University of Victoria | Research Administration Information System

Human Research Ethics Standard Application #21-0280

A. Research team

1. Principal investigator (faculty, faculty supervising a student or post-doctoral researcher)

Principal Investigator is a faculty member, adjunct professor or sessional instructor. For more information please see the annotated guidelines.
If the project has more than one Principal Investigator (other than you) or more than one Principal Applicant, their names should be listed under section A.3 Research Team Members.

PI name

Neil Ernst

PI department
PI department. If more than one department, the department you are doing the research for.

Computer Science COSI

PI position
PI position at UVic

Faculty

2. Principal applicant (students & post-docs)

For further information about the distinction between the Principal Investigator and Principal Applicant, please see the annotated guidelines.
A Principal Applicant is an undergraduate student, graduate student or post-doctoral fellow who will be the lead researcher (for their thesis, dissertation, project, etc.) for this study. A Principal Applicant will be granted "View and edit" access by default, and will receive notifications related to the study. If the project has more than one Principal Applicant, the additional individuals should be listed under section A.3 Research Team Members.

Does this application have a principal applicant (UVic student or post-doc conducting this research for their academic degree)?

No

3. Research team members

Individuals and organizations involved in conducting your research. This includes co-principal investigators, additional principal applicants, co-investigators, other UVic students, assistants (paid or unpaid), community organizations, and clients. Team members listed will have "no access" to application as a default. You cannot assign access to team members without Netlink ID. If they need a Netlink ID go to the Affiliate Identity Management System and click on the 'Sponsor' tab to start the process. Once you get the Netlink ID you have to re-enter their name and give access permission to the application.

List all current research team members (including any UVic students or research assistants who will use the received data or biological materials to fulfill UVic thesis, dissertation, or academic requirements) and assign level of access to the application. Inclusion here satisfies only UVic institutional requirements. If you grant "View and Edit" access to more than one person, be aware that the system will not notify users if and when others are making edits to the application.

DO NOT add the PI or PA to this table as that will cause technical permission issues.

Access: ✎ View and edit project 👁 View only ✉ Receive notifications $ Contribute funding

Name	Email	Role in the project	Institutional affiliation	✎	👁	✉	$
Tim Menzies	timm@ieee.org	co-PI	NC State University	☐	☐	☐	☐

B. Project information

1. Project title

Title for your research project. You may not submit two applications with the same title.

Artifact Re-Use in Software Engineering Research Papers

2. Anticipated duration of the project

a. Anticipated start date for recruitment/data collection

The approximate start date to begin recruitment and data collection for your project should take into account the time it will take to complete and submit this application form and the period of four to six weeks required for ethical review. It is a violation of University of Victoria policy to begin recruitment and data collection before receiving HREB ethics approval.

Upon approval

b. Anticipated end date for your research project

An approximate end date for recruitment and data collection.

Sept 2022

3. Is this application linked to one that has been recently submitted to the UVic Human Research Ethics Board?

No

4. Geographic location(s) of the study

online

5. Keywords to categorize your research

survey | artifact | software engineering |

C. Project funding

1. Have you and/or research team members (their names must be listed under section A. Research team) applied for or been awarded funding for this project?

This information is used to permit the release of funds and to ensure proper reporting of research ethics approval to funding agencies. Please ensure the information in this table is correct.

No

2. Will this project receive funding from the US National Institute of Health (NIH)?

No

3. If you are a faculty member and have indicated above that you have applied for external funding, have you submitted a Research Application Summary Form to the Grants or Contracts unit in the Office of Research Services?

You must submit a research application summary form to the grants or contracts office every time you apply for external funding. Provide explanation, if you haven't done so.

Not applicable

Comments

D. Multi-jurisdictional research

1. Does the proposed research require Research Ethics Board (REB) approval from one (or more) of the institutions that are part of Research Ethics BC (REBC), listed below? If your answer is ‘yes’ or you are unsure, please STOP completing this form and contact HRE office as soon as possible.

