UNIVERSITY OF TORONTO

Office of the Vice-President, Research and Innovation

Human Research Ethics Program

Office Use Only Application Number:

ETHICS REVIEW APPLICATION FORM – FACULTY

(For use by University of Toronto Faculty Researchers only)

Before you start, familiarize yourself with:

TCPS2
Application instructions
Office FAQs

SECTION A – GENERAL INFORMATION

1. TITLE OF RESEARCH PROJECT

WISE Project for Training At-Risk Youth

2. INVESTIGATOR INFORMATION

Principal Investigator (must be a UofT faculty member with research privileges):

Title (e.g., Dr., Ms., etc.): Dr.	Name: Jack Quarter
Department: Leadership, Higher and Adult Education	
Mailing address: OISE, 252 Bloor St. West, Toronto M5S 1V6	
Phone: 416 978 0820	Institutional e-mail: jack.quarter@utoronto.ca

Alternate Contact (e.g., Research Coordinator):

Title: Dr.	Name: Andrea Chan
Phone: 416 668 1743	Institutional e-mail: Andrea Chan <andreanw.chan@mail.utoronto.ca>

Co-Investigators:

Are co-investigators involved? Yes ☑ No ☐

Title: Dr.	Name: Andrea Chan
Department (or organization if not affiliated with U of T)	
Mailing address: OISE, 252 Bloor St. West, Toronto M5S 1V6	
Phone: 416 668 1743	Institutional e-mail: Andrea Chan <andreanw.chan@mail.utoronto.ca>

Title: Dr.	Name: Kunle Akingbola
Department (or organization if not affiliated with U of T): Lakehead University	
Mailing address: Faculty of Business Administration, Lakehead University, 500 University Ave, Orillia, ON, L3V 0B9, Canada	
Phone: 705-330-4008 x2625	Institutional e-mail: kakingbola@lakeheadu.ca

Title: Dr.	Name: Jennifer Sumner
Department (or organization if not affiliated with U of T): Leadership, Higher and Adult Education	
Mailing address: OISE, 252 Bloor St. West, Toronto M5S 1V6	
Phone: 416 978 0784	Institutional e-mail: jennifer.sumner@utoronto.ca

Title: Dr.	Name: Marcelo Vieta
Department (or organization if not affiliated with U of T): Leadership, Higher and Adult Education	
Mailing address: OISE, 252 Bloor St. West, Toronto M5S 1V6	
Phone: 416.978.0515	Institutional e-mail: <marcelo.vieta@utoronto.ca>

Title: Dr.	Name: Laurie Mook
Department (or organization if not affiliated with U of T): Arizona State University	
Mailing address:	
Phone:	Institutional e-mail:

Please append additional pages with co-investigators' names if necessary. SEE ATTACHMENT

3. UNIVERSITY OF TORONTO RESEARCH ETHICS BOARD:

Social Sciences, Humanities and Education ☑ Health Sciences ☐ HIV/AIDS ☐

To determine which Research Ethics Board (REB) your application should be submitted, please consult: http://www.research.utoronto.ca/about/boards-and-committees/research-ethics-boards-reb/

4. LOCATION(S) WHERE THE RESEARCH WILL BE CONDUCTED:

(a) If the research is to be conducted at a site requiring administrative approval/consent (e.g., in a school), please include all administrative consent letters. It is the responsibility of the researcher to determine what other means of approval are required, and to obtain approval prior to starting the project.

University of Toronto ☑
Hospital ☐ specify site(s)
School board or community agency ☐ specify site(s)
Community within the GTA ☐ specify site(s)
International ☐ specify site(s)
Other ☑ specify site(s)

(b) For all off-campus research, whether in the local community or internationally, the researcher should consult with the Framework on Off-Campus Safety, Guidelines on Off-Campus Safety, and Guidelines on Safety in Field for institutional requirements.

