptions of understanding through reading and fictional characters which can inform their actual choices for ethical behaviour in their lives? This study will offer teachers of literature an opportunity to understand some experiences of students who may make these connections between fiction and ethical decisions.

3. *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

X Other (please describe below)

In cooperation with a teacher at a secondary school in the Greater Victoria School Board, I will present an introduction to and outline of my project to her classes and ask for volunteers. I will leave my telephone number with the teacher so that students who express an interest to her can contact me. I will then ask them to complete and have their parents complete a consent form and arrange meeting times.

*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.

You are being asked to participate in this study because you have expressed an interest in reading literature and fiction. Because this experience of reading is important to you, your insights and ideas about the connections you make to fictional characters and the ways you may or may not connect these ideas with your own life choices are important understandings in exploring the meaning and possibility of the experience of reading for you and others. Selection for inclusion in this study will be based on participant's interest in the study and signed consent form of parents and individual.

4. Describe the participants:

Competent adults Incompetent adults X Competent Children/Youth

Incompetent children/Youth

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

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

The study will involve six to eight (approximately) young people of any gender between the ages of 13 and 19 who are involved in secondary education.

5. If participants will/may not be able to provide consent for themselves, how will you gain consent? (Please note, in addition to receiving the consent of their parents/guardians, competent children must provide their own consent. See the Guidelines for further details).

Letters of consent will be completed by both the participants and the parents/guardians of those below the age of 18.

6. *What procedures and methods will you use and what expectations do you have for participants?

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

Each participant will be asked to contribute two or three hours of time on three occasions plus the time required to read a novel agreed on by the group.

*6b. Where will participation happen?

Participation will take place at an agreed upon neutral location of the participant's choice like a coffee shop as well as a possible group trip to a bookstore.

*6c What exactly will the participants be expected to do?

be interviewed individually

complete a questionnaire

participate in a group interview

be observed

provide human tissue (blood, hair, DNA, gametes etc.)

provide access to records or other personal materials

Other (specify) Contribute a suggestion for a novel which has been important to the participant in her/his life and read a new novel agreed on by the group for later group discussion.

Provide details to your answer in 6c. below (e.g. name of questionnaire, source of documents)

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

I (the researcher) am the data gatherer. My qualifications require me to have studied the literature on reader response and humanistic interpretive methodologies in order to make meaning of the data provided by the participants.

7. *What are the potential or known inconveniences associated with participation?

Potential or know inconveniences associated with participation are the requirement to give some time and thought to the interview and discussion process and to read a novel on the students' own time.

8. *Are there any of the following potential risks to participants:
physical social psychological emotional economic Other (specify) No

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

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)? Include a description of how you will describe this minimization to participants

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

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

-The participants will benefit through the opportunity to consider and discuss their personal responses to literature and the impacts it has made on their lives in a shared and supportive atmosphere.

-Society will benefit through an increased understanding by the researcher/teacher, others involved in or reading the study of the meanings made through the experience of reading and through any consideration of ethical choices which may be made by the young people in our society as a result of this learning.

-The state of knowledge will benefit through increased understanding of how young readers perceive identification and empathy with fictional characters and how they may apply that to choices in their own lives.

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

-as above

*10b If there are any inducements (gifts, compensation etc.) to participate, what are they and why are they necessary?

-the only anticipated gifts and compensation may be food and drink during interviews and the gift of a book of choice purchased by the researcher. These are necessary so as not to incur any financial requirement for any of the participants.

11. *How will you describe in the consent the voluntary nature of participation in the study and the right to withdraw at anytime without consequences?

Any participation in this study is completely voluntary and unrelated to your school or class work in any way. All participants have the right to withdraw at any time for any reason from the study without explanation or consequence.

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

*X it will not be used in the analysis unless removal of the data is logistically impossible
it will be used in the analysis if the participant agrees to this*

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

If you choose to withdraw from this study at any time for any reason, any data gathered up to that point will not be used in the analysis unless removal of the data is logistically.