Effective January 1, 2019, research ethics applications for all studies that involve UVic and one or more institutions listed below, must be submitted through the Provincial Research Ethics Platform (PREP), and can no longer be submitted through UVic-RAIS. If your study involves one or more institutions listed below, please contact HRE office ethics@uvic.ca, 250-472-4321 or 250-472-4545 for more information, before proceeding with the rest of the application.
Harmonization (a single coordinated review with the other institution(s) listed) may apply if you will be conducting research under the auspices of any of the institutions listed (involving staff, patients, health records, sites and/or recruitment through their sites, including recruitment via poster placement), as well as when members of your research team consist of faculty, staff and students from the BC institution(s) listed below. Please check with UVic HRE office if you are not sure whether your study will need to go through harmonized review.

No

a. If you answered "yes" to question D.1, please check all the REBC research ethics boards involved in this research

- ☐ University of Northern British Columbia
- ☐ University of British Columbia - Clinical Research Ethics Board (CREB)
- ☐ University of British Columbia - Behavioural Research Ethics Board (BREB)
- ☐ University of British Columbia - Okanagan
- ☐ BC Cancer Agency
- ☐ Children's and Women's Hospital
- ☐ Providence Health Care
- ☐ Simon Fraser University
- ☐ Island Health
- ☐ Fraser Health
- ☐ Interior Health
- ☐ Northern Health
- ☐ Vancouver Coastal Health
- ☐ First Nations Health Authority
- ☐ British Columbia Institute of Technology
- ☐ Thompson Rivers University
- ☐ Langara College
- ☐ Camosun College
- ☐ Kwantlen Polytechnic
- ☐ Royal Roads Univesity
- ☐ Vancouver Island University
- ☐ Douglas College

2. Does the proposed research require Research Ethics Board (REB) approval from other ethics board(s) not part of REBC?

Yes

a. List the other research ethics board(s) from which you or your research team members have sought approval or will seek approval
Please upload proof of having applied to other research ethics board(s), or forward approvals upon receiving them. Be assured that UVic ethics approval may be granted prior to receipt of other research ethics board approvals.

North Carolina State U.

Attach proof of having applied to other research ethics board(s)

Please forward approvals upon receiving them. Be assured that UVic ethics approval may be granted prior to receipt of other research ethics board approval(s).

3. If you have answered "yes" to question D.1 and/or D.2 above, please indicate your role in multi-jurisdictional research project (Check all that apply)
If you answered "Yes" to question D.1 please STOP completing this form and contact HRE office ethics@uvic.ca, 250-472-4321 or 250-472-4545 as soon as possible.

- ☑ Recruiting Participants
- ☑ Collecting data
- ☑ Analyzing data (with or without identifiers collected by you and/or your UVic research team members)
- ☐ Analyzing data that contain identifiers: data to be collected by non-UVic research team members as outlined in this application
- ☑ Analyzing data that does not contain identifiers: data to be collected by non-UVic research team members as outlined in this application
- ☑ Dissemination of results via publications, reports, conferences, internet, etc.
- ☐ Other

4. Additional information

E. Other approvals and consultations

1. If additional request(s) for permission/approval are required please complete the section below (check all that apply)

Other approvals and consultations	Yes, approval uploaded	Yes, will provide as received	No approval required
a. School district, superintendent, principal, teacher			☑
b. Health authorities outside BC involving staff, patients, health records, sites and/or recruitment through their sites (including recruitment via poster placement)			☑
c. Other regional government authority			☑
d. Community group (e.g. formal organization, informal collective)			☑
e. UVic Biosafety Committee approval			☑
f. Other approval			☑

Please upload proof of having made request(s) for permission or any permission/approval documents that you received. Please forward approvals upon receiving them. Be assured that ethics approval may be granted prior to receipt of external approvals.

Comments

F. Scholarly review

1. What type of scholarly review has this research project undergone?

- ☐ External peer review (e.g. granting agency)
- ☐ Supervisory committee or supervisor - required for all student research projects
- ☑ None
- ☐ Other

G. Researcher(s) qualifications

1. In light of your research methods, the nature of the research, and the characteristics of the participants, what training, qualifications, or personal experiences do the principal investigator, the principal applicant, and/or your research team members have?
E.g. research methods course, language proficiency, committee experience, training on the equipment to be used.