(c) **The University of Toronto has an agreement with the Toronto Academic Health Sciences Network (TAHSN) hospitals regarding ethics review of hospital-based research where the University plays a peripheral role. Based on this agreement, certain hospital-based research may not require ethics review at the University of Toronto. If your research is based at a TAHSN hospital, please consult the following document to determine whether or not your research requires review at the University of Toronto.** http://www.research.utoronto.ca/faculty-and-staff/research-ethics-and-protections/humans-in-research/ - "Administrative review" heading toward the bottom of the page.

5. OTHER RESEARCH ETHICS BOARD APPROVAL(S)

(a) Does the research involve another institution or site? Yes ☐ No ☑

(b) Has any other REB approved this project? Yes ☐ No ☑
If **Yes**, please provide a copy of the approval letter upon submission of this application.
If **No**, will any other REB be asked for approval?
Yes ☐ (please specify which REB) No ☑

6. FUNDING OF THIS PROJECT

(a)

Funding Status	Source and Type	Details
Funded ☑	Agency: Employment and Social Development Canada	Fund #: (6 digits)
	Agency:	Fund # :4 (6 digits)
Applied for funding ☐	Agency:	Submission date:
	Agency:	Submission date:
Unfunded ☐ If unfunded, please explain why no funding is needed:		

7. CONTRACTS AND AGREEMENTS

(a) Is this research to be carried out as a contract or under a research agreement? Yes ☑ No ☐

If yes, is there a University of Toronto funding or non-funded agreement associated with the research?
Yes ☑ No ☐
If **Yes,** please append a copy of the agreement with of this application.

Is there any aspect of the contract that could put any member of the research team in a potential conflict of interest? Yes ☐ No ☑
If yes, please elaborate under #10.

(b) Is this a Division 5, Health Canada regulated clinical trial that involves drugs, devices or natural health products?
Yes ☐ No ☑ (if so, the application must be reviewed by the full board)

8. PROJECT START AND END DATES

Estimated start date for the component of this project that involves human participants or data: **July 1, 2017**
Estimated completion date of involvement of human participants or data for this project: **March 31, 2022**

9. SCHOLARLY REVIEW:

(a) Please check one:

I. ☑ The research has undergone scholarly review by thesis committee, departmental review committee, peer review committee or some other equivalent (Specify review type – e.g., departmental research committee, supervisor, CIHR, SSHRC, OHTN, etc.): **Employment and Social Development Canada**

II. ☐ The research will undergo scholarly review prior to funding
(Specify review committee – e.g., departmental research committee, SSHRC, CIHR peer-review committee, etc.):

III. ☐ The research will not undergo scholarly review (Please note that all research greater than minimal risk requires scholarly review)

(b) If box I or II above was checked, please specify if:

☑ The review was/will be specific to this application

☐ The review was/will be part of a larger grant

10. CONFLICTS OF INTEREST

(a) Will the researcher(s), members of the research team, and/or their partners or immediate family members:
(i) Receive any personal benefits (e.g., financial benefit such as remuneration, intellectual property rights, rights of employment, consultancies, board membership, share ownership, stock options, etc.) as a result of or in connection with this study? Yes ☐ No ☑
(ii) If **Yes**, please provide further details and discuss how any real, potential or perceived conflicts of interest will be managed during the project. (Do not include conference and travel expense coverage, or other benefits which are considered standard for the conduct of research.)

N/A

(b) Describe any restrictions regarding access to or disclosure of information (during or at the end of the study) that have been placed on the investigator(s). These restrictions include controls placed by the sponsor, funding body, advisory or steering committee.

There are no restrictions

(c) Where relevant, please explain any pre-existing relationship between the researcher(s) and the researched (e.g., instructor-student; manager-employee; clinician-patient; minister-congregant). Please pay special attention to relationships in which there may be a power differential – actual or perceived.

N/A

SECTION B – SUMMARY OF THE PROPOSED RESEARCH

11. RATIONALE

Describe the purpose and scholarly rationale for the proposed project. State the hypotheses/research questions to be examined. The rationale for doing the study must be clear. Please include references in this section.

