Guidelines for Ethics in Dual-Role Research for Teachers and Other Practitioners

Human Research Ethics Office
University of Victoria
Version 3

January 2008

Table of Contents

1. INTRODUCTION
    1.1 Purpose
    1.2 Definition of “Dual-Role Research” and Core Ethical Issues
    1.3 Undue Influence and Power-Over

2. DISTINGUISHING BETWEEN REGULAR PROFESSIONAL PRACTICE AND USE OF DATA FOR RESEARCH PURPOSES
    2.1 Group Observations
    2.2 Group Observations: Video-tapes and Photographs

3. CONSENT
    3.1 Safeguards for Free and Informed Consent Beginning From the Time of Recruitment
    3.2 Ongoing Consent

4. ANONYMITY AND CONFIDENTIALITY

5. OTHER THINGS TO CONSIDER
    5.1 Obtaining Permission from Schools and External Organizations Prior to Conducting Research
    5.2 Recruiting Participants
    5.3 Accessing School Records

6. CLOSING COMMENTS

7. SAMPLE LETTER OF CONSENT

1. INTRODUCTION

1.1 Purpose

These guidelines are intended to assist graduate students and their supervisors in the Faculty of Education and other applied or professional faculties to better understand some of the specific challenges of practitioner-researchers undertaking research in professional/classroom settings and to outline recommended approaches to ensure that the study to be undertaken involves procedures that are consistent with the current ethical standards of research practice outlined in the *Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans* (TCPS)[1].

This document does not replace, nor in any way substitute for the full *Human Research Ethics Board Annotated Guidelines For Completing the Ethics Application Form*. Please read and follow the full guidelines when completing the application. These guidelines are available on the Office of Research Services (ORS) website: http://www.research.uvic.ca/forms/index.htm#HREC

Professional codes of ethics, such as those that bind teachers and other practitioners, do not address matters of research and are not sufficient to guide research activities. Practitioner-researchers must follow the University of Victoria ethics guidelines, which adhere to the TCPS, as well as to their professional codes of conduct[2].

The research design is the responsibility of the student and their academic supervisor(s). Most types of research are acceptable so long as they adhere to the UVic ethics Guidelines and the TCPS. In reviewing the ethics application, the Human Research Ethics Board (HREB) will assess the acceptability of the research design and may make suggestions on ways to ensure that the research is carried out in an ethical manner.

Tips for Researchers:

Throughout this document these boxes will link the information in this guideline to pertinent sections of the application form and/or annotations for the application or information that may be helpful.

[1] The Tri-Council Policy Statement on "Ethical Conduct for Research Involving Humans" (TCPS) was developed by the three major research councils of Canada (SSHRC: Social Sciences and Humanities Research Council; NSERC: National Sciences and Engineering Research Council; and CIHR: Canadian Institute of Health Research).

[2] The Code of Conduct for Psychologists does cover issues related to research, and it also states that psychologists must adhere to their institution's ethical review guidelines. http://www.collegeofpsychologists.bc.ca/documents/

1.2 Definition of "Dual-Role Research" and Core Ethical Issues

When practitioners investigate their own professional practices to fulfill academic requirements that include the participation of others with whom they already have a relationship, such as their students, colleagues, employees, etc., they assume the **dual-role of practitioner and researcher.**

Research conducted in this context typically raises two overarching issues that require special attention:

- Dual relationships exist between the researcher and participants when people in positions of status ("power-over") or undue influence undertake research in addition to their already established roles and responsibilities, and the research will potentially involve individuals of lesser power or status such as students, employees, etc.;

- Information and results obtained from studying one's own practice is made public through research presentations (e.g. showing textual and/or visual data/results such as photos, videos), publications (e.g. thesis), reports to the executive director or management, and website postings related to the workplace and employees, etc. The release of results could compromise the privacy or professional status of participants in a workplace setting. The potential harms on the participants cannot outweigh the potential benefits to them.

1.3 Power-Over 

"Power-over" refers to the power differential between the researcher and the participant, such as exists in a teacher's relationship with students, a school administrator's relationship with teachers, or a researcher's relationship with professional colleagues or family and friends. The nature of this relationship exerts undue influence or power-over the potential participant's ability to give their consent freely. The influence is not always negative or coercive in nature (e.g. loss of reputation if one declines participation) and practitioner-researchers may conduct research in settings where they have a power-over relationship with participants.