Previous experience with surveys; experience with artifact use in software engineering (SE).

2. Tri-Council Policy Statement - TCPS2 CORE Tutorial requirements
All UVic graduate students conducting research with human participants for their UVic project, thesis or dissertation are required to complete the Course on Research Ethics (CORE Tutorial) and provide evidence of ethics training by uploading a CORE completion certificate under this section.

List all current UVic graduate students (also listed under A.2 and A.3) involved in this research project for their UVic project, thesis or dissertation, and upload their Course on Research Ethics (CORE) tutorial certificate(s), if available. This CORE certification is required as of September 1, 2020 for new applications - see the human research ethics web page for more information.

Name	Email	Role in the project	CORE tutorial completion date

Comments

H. Research Involving the First Nations, Inuit and Métis Peoples of Canada

The TCPS2 (chapter 9) is designed to serve as a framework for the ethical conduct of research involving Aboriginal (including First Nations, Inuit and Métis) or Indigenous peoples, regardless of where they reside or whether or not their names appear on an official register. Its purpose is to ensure, to the extent possible, that research involving Indigenous peoples is premised on respectful relationships and encourages collaboration and engagement between researchers and participants.

This Policy acknowledges the role of the community in shaping the conduct of research that affects First Nations, Inuit, and Métis peoples. The nature and extent of community engagement should be determined through discussion with, and under the advisement of, the relevant community, taking into account relevant characteristics and protocols and the nature of the research.

The University of Victoria Indigenous Plan recognizes that research with Indigenous communities or involving Indigenous peoples must be conducted in a respectful and culturally appropriate manner, following protocols regarding entering community sites, engaging with communities, Elders and Knowledge Keepers, acknowledging cultural knowledge and cultural property, and disseminating research findings.

1. Conditions of the research

a. Will you be conducting research that is situated on any of the following kinds of lands or waterways: First Nation reserves, Indigenous settlements, Indigenous lands under self-government agreements, territories with Indigenous land claims agreements, or other lands designated by Federal, Provincial, or local governments as Indigenous territory?

No

b. Do any of the criteria for participation include belonging to an Indigenous nation, community, group of communities, or organization, including urban Indigenous populations?

No

c. Does the research seek input from participants regarding Indigenous cultural heritage, cultural practices, artifacts, Indigenous or traditional knowledges, or distinct characteristics of Indigenous experience or reality?

No

d. Will Indigenous identity or membership in an Indigenous community or group (e.g. Métis Nation) be used as a variable for the purposes of analysis?

No

e. Will the results of the research make specific reference to Indigenous communities, homelands and/or waterways, peoples, languages, histories or cultures?

No

2. Indigenous engagement

a. Processes and protocols for engagement differ across communities, organizations, committees, and groups, as well as across different research contexts. Describe the process that you have followed with respect to Indigenous engagement.

Include any documentation of collaboration (e.g. formal research agreement, letter of approval, email communications, advisory committee, mentorship, etc.) and the role or position of those consulted (e.g. Elder, Knowledge Holder, governing body, Chief, etc.), including their names, if appropriate.

n/a

b. Explain how Indigenous community members will be meaningfully involved throughout the research process, from research design to knowledge sharing.
Outline the plan, as developed with the community, for the outcomes of the research, including research data ownership, sharing, storage, and governance.

n/a

c. If you have answered "yes" to any of the questions in H.1 but have not yet engaged with the community, committee, organization, or group, please explain why not and outline how you plan to conduct a study that respects Indigenous communities and participants in the absence of prior engagement.

n/a

3. Comments

I. International research

1. Will this study be conducted in a country other than Canada?

Yes

Describe how the laws, customs and regulations of the host country will be addressed
Consider research Visas, local Institutional Research Ethics Board requirements, etc.

