

Application Form for ethical consideration of research and teaching proposals involving human participants



**UNIVERSITY OF OTAGO HUMAN ETHICS COMMITTEE
APPLICATION FORM: CATEGORY A**

Form updated: May 2014

Please ensure you are using the latest application form template available from: <http://www.otago.ac.nz/council/committees/committees/HumanEthicsCommittees.html> and read the instruction documents provided (Guidelines for Ethical Practices in Teaching and Research and Filling Out Your Human Ethics Application).

1. University of Otago staff member responsible for project:

<i>Surname</i>	<i>First Name</i>	<i>Title (Mr/Ms/Mrs/Dr/Assoc. Prof./Prof.)</i>
Tolich	Martin	Associate Professor

2. Department/School:

Sociology

3. Contact details of staff member responsible (always include your email address):

martin.tolich@otago.ac.nz

4. Title of project:

Descendants of Conscientious Objectors *Sharing* Their Stories

5. Indicate project type and names of other investigators and students:

Staff Co-investigators Names:

Student Researchers Names:

Level of Study (PhD, Masters, Hons):

External Researchers Names:

Institute/Company:

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6.

Is this a repeated class teaching activity? (*Delete answer that does not apply*)

NO

If YES and this application is to continue a previously approved repeated class teaching activity, provide Reference Number:

7. Fast-Track procedure (*Delete answer that does not apply*)

Do you request fast-track consideration? (*See 'Filling Out Your Human Ethics Application'*)

NO

If YES, provide a robust justification on the need for urgency:

8. When will recruitment and data collection commence?

Upon approval

When will data collection be completed?

September 2018

9. Funding of project

Is the project to be funded by an external grant?

NO

If YES, specify who is funding the project:

If commercial use will be made of the data, will potential participants be made aware of this before they agree to participate? If not, explain.

10. Brief description in lay terms of the purpose of the project (approx. 75 words):

The research asks family members of conscientious objectors to share their stories of their loved ones. The story might involve recollections of how brave these men were. How they were persecuted. How the wider family has been persecuted.

11. Aim and description of project (include the research questions the project intends to answer, and the overall implications and benefits of the research):

Archibald Baxter is the best known conscientious objector and his story is well documented in his biography *We will not Cease*. Other individuals in the lower south island in both wars took on a pacifist stance. The aim of the project is to record these stories. The benefits of the research are to allow family members tell stories of bravery not recorded in traditional commemorations of the world wars.

12. Researcher/instructor experience and qualifications in this research area (include information regarding the principal investigator (or supervisor), co-investigators and students (if relevant) involved with the project):

Martin Tolich (2009) The conscientious self: Enriching Sociological Social Psychology 101 using the Anti-Torture Biography *We Will Not Cease* *New Zealand Journal of Sociology* 24: 2: 80- 93

13. Participants

13(a) Population from which participants are drawn: New Zealand

13(b) Inclusion and exclusion criteria: Inclusion: Family members of conscientious objectors. Also families of men who through sickness could not serve in the war but nonetheless were ostracised as shirkers.

13(c) Estimated number of participants: 50-100

13(d) Age range of participants: Adults

13(e) Method of recruitment: With the aid of the University of Otago Press Office I will inform the Otago Daily Times of my study and if they are interested they can write a feature article about my research goals. In the article there will be an invitation to contact me and I will send via post or email an information sheet and a consent form.

13(f) Specify and justify any payment or reward to be offered (Refer to 13f of the *Filling In Your Application* document): ***There is no payment.***

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- 14. Methods and Procedures:** *(Describe the design of the study and detail what participants will be asked to do. Provide the Committee with a copy of the interview questions to be asked of participants, or a general outline if the questions are not yet available.)*

The research design is qualitative using an iterative interview guide. Its most simple form will be: Please tell me your family's story of your family member's pacifism and how that affected your family then and now.

- 15. Compliance with The Privacy Act 1993 and the Health Information Privacy Code 1994 imposes strict requirements concerning the collection, use and disclosure of personal information. The questions below allow the Committee to assess compliance.**

- 15(a) Are you collecting and storing personal information (e.g.name, contact details, designation, position etc) directly from the individual concerned that could identify the individual?** *(Delete the answer that does not apply.)*

YES and NO depending on the type of consent the research subject chooses to use.
See consent forms and 15(d)

- 15(b) Are you collecting information about individuals from another source?**

NO

If YES, explain:

- 15(c) Collecting Personal Information** *(Delete the answer that does not apply):*

- Will you be collecting personal information (e.g. name, contact details, position, company, anything that could identify the individual)?