12. *Are you in any way in a position of authority or power over participants? Yes X No (If "yes", explain your relationship and how coercion will be prevented). Examples include teachers/students, therapists/clients etc.

*Provide a description of how this will be discussed in the consent process:

13. *How will you provide for ongoing consent by participants during the data gathering period? (Note, this is primarily an issue in research that occurs over an extended period of time)
14. *Do you anticipate that this research will be used for a commercial purpose? Yes X No (if “yes”, explain how you will describe this to the participants in the consent process)

Note: 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.

15. *Anonymity refers to the protection of the identity of participants. Anonymity can be provided along a continuum, from “complete” to “no” protection (see the Guidelines for a discussion of this). Will the anonymity of participants be protected? Yes (completely) X Yes (partially) No

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

The anonymity of participants will be protected in this study through the use of pseudonyms for the participants and the school throughout any documentation and reporting done in the context of this study. There will be some loss of anonymity for those students involved in the focus group as they will meet and talk with one another.

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

16. *Confidentiality refers to the protection, access, control and security of the data and personal information (see the Guidelines for more information). Will you provide confidentiality to the participants and their data?
X Yes No

16a. * If Yes, how will confidentiality be protected and how will this be explained in the consent process?

Confidentiality will be protected for the participants by the researcher. Personal information, tape recordings and transcripts will be stored in a locked desk in the researcher’s home office. All transcription and work with the participants will be done by the researcher herself. No one else will have access to any personal information or data provided.

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

17. *What other uses will be made of the data?

None

18. *When and how will the data be destroyed?

Data will be held for the period of the research, no more than one year from collection date, and then will be destroyed by shredding, erasing tapes and deleting electronic files.

19. *How do you anticipate disseminating your results?

*X Directly to participants X Thesis/Dissertation/class presentation ? published article- possibly
? presentations at scholarly meetings - possibly internet Other (specify below)*

- *How will you describe the dissemination of results to participants during the consent process?

Results of this study will be disseminated to participants throughout and following the research process. They will be presented to my research supervision committee and presented as a requirement of my master's program completion. Summaries and papers based on this research may be written and published as articles and in scholarly meetings.

20. *How will participants be able to contact you (and/or your supervisor) if they have questions or concerns about the study?

Participants in this study will have the right to reasonable, ongoing access to the researcher and her supervisor by telephone and e-mail which will be provided. Participants will also be provided with the phone number of the Associate Vice President Research to call if they have any concerns about their participation in the study.

Special Questions related to additional review criteria:

21.* 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.*

None.

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

22. Does this study involve any form of deception? Yes X No (If "yes", complete a Deception Form)

23. Will this study be conducted in a country other than Canada? X No Yes (If yes, provide details below of how this research conforms to the laws, customs and regulations of the foreign country)

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

25. If applicable, attach the following documents to this application (check those that are appended):

Consent forms Recruitment materials Interview schedules Questionnaires Deception Form
Permission to gain access to confidential documents or materials
Human Tissues Form

Applicants are encouraged to use the consent form template provided in Appendix 1 and, if appropriate, the Deception form in Appendix 2

Appendix 1

Prototype for a Complete Human Research Ethics Consent Form with reference to the Ethics Application Sections (Use “cut and paste” from your application to help prepare your consent)

You are being invited to participate in a study entitled *Mirrors and Door: An Inquiry into Perceptions and Experiences of Reading, Empathy, Imagination and Ethics Among Adolescents* that is being conducted by Mary Ann Richards. Mary Ann Richards is a Graduate Student in the department of Education – Curriculum Studies at the University of Victoria and you may contact her if you have further questions by calling 721-3966.

As a Graduate student, this research is part of the requirements for a degree in Masters of Education – Curriculum Studies, and it is being conducted under the supervision of Dr. Margaret Robertson. You may contact the supervisor at 721-7762.

The purpose of this research project is to understand, describe and interpret the experiences of reading and relating to fictional characters as perceived by readers, particularly adolescent readers, with a further exploration of how the experiences of these characters inform the participants in choices for ethical action in their own lives.