NC State IRB will be used for approval

J. Description of research project

1. Briefly describe in non-technical language

a. The research objective(s) and question(s)

We seek to understand how researchers re-use and reproduce artifacts from other papers to build new scientific discoveries.

b. The importance and contributions of the research

Science relies on evidence to derive inferences. This evidence has to date been hard to access and reproduce. We seek to understand how researchers are building on existing artifacts - such as source code, statistical methodologies, or datasets - in order to improve artifact discovery and attribution

c. If applicable, provide background information or details that will enable the Research Ethics Board to understand the context of the study when reviewing the application

Dr Menzies and myself have been running artifact panels at important conferences in order to encourage recognition of those who make research data and methods public.

K. Recruitment

1. Participant details

Provide details of your participants

a. Briefly describe the target population(s) for recruitment
Ensure that all participant groups are identified (e.g. group 1 - teacher, group 2 - administrators, group 3 - parents).

Our target population are authors of papers published at top software engineering conferences in 2020 (FSE, ICSE, ASE, ESEM)

b. Why is each population or group of interest?

These authors will have engaged in artifact reuse. Artifact reuse occurs when a paper author leverages a research method from another paper.

c. What are the salient characteristics of the participants for your study (e.g. age, gender, ethnicity, class, position, etc.)?
List all inclusion and exclusion criteria you are using.

Author of a conference paper at one of the conferences mentioned earlier. We will randomly select papers from each venue until we get 25 responses.

d. What is the desired number of participants for each group?

We estimate a response rate of 30%, therefore approximately 80 papers will be contacted. Each paper has multiple authors so we will be contacting up to 80*5 = 400 people.

2. Recruitment and process

Provide details of your recruitment process

a. List all source for information used to contact potential participants
E.g. personal contacts, listserves, publicly available contact information, etc. Clarify which sources will be used for which participant groups.

Each published paper must publish author emails. Published papers are a matter of public record in resources accessible to UVic and NC State.

b. List all methods of recruitment
E.g. in-person, by telephone, letter, snowball sampling, word-of-mouth, advertisement, etc. If you will be using "snowball" sampling, clarify how this will proceed (i.e. will participants be asked to pass on your study information to other potential participants?). Clarify which methods will be used for which participant groups.

Email exclusively to all authors of the paper.

c. If you will be using personal and/or private contact information to contact potential paticipants (as stated above), have the potential participants given permission for this, or will you use a neutral third party to assist you with recruitment?
Note that this is not a concern when public and/or business contact information is used.

n/a

d. Who will recruit/contact participants?
E.g. researcher, assistant, third party, etc. Clarify this for each participant group.

Researcher will send the email.

e. List and explain any relationship between the members of the research team (including third party recruiters or sponsors/clients of the research) and the participant(s) (e.g. acquaintances, colleagues)
Complete section 3 (Power relationship) if there is potential for a power relationship or a perceived power relationship (e.g. instructor-student, manager-employee, etc.). If you have a close relationship with potential participants (e.g. family member, friend, close colleague, etc.) clarify the safeguards that you will put in place to mitigate any potential pressure to participate.

We are all peers in the research community but there is no power relationship involved.

f. In chronological order (if possible) describe the steps in the recruitment process
Include how you will screen potential participants, where applicable. Consider where in the process permission of other bodies may be required.

We already have a dataset of the published papers. We will randomly sample 10 papers from each venue we have analyzed. For each paper we will extract the author email information. We will send the recruitment letter via email to the selected authors.

Please upload all the supporting documents relevant to the recruitment methods identified in this section
Examples of supporting documents: email recruitment script, poster, invitation letter, etc. Where draft versions are uploaded please ensure that final versions are submitted when available. If final versions differ significantly after you have obtained research ethics approval, you will need to submit a Request for Amendment.

Supporting documents

recruit.pdf *(Recruitment document, Name: recruitment v2, Version: v1)*; J 22, 2021

3. Power relationship (dual-role and power-over)

If you are completing this section, please refer to the guidelines for ethics in dual-role research for teachers and other practitioners and the TCPS2, article 3.1 and article 7.4.

Are you or any of your co-researchers in any way in a power relationship, including dual-roles, that could influence the voluntariness of a participant's consent? Could you or any of your co-researchers potentially be perceived to be in a power relationship by potential participants?
Examples of "power relationships" include teachers-students, therapists-clients, supervisors-employees and possibly researcher-relative or researcher-close-friend where elements of trust or dependency could result in undue influence.