Even when a practitioner-researcher perceives that his/her workplace, school or classroom has a "warm and friendly" atmosphere of trust and openness between teachers-students, supervisor-colleagues, *the quality of these relationships does not address the underlying differences in status and influence that structure the nature of the relationships*. Therefore, the researcher needs to recognize the *structure* of the relationships to assess the role of power-over in the research context.

When participants include children or youth the researcher needs to be especially attentive to the role of power-over. (Please see "3.1 Safeguards for Free and Informed Consent" of these guidelines). Students at a school, especially young children can be "captive audiences" for research particularly when a study is conducted by their own teacher, or even another teacher or staff member at their school rather than a person who they do not know. At issue here is that

younger children may not make a distinction between the activity that forms a regular part of their learning and what is an additional and therefore, voluntary activity for research purposes.

Examples of power-over relationships:

- a staff member may feel obligated to participate in a colleague or supervisor's study;
- a staff member may perceive that participating in a supervisor's study will gain her a professional advantage especially if the study is about professional practice;
- a student may not know that s/he can decline consent for a teacher to use a sample of his or her classroom work for research since it was a required assignment;
- a young student may not know that s/he can decline being asked to leave the classroom (and miss instructional time) and go with another teacher to participate in that teacher's computer activity for research purposes.

Various forms of dual-role practitioner research (e.g. program evaluations, program planning, quality assurance, and identifying "best practices" etc.) present unique challenges given the dual and ongoing relationships that may exist between the practitioner-researcher and participants. These challenges will be described in this document.

Tips for Researchers:

It is critical that the ethical issues associated with dual-role research are 1) explained clearly in the ethics application and 2) adequate procedures for mitigating the dual-role relationship are described when completing the ethics application. It is the job of the researcher to think through, explain and justify the ethical approach and procedures in the ethics application form so that the UVIC HREB can understand the research context and assess the ethical adequacy of the proposed procedures.

2. DISTINGUISHING BETWEEN REGULAR PROFESSIONAL PRACTICE AND USE OF DATA FOR RESEARCH PURPOSES

Many practitioner-researchers propose to study the outcomes of practice in their own professional settings. When they do, they must distinguish between what activities and materials constitute part of regular professional practice (e.g. teaching a lesson that is part of the school curriculum and observing how students respond, grading assignments, reviewing policy documents or meeting minutes) and what will be done solely for the purpose of a research project (e.g. interviews, focus group, pre and post survey, videotaping a meeting or lesson).

Although practitioner-researchers may conduct practice as usual (e.g., classroom instruction) without obtaining UVIC HREB Approval, they must follow UVIC HREB procedures in order to use the data generated in the course of this practice (e.g., samples of students' work, student interviews, pictures or videos, professional journal notes, etc.) for research purposes.

In this case, information and documents (i.e., data, reports, professional records and journals) that arise in the course of regular professional practice is used not only as part of that professional practice (e.g., for formative and summative evaluation) but also for the purpose of research. When there is such a dual use of data from regular professional practice, UVIC HREB approval is required for the research component and consent must be sought from participants (and if applicable, their guardians) to use the data for research purposes.

Tips for Researchers:

Researchers need to account for **all** forms of data and data gathering activities in the ethics application **(Section J "Data Gathering Methods", Items 4a and 4b)**. Additionally, they must delineate which forms of data originate from regular professional practice and which constitute additional activities or data used for research purposes only. In some studies, the research design will involve activities and materials arising from *both* professional practice and additional research activities.

Examples of activities already part of professional practice to be included in the research:

Activity	***Generated materials to be used as research data (Secondary Use)***
Teaching a unit on language arts	• teacher's lesson plans and notes, teacher taking written observations of students' classroom discussions and interactions; students' grades, samples of students' work;
Program evaluation in the workplace	• meeting minutes, training manual, policy and procedures documents, professional notes; staffing statistics

Examples of research activities in addition to or not part of professional practice:

Additional research activities:
• Pre and post survey to evaluate a training program already being offered at the work site
• Videotaping participants in a meeting or a classroom discussion
• Focus group discussion with employees about their views on using a computer program
• Individual interviews with students about strategies they use to learn in a science unit.

Tips for Researchers:

When the data collection method requires student participants to leave their classroom on an individual or group basis to participate in a voluntary research activity (e.g. testing, interview, focus group) that may or may not extend to multiple occasions, the researcher needs to be vigilant about how this may disrupt students' learning and/or the classroom teacher's schedule. This is an ethical issue in that research needs to be voluntary and children attending school are a "captive population" during school hours. Secondly, inconveniences to participating must be explained to participants and to their parents. One option might be to schedule data collection activities outside instructional time such as at lunch time or after school. If this is not possible, the researcher needs to be explicit about the loss of students' instructional time with the principal, classroom teacher, and the parent for consent.