What is the nature of readers’ identification and empathy experiences with fictional characters in literature? In what ways do adolescent students perceive they are able to project these experiences to their intentions for living ethically?

Research of this type is important because as educators, we ask students to read and respond to literature and fictional characters in order to make connections with their personal understanding. We also ask our students to treat each other well, behave ethically and become responsible citizens. Literature suggests that humans come to understanding of others through learning their stories. It seems important to explore the connections which students actually make between fictional worlds of literature and lived worlds of experiences with others. Do students perceive a potential and possibility of understanding through reading and fictional characters which can inform their actual choices for ethical behaviour in their lives?

You are being asked to participate in this study because you have expressed an interest in reading literature and fiction. Because this experience of reading is important to you, your insights and ideas about the connections you make to fictional characters and the ways you may or may not connect these ideas with your own life choices are important understandings in exploring the meaning and possibility of the experience of reading for you and others. . Selection for inclusion in this study will be based on participant’s interest in the study and signed consent form of parents and individual.

If you agree to voluntarily participate in this research, your participation will include two or three hours of time on three occasions plus the time required to read a novel agreed on by the group. Participation will take place at an agreed upon neutral location of the participant’s choice like a coffee shop as well as a possible group trip to a bookstore.

Participants will be expected to be interviewed individually after contributing a suggestion for a novel which has been important to the participant in her/his life. Finally, each participant will read a new novel agreed on by the group for later group discussion.

Participation in this study may cause some inconvenience to you, including the requirement to give some time and thought to the interview and discussion process and to read a novel which will be chosen and later discussed by the participants.

There are no known or anticipated risks to you by participating in this research.

The potential benefits of your participation in this research include your personal opportunity to consider and discuss your personal responses to literature and the impacts it has made on your life in a shared and supportive atmosphere.

Society will benefit through an increased understanding by the researcher/teacher, others involved in or reading the study of the meaning of the experience of reading for you as a young person and a student, and through any consideration of ethical choices which may be made by the young people in our society as a result of this learning.

The state of knowledge will benefit through increased understanding of how young readers perceive identification and empathy with fictional characters and how they may apply that to choices in their own lives.

Your participation in this research must be completely voluntary and unrelated to your school or class work in any way. If you do decide to participate, you may withdraw at any time without any consequences or any explanation. If you choose to withdraw from this study at any time for any reason, any data gathered up to that point in the study will not be used in the analysis unless removal of the data is logistically impossible.

In terms of protecting your anonymity, the anonymity of participants will be protected in this study through the use of pseudonyms for the participants and the school throughout any documentation and reporting done in the context of this study. Involvement in the focus group will result in loss of anonymity between the participants involved in the study.

Your confidentiality and the confidentiality of the data will be protected by the researcher. All personal information, tape recordings and transcripts will be stored in a locked desk in the researcher's home office. All transcription and work with the participants will be done by the researcher herself. No one else will have access to any personal information or data provided.

Data from this study will be disposed of after the completion of the study. Data will be held for the period of the research, no more than one year from collection date, and then will be destroyed by shredding, erasing tapes and deleting electronic files.

It is anticipated that the results of this study will be shared with others in the following ways: Results of this study will be disseminated to participants throughout and following the research process. They will be presented to my research supervision committee and presented as a requirement of my master's program completion. Summaries and papers based on this research may be written and published as articles and in scholarly meetings. Any such articles and presentations would be forwarded to participants prior to their submission or presentation.

In addition to being able to contact the researcher [and, if applicable, the supervisor] at the above phone numbers, you may verify the ethical approval of this study, or raise any concerns you might have, by contacting the Associate Vice President Research at the University of Victoria (250-721-7968).

Your signature below indicates that you and your parent(s)/ guardian(s) understand the above conditions of participation in this study and that you have had the opportunity to have your questions answered by the researchers.

Participant Signature

Date

Parent(s)/Guardian(s) Signature

Date

A COPY OF THIS CONSENT WILL BE LEFT WITH YOU, AND A COPY WILL BE TAKEN BY THE RESEARCHER