No

L. Data collection methods

1. Data collection methods

Use the following sections in ways best suited to explain your project. If you have more than one participant group, be sure to explain which participant group(s) will be involved in which activity/activities or method(s).

a. Which of the following methods will be used to collect data? Check all that apply

- ☐ i) Interviewing participants
- ☑ ii) Administering a questionnaire or survey
  - ☐ In person
  - ☐ By telephone
  - ☐ Email
  - ☐ Mail back
  - ☑ Web-based

    Explain and provide the name of the web-based technology or technologies (e.g., SurveyMonkey), and see the U.S. Freedom Act advisory below.
    If using a web program (online surveys, video conferencing etc.) with a server located in the United States (e.g. SurveyMonkey), or if there are other reasons that the data will be stored in the US (e.g. use of US-based cloud technology, sharing data with US colleagues, etc.),you must inform participants that their responses may be accessed via the U.S. Freedom Act. Please add the following to the consent form(s): "Please be advised that this research study includes data storage in U.S.A. As such, there is a possibility that information about you that is gathered for this research study may be accessed without your knowledge or consent by the U.S. government, in compliance with the U.S. Freedom Act."

    We will use UVic's SurveyMonkey instance.

  - ☐ Other
- ☐ iii) Administering a computerized task (describe in section L.1b and/or upload documents)

Supporting documents

survey questions.pdf *(Data collection instrument, Name: survey, Version: v1)*; J 22, 2021

- ☐ iv) Observing participants. In section L.1b describe who and what will be observed. Include where observations will take place. If applicable, upload an observational collection sheet for review.
- ☐ v) Recording of participants and data

Refers to information/data that was originally gathered for a purpose other than the proposed research and is now being considered for use in research (e.g. patient or school records, personal writings, lesson plans, etc.).

- ☐ vi) Using human samples (e.g. saliva, urine, blood, hair)

☐ vii) Using specialized equipment/machines (e.g. ultrasound, EEG, prototypes, etc.) or other (e.g. testing instruments that are not surveys or questionnaires)

☐ viii) Using other testing equipment not captured under other categories

E.g. artifacts, paintings, drawings, photos, slides, art, journals, writings, etc.

☐ ix) Collecting materials supplied by, or produced by, the participants

Refers to information/data that was originally gathered for a purpose other than the proposed research and is now being considered for use in research (e.g. patient or school records, personal writings, lesson plans, etc.).

☐ x) Analyzing secondary data or secondary use of data

☐ xi) Other

b. Provide a sequential description of the procedures/methods to be used in your research study
Be sure to provide details for all methods checked in section L.1. Clarify which procedures/methods will be used for each participant group. Indicate which methods, if any, will be conducted in a group setting. List all of the research instruments and interview/focus group questions, and append copies (if possible) or detailed descriptions of all instruments. If not yet finalized, provide drafts or sample items/questions..

If using a web program (online surveys, video conferencing etc.) with a server located in the United States (e.g. SurveyMonkey), or if there are other reasons that the data will be stored in the US (e.g. use of US-based cloud technology, sharing data with US colleagues, etc.),you must inform participants that their responses may be accessed via the U.S. Freedom Act. Please add the following to the consent form(s): "Please be advised that this research study includes data storage in U.S.A. As such, there is a possibility that information about you that is gathered for this research study may be accessed without your knowledge or consent by the U.S. government, in compliance with the U.S. Freedom Act."

The recruitment document will include a link to the surveymonkey form. The consent form will be linked to the recruitment email and to the survey itself. The survey itself will show the identified paper, and ask the respondent to agree/disagree with our characterization of the artifact re-use in that paper.

c. Where will participation take place for each data collection method/procedure?
Provide specific location (e.g. UVic classroom, private residence, participant's workplace). Clarify the locations for each participant group and/or each data collection method.

online

d. For each method, and in total, how much time will be required of participants?
Clarify this for each participant group, each data collection method, and any other research related activities.

5 minutes is anticipated.

e. Will participation take place during participants' office work/hours or instructional time?