2.1. Group Observations

Researchers who collect data through group observations using written field notes need to explain on the application form (item 4b) if the observations will identify individuals or if the field notes will focus on group actions and responses. They must also explain how they will treat field notes if a participant (or guardian) decides to withdraw consent or declines consent.

2.2.Group Observations: Video-tapes and Photographs

Dual-role practitioner-researchers sometimes collect data by recording visual images of themselves and/or their participants together "in action" with videos, photographs and/or slides. These visual forms of data, the activity of recording images, and the intended uses of the data raise several ethical issues that the researcher must address in the ethics application:

- In the description of the research procedures in the application form (item 4b), the researcher should justify the use of visual recording and explain if the data will be used for analysis and/or dissemination of the results. If the intention is to use participants' images in dissemination and other projects (e.g. at presentations, posted on a website, used for teaching purposes, in a documentary film about the study) this information needs to be explained clearly in the consent form(s) to participants and/or their parents. The UVIC HREB will assess the ethical suitability of the dissemination based on the perceived risk to the participants.
- In a group or classroom setting, visual images limit participants' degree of anonymity. Even if the researcher will not publish or disclose the names of the participants, disseminating their image(s) compromises full anonymity. This is of particular concern when the research involves the recording and release of children's images. The researcher needs to explain in the ethics application and consent form(s) the procedures for using footage, what will happen to the images when a participant/participant's parent withdraws or declines consent and the loss of full anonymity

- The researcher-practitioner must outline on the application form how they will remove the images and/or voices from all photos, videos or audio recordings of all non-participants or those who withdraw from the study partway through.

3. CONSENT

In order for research to be ethical, consent must be given freely to ensure that participation is voluntary. The context of dual-role research makes the consent process especially challenging for researchers.

3.1 Safeguards for Free and Informed Consent Beginning From the Time of Recruitment

Even when the research is of a non-sensitive nature, the UVIC HREB requires practitioner-researchers to put safeguards in place to reduce potential inducements, pressures or coercion on potential participants. The safeguard(s) employed in a particular study depends on the design and nature of the research and typically extend from the time of recruitment through to informed consent. These safeguards must be clearly explained in the application. Simple assurances to potential participants such as "there will be no negative consequences," "participation is entirely voluntary" or "participants will be completely anonymous" are not sufficient.

Tips for Researchers:

In the ethics application form care must be taken to justify research involving power-over relationships (see **Section I Recruitment, Power-over Relationship, item 3** as well as **Section M Free and Informed Consent**, **items 11-16** of the application and guidelines). When these potential influences on voluntary consent are present, it is especially important for the practitioner-researcher to plan for and explain how pressures on potential participants to consent will be mitigated during the recruitment and consent process.

Level 1 Safeguards: *Ways to disentangle dual-roles of researcher and practitioner:*

- Exclude from the pool of participants those with whom the researcher has a direct power-over relationship by selecting a different school, organization or group of participants, excluding one's own employees, students or past or current clients.
- Include participants in the study only after the dual-role relationship has terminated or the researcher is no longer in a power-over position (e.g., after the end of school term).

Level 2 Safeguards: *Required when the study conditions and timing make it impossible to separate the researcher-practitioner relationship:*

- Depending on the scheduling of the research (e.g. during the school term) and the nature of the study (e.g. supervisor studies his/her own management practices), the

UVIC HREB may approve collecting data from participants while the practitioner-researcher is still in a power-over relationship with them, provided the UVIC HREB is convinced that the potential ethical problems associated with this type of research have been adequately addressed.

- The rationale for conducting research while in a power-over relationship must be clearly explained and justified in the application (**Section I Recruitment, Power-over Relationship, item 3**). Please note that convenience for the researcher is not sufficient grounds for conducting research in settings where power-over relationships exist.

General ways to mitigate the power-over relationship:

- In the recruitment and consent process, declare the power-over situation in the recruitment and informed consent materials and/or processes;

- Describe clearly in the recruitment and informed consent materials or process the safeguards that will be used to prevent undue influence such as inducement, pressure, obligation and coercion during participation.

