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PROTOCOL
Soc-Behav-Ed Exempt
Berkeley

Protocol # 2018-10-11549
Date Printed: 02/05/2020

Protocol Title: Designing for Equality on YouTube

Protocol Type: Soc-Behav-Ed Exempt

Date Submitted: 11/12/2018

Important Note: This Print View may not reflect all comments and contingencies for approval. Please check the comments section of the online protocol. Questions that appear to not have been answered may not have been required for this submission. Please see the system application for more details.

*** Personnel Information ***

Enter all study personnel (if not previously entered) and relevant training information. Please read Personnel Titles and Responsibilities: Roles in eProtocol before completing this section.

Note: The Principal Investigator or Faculty Sponsor, Co-Principal Investigator, Student or Postdoctoral Investigator, Administrative Contact, and Other Contact can EDIT and SUBMIT. Other Personnel can only VIEW the protocol.

Principal Investigator or Faculty Sponsor

Name of Principal Investigator Degree (e.g., MS/PhD) Title
Niloufar Salehi Assistant Professor

Email Phone Fax
nsalehi@berkeley.edu +1 650 996-9470

Department Name Mailing Address
School of Information 94720

UCB status (select all that apply):

<input checked="" type="checkbox"/>	Faculty	<input type="checkbox"/>	Postdoc	<input type="checkbox"/>	Grad	<input type="checkbox"/>	Undergrad	<input type="checkbox"/>	Other
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Faculty (with some exceptions), staff, and students engaged in human subjects research must complete either the biomedical or social-behavioral human research course through the online Collaborative Institutional Training Initiative (CITI), depending upon which is most germane to the research. ALL PIs on an NIH award are required to complete either CITI or NIH Training. See Training and Education for more information.

If applicable, please insert date (mm/dd/yy) of completion in appropriate box(es) below:

CITI	NIH	Other Training (title & date completed)
------	-----	---

Student or Postdoctoral Investigator

NOTE: All Student/Postdoc Investigators must have a Faculty Sponsor who will serve as the "responsible researcher." If NOT a student or postdoc project, enter student(s) and/postdoc(s) under Other Personnel below.

Name of Student/Postdoc Investigator Degree Title
EMILY PEDERSEN MS

Email Phone Fax
epedersen@berkeley.edu

Department Name Mailing Address
EECS

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UCB status (select all that apply):

<input type="checkbox"/> Faculty	<input type="checkbox"/> Postdoc	<input checked="" type="checkbox"/> X	<input type="checkbox"/> Grad	<input type="checkbox"/> Undergrad	<input type="checkbox"/> Other	
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If applicable, please insert date (mm/dd/yy) of completion in appropriate box(es) below:

CITI	NIH	Other Training (title & date completed)
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Co-Principal Investigator

Name of Co-Principal Investigator Degree Title

Yiwei Wu MS

Email Phone Fax

eva.wu@berkeley.edu

Department Name Mailing Address

School of Information

UCB status (select all that apply):

<input type="checkbox"/> Faculty	<input type="checkbox"/> Postdoc	<input checked="" type="checkbox"/> X	<input type="checkbox"/> Grad	<input type="checkbox"/> Undergrad	<input type="checkbox"/> Other	
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Faculty (with some exceptions), staff, and students engaged in human subjects research must complete either the biomedical or social-behavioral human research course through the online Collaborative Institutional Training Initiative (CITI), depending upon which is most germane to the research. ALL PIs on an NIH award are required to complete either CITI or NIH Training. See Training and Education for more information.