No

2. Data collection materials checklist

Data collection methods checklist

☐ Standardized instrument

☑ Survey

☐ Questionnaire

☐ Interview and/or focus group questions

☐ Observation protocols

☐ Other

Please make sure that you have uploaded all the documents relevant to this section. Add any other documents that you think may be relevant to this section.
Where draft versions are appended please ensure that final versions are submitted when available. If final versions differ significantly after you have obtained research ethics approval, you will need to submit a Request for Modification.

M. Possible benefits, inconveniences, and risks of harm to participants

1. Benefits

Identify any potential or known benefits associated with participation and explain below
Keep in mind that the anticipated benefits should outweigh any potential risks.

- ☑ To the participants
- ☑ To society
- ☑ To the state of knowledge

Please explain

Participants will learn about how we characterize artifact use in their paper. Characterizing re-use will enable our peer group of researchers to design better tools and incentive mechanisms for open science.

2. Inconveniences

Identify and describe any known or potential inconveniences to participants
Consider all potential inconveniences, including total time devoted to the research.

None other than 5 mins of time.

3. Level of risk

The TCPS 2 article 6.12 definition of "minimal risk research" is as follows: 'Research in which the probability and magnitude of possible harms implied by participation in the research is no greater than those encountered by the participant in those aspects of their everyday life that relate to the research.'

Based on this definition, do you believe your research qualifies as 'minimal risk research'?

Yes

Explain your answer with reference to the risks of the study and the vulnerability of the participants

no PII collected, no time commitment

4. Estimate of risks of harm

Consider the inherent foreseeable risks associated with your research protocol and complete the table below by selecting the options that best fit the potential risks listed below. Be sure to take into account the vulnerability of your target population(s) if applicable.

Potential risks of harm	Very unlikely	Possibly	Likely
a. Emotional or psychological discomfort, such as feeling demeaned or embarrassed due to the research	☑		
b. Fatigue or stress	☑		
c. Social risks, such as stigmatization, loss of status, privacy and/or reputation	☑		
d. Physical risk such as falls	☑		
e. Economic risks (e.g. job security, salary loss, etc.)	☑		
f. Risk of incidental findings (see article 3.4 of the TCPS 2 for more information)	☑		
g. Other risks	☑		

If other risks, please specify

5. Possible risks of harm

If you indicated in item 4 (a) to (g) that any risks of harm are possible or likely, please explain below

a. What are the risks?
I.e. elaborate on risks you have identified above.

n/a

b. What will you do to try to minimize, mitigate, or prevent the risks?

n/a

c. How will you respond if the harm occurs?
I.e. what is your plan?

n/a

d. If you have indicated that there is a risk of incidental findings in item 4 (f), please outline your proposed protocol for information and /or action

n/a

e. If one of your participant groups could be considered vulnerable, please describe any specific considerations you have built into the protocol to address this

n/a

6. Risk to researcher(s)

Does this research study pose any risks to the researchers, assistants and data collectors?

No

7. Deception

Will participants be fully informed of everything that will be required of them prior to the start of the researcher session?

Yes

If not, complete the Request to use Deception form on the ORS website

N. Incentives, reimbursement and compensation

1.Is there any incentive, monetary or otherwise, being offered for participation in the research (e.g. gifts, honorarium, course credits, etc.)?

No

2. Is there any reimbursement or compensation for participating in the research (e.g. for transportation, parking, childcare, etc.)?

No

3. Explain what will happen to the incentives, reimbursement or compensation if participants withdraw during data collection or any time thereafter
E.g. compensation will be pro-rated, full compensation will be given, etc.

n/a

O. Free and informed consent

Consent encompasses a process that begins with initial contact and continues through to the end of the research process.
Consult article 3.2 of the TCPS 2 and appendix V of the guidelines for further information.

1. Participant's capacity (competence) to provide free and informed consent

Capacity refers to the ability of prospective or actual participants to understand relevant information presented about a research project, and to appreciate the potential consequences of their decision to participate or not participate. See the TCPS 2, chapter 3, section C, for further information.

