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|  | Office of IRB Administration (OIA) **Social/ Behavioral/Educational Research (SBER)**  **Protocol**  Version Date: 12.08.21 |
| Detailed instructions are included for each section. All instructions must be removed, and all sections completed. “Not Applicable” is an acceptable response if the section does not apply to the research. In general, research protocols should be no longer than 8-10 pages, excluding attachments (e.g., questionnaires, consent/assent forms). | |
| 1. **STUDY TITLE** | |
| Enter the project title here. Be sure it matches the title in Kuali IRB. **Assessing diversity, equity, and inclusivity strategies in international collaborations** | |
| **2. PRINCIPAL INVESTIGATOR** | |
| Include Principal Investigator name, title and department. UCSD IRB only recognizes one PI per study.  **Erin Satterthwaite, Academic Coordinator, Sea Grant College** | |
| **3.** **STUDY RATIONALE** | |
| State the problem and the reason for conducting the research.  **There is limited knowledge about how UN Ocean Decade Actions implement DEI strategies to promote fairness and inclusion in marine science and international science collaborations. This research surveys Decade Actions to identify DEI practices and inform recommendations to improve equity and representation in ocean science.** | |
| **4.** **SPECIFIC AIMS/HYPOTHESES** | |
| Briefly state the specific aims and hypotheses that serve as the basis for this protocol.  **The aims/hypotheses are:**  **To assess current Diversity, Equity, and Inclusion (DEI) strategies used by UN Ocean Decade Actions.**  **To identify gaps and opportunities for enhancing DEI in ocean science initiatives.**  **To develop actionable recommendations to promote fairness, access, and representation across Decade Actions.** | |
| **5. BACKGROUND AND SIGNIFICANCE (2-3 paragraph maximum)** | |
| Provide a brief discussion of relevant background information including preliminary data to justify performing the study. Appropriate references should be included in Section 13.  **Global sustainability challenges—such as climate change, biodiversity loss, and ocean degradation—require unprecedented international collaboration. These collaborations are often organized as decentralized, interorganizational networks (rather than single institutions) that bring together diverse partners from across sectors, disciplines, and geographies. The UN Decade of Ocean Science for Sustainable Development (“Ocean Decade”) is a key example: it is a global initiative launched in 2021 to catalyze ocean science efforts for sustainable development. Through its endorsed programmes and projects, the Ocean Decade fosters horizontal, multinational collaborations that rely heavily on in-kind contributions and shared goals rather than centralized governance or funding. Despite their promise, such networks often struggle to ensure diverse, equitable, and inclusive engagement across the communities they aim to serve.**  **Justice, equity, diversity, and inclusion (JEDI, also referred to as DEI or EDI) are essential components of effective and ethical international collaboration. Justice ensures fairness in opportunity and participation; equity recognizes and responds to different needs; diversity brings together varied experiences and worldviews; and inclusion ensures all voices are valued and heard. While many institutions have formal DEI strategies, far less is known about how international collaborative networks—particularly those without clear institutional structures—enact these principles. Research on how such networks integrate DEI/JEDI practices is limited, especially in the context of ocean sustainability. As the Ocean Decade reaches its halfway point, there is an urgent need to understand whether and how DEI is being prioritized in practice, and what strategies are being used.**  **This study aims to address that gap by using the Ocean Decade as a case study to explore how DEI principles are implemented within international collaborative networks. Through a survey of Decade-endorsed Actions, we seek to identify existing strategies, tools, and approaches for promoting diverse and inclusive engagement, particularly among early career professionals, underrepresented communities, and global partners. The results will inform a set of actionable recommendations for enhancing DEI in ocean science collaborations.** | |
| **6. RESEARCH DESIGN AND METHODS (1 page maximum)** | |
| Describe the research design and the procedures to be used to accomplish the specific aims of the project. Explain in  clear terms what precisely will be done to the human participants and how long they will be involved in the study.  Where appropriate, identify the sources of research material obtained from individually identifiable living human  participants in the form of records or data. Indicate whether new data will be obtained specifically for the purposes of  this research, or if existing records or data will be used.  In addition, this item of the Research Plan should include a precise, but brief, description of the methods for data  collection, data analysis and data interpretation. If video and/or audio recording will be done as part of the study, a  description of the study procedures associated with the taping should be provided including how the tapes will be  used, who will have access to the tapes, and the final disposition of the recordings.  If questionnaires/surveys will be completed as part of the research, please provide the name and reference for  questionnaires/surveys that are standard. If the questionnaire/survey is not a standard assessment tool, please  provide a copy of the questionnaire/survey.  If the research includes video and/or audio recording, explain that the taping may be stopped at any time and that portions and/or the entire tape may be erased at the participant’s request. In addition, describe how the tape recording will be used, when/whether the tape will be destroyed by the researchers, and any risk and risk management procedures associated with this taping including loss of confidentiality. This information should also be included in the informed consent/assent documents and a separate video and/or audio consent/assent document may also be required.  