YES and NO depending on the type of consent the research subject chooses to use.
See consent forms.

- Will you inform participants of the purpose for which you are collecting the information and the uses you propose to make of it?

YES

- Will you inform participants of who will receive the information?

YES

- Will you inform participants of the consequences, if any, of not supplying the information?

Excuse me my ignorance but this question has never made sense as written.

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- Will you inform participants of their rights of access to and correction of personal information?

YES

Where the answer is YES, make sure the information is included in the Information Sheet for Participants.

If you are NOT informing them of the points above, please explain why:

15(d) Outline your data storage, security procedures and length of time data will be kept (*Mark Borrie, ITS Security Manager, can provide data security and storage options in particular while in the field*):

Storage of data is reliant on the type of consent the research subject chooses. Is it informed consent, process consent or broad consent?

Broad consent refers to data or human tissue stored by researchers for future unspecified research.

See https://www.google.co.nz/search?sourceid=navclient&ie=UTF-8&rlz=1T4ADFA_enNZ420NZ421&q=tissue+banking+zealand

This type of consent highlights the ethical principle of research subject autonomy. The research subject decides that they are willing to store their data for others to reuse the data. A linguist studying the southern dialect, for example, may at some time in the future use data or interviews in this research.

Process consent involves two moments in the informed consent process. The first is the standard informed consent process where the subject reads the information sheet and agrees to take part in the research. At a later time, it may be after the interview or after the subject has reviewed the transcript of the interview the subject signs a second consent form or withdraws from the research. Process consent is a feature of much indigenous research ethics processes.

Informed Consent is straight forward involving people who are informed and voluntarily consent to take part in the research.

15(e) Who will have access to personal information, under what conditions, and subject to what safeguards? ~~[[[If you are obtaining information from another source, include details of how this will be accessed and include written permission if appropriate.~~ Will participants have access to the information they have provided?

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Yes—they will receive a written transcript that they can edit.

15(f) Do you intend to publish any personal information they have provided?

YES and NO

If YES, specify in what form you intend to do this:

Again based on consent

15(g) Do you propose to collect demographic information to describe your sample? For example: gender, age, ethnicity, education level, etc.

No.

15 (h) Have you, or will you, undertake Māori consultation? Choose one of the options below, and delete the option that does not apply:

Ask that Mountain if a study of Pacifism has anything to do with Maori.

Consultation has been undertaken.

16. Does the research or teaching project involve any form of deception?

NO

If yes, explain all debriefing procedures:

17. Disclose and discuss any potential problems or ethical considerations:

none

17. A Does the researcher wish attend the meeting?

No

18. *Applicant's Signature:

Name (please print):

Date:

*The signatory should be the staff member detailed at Question 1.

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19. Departmental approval: *I have read this application and believe it to be valid research and ethically sound. I approve the research design. The Research proposed in this application is compatible with the University of Otago policies and I give my consent for the application to be forwarded to the University of Otago Human Ethics Committee with my recommendation that it be approved.*

Signature of **Head of Department:

Name of HOD (please print):

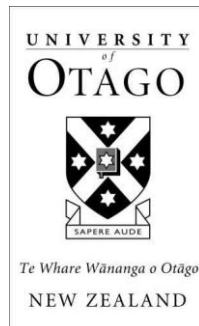
Date:

**Where the Head of Department is also the Applicant, then an appropriate senior staff member must sign on behalf of the Department or School.

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[Date]



Descendants of Conscientious Objectors sharing Their Stories

INFORMATION SHEET FOR PARTICIPANTS

Thank you for showing an interest in this project. Please read this information sheet carefully before deciding whether or not to participate. If you decide to participate I thank you. If you decide not to take part there will be no disadvantage to you and I thank you for considering this request.

What is the Aim of the Project?

Archibald Baxter is the best known conscientious objector and his story is well documented in his biography *We will not Cease*. However, many other men in the First and Second World War took a pacifist stance and them and their families were persecuted for it. A century after the First World War is time to seek out these stories of conscience and bravery and the persecution it brought to these men and their families. The benefits of the research are to allow family members to tell stories of bravery not recorded in traditional commemorations of world wars.

In the short term the project will result in a book about how families experienced their loved ones pacifism. The longer-term aim is to allow you to decide how the information you share is destroyed or made available for other researchers.

What Type of Participants are being sought?

I am seeking family members of pacifists to share their story of their loved ones decision to follow a path less travelled and take a stand not to serve in the war. These people could be your brother, father, grandfathers or uncles. I expect I will interview between 50 and 100 persons. In some cases I may interview more than one member of the same family.