Identify your potential participants (check all that apply)

a. Competent

- [x] i) Competent adults
- [ ] ii) A protected or vulnerable population (e.g. inmates, patients)
- [ ] iii) Competent youth aged 13 to 18
- [ ] iv) Competent children under 13 (who are able to provide fully informed consent)

b. Non-competent

- [ ] i) Non-competent adults
- [ ] ii) Non-competent youth
- [ ] iii) Non-competent children (young children and/or children with limited abilities to provide fully informed consent)

2. Means of obtaining and documenting consent and/or assent:

Check all that apply
When completing this section make sure that you consider all of your participant groups, upload copies of relevant materials and complete section O3.

- [ ] Signed consent
- [ ] Verbal consent
- [x] Letter of information for implied consent (e.g. anonymous, mail back or web-based survey)

  Upload information letter in section O.5 or section S - see template.
- [ ] Signed or verbal assent for non-competent participants
- [ ] Other means
- [ ] Consent will not be obtained
- [ ] Signed consent from the parents/guardians for youth/child participants
- [ ] Information letters for the parents/guardians of youth/child participants

3. Informed consent

Describe the exact steps (chronological order) that you will follow in the process of explaining, obtaining, and documenting informed consent
Ensure that consent procedures for all participant groups are identified (e.g. group 1 - teachers, group 2 - parents, group 3 - students). Be sure to indicate when participants will first be provided with the consent materials (e.g. prior to first meeting with the researcher?). If consent will not be obtained, explain why not with reference to the TCPS 2 articles 3.5 and 3.7.

The information letter will be linked in the email, and will also appear on the first page of the survey. Continuing with the survey will imply consent.

4. Ongoing consent

Will your research occur over multiple occasions or an extended period of time (including review of transcripts)?

No

5. Participant's right to withdraw

Article 3.1 of the TCPS 2 states that participants have the right to withdraw at any time and can withdraw their data and human biological materials.

a. Describe what participants will be told about their right to withdraw from the research at any time (i.e., who to contact and how)
If compensation is involved, explain what participants will be told about compensation if they withdraw. If you have different participant groups and/or different data collection methods, clarify the different procedures for withdrawing as necessary.

Consent form mentions they can withdraw at any time.

b. What will happen to a person's data if they withdraw part way through the study or after the data have been collected/submitted?
If applicable, include information about visual data such as photos or videos. If you have different participant groups and/or different data collection methods, clarify the different procedures for withdrawing as necessary. Ensure this information is included in the consent documents.

- ☐ Participant will be asked if they agree to the use of their data
- ☑ It will not be used in the analysis and will be destroyed
- ☐ It is logistically impossible to remove individual participant data (e.g. anonymously submitted data)
- ☐ When linked to group data (e.g. focus group discussions), it will be used in summarized form with no identifying information

Please make sure that you have uploaded all the documents relevant to this section. Add any other documents that you think may be relevant to this section.
Where draft versions are appended please ensure that final versions are submitted when available. If final versions differ significantly after you have obtained research ethics approval, you will need to submit a Request for Modification.

Supporting documents

Consent-uvic.pdf *(Consent/assent form, Name: consent, Version: v1)*; J 22, 2021

P. Anonymity and confidentiality

1. Anonymity

Anonymity means that no one, including the principal investigator, is able to associate responses or other data with individual participants.

a. Will the participants be anonymous in the data gathering phase of research?

No

b. Will the participants be anonymous in the dissemination of results (be sure to consider use of video, photos)?

Yes

2. Confidentiality

Confidentiality means the protection of the person's identity (anonymity) and the protection, access, control and security of their data and personal information during the recruitment, data collection, reporting of findings, dissemination of data (if relevant) and after the study is completed (e.g. storage). The ethical duty of confidentiality refers to the obligation of an individual or organization to safeguard entrusted information. The ethical duty of confidentiality includes obligations to protect information from unauthorized access, use, disclosure, modification, loss or theft.

a. Are there any limits to protecting the confidentiality of participants?