Specific safeguards and procedures to prevent undue influence, coercion and inducement to be outlined in Application Form:

- In most cases, use a neutral third-party recruitment - enlist another person who does not have a power-over relationship to potential participants (i.e., not the school principal) nor any stake in the research to undertake the recruitment and consent processes (e.g., explains study, provides information letter and collects signed consent form); the third-party is usually the designated person that participants may contact if they wish to withdraw from the study;
- assure participants in the consent form that they have the right to refuse to participate and that they can withdraw their information from the research at any time without consequences or penalty of any kind;
- acknowledge in the consent form that the researcher is aware that potential participants may feel pressure to agree to their (or their child's) participation because the researcher is in a position of power or influence;
- assure participants in the consent form that their participation or non-participation will have no effect on outcomes (e.g., grades) nor on their relationship with the researcher or professional setting. If appropriate, explain in the consent form that there is no disadvantage in not consenting (e.g., all students will be taught the lesson);
- inform participants in the consent form that if they have concerns about their rights or treatment in connection with the research project, they can contact the Human Research Ethics Office at the University of Victoria at (250) 472-4545 as participants may not be comfortable contacting the practitioner-researcher or someone at the school or research site who they perceive has a stake in the research.

Additional points to consider in preparing recruitment and consent information and materials:

- Use a neutral tone in the recruitment and consent materials to diminish pressure on potential participants to participate (i.e., no emotional appeal or expression of how important the project is to the practitioner-researcher or the school) or statements such as, "Please help me with my study at university", "The office and I are counting on your participation";
- Be careful not to overstate the potential benefits of the research in the recruitment and consent materials "Our agency will benefit from this study";
- Be careful not to promote participation in the research on the basis of the importance of the research or on possible outcomes "Your child's learning will improve";
- See sample of Parent Consent Form.

3.2 Ongoing Consent

Research activities may be conducted over more than one session (e.g., two interviews) or take place over a period of time ranging from a few days to several months (e.g., entire school term). More than one research activity may be involved (e.g., interview and observation). In such cases, participants must have the opportunity to confirm that they continue to consent to participate or to withdraw throughout the course of the research. If research occurs over more than one session or over a period of time, the researcher must provide an explanation in the application of how ongoing consent will be obtained. For example, at the end of the school term or year, or before the data are used for research purposes, or released to the researcher, children and parents must be reminded that they have agreed to have their/child's information included in the research, and have the opportunity to withdraw their consent.

4. ANONYMITY AND CONFIDENTIALITY

The principle of free and informed consent requires that participants are informed of the extent to which anonymity and confidentiality can be assured. Complete anonymity (not even the researcher knows who is participating) is the best way to protect the identities of participants and the information they contribute as data; however, complete anonymity is not always possible depending on the research methods employed and the context of the study. When research is conducted in a setting such as a classroom, it is especially important to protect participants' identities and the confidentiality of the data they

provide. While it is standard practice for teachers to 'mask' individual student achievement scores from other students, many aspects of classroom interactions are not anonymous. It can be particularly challenging to protect anonymity and confidentiality while conducting research in the classroom as discussed earlier in the section about regular classroom practices.

The UVIC HREB recognizes that there are situations in which confidentiality must be breached (e.g., mandatory reporting of child abuse or intent to harm self or other) or to declare when confidentiality is limited by the activities (e.g. when conducting a focus group) or the context of the study (e.g. a unique population that could be identifiable even if anonymous). If applicable this information needs to be contained in the letter of consent.

Tips for Researchers:

The extent to which and the means by which anonymity and confidentiality will be protected in the research project must be explained in the application form and the consent forms **(Section N Anonymity and Confidentiality, items 17- 18)**.

The conditions that limit full confidentiality need to be identified in the application form **(Section N, item 18)** and consent form so participants can decide if these limits are acceptable to them.

Tips for Researchers:

Anonymity means that no one, including the researcher is able to link responses or other data with individual participants during or after the data gathering (e.g. **complete anonymity** is usually limited to mass mail out or online surveys when the researcher does not know who the respondents are.)

Confidentiality refers to procedures used by the researcher at all stages of the project to protect participants' identity (e.g. using a pseudonym, code or third party recruiter), and the protection, access, control and security of their data from recruitment right through to the dissemination of results (if relevant) and when the study is completed (e.g. storage, destruction, archiving.)

