UNIVERSITY OF TORONTO

Office of the Vice-President, Research and Associate Provost

Office of Research Ethics

UNDERGRADUATE ETHICS REVIEW PROTOCOL FORM
COURSE TEMPLATE

DELEGATED ETHICS REVIEW COMMITTEE **(DERC)** reviewing this template: Anthropology

COURSE INSTRUCTOR:

Name _____ Personnel Number _____

Department _____

Mailing Address _____

Phone _____

COURSE:

Course Title _____

Course Code _____

Course Start Date _____

(Students' projects will be considered completed once the course is over. Instructors who wish to use the same course template again, however, may submit an annual renewal form.)

MINIMAL RISK AND DELEGATED REVIEW:

Risk to participants should be proportionate to *student experience* and *pedagogical goals*, with appropriate levels of responsibility and supervision. Typically, undergraduate research should involve *minimal risk*, which means that the probability and magnitude of harm due to participation in the research is no greater than that encountered by participants in their everyday lives. Assessing risk may to some degree be affected by discipline-specific considerations—e.g., forensics, medicine, and nursing may involve work with participants in clinical settings, with attendant requirements for oversight and team qualifications. Departments will likely want to work with the Office of Research Ethics (ORE) to decide how best to handle different levels of risk. Additional on-line resources may also be helpful, including:

- http://www.research.utoronto.ca/for-researchers-administrators/ethics/ (U of T Office of Research Ethics website)

- http://pre.ethics.gc.ca/eng/policy-politique/tcps-eptc/readtcps-lireeptc/ (Tri-Council Policy Statement)
- www.pre.ethics.gc.ca/english/tutorial/ (TCPS Tutorial)

To evaluate risk for this protocol, consider:

- *Group vulnerability—i.e.,* any pre-existing vulnerabilities associated with proposed participant groups, e.g., relating to pre-existing physiological or health conditions, cognitive or emotional factors, and socio-economic or legal status.
- *Research risk—i.e.,* the probability and magnitude of harms participants may experience as a result of the proposed methods to be used and types of data to be collected, e.g., relating to physiological or health issues such as clinical diagnoses or side effects, cognitive or emotional factors such as stress or anxiety during data collection, and socio-economic or legal ramifications such as stigma, loss of employment, deportation, or criminal investigation (e.g., in the event of duty to report intent to cause serious harm, subpoena, or breach of confidentiality).

Please provide over-all assessments of group vulnerability and research risk (i.e., *low*, *medium*, *high*) and locate the protocol in the matrix, below.

RISK MATRIX: Review Type by Group Vulnerability and Research Risk--circle one or more delegatable cells as appropriate (if any proposals are non-delegatable, please consult your DERC):

		Research Risk	
Group vulnerability	**Low**	**Medium**	**High**
Low	Delegated	Delegated	Full*
Medium	Delegated	Full*	Full*
High	Full*	Full*	Full*

*Review by the appropriate REB in Office of Research Ethics

Briefly explain the group vulnerability and research risk:

The group vulnerability risk is low because all the participants will be healthy adults (over age 18) with stable socioeconomic and legal statuses. Confidentiality will be sustained. Topics will concern the everyday experiences of the participants and they will be free to withdraw at any time, hence will not be exposed to emotional risk or stress. No illegal activities will be investigated. To mitigate unexpected risks that might arise due to researcher inexperience, all student researchers will receive instruction in research ethics prior to their research activities. Through this instruction they will be familiarized with the Tri-Council statement, procedures of human subjects review, and the informed consent process. We will also discuss ethics continuously in class, as specific dilemmas arise.

On COVID risk: The research presents no additional COVID risk beyond the risk presented by COVID to the general campus community. Researchers will follow the COVID protocols applicable to the course as they evolve during the semester. The course is designed to be offered virtually until January 31, 2022 and then hopefully in person. If it proceeds as planned, students will be present on campus and will observe and interact with faculty, staff and students at the University as per the U of T protocols applicable at the time, eg masked, socially distanced. If the course is obliged to move online and students have restricted access to campus, all research including interviews will move on line.

HOST SITES:

Indicate the location(s) where the research will be conducted:

University of Toronto x

Affiliated teaching hospital ☐ _____ (specify site(s))

Community within the GTA ☐ _____ (specify site(s))

Other ☐ _____ (specify site(s))

N.B. If the research is to be conducted at a site requiring administrative

Other Research Ethics Board Approval:

(a) Does the research involve another institution or site? Yes ☐ No ☐

(b) Has any other REB approved this project? Yes ☐ No ☐

(c) If **Yes**, please provide a copy of the approval letter upon submission of this application.

(d) If **No**, will any other REB be asked for approval? Yes ☐ No ☐

If **Yes**, please specify which REB _____

BACKGROUND, PURPOSE, AND OBJECTIVES:

Briefly describe the pedagogical goal of the assignment.