I. Rationale

With the growing interest in market-based solutions to social problems, work integration social enterprises (WISEs) have emerged across Canada and internationally that are designed to integrate into the workforce members of marginalized social groups (e.g., people with serious disabilities, youth with limited schooling and job training, ex-offenders, and people marginalized because of race or recent immigration). Some WISEs employ people on disability pensions, often allowing them to supplement their income and experience social benefits; others are training organizations, primarily for at-risk youth or recent immigrants, as they struggle for workforce integration. WISEs often are initiated by a parent non-profit that supports them in various ways such as providing space, administration, and management (Chan, Ryan & Quarter, 2016; Quarter, Ryan & Chan, 2015). They also may be assisted by social procurement arrangements with government agencies and business corporations, meaning that

their services are purchased not simply for economic reasons such as price and quality but also for social reasons such as a commitment to an organization's social goals (Barraket & Weissman, 2009; LePage, 2014; Quarter, Mook, & Armstrong, in press). A large investment is being made in WISEs by governments and by parent non-profits, but research has not clearly demonstrated whether this investment is paying off over time or among certain participant groups. This proposal – the **WISE Project for Training At-Risk Youth --** will address these gaps among WISEs that train at-risk youth (ages 18 to 29, unemployed and with incomplete high school or professional training) for workforce integration.

Cross-sectional research has shown that WISEs can have a positive effect with respect to building human capital (work skills) and social capital, but less so for their economic impact. Put differently, the participants in these enterprises develop in many ways, but their economic gains (income, jobs) appear to be modest (Mook, Maiorano, Ryan, Armstrong, & Quarter, 2015; Quarter, Ryan, & Chan, 2015). However, none of this research has examined outcomes over time: For WISEs that are designed to train at-risk youth for the workforce, we need to track progress longitudinally to see whether the participants obtain *and maintain* jobs and an increased income, something that sponsoring non-profit organizations are unable to do comprehensively due to limited resources. Although these program outcomes may not be reached immediately for each participant, over time they should be if the program is achieving its objectives. The measures of value are not, however, limited to these economic benefits. Participants' perception of their well-being and their socio-cultural learning, that is, what they have learned from their experiences in the training program and in subsequent workforce integration are also important measures of program success over time. Thus, the proposed he **WISE Project for Training At-Risk Youth** aims to assess whether WISEs that train at-risk youth are achieving their goals. Using a sample from Ontario, we will address this aim through the following **research objectives,** one of which focuses on the individual trainees of WISEs and the other on the organizational level.

II. Research Objectives:

1. Clarify, through longitudinal tracking, the extent to which WISEs training at-risk youth for workforce integration are achieving this goal, *considering both economic and social outcomes*. In fulfilling this objective, the study will fill a major gap in the existing research and create a data base, not identifying either individuals or organizations, which could be extended beyond the current 5-year study.

2. Assess whether the return (economic and social) is commensurate with the investment using social accounting.

This highly original research will provide evidence that bears directly on government policy. It is important to determine whether WISEs that train at-risk youth are achieving their goals, given the policy and programming investments by governments and non-profits. By clarifying if the short-term social and learning gains identified in prior research are sustained, or if economic and social benefits increase over time, we can determine if improvements need to be made to best support at-risk youth. The proposal's remaining presentation is as follows: continuation of the rationale through a discussion of existing research on the impact of WISEs on marginalized social groups and related conceptual frameworks; planned study design including methodology, sampling, measures, and data analysis; work plan; estimated budget; profile of the WISE partners and research team; and building sector capacity.

References

Barraket, J. & Weissman, J. (2009). Social procurement and its implications for social enterprise: A literature review. Working Paper No. CPNS 48. Retrieved 05 Sept. 2016 from http://eprints.qut.edu.au/29060/1/Barraket_and_Weissmann_2009_Working_Paper_No_48_Final.pdf.

Chan, A., Ryan, S., & Quarter, J. (2016). Supported social enterprise: A modified social welfare organization. *Nonprofit and Voluntary Sector Quarterly*, 1-19. DOI: 10.1177/0899764016655620.

LePage, D. (2014). Exploring social procurement. Vancouver: Accelerating Social Impact CCC. Retrieved 25 June 2016 from file:///D:/Documents/DOC/RESEARCH/SSHRCPartnershipDevelopmentGrant/ArticleLepageExploring-Social-Procurement_ASI-CCC-Report.pdf.