If applicable, please insert date (mm/dd/yy) of completion in appropriate box(es) below:

CITI	NIH	Other Training (title & date completed)
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*** * * Vulnerable Subject Checklist * * ***

Vulnerable Subject Checklist

Yes No

- N Children/Minors
 - N Prisoners
 - N Pregnant Women
 - N Fetuses
 - N Neonates
 - N Educationally Disadvantaged
 - N Economically Disadvantaged
 - N Cognitively Impaired
 - N Other (i.e., any vulnerable subject population(s) not specified above)
-

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***** Study Sites *****

Study Sites

Select all study sites where data collection via subject interaction will take place:

International

International Site(s) (specify country, region, and township or village)

Local

- X UC Berkeley
UC Davis
UC Irvine
UC Los Angeles
UC Merced
UC Riverside
UC San Diego
UC San Francisco
UC Santa Barbara
UC Santa Cruz
Lawrence Berkeley National Laboratory
Alameda Unified School District (specify schools below)

Berkeley Unified School District (specify schools below)

Oakland Unified School District (specify schools below)

- X Other (Specify other Study Sites)

Interview interviewees outside of the Berkeley area (within the United States) via teleconferencing.

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***** General Checklist *****

General Checklist

Yes No

- N** Is the research receiving any federal funding (e.g., NIH, NSF, DOD, etc.)?
 - N** Is another campus relying on UC Berkeley for IRB review by means of the UC System Memorandum of Understanding (MOU)?
 - N** Is another institution relying on UC Berkeley for IRB review by means of an Inter-institutional IRB Authorization Agreement?
 - N** Will subjects be compensated for participation?
 - N** Will any type of deception or incomplete disclosure be used? If yes, submit a non-exempt application.
 - N** Do investigators have a Conflict of Interest (COI)? If yes, submit a non-exempt application.
-

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*** Funding ***

Funding Checklist

NOTE: Only the Principal Investigator (PI) of the grant or subcontract can add his or her own SPO Funding information in this section. The PI of the grant must also be listed in the Personnel Information section of the protocol in one of the following roles: Principal Investigator or Faculty Sponsor, Student or Postdoctoral Investigator, Co-Principal Investigator, Administrative Contact, or Other Contact. Training Grants can be added by anyone in one of the aforementioned roles. For step-by-step instructions, see Add SPO Funding Quick Guide

X Not Funded

SPO - Funding

Funding - Other

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*** Exempt Paragraph(s) ***

Exempt Paragraphs

There are six categories of research activities involving human subjects that may be exempt from the requirements of the Federal Policy for the Protection of Human Subjects (45 CFR 46). If the research is found to be exempt, it need not receive full or subcommittee (expedited) review. However, this determination must be made by OPHS Staff and the research may not begin until you have received notification that the research qualified for exemption.

(NOTE: Category 7 does not exist in the federal regulations under 45 CFR 46.101(b); it is an extension of the federal categories as allowed per UCB's Federalwide Assurance.). For more information and examples of exempt research, see CPHS Guidelines on Exempt Research.

Select one or more of the following exempt categories:

1. **EDUCATIONAL PRACTICES:** Research conducted in established or commonly accepted educational settings, involving normal educational practices such as:
 - i) research on regular and special education instructional strategies; OR
 - ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- X 2. **EDUCATIONAL TESTS (COGNITIVE, DIAGNOSTIC, APTITUDE, ACHIEVEMENT), SURVEY PROCEDURES, INTERVIEW PROCEDURES, OR OBSERVATION OF PUBLIC BEHAVIOR:** Research involving these procedures is exempt, IF:
 - i) the information obtained is recorded in such a manner that subjects CANNOT be identified, directly or through identifiers linked to the subjects; OR
 - X ii) any disclosure of the subject's responses outside of the research could NOT reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing, employability, or reputation

*This exemption does not apply to children except for research involving observation of public behavior when the investigator does not interact with the children. Workplace meetings and activities, as well as classroom activities, are not considered "public behavior".
3. **EDUCATIONAL TESTS, SURVEY PROCEDURES, INTERVIEW PROCEDURES, OR OBSERVATION OF PUBLIC BEHAVIOR (Research NOT exempt under Category 2):** Research involving these procedures is exempt, IF

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i) the subjects are elected or appointed public officials or candidates for public office; OR

ii) federal statute requires confidentiality of identifiable information to be maintained permanently

*In most cases, managers and staff in public agencies are not "public officials".