The pedagogical purpose of the course is to focus attention on justice in the established liberal democracies of North America with paying particular attention to how different social movements experience solidarity and develop strategies of collective action, while also deploying ethnographic methods to learn how to conduct an independent ethnographic inquiry, analyse data, and write it up as a contribution to knowledge. The skills students learn will be useful in any field of work they enter in future, as they will become more aware of the social and cultural milieu in which they are living and capable of examining it and reflecting upon it in a way that goes far beyond the casual and everyday. They will learn how to conduct research in an ethical manner.

METHODS AND DATA:

- If the research takes place in a controlled environment (e.g. clinic, laboratory, formal interview or tests), describe sequentially, and in detail, all procedures in which research participants will be involved.

- If the research involves naturalistic or participant observation, please describe the setting, the types of interactive and observational procedures to be used, and the kinds of information to be collected.
- If the research involves secondary analysis of previously collected data, describe the original source of the data and measures that have been taken to protect data subjects' identities.
- If the assignment involves using specialized methods with participants, describe the students' relevant past experience, or the nature of any supervision they may receive.

N.B. Attach a copy of all questionnaires, interview guides or other test instruments.

We do not have a questionnaire or interview guide, as we expect to generate questions based on research to date. The focus of our inquiry in 2021 is justice across social movements in North America – how different social movements experience solidarity and develop strategies for collective action. We will investigate this topic through observations, archives, interviews, photos and other methods in a range of venues. We will use weekly meetings for brainstorming, sharing insights, coming up with provisional analysis, and allocating tasks for individuals or sub-groups to work on in the week ahead.

PARTICIPANTS, INFORMANTS, OR DATA SUBJECTS:

Describe the individuals whose personal information is to be used as part of the assignment (i.e., in terms of inclusion and exclusion criteria, especially where active recruitment is involved). If the assignment involves working with a vulnerable population, describe the students' relevant past experience or the nature of any supervision they may receive.

Participants will be adults. There are no further inclusion or exclusion criteria. They may include students, staff, and former or current members of various social movements. Recruitment will be based on willingness to participate, and students pre-existing social networks to recruit participants.

RECRUITMENT:

Where there is formal recruitment, please describe how and from where the participants will be recruited. Where participant observation is to be used, please explain the form of insertion of the researcher into the research setting (e.g., living in a community, visiting on a bi-weekly basis, etc.) Where relevant, please explain any non-research relationship between the students and the research participants (e.g., teacher-student, manager-employee, nurse-patient).

Students will select research sites based on their research interests and on their prior knowledge or access to particular sites (eg social groups where they work, volunteer, live, frequent social media or otherwise spend time). Participant-observation may involve on-line presence and is expected to be conducted for 2-3 hours per week during 3 weeks of the semester. If students also interact with respondents in a non-research capacity, they will clearly signal that they are switching to "research mode" and request formal consent (see below).

Recruitment of research participants for interview will be based on four methods. 1) prior contacts, ie seeking participation from people the researchers already know). 2) snowball methods, ie asking respondents to pass the researcher's contact information to additional respondents with an invitation to contact the researcher if they are interested in participating. 3) attending online events and asking people met in that context if they would agree to participate. 4) "cold call" ie by writing to or otherwise approaching students, administrators, professors, and office holders (eg leaders of student groups, members of the board of governors) to explain the research objectives, and request an interview.

N.B. Attach a copy of any posters, advertisements, flyers, letters, or telephone scripts to be used for recruitment.

RISKS:

Indicate if the participants might experience any of the following risks:

(a) Physical (e.g., bodily contact, administration of any substance)? Yes ☐ No ☐

(b) Psychological/emotional (e.g., feeling embarrassed, anxious, upset)? Yes ☐ No ☐

(c) Social (e.g., possible loss of status, privacy, reputation)? Yes ☐ No ☐

(d) Is there any deception involved (see "Debriefing", below)? Yes ☐ No ☐

(e) Are risks to participants greater than in their everyday life? Yes ☐ No ☐

If you answered **Yes** to any of the above, please explain the risks, and describe how they will be managed, and how they are proportionate to student experience and pedagogical goals.

BENEFITS:

Discuss any potential direct benefits to the participants from their involvement in the project. Comment on potential benefits to the students, the scholarly community, or society that would justify involvement of participants in this study. (See the note on courtesy copies of final reports in the "Debriefing" section, below)

Participants will not be paid and will not receive any direct benefits. Intangible benefits may be derived from participation in a research project as a co-producer of knowledge. It is hoped that the student researchers will benefit from the project by learning how to conduct ethnographic research.

COMPENSATION:

The ERO recommends that undergraduate course template assignments not involve any reimbursements or remuneration for participants. Describe the course policy with regard to compensation; if some form of compensation is to occur, explain the reasoning behind it. (See note on courtesy copies, under "Debriefing", below)

No compensation will be paid.