Quarter, J. Mook, L., & Armstrong, A. (2009). *Understanding the social economy: A Canadian perspective*. Toronto: University of Toronto Press.

Quarter, J. Mook, L., & Armstrong, A. (in press). *Understanding the Social Economy: A Canadian Perspective* (2nd edition). Toronto: University of Toronto Press.

Quarter, J., Ryan, S., & Chan, A. (Eds.). (2015). *Social purpose enterprises: Case studies for social change*. Toronto: University of Toronto Press.

12. METHODS

(a) Please describe all formal and informal procedures to be used. Describe the data to be collected, where and how they will be obtained and how they will be analyzed.

Methodological Overview: This project involves a partnership between an academic team and seven community partner organizations, non-profit community organizations with a WISE that trains at-risk youth for the workforce. The academics, to be profiled in the team section below, are researchers from the Centre for Learning, Social Economy & Work (CLSEW) at the University of Toronto, including two from other universities who have affiliated arrangements. If funded, the study will have a three-month organizing period needed to obtain approval through the University of Toronto's ethics process and to meet with the partner organizations to finalize the research procedures. The procedure established with each WISE will consist of recruiting program participants during their initial training intake to collect baseline information on their financial and social wellbeing. The recruitment phase will span approximately one year and 3 months, and participants will be followed subsequently for a total of 3 years. These longitudinal data will be collected from the at-risk youth that WISEs train to determine if they are being integrated into the workforce (obtaining jobs and a higher income) and experiencing social benefits (as discussed below). The overall approach will be mixed-methods in stages starting with a survey and followed by a semi-structured interview (Creswell & Plano Clark, 2007), as to be elaborated in greater detail below.

Establishing a Sample: A convenience sample of seven WISEs that train about 700 at-risk youth per year for workforce integration has been selected primarily from the Toronto, London and Ottawa. These organizations were selected because they were non-profit, with contracts from government agencies to train at-risk youth for the job market; a stable track-record (essential for longitudinal research); and are willing to participate because they wanted to find out how effective their program is in integrating its trainees into the workforce. All of the organizations aim to assist at-risk youth to become integrated into the workforce. Four offer direct job training to about 200 at-risk youth per year, three others pre-employment skills to about 500 annually. This variability allows us to make comparisons by program type.

The process of individual recruitment will be negotiated with each partner organization to accommodate the particular situation of their training participants. Informed consent from all individual participants will be sought and obtained prior to data collection. The partner organizations and the research team members will be discussed in the section, Profile of the Project Partners.

We assume significant attrition of the sample over time. About 10 percent of those being tracked for workforce integration will be asked to consent to a semi-structured interview on their learning from their training and workforce integration.

Measures: The measures, a combination of quantitative and qualitative, will conform to the research objectives:

a) To assess the economic benefits of WISE training, a **basic survey** will be administered to participants of the programs with background and demographic variables as well as an assessment of progress post-training program (advances in their schooling or other forms of training, jobs obtained, income earned from employment, career trajectory, etc.). To obtain longitudinal data, the research team will contact participants of each training program starting at 6 months after initial program intake and once per year for an update of their survey information.

b) To assess social benefits, there will be a measure of the individual participant's perception of well-being, repeated each year of the study, a tool called the **Asset Matrix**, which asks participants to indicate any changes to their well-being from before they entered the training program to the present (that is, the time when the measure is taken). The matrix views people as having assets or strengths and includes 35 items divided into five asset categories: Financial, Personal, Access to Services, Physical and Mental, Friends and Family. We adapted the Asset Matrix from the Sustainable Livelihoods model produced for international development work by the UK Department for International Development (DFID, 2016) and tested its validity and reliability in an earlier study (Chan et al., 2015).