4. **EXISTING DATA:** Research involving collection or study of existing data, documents, records, pathological specimens or diagnostic specimens, IF:

i) these sources are publicly available; OR

ii) the information is recorded by the researcher in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects

5. **RESEARCH AND DEMONSTRATION PROJECTS CONDUCTED BY OR SUBJECT TO THE APPROVAL OF DEPARTMENT OR AGENCY HEADS:** This research is exempt IF it is designed to study, evaluate, or otherwise examine:

i) public benefit or service programs;

ii) procedures for obtaining benefits or services under those programs; OR

iii) possible changes in or alternatives to those programs, OR

iv) changes in methods of payment for benefits under those programs.

6. **TASTE AND FOOD QUALITY EVALUATION AND CONSUMER ACCEPTANCE STUDIES:** This research is exempt, IF:

i) wholesome foods without additives are consumed; OR

ii) a food is consumed that contains a food ingredient at or below the level and for a use found to be safe by the Food and Drug Administration (FDA) or approved by the Environmental Protection Agency (EPA) or the Food Safety and Inspection Service (FSIS) of the US Department of Agriculture (USDA); OR

iii) a food is consumed that contains an agricultural chemical or environmental

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contaminant at or below the level found to be safe by the FDA or approved by the EPA or the FSIS of the USDA

7. RESEARCH THAT INVOLVES NO GREATER THAN MINIMAL RISK TO SUBJECTS, BUT DOES NOT CONFORM TO A SPECIFIC EXEMPT CATEGORY UNDER 45 CFR 46.101(b) (exempt categories 1 through 6).

Category 7 minimal-risk exempt research activities that may include (but are not limited to) non-physically invasive interventions or performance of tasks such as:

Reading/writing/drawing tasks. Physical activities such as walking, sitting, or manipulating an object. Computer tasks and/or doing Internet searches. Talking and/or listening to words, then making selections, or "think-aloud" exercises. Viewing media. Role-playing. Asking subjects to complete a specific physical or mental action ("imagine"). Passive monitoring of space (environment) with sensors. Playing a game. Height/weight measurements.

Such research is NOT exempt if it involves any of these exclusions.

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*** Purpose, Study Procedures and Background ***

Title

Designing for Equality on YouTube

Complete Sections 1 - 9. Specify N/A as appropriate. Do not leave any required sections blank.

1. Purpose of the study

- a) Provide a brief explanation of the proposed research, including specific study hypothesis, objectives, and rationale.

YouTube's mission is to "give everyone a voice and show them the world" (YouTube, 2018). However, YouTube has deviated from its original goal to "democratize" the media industry and has become another partner in the entertainment brokerage business (Dijck, 2009). YouTube's undisclosed algorithm, which dictates what viewers see, obstructs every content producers' opportunity of being discovered. Equal opportunity and democracy for content producers in the YouTube ecosystem has not been explored yet. We hope our proposed algorithms will make YouTubers rethink their relationship with the platform, and encourage them to continue their YouTube careers.

2. Background

- a) Give relevant background (e.g., summarize previous/current related studies) on condition, procedure, product, etc. under investigation, including citations (with attached bibliography) if applicable.

In Eslami et al.'s 2015 ACM paper I always assumed that I wasn't really that close to [her] they developed an alternative algorithm for the Facebook newsfeed (Eslami et al., 2015). They found that revealing the existence and proposing a new algorithm changed how users interacted with Facebook. We want our proposed algorithms to make YouTubers challenge how they view and interact with the platform. In Devito et al.'s 2018 CHI paper How People Form Folk Theories of Social Media Feeds and What It Means for How We Study Self-Presentation they explored invisible social media algorithms in relation to users' view of their self-presentation (Devito et al., 2018). We hope to learn how the algorithm affects YouTubers' view of their success, and encourage them to produce content. Lastly in Pierce and DiSalvo's 2018 paper Addressing Network Anxieties with Alternative Design Metaphors they offer a set of design concepts and tactics to address network anxieties (Pierce & DiSalvo, 2018). We could use their tactics to inform our design decisions as well.

3. Collaborative Research

- a) If any non-UCB institutions or individuals are engaged in the research, explain their human research roles and what human subjects training they have/PI has planned to provide.

NA

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- b) If any non-UCB institutions or individuals are collaborating in the research, complete the table below and attach any relevant IRB approvals in the Attachments section.