What will Participants be Asked to Do?

You will be asked to take part in either an audio-taped or a video-taped interview lasting one hour.

This project involves an open-questioning technique. The general line of questioning includes asking *please tell me your family's story of your family member's pacifism and how that affected your family then and now*. The precise nature of the questions which will be asked have not been determined in

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advance, but will depend on the way in which the interview develops. Consequently, although the University of Otago Human Ethics Committee is aware of the general areas to be explored in the interview, the Committee has not been able to review the precise questions to be used.

My interest is in a living history. How the events that occurred many years ago reverberate in families today. My focus is less on what we forget but more on what we remember a part of New Zealand's history that I never learned in school.

What Information will be Collected and What Use will be Made of it?

If you decide to take part in this research I will ask you to tell me how you would like your interview both recorded and stored. You will have some choices here. I would suggest you read the following with a pen and circle the choices you decide on. These marks are only for your guidance. You will make a similar set of choices in the **TWO CONSENT FORMS** that the researcher will ask you to sign. If anything below confuses you I will be happy to explain it for you.

If you take part in this hour long interview you can opt to:

- Have the interview audiotaped.
- Have the interview videotaped.

These options are for you to decide. Once you have decided whether you would like the interview audiotaped or videotaped you will have to decide if you want the information stored. Again these choices are yours.

You do not need to decide all of these storage decisions before you take part in the interview. The researcher is using a form of consent known as process consent or two-part consent. I am asking you to take part in an interview. After the interview I will seek your consent again. Do you want to stay in the study? What do you want me to do with your interview? For example, do you want the interview (whether videotaped or audio taped) destroyed once the researcher has analysed the data? The choices are:

- To destroy the data. Destroy is self-explanatory.
- To store the data. If you decide to store the interview you must decide who besides the researcher can have access to the data.

Managing identity and confidentiality through ongoing consent

Anonymity and confidentiality are concepts researchers use to protect the identity of those who share information with researchers. Anonymity is not applicable in this research as the researcher will know your identity. The choices in relation to confidentiality are:

- You can choose to be named in the research.
- You can choose not to be named, if so, the researcher can offer confidentiality promising not to tell anyone your identity.

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If you choose the confidentiality option—choosing not to be named--this has implications for the choices you can make about what type of interview you take part in with the researcher. For example, if you choose to share your story in strict confidence then I will transcribe your interview and give it back to you. You can check its accuracy. I will use the story in the book I will write however I will obscure some identifiable details. If your descendant was a plumber from Nightcaps (highly identifiable) I would describe him as carpenter from Temuka. These details are not essential for the book I am writing.

“There are some specific features about New Zealand Society that affect our research...there is one ethical principle which must override every piece of social science research in New Zealand. It is the principle that remains unusual in the developed world. It is to think of New Zealand as though it is a small town.” Tolich, Martin and Carl Davidson (1999, p.77) *Starting Fieldwork: an introduction to Qualitative Research in New Zealand* Oxford University Press, Auckland.

This research exacerbates the principle of small town New Zealand as this research originates in small towns like Raes Junction. I will endeavour to ensure your safety. I will make you aware that many things you say in the interview could identify your family. I usually have a fine eye for information that may identify your family and I will track change *highlighting* these items for you. When you read the transcript you can identify additional items that need alteration. You may want some parts of the transcript redacted or blacked out.

Managing your information's use through ongoing consent

There are options available to you when considering the storage of data. These options include:

- After the interview transcript has been analysed it could be returned to you immediately for safekeeping. I am sure it will be a family heirloom to treasure.
- The interview transcript could be stored in a secure space by the researcher for a period of five years and then destroyed.
- The data (interview transcript, the audio-tape or the video-tape) could be stored in the Hocken Collections that archives historical material.

If the information (interview transcript, the audio-tape or the video-tape) was stored in a repository I would ask you who should have access to the data. For example, other researchers studying pacifism or world wars or twentieth century society may want to view your information. Equally researchers not studying this topic may want to gain access to the information. A linguist studying the southern dialect, for example, may at some time in the future want to use the interviews in their research.

The Library that stores your data (interview transcript, the audio-tape or the video-tape) will take whatever steps you want to preserve and protect your information. Moreover, the Library will treasure your stories as collectively they represent a national heirloom.

Managing future research possibilities through ongoing consent

If you choose to store your audiotapes or videotapes your option to provide confidential information diminishes. Others who listen or watch the video may/will be able to identify you. Plus it is difficult to redact video tape or audio tape.