If it is reasonably foreseeable that the study will have access to or collection of information that Federal, State,  and/or local laws/regulations requires or may require to be reported to other officials (e.g., child or elder abuse) or  ethically requires actions (e.g., suicidal ideation), describe the reporting procedures/requirements including whether  the investigator is a “mandated reporter” and ensure the reporting requirements are described in the consent.  **This study involves a targeted, structured data collection effort to gather information on how endorsed Decade Actions under the UN Decade of Ocean Science for Sustainable Development are implementing strategies to support diversity, equity, and inclusion (DEI). The primary unit of analysis is the Decade Action itself—defined as a programme, project, or initiative formally endorsed by the Ocean Decade. The objective is to identify and synthesize DEI strategies in use across these collaborative initiatives and provide actionable insights to improve inclusivity and representation within international ocean science efforts.**  **An online survey is used as the primary instrument for data collection. The survey is distributed directly to Decade Action leads or primary contacts via email and invites them to complete the form on behalf of the Decade Action with which they are most involved. The questionnaire is structured to capture the presence or absence of specific DEI practices and strategies in several key areas, including: funding for DEI, mechanisms for measuring progress, engagement of underrepresented groups, conflict resolution, inclusion infrastructure, and creation of supportive environments. The survey includes both multiple-choice and short open-ended questions and takes approximately 5–10 minutes to complete.**  **Participation is entirely voluntary. The survey collects the respondent’s name and email address solely to avoid duplicate outreach and to invite participation in co-authorship of a research publication. This personally identifying information is stored separately from the response data and is not used in any analysis. No IP addresses are collected. All data are stored securely in password-protected files accessible only to the research team. Results will be reported in aggregate and anonymized form, and no individual respondents or Decade Actions will be identifiable. The outcomes of the study will inform a collaborative publication and a summary of DEI strategies for use by the Ocean Decade community.** | |
| **7. RESEARCH PARTICIPANTS (2-3 paragraph maximum)** | |
| Describe the characteristics of the proposed research participant population, including their age, gender, ethnic background and health status. Identify the criteria for inclusion/exclusion of participants to be enrolled in the study. Explain the rationale for using special participant populations, if any, such as those who are pregnant, children, or institutionalized individuals who are likely to be vulnerable.  **The proposed research participant population consists of adult professionals (ages 18 and over) who serve as leads or primary contacts for initiatives (programmes or projects) endorsed under the UN Decade of Ocean Science for Sustainable Development. These individuals are typically scientists, policy professionals, coordinators, or project managers representing a range of sectors, including academia, NGOs, government agencies, and international organizations. Participants are being asked to respond to the survey on behalf of their Decade Action, not to provide personal views or demographic information about themselves. All participants will be adults in professional roles and will be contacted in their capacity as representatives of Decade Actions.**  **Inclusion criteria: Individuals who (1) are listed as leads or points of contact for endorsed Decade Actions, and (2) are willing to complete the survey about the strategies used in their Decade Action.**  **Exclusion criteria: Individuals who are not affiliated with a Decade Action, or who do not have sufficient knowledge of the DEI-related practices within their Action to complete the survey.**  **There is no intent to recruit or analyze data from any specific demographic or special population. The rationale for this participant group is that they are the most appropriate individuals to provide accurate and relevant information about the DEI practices of their respective Decade Actions**. | |
| **8. RECRUITMENT** | |
| Describe how research participants will be contacted and by whom, what they will be told, and how they will be selected for participation. All recruitment materials (flyers, advertisements, letters, etc.) must be reviewed and approved by the IRB prior to use. Should participants vulnerable to coercion or undue influence be recruited for this study, such as those who are economically or educationally disadvantaged, mentally disabled, or students (undergraduate, graduate, and medical students) and employees of UCSD and RCHSD (administrative, clerical, nursing, lab technicians) describe the procedures to ensure the voluntary participation of these participants.  Further, if children are to be enrolled in the study, describe how possible undue influence for their participation will be addressed.  **Participants will be contacted via email by a member of the research team affiliated with the ECOP Programme Diversity, Equity, and Inclusion (DEI) Task Team. The recruitment list is composed of official leads or listed points of contact for endorsed UN Ocean Decade Actions. These individuals are publicly listed or already known to the ECOP Programme through formal affiliation and Ocean Decade coordination structures.** | |
| **9. INFORMED CONSENT** | |