4. Study Procedures

- a) Describe in chronological order of events how the research will be conducted, providing information about all study procedures and who will conduct each (e.g., how participants are identified, the consent process, interventions/interactions with subjects, data collection), including follow-up procedures. If any interviews, questionnaires, surveys, or focus groups will be conducted for the study, explain and attach one copy each of all study instruments (standard and/or non-standard) in the Attachments section. Please see eProtocol Attachments Check List for Exempt Applications for more information. Indicate frequency and duration of visits/sessions, as well as total time commitment for participants in the study and an estimated time frame for when the study will be completed. If the proposed research involves use of existing data/specimens, describe how data/specimens will be acquired.

We will propose algorithms that speak towards YouTube's original mission and democratize the media industry. We will evaluate our proposed algorithms through three rounds of interviews, interviewing two to three YouTubers each round and ten in total. We will recruit these YouTubers via posting on Facebook, direct messaging on Instagram and Twitter, and by asking peers. Before the interview begins, we will ask the interviewees if we have their consent to audio record the session and follow the guidelines from section F on exempt research, which states that we will identify ourselves, clearly describe the study procedures, inform them that participation is voluntary, and provide them with our contact information. Emily and Eva will conduct the interviews, each interview taking 1 hour. The interviews will either be held in-person or via video conferencing if the interviewee is remote. Niloufar Salehi, the PI, will have access to the interview material. We will transcribe the audio recordings and delete the audio files.

In the first round, we will ask about their attitudes towards the YouTube algorithm. From those findings, we will create storyboards and medium-fidelity prototypes. In the second round, we will study YouTubers' attitudes towards these storyboards and prototypes. We will update our artifacts based on the feedback, then do a final round of interviews. We will analyze our interviews using thematic content analysis, narrative analysis, and grounded theory, evaluating target users' attitudes towards the current YouTube algorithm and our proposed algorithms. Exact information/data collection tools are not yet finalized, and they will be added as an amendment prior to use in the field. All three rounds of interviews will take place from Fall 2018 to Spring 2019. Total time commitment for each subject should be a 1 hour-long interview over the 5 months since each subject will only undergo one one-hour interview.

After each interview, the participants will be sent an online survey to complete at most one day after their interview. The interview should take maximum 5 minutes, and therefore participants' time commitments over a two day span should be 1 hour and 5 minutes. We will be using Qualtrics to conduct the online survey.

- b) State if photographing, audio, or video recording will occur and for what purpose (e.g. transcription, coding facial expressions).

Audio recordings will occur for the purpose of transcription and coding.

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c) Alternatives to Participation

Describe appropriate alternative resources, procedures, courses of treatment, if any, that are available to prospective subjects. If there are no appropriate alternatives to study participation, this should be stated. If the study does not involve treatment/intervention, enter "N/A" here.

N/A

d) If the proposed research involves use of existing data/specimens, check all that apply:

i) coded private information or specimens, and the investigator will not have access to the key.

ii) from publicly available sources.

iii) recorded by the investigator in such a manner that subjects cannot be identified OR any link to identifying information has been destroyed.

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*** * * Subject Population * * ***

5. Subject Population

Describe proposed subject population, including criteria for study inclusion and exclusion (e.g., age, health status, language, gender, race, ethnicity). State the maximum number of subjects planned for the study. This number should account for all subjects to be recruited, including those who may drop out or be found ineligible.

Subject population are YouTube content producers. Maximum number of subjects is 15. All subjects will be within the US. Subjects must be at least 18 and fluent in English.

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***** Risks *****

6. Risks and Discomforts

- a) Describe all known risks and discomforts associated with study procedures, whether physical, psychological, economic, or social (e.g., pain, stress, invasion of privacy, breach of confidentiality), noting probability and magnitude of potential harm.

As with any research involving human subjects there is a potential risk of breach of confidentiality. We will minimize the potential risk of breach of confidentiality by storing the interview files on a password protected computer.