If you choose to allow other researchers the opportunity to use either your audio or video tapes you will have the opportunity to listen or watch the tapes prior to it being made available to others. At that point you are welcome to show your family the story you have told. You or they may want to withdraw from the project at that point. You can do this without any questions asked.

There are risks to consider, especially when wanting to save and share videotapes but I will use every safeguard to make you aware of the risks and to protect you and your family. To that end it may be wise to consider the following:

In most human research, it is useful to characterise the use of a camera as adding ten pounds of ethics.” Sieber, Joan and Martin Tolich (2013 p.79) *Planning Ethically Responsible Research* Sage, Thousand Oaks.

Over the past twenty years I have specialised in writing books about research ethics. What attracted me to this study was that its focus was not ethics. That was short-sighted. Ethical considerations saturate social science research and although there are risks in the storage of videotapes, when identified they can be managed.

Long Term or Broad Consent

For your protection I would place a restriction on the data (the interview transcript, the audio-tape or the video-tape) that prior to other researchers gaining access to your information they themselves gain ethics approval. This measure ensures that others use your information for legitimate research purposes. An important point to note here is that this additional ethics approval will not burden you. These researchers would not come back to you to seek your ongoing consent. By agreeing to allow other researchers access to your data you are agreeing to broad or open-ended consent, subject to ethics approval.

I want you to consider the implications of gifting your data (interview transcript, the audio-tape or the video-tape) to the Hocken Collections to be stored for future unspecified research. In other words, if you want other researchers in the future to make use of the story you share you can opt for that in the consent form.

Your family are important

There is one further restriction to be aware of before making any of these decisions. Before you consent to take part in this research I need to be convinced that you have the permission of your family to share your family’s story. Please take time to talk to your family. Send them a copy of this

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information sheet and ask them are they ready for their story to be told. Tell them what you plan to say. Furthermore, ask them what format are they comfortable with—a transcript, audiotape or video tape and what level of confidentiality. One potential participant has already indicated that they are willing to take part in an interview and allow the information to be stored for future use but that they insist on putting time restrictions on the re-use of the information. Restrictions could be not to be used for five/ten years. In this person's case the restriction is more prescriptive. The information can only be released to others when the family matriarch passes away. These nuanced requests can be managed when signing the second consent form.

If you do choose to store your story in whatever form the data--interview transcript, the audio-tape or the video-tape--can be withdrawn by you or a family member at any time. No questions asked.

In summary

Above all, please be aware that you may decide not to take part in the project without any disadvantage to yourself of any kind. Plus after you have taken part in an interview you will be asked a number of times if you want to consider continuing to be part of the research.

Can Participants Change their Mind and Withdraw from the Project?

In the event that the line of questioning does develop in such a way that you feel hesitant or uncomfortable you are reminded of your right to decline to answer any particular question(s) and also that you may withdraw from the project at any stage without any disadvantage to yourself of any kind. The book will be published in late 2016. Any data stored in the Hocken Collections can be withdrawn at any time.

What if Participants have any Questions?

If you have any questions about our project, either now or in the future, please feel free to contact Martin Tolich

Sociology, Gender and Social Work

Otago University

64 3 4798755 martin.tolich@otago.ac.nz

The University of Otago Human Ethics Committee has approved this study. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email gary.witte@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.

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Descendants of Conscientious Objectors Sharing Their Stories

FIRST CONSENT FORM FOR PARTICIPANTS

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My participation in the project is entirely voluntary;
2. I am free to withdraw from the project at any time without any disadvantage;
3. This project involves an open-questioning technique. The general line of questioning includes asking me to tell the researcher my family's story of pacifism and how that has affected my family then and now. The precise nature of the questions which will be asked have not been determined in advance, but will depend on the way in which the interview develops and that in the event that the line of questioning develops in such a way that I feel hesitant or uncomfortable I may decline to answer any particular question(s) and/or may withdraw from the project without any disadvantage of any kind.
4. I have discussed my participation in this project with members of my family and I have received their permission to share my family's story.
5. I agree for my story given to the researcher to be used in a book documenting the experience of conscientious objector families.
6. I, as the participant:
 - a) would like to be audiotaped;
 - b) would like have my story recorded on videotape
7. I, as the participant:
 - a) would rather remain confidential.;
 - b) agree to being named in the research
8. I understand that I will receive a written transcript of the interview which I may edit, alter or delete text.
9. I understand the researcher will give me the opportunity to determine the use and storage of that my interview after reading this transcript I will be asked to sign a second consent form.