Additional Procedures to Protect Anonymity and Confidentiality in Research With Power-over Relationships:

- where appropriate, ask a neutral third party, such as the school secretary, to distribute information/consent letters on behalf of the practitioner-researcher;
- clearly state who will have access to the research data; limit access to the data to the third party until it is time to turn it over to the researcher (i.e., at end of school term; after grades have been submitted);
- securely store all information that includes personal identification to prevent accidental viewing; video recordings are particularly revealing of personal identity and should only be used when the data being recorded is crucial to the research;
- the practitioner-researcher stores the raw data at his/her place of residence and not at the workplace;
- include a separate line in the consent form that participants can initial if visual representations of participants (e.g., photos or videotape) will be used in presentations of the study results;
- clearly state who will have access to the research data; limit access to the data to the third party until it is time to turn it over to the researcher (i.e., at end of term);
- continue to protect participants' confidentiality after the study is completed; typically all data must be destroyed after a specified period; generally identifying communities, schools and individuals is avoided and pseudonyms are used instead in publications and presentations;
- in cases where identifying information may be impossible to conceal (e.g., a teacher who plans to disseminate findings at a workshop for colleagues would likely be identifiable as the teacher of a particular grade at a particular school), obtain participants' consent to use the identifying information in the letter of consent;
- in cases where research participants want to be identified and receive credit for their contributions to the research (e.g., elders or other spokespersons), seek participants' explicit permission to waive confidentiality and anonymity in the letter of consent

5. OTHER THINGS TO CONSIDER

5.1 Obtaining Permission from Schools, External Organizations and Aboriginal Communities Prior to Conducting Research

In most cases, practitioner-researchers must seek permission to undertake research in their professional setting from others in their professional organization.

For example, if research is to be conducted within a school, clearance from the school district and principal(s) MUST be sought before beginning recruitment. In addition, the permission of all non-participant teachers and staff who may be impacted by the research should be obtained.

Even if the practitioner-researcher is conducting the study at his or her own school, clearance from the school district and principal should be sought. If the study involves staff or parents from the researcher's own school but will be conducted off-site or during non-working hours about a school-related or professional topic, it is advisable to contact the school district to inquire about school district approval and research policies and procedures.

Similarly, if a project focuses on Aboriginal knowledge, students, parents and/or their communities (both on or off reserve), the researcher must contact the appropriate school liaisons, band councils, reserve/band offices or organizations to request guidance about approvals and protocols. The dates of the consultation and information received must be documented in the ethics application (Section G: Other Approvals, Indigenous Community Consultation). Any documents (e.g. letter, email to confirm approval) or proof that approval is being sought should be attached to the ethics application upon submission.

Inquiries with external organizations and groups should take place before submission of the ethics application. Please contact the Research Ethics Office if there are questions.

UVic Ethics Approval and External Approvals

Researchers need only attach documentation or proof of having sought external approval when submitting their ethics application (e.g. a letter or request, email requesting approval, school district application form etc.) (Item 30 Attachments). They do not need to supply an approval when submitting an UVic ethics application; however, researchers MUST submit a copy of an external approval by sending an electronic facsimile or copy to the Research Ethics Office as soon as they have received it so that their file is complete. UVic ethical approval is not valid without this external approval.

5.2 Recruiting Participants

Recruiting Through a School or Organization – Protection of Privacy

When reviewing proposed recruitment procedures, the UVIC HREB examines whether the privacy of potential participants is protected in the recruitment process.

For example, due to privacy legislation a school should not give the researcher the names or contact information of anyone registered in the school (e.g. students, teachers, staff, parents) even if the researcher works at the school or another school in the district. If the researcher already has the names and contact information of potential participants (they are his/her own students) this needs to be declared on the application form in the recruitment section (Section I). Also, please see the section below on accessing "Student Records."

To protect the privacy of potential participants, the school, as a third party, may distribute a recruitment letter/ advertisement to potential participants on the researcher's behalf. This material should include the researcher's contact information (email or phone number) so that people who are interested can contact the researcher directly to obtain more information and declare their willingness to participate. In this way, the school will not know who participates in the research.

Some situations may warrant the researcher initiating contact with potential participants (e.g., send a letter home to parents or introduce the research in-person) as long as adequate steps are taken to mitigate the power-over relationship (e.g., return consent forms to a third party).