- b) If conducting educational tests, survey procedures, interview procedures, or observation of public behavior, AND linking to subjects' identifying information, explain why inadvertent release of the data would not have detrimental consequences (i.e. place subjects at risk of civil or criminal liability, or cause damage to their financial standing, employability or reputation).

Inadvertent release of the data would not have detrimental consequence because subjects do not say any identifying information, but simply state their responses to our proposed prototypes and algorithms. We will also minimize risk of identifiability by transcribing the interviews and deleting the audio files. We will not store audio files for more than a year.

- c) In case of international research, describe the expertise you have, or have access to, which prepares you to conduct research in this location and/or with this subject population, including specific qualifications (e.g., relevant coursework, background, experience, and training). Also, explain your knowledge of local community attitudes and cultural norms, and cultural sensitivities necessary to carry out the research. See CPHS Guidelines on Research in an International Setting.

N/A

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***** Procedures to Maintain Confidentiality *****

7. Confidentiality

NOTE: See CPHS Data Security Policy and CPHS Data Security Matrix before completing this section.

- a) Will data be collected anonymously (i.e., no identifying information from subjects will be collected/ recorded that can be linked to the study data)? If no, please list all identifiable and/or coded data elements to be collected. Data is not anonymous if there is a code linking it to personally identifiable information. Also, audio and video recordings are generally not considered anonymous unless distinguishing features can be successfully masked.

Yes. We will transcribe the audio recordings and may use anonymized quotes from the transcription. After each interview, we will ask subjects to fill out an online demographic survey that asks for their name, age, gender, and email. The pdf of the survey can be found in the attachments section. All other data will be coded with anonymous identifiers (e.g. P1, P2, etc.) We will be using Qualtrics to conduct the online survey, hence IP addresses will be not obtained since we can run the survey without collecting IP addresses.

- b) Explain how data, audiotapes, videotapes and photographs, etc. will be secured (e.g., password-protected computer, encrypted files, locked cabinet) stored and who will have access to them. Indicate at what point they will be transcribed and/or destroyed (if ever).

The audio recordings and demographic survey information will be stored on an encrypted Box folder. The keys linking identifiable information to other data will also be in the same folder. Only Niloufar, Emily, and Eva will have access to the Box folder. The audio recordings will be transcribed after the interview, and the transcriptions will also be stored on this google drive. The audio files will be deleted after transcription is complete (up to 1 year). We will destroy the keys at the same time we destroy the audio files. The transcriptions will be destroyed up to 5 years after study completion. The data from Qualtrics will be downloaded once we have completed all the interviews, and will be destroyed up to 5 years after study completion.

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***** Attachments *****

8. Attachments

Add appropriate attachments (e.g. survey instrument(s), interview guide(s), reference list, other IRB approvals, etc.) in this section. Attachments must be in PDF or Word format. Please see eProtocol Attachments Check List for Exempt Applications for more information.

Interview Guide

Document Type	Document Name
Interview Guide	Designing for Democracy on YouTube_First Round Questions Draft

Questionnaire(s)

Document Type	Document Name
Questionnaire(s)	online-survey-qs

Document Type
Document Name

Interview Guide
Designing for Democracy on YouTube_First Round Questions Draft

Document Type
Document Name

Questionnaire(s)
online-survey-qs

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*** * * Assurance * * ***

Assurance

As Faculty Sponsor, I understand that I am responsible for overseeing the protection of the rights and welfare of the human subjects, and adherence to CPHS requirements, federal regulations, and state statutes for this human subjects research.

I hereby assure the following:

1. I have read the protocol.
2. I have discussed with the Student/Postdoc Investigator how to comply with his or her assurances.
3. I will be available throughout the course of the study to provide guidance and consultation.

X I have read and agree to the above assurances.

As Student/Postdoctoral Investigator, I am responsible for the performance of this study, the protection of the rights and welfare of the human subjects, and strict adherence by all co-investigators and research personnel to CPHS requirements, federal regulations, and state statutes for this human subjects research.

