

# **BC-Alberta Social Economy Research Alliance (BALTA)**

## **Ethical Review – Simplified**

The information included in this document is not meant to replace the Ethics Policy document, but is meant to provide a simple outline regarding the process required for completing an ethical review if you are **doing research with human subjects** in your BALTA project.

The minimum 'need to know' information about the ethical review process can be found on this one page. The additional pages are templates or samples of research tools to assist you. Please read at least this one page and ensure you comply with the requirements. **Failure to comply could have serious consequences for your research and for the project as a whole.**

All research conducted under BALTA's auspices must conform to ethical research standards if research includes human subjects. Royal Roads University (RRU) has been designated as the responsible institution for BALTA ethical reviews.

RRU has completed a 'global' ethical review for the BALTA project and has established a straightforward review process for research projects taking place under the BALTA umbrella. **RRU does not require a full ethical review for each research project** connected to BALTA, but does require:

- a description of the research project
- copies of all research tools to be used in the research project

Typical research tools include:

- Letter of Invitation
- Informed consent form
- Interview questions

These must be received a minimum of **two weeks PRIOR** to commencing any research activities with human subjects. This allows for the Office of Research at RRU to identify any issues requiring clarification or adjustment before research activities get underway.

Researchers are encouraged to submit their research proposals and research tools as soon as possible to avoid delays in starting their research.

**In some cases**, individual academic institutions and community-based organizations may have their own requirements for ethical review and project approval, which have to be met. Researchers are responsible for ensuring that all requirements have been met.

In circumstances where you are contacting other individuals in an effort to identify partners for your research and developing relationships, this is not actual research and does not require submission. However, if after that point you develop interview questions etc., then you must follow this ethical review process. **Please also note that signed informed consent forms must be kept on file both for the duration of the research process and after the research is completed.**

To receive further information about the ethical review process or to submit research tools for review, contact: Stuart Wulff, BALTA Coordinator: [balta@xplornet.com](mailto:balta@xplornet.com)  
Tel: 250-723-2296

## APPENDICES – TEMPLATES

**BALTA**  
**(project title)**

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### Letter of Invitation

Date

Dear [Prospective Participant],

I would like to invite you to be part of a research project that I am conducting. This project is part of the British Columbia-Alberta Research Alliance on the Social Economy (BALTA). My name is \_\_\_\_\_ and I am a \_\_\_\_\_ student at \_\_\_\_\_ University in \_\_\_\_\_ and a Researcher with BALTA. My credentials can be established by calling my supervisor, \_\_\_\_\_ at the \_\_\_\_\_ (organization, centre) \_\_\_\_\_ at (telephone number).

The objective of this research project is to

\_\_\_\_\_. In addition to submitting my final report to BALTA, I will also be sharing the research findings through journal articles and conference presentations (as appropriate).

The research will consist of (i.e., semi-structured interviews) and is foreseen to last approximately \_\_\_\_\_ minutes. The interview will include questions on \_\_\_\_\_.

Your name was chosen as a prospective participant because of your involvement in \_\_\_\_\_.

Information will be recorded in hand-written as well as audio-recorded format and, where appropriate summarized, in anonymous format, in the body of the final report. At no time will any specific comments be attributed to any individual unless your specific agreement has been obtained beforehand. All documentation will be kept strictly confidential.

A copy of the final report will be published and housed with BALTA. You can obtain a copy of the final report either by contacting myself at the contact information provided below or the BALTA Coordinator, Stuart Wulff at: [balta@xplornet.com](mailto:balta@xplornet.com) or 250-723-2296.

Please feel free to contact me at any time should you have additional questions regarding the project and its outcomes.

You are not compelled to participate in this research project. If you do choose to participate, you are free to withdraw at any time without prejudice. Similarly, if you choose not to participate in this research project, this information will also be maintained in confidence.

If you would like to participate in my research project, please contact me at:

**Name**  
**e-mail**  
**phone**

Sincerely,

\_\_\_\_\_  
BALTA Researcher

**BALTA**  
**(project title)**

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### Participant Consent Form

My name is \_\_\_\_\_, and this research project is part of the British Columbia-Alberta Research Alliance on the Social Economy (BALTA). I am a \_\_\_\_\_ student at \_\_\_\_\_ University in \_\_\_\_\_ (location) and a Researcher with BALTA. My credentials can be established by calling my supervisor, \_\_\_\_\_ at the \_\_\_\_\_ (organization, research centre, etc.) at (phone number).