Recruitment of Children Under the Age of 13	***Recruitment of Youth Aged 13 to 16***
Children under the age of 13 normally require parent/guardian consent to participate in a study. In addition to including recruitment and consent information for parents/guardians, it is also important to provide age-appropriate recruitment and consent information for children. Depending on the study, it may be appropriate to have a single consent form for the parent/guardian and child, with a separate signature line for the child; or, it may be more appropriate to have separate consent forms for the parent/guardian and the child. For children under seven years of age, a simple verbal script should be used to explain the research, including who the researcher is and what the children are being asked to consent to. In many cases, the parent/guardian should be asked to talk with their child about the research and ensure that the child understands that s/he can freely choose to participate or not.	Although youth aged 13 to 16 can provide their own consent in minimal risk studies, researchers usually inform the parents/guardians. This can be done, for example, by sending an information letter home to the parents/guardians. Some school districts require parental/guardian consent for students under the age of 19 when research is conducted in their schools. The school district's policy must be adhered to.

Accessing Student Records

Researchers who plan to examine personal records or files are required to obtain informed consent from the individuals and must conform to applicable privacy legislation. For example, researchers would require student and parent consent prior to obtaining access to students' school records for research purposes. If the researcher has privileged access to records (e.g., the researcher is a school principal who has access to students' records), it is unethical to access them for research purposes without first gaining informed consent. This requirement respects free and informed consent and the guiding ethical principle of protecting a person's right to privacy and confidentiality.

6. CLOSING COMMENTS

These guidelines are intended to address some of the challenges often faced by practitioner-researchers in carrying out research in professional/classroom settings. The dual-role (e.g.,

teacher-researcher) and power-over relationships with potential participants (teacher/student or principal/teacher) present a number of ethical challenges. Various procedures are addressed and suggestions are made in these guidelines to illustrate how practitioner-researchers can conduct their research in a way that is in keeping with current ethical standards of research practice.

Tips for Researchers:

The three "C's" for preparing an ethics application package:

Clarity:

- Are the information and procedures written in such a way that they are easy for someone outside your field or area of expertise to understand?
- Do procedures make sense?

Consistency:

- Are the information and procedures that appear in one part of the ethics application form consistent with what is presented in other parts of the application and in the recruitment materials and consent form(s)?
- Keep in mind that participants will not have read your ethics application form so the recruitment information and consent form are all they usually have to understand the study and provide informed consent.

Completeness:

- Are the information and the procedures thoroughly explained?
- Does the information and procedures cover each participant group if more than one discrete group is involved in one study (e.g. teachers, managers, students)?
- Are multiple methods of data gathering accounted for in the application form especially when the participant(s) will participate first in a survey and later in an interview?
- Are all the documents that ought to be included to support the study accounted for in the attachments (e.g. approval requests, recruitment email, interview questions, parental consent form etc.)?

When completing the Application for Ethics Approval for Human Participant Research, be sure to follow the full set of guidelines entitled Human Research Ethics Board Annotated Guidelines For Completing the Ethics Application Form. The application and guidelines are available on the Office of Research Services (ORS) website at:
http://www.research.uvic.ca/forms/index.htm#HREC

Please contact the Human Research Ethics Office if you require assistance 472-4545 or ethics@uvic.ca

7. SAMPLE LETTER OF CONSENT

This example is intended to provide an overview of the basic content required and a sample lay-out for a parent consent form. If you are creating a separate consent form for students you will need to adapt the content and language of the form for students to ensure that it is age-appropriate. You are welcome to use a different lay-out that may suit you and your audience better. Please ensure that there is consistency between the content of your ethics application and your Consent Form.

[Optionally insert your department letterhead. Do not use your school letterhead.]

Parent Consent Form

[Project title]

Your child is being invited to participate in a study entitled [TITLE] that is being conducted by [INVESTIGATORS].

[FOR FACULTY OR STAFF:]
[INVESTIGATOR] is a [RELATIONSHIP WITH THE UNIVERSITY…E.G., FACULTY MEMBER GRADUATE STUDENT] in the department of [DEPARTMENT NAME] at the University of Victoria and you may contact [HIM/HER/THEM] if you have further questions by [INCLUDE CONTACT INFORMATION].

[FOR STUDENTS, INCLUDE THE FOLLOWING:]
As a [GRADUATE OR UNDERGRADUATE] student at the University of Victoria in [FACULTY], I am required to conduct research as part of the requirements for a degree in [DEGREE NAME]. It is being conducted under the supervision of [NAME OF SUPERVISOR]. You may contact my supervisor at [PHONE NUMBER].

[IF APPLICABLE INCLUDE THE FOLLOWING:]
This research is being funded by [NAMES OF FUNDING AGENCIES].

Purpose and Objectives
The purpose of this research project is [STATE THE PURPOSE AND OBJECTIVES OF THE RESEARCH IN NO MORE THAN 150 WORDS USING JARGON-FREE LANGUAGE].