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10. I agree to take part in this project.

.....
(Signature of participant)

.....
(Date)

.....
(Printed Name)

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CONSENT FORM 2F

PARTICIPANTS WHO DO NOT WISH TO HAVE THEIR INFORMATION STORED

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My participation in the project is entirely voluntary;
2. I am free to withdraw from the project at any time without any disadvantage;
3. I have had the opportunity to read a written transcript of the interview which I have edited, altered or deleted text
4. I have discussed the content of my interview with members of my family and I have received their permission to share my family's story.
5. I agree for this revised transcript being used in a book documenting the experience of conscientious objector families.
6. I do not wish my story to be stored for future use. I want my audiotape erased immediately.
7. I agree to having the transcript destroyed after five years.

.....
(Signature of participant)

.....
(Date)

.....
(Printed Name)

The University of Otago Human Ethics Committee has approved this study. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email gary.witte@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.

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CONSENT FORM 2A

FOR *PARTICIPANTS WHO WERE AUDIOTAPED AND WANT TO CONSIDER STORING THEIR DATA*

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My participation in the project is entirely voluntary;
2. I am free to withdraw from the project at any time without any disadvantage;
3. I have had the opportunity to read a written transcript of the interview which I have edited, altered or deleted text
4. I agree for this revised transcript to be used in a book documenting the experience of conscientious objector families.
5. I have discussed the content of my interview with members of my family and I have received their permission to share my family's story.
6. I understand that in this second consent form the researcher is giving me to opportunity to decide how my story's transcript and/or audiotape is stored and used by others.
7. I have considered the implications of the long term storage of my story and agree that the revised version of the interview transcript be gifted to the Hocken Collections.
YES NO
8. I have considered the implications of the long term storage of my story and agree that the revised version of the interview transcript may be used by researchers for future unspecified research subject to the approval of the other researcher's ethics committee.
YES NO
9. I have listened to the audiotape of my interview and have considered the implications of the long term storage of my story and agree that the audiotape be gifted to the Hocken Collections. YES NO
10. I agree that the audiotape may be used by researchers for future unspecified research subject to the approval of the other researcher's ethics committee. YES NO
11. I wish to put further restrictions on the use of my data. YES NO
 - a. My information cannot be released to other researchers for ____ years.

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b. My information cannot be released to other researchers until a year after _____ passes on.

.....
(Signature of participant)

.....
(Date)

.....
(Printed Name)

The University of Otago Human Ethics Committee has approved this study. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email gary.witte@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.

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CONSENT FORM 2V

FOR *PARTICIPANTS WHO WERE VIDEOTAPED AND WANT TO CONSIDER STORING THEIR DATA*

I have read the Information Sheet concerning this project and understand what it is about. All my questions have been answered to my satisfaction. I understand that I am free to request further information at any stage.

I know that:-

1. My participation in the project is entirely voluntary;
2. I am free to withdraw from the project at any time without any disadvantage;
3. I have had the opportunity to read a written transcript of the interview which I have edited, altered or deleted text
4. I agree for this revised transcript to be used in a book documenting the experience of conscientious objector families.
5. I have discussed the content of my interview with members of my family and I have received their permission to share my family's story.
6. I understand that in this second consent form the researcher is giving me to opportunity to decide how my story's transcript and/or videotape is stored and used by others...
7. I have considered the implications of the long term storage of my story and agree that the revised version of the interview transcript be gifted to the Hocken Collections.
YES NO
8. I have considered the implications of the long term storage of my story and agree that the revised version of the interview transcript may be used by researchers for future unspecified research subject to the approval of the other researcher's ethics committee.
YES NO
9. I have watched the videotape of my interview and have considered the implications of the long term storage of my story and agree that the videotape be gifted to the Hocken Collections. YES NO
10. I agree that the videotape may be used by researchers for future unspecified research subject to the approval of the other researcher's ethics committee. YES NO
12. I wish to put further restrictions on the use of my data. YES NO
 - a. My information cannot be released to other researchers for ____ years.

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- b. My information cannot be released to other researchers until a year after _____ passes on.

.....
(Signature of participant)

.....
(Date)

.....
(Printed Name)

The University of Otago Human Ethics Committee has approved this study. If you have any concerns about the ethical conduct of the research you may contact the Committee through the Human Ethics Committee Administrator (ph +643 479 8256 or email gary.witte@otago.ac.nz). Any issues you raise will be treated in confidence and investigated and you will be informed of the outcome.