c) Another measure of social benefit is a **semi-structured interview** to be undertaken with a 5% subset of the survey sample from each WISE to determine what they have learned both from their experience in the training program and their subsequent efforts at workforce integration, and how their learning evolves over time, including their perception of how they are labelled within their training program and society at large. These interviews will be a way of understanding the unique sociocultural learning facilitated within WISEs that allows these organizations to support at-risk youth. To establish the interview sample, all participants in the broader survey sample will be asked if they are willing to be interviewed. From those who agree, the selection will be based on an effort to replicate the characteristics of the overall sample of trainees. The interview sample size is based on what can be managed, given the project's resources.

d) Data will be collected from each participating WISE regarding its financial investment in the training program and sources of funding. The data will be used to create a **social return on investment** (Nichols et al., 2012) and a variation of it called the **stakeholder impact statement** (Mook et al., 2015) throughout the research. Put simply, when the benefits to the participants – economic and social – are assessed in relation to the investment in the program, the procedure will attempt to determine whether there is a positive return to the organization and its funders.

Data Analysis: The data analysis will be prepared for each participating organization and for the total sample. **The report for each participating WISE will be of data from that organization only and will be confidential**. **The report of the data for the entire sample will merge the entire pool of organizations, but will not identify any individual or organization by name.** The data analysis will be at the end of each year. The merged pool of data (with the entire sample of trainees) will allow for sub-analyses by individual differences such as gender and reasons for marginalization (racism, history of incarceration, etc.) and program differences such as direct job training vs pre-employment. The quantitative data are to be analyzed in relation to the research objectives. For the first objective, a combination of descriptive statistics and more complex methods such as regression analysis that build relationships between variables will be used to determine whether the participants in the training programs are advancing economically (obtaining jobs, increased income, more schooling) and socially (through the Asset Matrix), and therefore the training program is achieving its goal. The quantitative analysis will take into consideration the unemployment rate in each of the study's urban centres. To determine the social benefits for the

first objective (socio-cultural learning), interview transcripts will be interpreted to understand their overall meaning, and then will be coded, segment-by-segment, and sorted and categorized, using NVivo software.

For the second objective, a social return on investment and stakeholder impact statement will be produced using as data the entire set of measures (economic and social) as well as each WISE's investment in training to determine whether the investment is yielding positive results. This will require an analysis of the financial statements of the WISE and its parent non-profit. Again, the analysis will protect the identity of the organizations involved.

(b) Attach a copy of all questionnaires, interview guides and/or any other instruments.
These will be submitted as soon as they are prepared.

(c) Include a **list of appendices** here for all additional materials submitted (e.g., Appendix A – Informed Consent; Appendix B – Interview Guide, etc.):

See the appendices

13. PARTICIPANTS, DATA AND/OR BIOLOGICAL MATERIALS

(a) Describe the participants to be recruited list the eligibility criteria, and indicate the estimated sample size (i.e. min-max # of participants). Where applicable, please also provide a rationale for your choice in sample size and/or sample size calculation.

See the response to question 12, Methods.

(b) Where the research involves extraction or collection of personally identifiable information, please describe the purpose, from whom the information will be obtained, what it will include, and how permission to access the data is being sought. (Strategies for recruitment are to be described in section #15.)

The participants will have to provide their name and contact information in order for researchers to gather data on their employment and personal wellbeing over a number of years.

(c) Is there any group or individual-level vulnerability related to the research that needs to be mitigated (for example, difficulties understanding informed consent, history of exploitation by researchers, power differential between the researcher and the potential participant)? If so, please provide further details below.

The intended research population is youth who have experienced social and economic exclusion. Care will be taken during the recruitment process to explain the intention of the research and their rights as research participants. Each research team will work with the WISEs within their locale to develop a recruitment strategy that would be most appropriate for the training participants they support through their programs.

(d) If your research involves the collection and/or use of biological materials (e.g. blood, saliva, urine, teeth, etc.), please provide details below. Be sure to indicate how the samples will be collected and by whom.

N/A

14. EXPERIENCE OF INVESTIGATORS WITH THIS TYPE OF RESEARCH

(a) Please provide a brief description of previous experience by (i) the principal investigator/supervisor or sponsor, (ii) the research team and (iii) the people who will have direct contact with the participants. If there has not been previous experience with this type of research, please describe how the principal investigator/research team will be prepared.