Research of this type is important because [STATE WHY THE RESEARCH IS IMPORTANT AND THE CONTRIBUTION IT WILL MAKE].

What is Involved?
Your child is being asked to participate in this study because [STATE WHY AND HOW PARTICIPANTS WERE SELECTED].

If you agree to your child's voluntary participation in this research, this will include [DESCRIBE WHAT IS INVOLVED, INCLUDING PROCEDURES, METHODS, TIME COMMITMENTS, LOCATION, ETC.].

[OR, IF CURRICULAR ELEMENT WILL BE STUDIED INCLUDE THE FOLLOWING:]
As part of our regular classroom instruction, your child will be receiving instruction about [STATE CURRICULAR ELEMENT TO BE EXAMINED]. This [SUBJECT] instructional unit focusing on

[STATE FOCUS] will begin on [DATE] and be completed by [DATE]. If you agree to your child's participation, this means that you and your child are giving me permission to analyze samples of his/her classroom work as part of my research project.
[**PLEASE SEE SAMPLE STATEMENT UNDER** "**Researcher's Relationship with Participants" FOR FURTHER INFORMATION TO INCLUDE ABOUT RESEARCH INVOLVING CURRICULAR ACTIVITIES]**

Inconvenience
Participation in this study may cause some inconvenience to your child, including [*STATE POTENTIAL OR KNOWN INCONVENIENCES ASSOCIATED WITH PARTICIPATION*].

Risks
[RESEARCHER MUST STATE ONE OF THE FOLLOWING:]
There are no known or anticipated risks to your child by participating in this research. [*OR*]
There are some potential risks to your child by participating in this research and they include [DESCRIBE RISKS, E.G., EMOTIONAL, SOCIAL, PSYCHOLOGICAL, PHYSICAL, ECONOMIC, ETC.]. To prevent or to deal with these risks the following steps will be taken [STATE HOW YOU WILL DEAL WITH RISKS].

Benefits
The potential benefits of your child's participation in this research include [STATE THE BENEFITS OF THIS RESEARCH, AS APPLICABLE: TO PARTICIPANTS; TO SOCIETY; TO THE STATE OF KNOWLEDGE].

[IF APPLICABLE INCLUDE THE FOLLOWING:]
Compensation
As a way to compensate your child for any inconvenience related to participation, s/he will be given [DESCRIBE ANY FORM OF PAYMENT, GIFT, CREDIT, ETC.]. If you consent to your child's participation in this study, this form of compensation must not be coercive. It is unethical to provide undue compensation or inducements to research participants. If you would not consent to your child's participation if the compensation was not offered, then you should decline.

Voluntary Participation
Your child's participation in this research must be completely voluntary. If you or s/he decide to participate, you or your child may withdraw at any time without any consequences or explanation. If you or your child withdraws from the study, his/her data will [DESCRIBE WHAT WILL HAPPEN TO THE DATA – E.G., IT WILL: NOT BE USED; IMPOSSIBLE TO REMOVE FROM DATA BASE; USED ONLY IF PARTICIPANT GIVES PERMISSION]. [ALSO DESCRIBE WHAT WILL HAPPEN TO ANY COMPENSATION]

[IF APPLICABLE INCLUDE THE FOLLOWING:]
Researcher's Relationship with Participants
The researcher may have a relationship to potential participants as [STATE THE RELATIONSHIP, E.G., TEACHER/STUDENT; THERAPIST/CLIENT; SUPERVISOR/EMPLOYEE]. To help prevent this relationship from influencing your decision to participate, the following steps to prevent coercion have been taken [EXPLAIN HOW COERCION WILL BE PREVENTED. i.e. introduce neutral third party and state his/her role, explain that you will not know who is and is not participating until after final grades are submitted].

Sample statement:

"Your permission for your child's work to be used in the research must be voluntary and I want to assure you that there are no consequences that arise from giving or withholding your permission. The instruction in the classroom will be provided to all children regardless of whether or not the results of that instruction are used for my research. In order to avoid any pressure you might feel because I am your child's teacher, I have asked that all returned consent forms be sent to Ms Librarian, not to me. Ms. Librarian will not reveal the names to me until after the final report cards have been completed this year. I have also informed the principal of my intended research and should you feel that there are pressures or unanticipated consequences as a result of participating or not, you are free to contact Ms Principal (444-1324), my research supervisor, Dr. Vigilant, or the Human Research Ethics Office at the University of Victoria (250-472-4545) to have your concerns addressed.