No, confidentiality of participants and their data will be completely protected

b. If confidentiality will be protected, describe the procedures to be used to ensure the anonymity of participants and for preserving the confidentiality of their data (e.g. pseudonyms, changing identifying information and features, coding sheet, etc.)
If you will use different procedures for different participant groups and/or different data methods be sure to clarify each procedure.

Since the respondent is an author of the research paper, it is possible to be pretty certain who they are (one of X authors of Paper Y). Thus, we do not ask which author is responding, and we only record the result per paper in our dataset. When we release the data, we will only release aggregated data that reports which percentage of papers for a given conference and given reuse type agreed/disagreed with our assessment.

c. If there are limits to confidentiality indicated in section P.2.a, explain what the limits are and how you will address them with the participants

If there are different procedures for different participant groups and/or different data collection methods, be sure to clarify each procedure.

n/a

Q. Use and disposal of data

1. Use(s) of data

a. What use(s) will be made of all types of data collected (field notes, photos, videos, audiotapes, transcripts, etc.)?

We use the results to do member-checking/validation of our own analysis of the types of reuse in that paper (i.e., do the authors agree with our assessment).

b. Will your research data be analyzed, now or in future, by yourself for purposes other than this research project?

No

c. Will your research data be analyzed, now or in future, by other persons for purposes other than explained in this application?

No

2. Commercial purposes

Do you anticipate that this research will be used for a commercial purpose?

No

3. Maintenance and disposal of data

Describe your plans for protecting data during the project, and for preserving, archiving, or destroying all the types of data associated with the research (e.g. paper records, audio or visual recordings, electronic recordings, coded data) after the research is completed:

a. Means of storing and securing data
E.g. encryption, password protected computer files, locked cabinet, separation of key codes from raw data etc.

We store the data on UVic servers in an archive. The aggregated results (% in agreement per research reuse type) will be hosted on Zenodo or Figshare.

b. Location of storing data
Include location of data-storage servers if using web-based technology.

Uvic research cloud and Zenodo (EU)

c. Duration of data storage
If data will be kept indefinitely, explain why this is necessary and state whether the data will contain identifiers or links to identifiers.

duration of the project for the detailed data; indefinitely for open science reasons for the aggregated data.

d. Methods of destroying or archiving data
If archiving data, please describe measures to secure or protect the data. If the archiving will involve a third party (e.g. library, community agency, Aboriginal band, etc.) please provide details.

use UVic cloud authentication

4. Dissemination

How do you anticipate disseminating the research results? (check all that apply)

- ☐ Thesis/dissertation/class presentation
- ☑ Presentations at scholarly meetings
- ☐ Internet (students: most UVic theses are posted on 'UVicSpace' and can be accessed by the public)

- ☐ Media (e.g. newspaper, radio, TV)
- ☐ Directly to participants and/or groups involved
- ☑ Published article, chapter or book
- ☐ Other

R. Conflict of interest

1. Apart from a declared dual-role relationship (section K.3), are you or any of the research team members in a perceived, actual or potential conflict of interest regarding this research project (e.g. partners in research, private interests in companies or other entities)?

No

S. List of uploaded documents

Review the document requirements list and the uploaded documents to ensure that you have all the applicable documents. Make sure to remove all duplicates. Upload appendices as individual documents, instead of clustering appendices under one attachments. Incomplete applications and applications with incorrectly uploaded appendices will not be reviewed. You will be notified in this case.

App. version	Section	Descriptive name	File name	Type of document	Date uploaded	File version
V0.1	K.	recruitment v2	recruit.pdf	Recruitment document	22-Jun-2021 5:30:46 PM	v1
V0.1	L.	survey	survey questions.pdf	Data collection instrument	22-Jun-2021 5:32:04 PM	v1
V0.1	O.	consent	Consent-uvic.pdf	Consent/assent form	22-Jun-2021 7:24:13 PM	v1

T. Signatory/Departmental sign-off

Select the Chair/Director/Dean or their designate to sign-off on this application for submission. Once signed-off, the application will be submitted to the Human Research Ethics Board for review.

By signing-off the application, the signatory is affirming that adequate research infrastructure is available for the conduct and completion of this research project.

Signatory name

Sudhakar Ganti