(i) Professor Jack Quarter has extensive experience in supervising SSHRC research projects, including three previous Community-University Research Alliances, most recently Social Business and Marginalized Social Groups and the Social Economy projects. He has extensive experience working with and developing networks of researchers. He also serves on the editorial board of the Canadian Journal of Nonprofit and Social Economy Research. His most recent publications include the co-edited book, Social Purpose Enterprises: Case Studies for Social Change (University of Toronto Press, 2015); the co-authored text, Understanding the Social Economy, 2nd edition (University of Toronto Press, 2017); and co-authored journal paper, Supported Social Enterprise: A Modified Social Welfare Organization, Nonprofit and Voluntary Sector Quarterly, 2016.

(ii) The people who will have direct contact with the participants in the research are Dr. Andrea Chan, a post-doctoral researcher and graduate students to be hired at the University of Toronto.

15. RECRUITMENT OF PARTICIPANTS

Where there is recruitment, please describe how, by whom, and from where the participants will be recruited. Where participant observation is to be used, please explain the form of insertion of the researcher into the research setting (e.g., living in a community, visiting on a bi-weekly basis, attending organized functions). If relevant, describe any translation of recruitment materials, how this will occur and whether or not those people responsible for recruitment will speak the language of the participants.

Please see the response above to Question 12, Methods.

The research team will work with each of the organizations involved to create a procedure for recruiting participants that both the organization and the research team feel comfortable with and caters to the employment and job training participants of the particular organization.

The recruitment process can potentially involve having one of the primary researchers conduct a presentation to employees and training participants and answer questions on-site at the work integration social enterprise. Another method may be to have the organization circulate a recruitment flyer to potential participants, if that is the organization's preference. We guarantee that that 'no non-consent driven recruitment processes will be used.

Attach a copy of all posters, advertisements, flyers, letters, e-mail text, or telephone scripts to be used for recruitment as appendices.

16. COMPENSATION

Please see U of T's Compensation and Reimbursement Guidelines.

(a) Will participants receive compensation for participation?

Financial	Yes ☑	No ☐
In-kind	Yes ☐	No ☑
Other	Yes ☐	No ☑

(b) If **Yes**, please provide details and justification for the amount or the value of the compensation offered.

Our plan is to have a small amount of compensation for participants to do the survey and interviews; the amount depends on the numbers who agree to participate both to create the baseline and longitudinally. Our initial estimate is $40 per participant to take the survey and $70 for participants who agree to a follow-up interview. Because of the anticipated participant attrition, the money budgeted for participant honoraria may be shared among fewer participants during years 2 & 3 follow-up. As such, the value of compensation offered to participants may change for years 2 & 3 follow-up.

(c) If **No**, please explain why compensation is not possible or appropriate.

N/A

(d) Where there is a withdrawal clause in the research procedure, if participants choose to withdraw, how will compensation be affected?

If they have been compensated, we will not ask for it to be returned if they withdraw.

SECTION C –DESCRIPTION OF THE RISKS AND BENEFITS OF THE PROPOSED RESEARCH

17. POSSIBLE RISKS

(a) Please indicate all potential risks to participants as individuals or as members of a community that may arise from this research:

(i) Physical risks (e.g., any bodily contact or administration of any substance): Yes ☐ No ☑

(ii) Psychological/emotional risks (e.g., feeling uncomfortable, embarrassed, or upset): Yes ☑ No ☐

(iii) Social risks (e.g., loss of status, privacy and/or reputation): Yes ☐ No ☑

(iv) Legal risks (e.g., apprehension or arrest, subpoena): Yes ☐ No ☑

(b) Please briefly describe each of the risks noted above and outline the steps that will be taken to manage and/or minimize them.

To ensure the questions on the survey are appropriately worded to minimize discomfort or sensitivity of participants, the questionnaire will be reviewed by managers of the social enterprises and training programs from which participants will be recruited. As managers of these programs are presumed to have the most direct knowledge of the situations and vulnerabilities of the participants, feedback from managers on the survey will be incorporated into a final version before direct engagement with participants begin.