Further, I will remind you at the end of term of my intentions to use your child's work for my research. If you decide to withdraw your consent you are free to do so at any time by notifying Ms Librarian (444-2345). If permission is not given or is withdrawn, no examples or notes regarding your child will be used in the written report."

[IF APPLICABLE INCLUDE THE FOLLOWING:]

On-going Consent

To confirm that you and your child continue to consent to participate in this research, I will [EXPLAIN HOW YOU WILL HANDLE ONGOING CONSENT; THIS IS PRIMARILY AN ISSUE IN RESEARCH THAT OCCURS OVER MULTIPLE OCCASIONS OR AN EXTENDED PERIOD OF TIME].

Anonymity & Confidentiality

In terms of protecting your child's anonymity [DESCRIBE HOW ANONYMITY WILL BE PROTECTED; OR EXPLAIN LIMITS TO ANONYMITY OR JUSTIFY WHY LOSS OF ANONYMITY IS REQUIRED].

Your child's confidentiality and the confidentiality of the data will be protected by [EXPLAIN HOW CONFIDENTIALITY WILL BE PROTECTED (I.E., STORAGE AND ACCESS; OR JUSTIFY THE LACK OF CONFIDENTIALITY].

Dissemination of Results

It is anticipated that the results of this study will be shared with others in the following ways [DESCRIBE HOW YOU ANTICIPATE DISSEMINATING THE RESULTS, E.G.: DIRECTLY TO PARTICIPANTS; PUBLISHED ARTICLE; THESIS/DISSERTATION/CLASS PRESENTATION; PRESENTATIONS AT SCHOLARLY MEETINGS; OTHER – SPECIFY)

[IF APPLICABLE INCLUDE THE FOLLOWING:]

Commercial Use of Results

This research may lead to a commercial product or service. The nature of this commercial use is [DESCRIBE].

Disposal of Data

Data from this study will be disposed of [DESCRIBE WHEN AND HOW DATA WILL BE DESTROYED, E.G., ELECTRONIC DATA WILL BE ERASED; PAPER COPIES WILL BE

SHREDDED; OR JUSTIFY IF DATA WILL NOT BE DESTROYED AND DESCRIBE WHERE AND HOW IT WILL BE STORED].

Contacts
Individuals that may be contacted regarding this study include [*AS APPLICABLE:* RESEARCHER, CO-INVESTIGATORS, SUPERVISOR; INCLUDE CONTACT INFORMATION OR REFER TO THIS INFO AT BEGINNING OF CONSENT FORM].

In addition, you may verify the ethical approval of this study, or raise any concerns you might have, by contacting the Human Research Ethics Office at the University of Victoria (250-472-4545 or ethics@uvic.ca).

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

_____	_____	_____
Name of Participant	*Signature*	*Date*

IF PHOTOS OR VIDEOS ARE TAKEN AS PART OF DATA COLLECTION, PLEASE INCLUDE THE FOLLOWING:

Consent for Visually Recorded Images/Data (please initial):

- Photos may be taken of my child for: **Analysis _____ Dissemination _____**
- Videos may be taken of my child for: **Analysis _____ Dissemination _____**

SAMPLE OPTIONS FOR OBTAINING CONSENT FROM CHILDREN/YOUTH:

1. OPTION FOR OBTAINING SIGNED CONSENT FOR CURRICULAR ELEMENTS AND/OR INTERVIEW PARTICIPATION

[DEPENDING ON THE CHILD'S AGE, YOU MAY WISH TO DRAFT A SEPARATE CONSENT FORM OR YOU COULD INCLUDE A SIGNATURE LINE FOR CHILDREN ON THE PARENT FORM]

Please talk about this with your child and if they consent, have them sign below;

Student Consent

My parents/guardians and I have reviewed the information in this consent form together and I consent to participate in Mr./Ms. Teacher's Masters Project report.

_____	_____	_____
Name of Participating Student	*Student's Signature*	*Date*

2. OPTION FOR OBTAINING IMPLIED CONSENT FOR ANONYMOUS SURVEY

FOR *ANONYMOUS SURVEYS*, SIGNED PARENTAL CONSENT COULD BE OBTAINED AND A SEPARATE STATEMENT SEEKING IMPLIED CONSENT FROM STUDENTS COULD FOLLOW. FOR EXAMPLE:

Implied Consent Statement for Students;

Completing and returning the survey means that I have reviewed the above information with my parents/guardians and that I understand and agree to the conditions of participating in Mr/Ms. Teacher's research project.