

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



**HUMAN ETHICS APPLICATION: CATEGORY A**

*PLEASE read carefully the instructions “Filling out your Human Ethics Application” and important notes on the last page of this form. Provide a response to each question; failure to do so may delay the consideration of your application.*

- University of Otago staff member responsible for project:**  
*Tolich, Martin Associate Professor*
- Department: Sociology**
- Contact details of staff member responsible: 479-8755**
- Title of project: “Bailey” Watch 20XX: Contesting the Midnight Swim**
- Indicate type of project and names of other investigators and students:**

**Staff Research**

**Names**

This is an autoethnography

**Student Research**

**Names**

*Level of Study (e.g. PhD, Masters, Hons)*

**External Research/**

**Names**

**Collaboration**

*Institute/Company*

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**6. Is this a repeated class teaching activity?**

NO

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

**7. Fast-Track procedure**

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

NO

If YES, please state specific reasons:-

**8. When will recruitment and data collection commence?**

**Upon approval of this application**

**When will data collection be completed?**

**December 2012**

**9. Funding of project.**

Is the project to be funded by an external grant?

NO

If YES, please 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, please explain:

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

In 2010 I wrote "A critique of current practice: Ten foundational guidelines for autoethnographers" *Qualitative Health Research* doi: 10.1177/1049732310376076 and in 2012 I co-wrote Chapter 11 of Sieber, Joan and Martin Tolich (2012) *Planning Ethically Responsible Research* Sage, Thousand Oaks which is entitled "Why IRBs have an important Place: The Autoethnographic Experiment".

The aim of this study **WAS** to write my first autoethnography (a story based on an

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N=1) in a series of articles highlighting experiential learning which is a research interests developed in and around an internship class I teach in Sociology. (No students are involved in this project)

As predicted by two articles above, no man is an island and my story of bravery, swimming in the Marlborough Sounds at midnight one August night in 20XX only makes sense if contrasted with another's bravery. This other person refused the order to swim in the freezing water.

A second other person to be interviewed also did not swim but that is not my interest in him. Eighteen hours before the swim the "watch" climbed Mt Sunday. On the descent "Tom" had two things that I did not have. He had a torch and weak hip. I had neither. Tom needed assistance to descend Mt Sunday in the dark (especially between 5pm-9.30pm) traversing steep and rooted tracks. I gave him this assistance and his torch shone the way. We shared dis/ability.

**11. Aim of project, including the research questions the project is intended to answer:**

The research question tests my own (2010, 2012) conjecture whether an autoethnography based on writing solely about one's own experience is possible.

This autoethnographic article examines two people's refusal to swim at midnight and my own compliance. This examination evokes my previous research on undermining total institutions and the weapons of the weak by Cos (conscientious objectors).

Tolich, M. (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

Tolich, M 1995, "Breaking the mould: External forces subverting the racing stable as a total institution" *Australia and New Zealand Journal of Sociology* 31: 100-114

**12. Researcher or instructor experience and qualifications in this research area:**

The researcher has an international reputation in autoethnographic ethics but this is his first autoethnography and only his second article written on experiential learning. He has written a number of articles on total institutions (i.e. enclosed places that dominate inmates)

**13. Participants**

**13(a) Population from which participants are drawn:**

Members of Bailey Watch, Outward Bound, 20XX

**13(b) Specify inclusion and exclusion criteria:**

Two members of Bailey Watch, both of whom refused to take part in the midnight swim and myself.

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13(c) **Estimated number of participants:** Myself and two other people

13(d) **Age range of participants:** All in their 50's

13(e) **Method of recruitment:** Via email. Bailey watch shared email addresses and are in irregular contact.

13(f) **Please specify any payment or reward to be offered:** None

**14. Methods and Procedures:**

Audio taped telephone interview asking the two informants to recount two consecutive days in August 20XX. Day 7 (of 8 days) when Bailey Watch climbed Mount Sunday. This day began at 5.30 am and ended after a dinner following the midnight swim. Day 8 especially the awards' ceremony on the launch en route to Picton where the swimmers and non-swimmers justified their success to others in the group.

**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. These questions allow the Committee to assess compliance.**

15(a) **Are you collecting and storing personal information directly from the individual concerned that could identify the individual?**

YES

15(b) **Are you collecting information about individuals from another source? Please explain:**

No

15(c) **Collecting Personal Information:**

- Will you be collecting personal information?

YES

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

YES

- Will you be informing participants who will receive the information?

YES

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

YES

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

Yes: I will use **process consent** meaning after the article is written I will get a second consent from the pair to sign off their comments prior to publication.

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

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

**15(d) Please outline your data storage and security procedures.**

Raw interview data will be stored on a password protected computer and all data will be destroyed at the end of the project by principal investigator, Martin Tolich.

**15(e) Who will have access to personal information, under what conditions, and subject to what safeguards?**

Only the principal investigator

**Will participants have access to the information they have provided?**

They will see and approve a copy of the paper before it is published.

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

YES

**If YES, please specify in what form you intend to do this?**

Given the limitations of the concept of confidentiality all those in Bailey Watch will know the identity of the two informants. Martin Tolich (2004) "Internal Confidentiality: When Confidentiality Assurances Fail Relational Informants" *Qualitative Sociology* 27: 101-106. The use of pseudonyms will protect the informants' external confidentiality.

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

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Question is not relevant to this sample of see 15(f)

**15 (h) Have you, or do you propose to undertake Māori consultation? Please choose one of the options below, and delete the options that do not apply:**

YES            We have ALREADY undertaken consultation [*attached*]

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

NO

If yes, please explain all debriefing procedures:

**17. Please disclose and discuss any potential problems:** (For example: medical/legal problems, issues with disclosure, conflict of interest, etc)

None.

**18. Applicant's Signature:** .....

[Principal Applicant: as specified in Question 1]

**Date:** .....

**19. Departmental approval:** *I have read this application and believe it to be scientifically 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 Signatory (please print):** .....

**Date:** .....