Further, the consent form of the survey explicitly explains to participants that they can "decline to answer any question on the survey by skipping over the question." The research team will also work with each social enterprise and training program to determine the best mode for survey administration for their participants. Where they feel participants may be embarrassed or uncomfortable responding to the more sensitive questions in front of the researcher, administering the survey online may be best.

There are no social risks associated with the research as the information collected from participants cannot be used to identify them.

18. POSSIBLE BENEFITS

- Describe any potential direct benefits to participants from their involvement in the project
- Describe any potential direct benefits to the community (e.g., capacity building)
- Comment on the potential benefits to the scientific/scholarly community or society that would justify involvement of participants in this study

Findings from the study will have direct benefit for the organizations from which the participants come because they will obtain longitudinal data about the effectiveness of their training programs and they will also learn how to create a social return on investment that will indicate the value of their social return. Findings that can contribute to improvement of the training programs will also benefit future youth entering these programs. For the individual participants, it is unclear whether there will be any direct benefit other than the small amount of compensation that they receive. This research will also contribute to scholarly work in the field of social economy and public policy.

SECTION D – INFORMED CONSENT

19. CONSENT PROCESS

(a) Describe the process that will be used to obtain informed consent and explain how it will be recorded. Please note that it is the quality of the consent, not the form that is important. The goal is to ensure that potential participants understand to what they are consenting.

For each of the participating organizations, informed consent will be obtained, as outlined in the letter in appendix A. For each of the participating individuals, informed consent will be obtained as outlined in the letter in appendix B.

Organizations will consent electronically prior to the research team contacting any individuals that they employ/train. For individual survey participants they will consent online. The consent form will be at the beginning of the online survey.

We will also work with each organization to assess any potential barriers for participants to provide informed consent. For example, if the organization feels language or literacy may be barriers for their workers, the project will work with the organization to arrange for access to an interpreter or for one of the researchers to administer the survey in person.

For the interviews, participants will sign a consent form prior to beginning the interview. The interviews will be audio recorded and we will seek explicit consent for the recording as part of the interview consent. The audio files will be erased immediately after the transcripts of the recording have been verified by the participants. The consent form will also explain to participants that they have the right to review their interview transcripts, and only after their verification of the transcript will their information be included as part of the data analysis.

(b) If the research involves extraction or collection of personally identifiable information from or about a research participant, please describe how consent from the individuals or authorization from the data custodian (e.g., medical records department, district school board) will be obtained.

The research will not identify any individuals.

20. CONSENT DOCUMENTS

(a) **Attach an Information Letter/Consent Form. These are in appendices A & B**
For details about the required elements in the information letter and consent form, please refer to our informed consent guide (http://www.research.utoronto.ca/wp-content/uploads/documents/2014/10/GUIDE-FOR-INFORMED-CONSENT-V-Oct-2014.pdf**)**

Additional documentation regarding consent should be provided such as:

- **screening materials introductory letters, letters of administrative consent or authorization**

(b) If any of the information collected in the screening process - prior to full informed consent to participate in the study - is to be retained from those who are later excluded or refuse to participate in the study, please state how potential participants will be informed of this course of action and whether they will have the right to refuse to allow this information to be kept.

All information to be used in the research will be obtained after informed consent has been agreed to.

21. COMMUNITY AND/OR ORGANIZATIONAL CONSENT, OR CONSENT BY AN AUTHORIZED PARTY

(a) If the research is taking place within a community or an organization which requires that formal consent be sought prior to the involvement of individual participants, describe how consent will be obtained and attach any relevant documentation. If consent will not be sought, please provide a justification and describe any alternative forms of consultation that may take place.

Each of the participating organizations will be asked for informed consent prior to approaching individuals that they train for workforce integration.

(b) If any or all of the participants are children and/or individuals that may lack the capacity to consent, describe the process by which capacity/competency will be assessed and/or, the proposed alternate source of consent.

N/A

(c) If an authorized third party will be used to obtain consent:

i) Submit a copy of the permission/information letter to be provided to the person(s) providing the alternative consent

ii) Describe the assent process for participants and attach the assent letter.