| Describe the consent procedures to be followed, including the circumstances under which consent/assent will be obtained, who will seek it, and the methods of documenting consent/assent.  **Waiver of Consent, Waiver of Documented Consent**  If a *waiver of consent* is being requested, provide a description of how each of the five criteria for granting waiver of consent will be satisfied. The criteria include the following:  1. The research is minimal risk.  2.The waiver will not adversely affect the rights and welfare of the participants.  3.The research could not practicably be carried out without the waiver.  4.Whenever appropriate, the participants will be provided with additional pertinent information after participation.  5.If the research involves the use of identifiable private information or biospecimens, the research could not be practicably carried out without the use of identifiers.  If *waiver of documented consent* is being requested, such as for the use of oral or video consent, provide justification for granting this waiver. Justification includes one of the following: a) that the only record linking the participant and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality. Each participant will be asked whether they want documentation linking the participant with the research, and the participant’s wishes will govern; or b) that the research presents no more than minimal risk of harm to participants and involves no procedures for which written consent is normally required outside of the research context.  For research that involves video and/or audio recording, procedures for obtaining consent for such recording must also be described and the consent form must indicate that the recordings may be stopped at any time, and that portions and/or the entire audio/video may be erased at the participant's request. The consent should also state how the audio/video recording will be used by the researchers.  For research that involves participants under the age of 18 years, both a parent permission/consent form and adolescent assent (for children aged 13-17 years) and/or child assent (children 7-12 years of age) must be used. Note that both parent permission/consent and adolescent/child assent must be obtained before adolescent/children can be involved in a research study.  **Waiver of Assent**  If a *waiver of assent* is being requested, appropriate justification must be provided. The regulations provide three types of circumstances under which such a waiver may be justified:  1.The capability of some or all of the children is so limited that they cannot reasonably be consulted.  2. The intervention or procedure involved in the research holds out the prospect of direct benefit to the health and well-being of the children and is available only in the context of the research.  3. The research meets the same conditions of those for waiver or alteration of informed consent in research involving adults, as specified in the regulation 45 CFR 46.116(f).  **Participation in this study is voluntary and is collecting information on programmes (not the people). A brief overview of the study, including its purpose, voluntary nature, and how the information will be used, will be included on the opening page of the survey. Completion of the survey will be interpreted as an indication of willingness to participate.**  **This study does not involve children or populations considered vulnerable to coercion or undue influence; therefore, no additional assent or consent procedures are anticipated.** | |
| **10. PRIVATE, IDENITIFABLE INFORMATION ABOUT RESEARCH PARTICIPANTS** | |
| Indicate what personal identifying information (e.g., name, address, phone number, email, social media profiles, birthdate, photographs, biometrics identifier – fingerprints, voice), if any, about the research participants will be collected and/or received.  **Name, email.** | |
| **11. RISK MINIMIZATION** | |
| In this section describe how risks will be minimized in the research. Consider:   1. Eliminating unnecessary procedures such as collecting the minimum data necessary for the research, collecting the minimum number of identifiers, and/or performing only procedures that ate necessary for the study objectives. 2. Minimizing the risk of the procedures for example, coding data and samples to conceal identifiers. 3. Incorporating adequate safeguards into the research design such as the presence of trained personnel who can respond to emergent issues, and procedures to protect the confidentiality of the data (e.g., encryption, codes, and passwords).   Also explain why the risks are reasonable in relation to be benefits to participants, if any, and the importance of the knowledge to be gained.  **\_X\_\_** Check here if the **only risk** of the research is a breach in confidentiality. If so, no additional information is  required in this section. | |
| **12. QUALIFICATIONS, TRAINING, CULTURAL LITERACY AND RESEARCH TEAM RESPONSIBILITIES** | |
| Provide a detailed explanation outlining each member of the research team's  responsibilities as well as specifies each member's qualifications, training, cultural literacy, etc. as they relate to this study. Note: PI must have completed the appropriate CITI training in the last three years in order to submit a Kuali IRB application. Co-Is and key personnel must also have completed the appropriate CITI training in the past three years and have their completion report available for review upon the IRB’s request. PI Erin Satterthwaite will oversee all major aspects of the study including survey design, data collection, analysis, and reporting. She has completed the required CITI training within the past three years and has experience in DEI and ocean science research.  A group of approximately five members, the ECOP DEI Task team, will assist with data review and interpretation. | |
| **13. REFERENCES** | |
| List references noted in the Section 5.  *See bibliography below* | |
| **14. BIBLIOGRAPHY** | |
| List up to five relevant articles that the IRB can use to provide necessary background for the protocol. Do not append an extensive grant-style bibliography.  **Ryabinin, V., Barbière, J., Haugan, P., Kullenberg, G., Smith, N., McLean, C., ... & Rigaud, J. (2019). The UN decade of ocean science for sustainable development. Frontiers in Marine Science, 6, 470.**  **Roman, R., Kostianaia, E., Bowes, A., Satterthwaite, E., Savage, C., Ilosvay, X. E. E., ... & Nwajiaku, L. (2024). Building Bridges for Ocean Sustainability: The Evolution and Impact of the Early Career Ocean Professional (ECOP) Programme. *Marine Technology Society Journal*, *58*(1-2), 8-14.**  **Satterthwaite, E. V., Robbins, M., Crespo, G. O., Puskic, P. S., Giddens, J., Kostianaia, E., ... & Brodnicke, O. B. (2025). Global priorities for ocean sustainability from Early Career Ocean Professionals. ICES Journal of Marine Science, 82(1), fsae201.**  **Kostianaia, E. (2022). ECOP programme: empowering early career ocean professionals across the world. Marine Technology Society Journal, 56(3), 104-105.** | |