This document constitutes an agreement to participate in this research project, the objective of which is to

\_\_\_\_\_.

The research will consist of (i.e., semi-structured interviews) and is foreseen to last approximately (time). The interview will include questions on

\_\_\_\_\_.

Information will be recorded in hand-written as well as audio-recorded format and, where appropriate summarized, in anonymous format, in the body of the final report. At no time will any specific comments be attributed to any individual unless your specific agreement has been obtained beforehand. All documentation will be kept strictly confidential.

A copy of the final report will be published and housed with BALTA. You can obtain a copy of the final report either by contacting myself at the contact information provided below or the BALTA Coordinator, Stuart Wulff at: [balta@xplornet.com](mailto:balta@xplornet.com) or 250-723-2296.

You are not compelled to participate in this research project. If you do choose to participate, you are free to withdraw at any time without prejudice. Similarly, if you choose not to participate in this research project, this information will also be maintained in confidence.

By signing this letter, you give free and informed consent to participate in this project.

Name: (Please Print): \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

## Sample Interview Question Set from Nova Scotia Case Study

**BALTA Case Study  
Nova Scotia Co-operative Development**

**Lena K. Soots (PhD Candidate, SFU)  
BALTA Researcher**

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### Warm up Questions

1. Name and organizational affiliation.
2. Tell me what you think is most important for me to understand about your organization and its role in co-operative development in Nova Scotia
3. How long have you been involved or working in the co-op sector in Nova Scotia? In what capacities?
4. What makes Nova Scotia different from other provinces that would lead to an especially active and developed co-op sector?

### Development Finance

5. How is co-op development financed? Who are the major players in the financing of the co-op sector?
6. Tell me about some of the financial innovations that have been set up in order to support co-op development in Nova Scotia.
  - Short Term Equity Fund
  - Small Business Financing / Loan Guarantee Program
  - Community Economic Development Investment Funds (CEDIF)
  - Other financing tools?
7. How is equity capital used to build the co-operative development system? How is equity leveraged?
8. For your credit programs in support of co-ops, what are the terms and conditions for receiving loans? What has been the loan performance and payback? How would you evaluate the success of the programs from a development finance perspective?

### Human Resources

9. Are there any obvious leaders in the co-op sector in Nova Scotia? Who are they? What are their roles? (formal as well as informal leaders)
10. Who are the main players involved in the support, administration and operation of the co-operative development system?
11. Beyond existing leadership, are new leaders emerging? Is leadership in the co-op sector fostered or developed in any way?
12. How is management capacity within the co-op sector developed?

13. Co-operative enterprises and co-operative development systems are, of course, based on membership. What roles do members (individuals and member co-ops) play in building the co-op sector?

### **Planning, Advocacy & Research**

14. Who are the most significant advocates for further co-op development or support for co-op development (to government and policy makers or to businesses)? And what exactly have they done?
15. Could you point to any people who specifically charged with responsibility for strategic and long term planning for the sector?
16. Is there any research being conducted to support and inform the sector? Can you tell me more about this?

### **Policy & Governance**

17. What has been the political environment that has supported (or interfered with) the evolution of the Nova Scotia co-operative system?
18. Has the relevant political environment changed in the past 10 years so as to affect the co-op sector and co-op development in the province?
19. Are there any key supportive policies that have been developed?
20. How has planning, leadership, advocacy and management responded and adapted to changing political environments?
21. What agreements or memorandums of understanding have been made with government (federal, provincial, regional) to facilitate co-op development?
22. How are relationships with government maintained and strengthened?

### **Community Economic Development**

23. What have been the chief economic outcomes of co-operative development for communities around the province?
24. How are such outcomes measured or otherwise identified?

### **Accountability and Evaluation**

25. How has the co-op sector established credibility within the province?
26. What, if any, specific evaluation activities have been undertaken within the co-op sector? How have these been used and communicated? What have been the results, if any?

## **Wrap Up & Additional Information**

27. What have been some of the major challenges or obstacles in developing the co-operative sector in Nova Scotia? How were they overcome or addressed?
28. In your opinion, who are the key actors in the Nova Scotia co-operative development system?
29. Do you yourself have a specific vision for co-operative development in Nova Scotia for the future?
30. Is there anything else you would like to add or that you think is important in terms of understanding co-op development in Nova Scotia?