CONSENT PROCESS:

Describe the process that the instructor and/or students will use to obtain informed consent. Please note, it is the quality of the consent not the format that is important: if there will be no written consent form, please explain (e.g., if culturally inappropriate). If the research involves extraction or collection of personal information from a data subject, please describe how consent from the individuals or authorization from the custodian will be obtained. For information about the required elements in the information letter and consent form, please refer

to: http://www.research.utoronto.ca/wp-content/uploads/2010/01/GUIDE-FOR-INFORMED-CONSENT-April-2010.pdf

N.B. Where applicable, please attach a copy of the Information Letter/Consent Form, the content of any telephone script, letters of administrative consent or authorization and/or any other material which will be used in the informed consent process.

Researchers will obtain signed or oral consent from participants who provide information through formal interviews (see individual consent letter attached). By mutual agreement, consent may also be given verbally, in which case the researcher will make a note of the date, time and place when consent was given. If the interaction is informal or casual and will not be followed up, the researcher will not request consent and will not record the name of the respondent. Prior to observation at small group meetings or on-line forums the researcher will announce their presence verbally, or by passing around or posting an information sheet (see information and group consent document attached). COVID-19 restrictions permitting, researchers who might later conduct in-person observation and casual conversations in semi-private settings eg a residence or common room or meeting center will post a one-page info sheet at visible locations in the space, with their photo and contact info and an explanation about the project. The info sheet will invite participants to contact the researcher or the instructor if they have any concerns.

If the participants are children, or are not competent to consent, describe the proposed alternate source of consent, including any permission/information letter to be provided to the person(s) providing the alternate consent as well as the assent process for participants.

No children will be involved.

Where applicable, please describe how the participants will be informed of their right to withdraw from the project. Outline the procedures which will be followed to allow them to exercise this right.

The consent letter and info sheets outline procedures for withdrawal (see attached)

Indicate what will be done with the participant's data and any consequences which withdrawal may have on the participant.

The data will be destroyed after the coursework is completed. There will be no consequences for withdrawal.

If the participants will not have the right to withdraw from the project at all, or beyond a certain point, please explain.

N/A

PRIVACY AND CONFIDENTIALITY:

Will the data be treated as confidential? Yes ■ No ☐

If **Yes**, please describe the procedures to be used to protect confidentiality during the conduct of research and in preparation of the final report.

Researchers will not communicate identifying details about participants. Participant identities will be kept in a separate key and will not be included in transcripts or fieldnotes. The student's final reports and website and blog posts (when applicable) will use pseudonyms, unless the participant has given explicit permission for their identity to be revealed (see letter attached).

Explain how written records, video/audio tapes and questionnaires will be stored (e.g., password protected computer, double locked office and filing cabinet), and provide details of their final disposal or retention schedule. Data security measures should be consistent with U of T's *Data Security Standards for Personally Identifiable and Other Confidential Data in Research*:

Data will be kept by the researchers in a secure location during the conduct of the project. Computer files on personal computers or recording devices that contain personal data will be immediately encrypted. Researchers will retain signed consent letters in a secure location for one year after course completion in case of inquiries.

If **No**—i.e., confidentiality is not appropriate in the context of this assignment—please explain (e.g., participants are key informants with established reputations in their field).

DEBRIEFING:

Explain what information (e.g., research summary) will be provided to the participants after participation in the project. If deception will be used in the research study, please explain what information will be provided to the participants after participation in the project—if applicable, attach a copy of the written debriefing form.

N.B. Please note that all copies of the students' final reports—e.g., for circulation as courtesy copies, or future writing samples—must clearly indicate on the cover page the instructor, course number, and department or program at the University of Toronto that the report was prepared for.

No deception will be used. Debriefing will be conducted by the researcher if requested by the study participants. Final reports will conform to the above specifications.

REPORT TO THE DELEGATED ETHICS REVIEW COMMITTEE:

If relevant, the course instructor should provide the Delegated Ethics Review Committee that reviewed the template with a list of titles of students' projects, once they have been chosen.

SIGNATURES:

As the **Course Instructor** of this template course assignment, my signature testifies that I will review each student proposal to ensure its academic merit and adherence to the template. I will provide the necessary supervision to each student researcher throughout the project, to ensure that all procedures performed under the research project will be conducted in accordance with University, provincial and national policies and regulations that govern research involving human participants. This includes ensuring that the level of risk inherent to the project is managed by the level of research experience that the student has, combined with the extent of oversight that will be provided by the Faculty Supervisor and/or On-site Supervisor.

Signature of Course Instructor: _____
Date: _____

As the **Undergraduate Coordinator**, my signature testifies that I am aware of the proposed activity, and understand that the level of risk inherent to the project should be managed by the level of research experience that the student has, combined with the extent of oversight that will be provided by the Faculty Instructor and/or On-site Supervisor.

Signature of Undergraduate Coordinator: _____
Date: _____

As the **Departmental Chair/Dean**, my signature testifies that I am aware of the proposed activity, will allocate space and other resources required, and will provide administrative support to the activity. My department, faculty or division will oversee the conduct of research involving human participants to ensure compliance with University, provincial and national policies and regulations.

Signature of Departmental Chair/Dean: _____
Date: _____