I hereby assure the following:

1. The information provided in this application is accurate to the best of my knowledge.
2. All experiments and procedures involving human subjects will be performed under my supervision or that of another qualified professional listed on this protocol.
3. This protocol covers the human subjects research activities described in the grant proposal(s) (if applicable) supporting this research and any such activities that are not covered have been/will be covered by a CPHS approved protocol.
4. No change in the design, conduct, funding, or personnel of this research will be implemented without prior CPHS/OPHS review and approval.

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5. Participants' complaints or requests for information about the study will be addressed appropriately.
6. I will follow all relevant University of California system and UC Berkeley policies.
7. Should there be any changes that render this study no longer eligible for exempt review, I will submit a new non-exempt application for CPHS review and approval.

☒ I have read and agree to the above assurances.

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***** Event History *****

Event History

Date	Status	View Attachments	Letters
01/07/2019	NEW FORM APPROVED	Y	Y
01/07/2019	NEW FORM SUBMITTED (CYCLE 3)	Y	
12/17/2018	NEW FORM SUBMITTED (CYCLE 2)	Y	
12/16/2018	NEW FORM SUBMITTED (CYCLE 1)	Y	
11/20/2018	NEW FORM PANEL MANAGER REVIEW		
11/13/2018	NEW FORM PANEL ASSIGNED		
11/12/2018	NEW FORM SUBMITTED	Y	
10/26/2018	NEW FORM CREATED		

PROTOCOL
Soc-Behav-Ed Exempt
Berkeley

Protocol # 2018-10-11549
Date Printed: 02/05/2020

Protocol Title: Designing for Equality on YouTube

Protocol Type: Soc-Behav-Ed Exempt

Date Submitted: 11/12/2018

Important Note: This Print View may not reflect all comments and contingencies for approval. Please check the comments section of the online protocol. Questions that appear to not have been answered may not have been required for this submission. Please see the system application for more details.

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***** Attached Document *****

Document Name	Created Date
Designing for Democracy on YouTube_First Round Questions Draft.docx	10/28/2018

Youtube & Democracy

First Round Interview Questionnaire

1. How did you get into making youtube videos?
2. What kinds of YouTube videos do you make?
3. Why do you create YouTube videos?
4. What other social media platforms do you use in addition to YouTube?
5. How is YouTube different from those platforms?
6. How discoverable do you think your videos are to YouTube viewers?
 - ☐ Easily discoverable
 - ☐ Not easily nor hardly discoverable
 - ☐ Hardly discoverable
7. What do you keep in mind when you are creating content for your channel?
8. How do you plan to increase your audience base?
9. What does the “YouTube the algorithm” mean to you?
10. Do you have any hypotheses of what “the YouTube algorithm” is? If so, what?
11. How does your understanding of “the algorithm” affect what you post content?
12. How does your understanding of “the algorithm” affect how you post content?
13. How do you imagine other youtubers perceive the algorithm?
14. Have you ever had conversations about the youtube algorithm?
15. If you could design a new YouTube algorithm, what factors or features would you consider?
16. Rank these terms in order of importance (1 being least important to 10 being most important):
 - ☐ Interacting with users in the comment section
 - ☐ video length
 - ☐ video content
 - ☐ numbers of likes
 - ☐ numbers of views
 - ☐ video description
 - ☐ video title
 - ☐ thumbnail photo
 - ☐ Tags
 - ☐ time posted
17. What are your attitudes and feelings towards YouTube overall?

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***** Attached Document *****

Document Name	Created Date
online-survey-qs.pdf	01/07/2019

Survey

Hi! Thank you for taking the time to speak with us about your experience with YouTube, specifically your experience with the "YouTube algorithm." If you could take a few moments to fill this survey, we'd greatly appreciate it! Thanks.

After submitting your responses, you can protect your privacy by clearing your browser's history, cache, cookies, and other browsing data. (Warning: This will log you out of online services).

*** Required**

1. What is your email? *

2. How old are you? *

3. What gender do you identify with? *

4. Link to YouTube channel *

5. How long have you been making YouTube videos for? *

6. How frequently do you post on YouTube? *

7. How do you feel about the YouTube algorithm? *

Mark only one oval.

1 2 3 4 5

Highly dissatisfied

☐☐☐☐☐

Highly satisfied