N/A

22. DEBRIEFING and DISSEMINATION

(a) If deception or intentional non-disclosure will be used in the study, provide justification. Please consult the Guidelines for the Use of Deception and Debriefing in Research

N/A

(b) Please provide a copy of the written debriefing form, if applicable.
(c) If participants and/or communities will be given the option of withdrawing their data following the debriefing, please describe this process.

The participation consent form will indicate clearly that participants may withdraw from the study at any time without consequences.

(d) Please describe what information/feedback will be provided to participants and/or communities after their participation in the project is complete (e.g., report, poster presentation, pamphlet, etc.) and note how participants will be able to access this information.

As part of the project's knowledge dissemination plan, researchers will:
- present findings in a variety of formats (e.g., reports, academic papers, fact sheets, and policy briefs) appropriate for diverse audiences.
- meet with the participating organizations to share research findings and discuss methods for improving training programs for workforce integration of youth;
- present findings at the Association for Nonprofit and Social Economy Research and other appropriate conferences.
- hold community cafés with each of the participating organizations to disseminate findings;
- work with the participating organizations to develop an appropriate social return on investment.

23. PARTICIPANT WITHDRAWAL

(a) Where applicable, please describe how participants will be informed of their right to withdraw from the project and outline the procedures that will be followed to allow them to exercise this right.

This will be part of the information/consent form; see the appendices

(b) Indicate what will be done with the participant's data and any consequences which withdrawal may have on the participant.

Upon withdrawal from the study, any data already collected from participants will be immediately deleted. There will be no adverse consequences from withdrawing from the study

Participants will be told: In case you decide not to participate or not to answer particular questions, your data will not be included in the research there will be no adverse consequences. Thank you for your consideration.

(c) If participants will not have the right to withdraw from the project at all, or beyond a certain point, please explain. Ensure this information is included in the consent process and consent form.

N/A

SECTION E – CONFIDENTIALITY AND PRIVACY

24. CONFIDENTIALITY

Data security measures must be consistent with UT's *Data Security Standards for Personally Identifiable and Other Confidential Data in Research*. All identifiable electronic data that is being kept outside of a secure server environment must be encrypted.

(a) Will the data be treated as confidential? Yes ☑ No ☐

(b) Describe the procedures to be used to protect the confidentiality of participants or informants, where applicable

The information/consent letter assures participants of confidentiality. Once the web-survey data are downloaded from the secure server, the datasets will be coded immediately to de-identify the participants before saving and storing as encrypted files. The names and contact information of the participants, kept for administrative and longitudinal tracking purposes, will be saved apart from the datasets, as separate encrypted files on a flash drive to be stored in a locked filing cabinet in the principal investigator's office.

(c) Describe any limitations to protecting the confidentiality of participants whether due to the law, the methods used, or other reasons (e.g., a duty to report)

There are no limits on confidentiality in our study

25. DATA SECURITY, RETENTION AND ACCESS

(a) Describe how data (including written records, video/audio recordings, artifacts and questionnaires) will be protected during the conduct of the research and dissemination of results.

Survey: Data will be collected using the Survey Monkey software. Only the principal investigator and the postdoctoral researcher will have direct access to the data during the five years of the study. Data that are downloaded for analysis will be stored in an encrypted file on their computers.

Interviews: Data will be stored in an encrypted file on the computers of the principal investigator and the postdoctoral researcher.

(b) Explain how long data or samples will be retained. (If applicable, referring to the standard data retention practice for your discipline) Provide details of their final disposal or storage. Provide a justification if you intend to store your data for an indefinite length of time. If the data may have archival value, discuss how participants will be informed of this possibility during the consent process.

The data collected through the surveys will have archival value as the outcome of WISE participation is an expanding area of research and policy interest, and data sharing among researchers in an important part of advancing knowledge.

The de-identified dataset will be made publicly available through the Centre for Learning, Social Economy & Work's repository upon completion of the study.

(c) If participant anonymity or confidentiality is not appropriate to this research project, please explain.

N/A

(d) If data will be shared with other researchers or users, please describe how and where the data will be stored and any restrictions that will be made regarding access.

N/A

SECTION F – LEVEL OF RISK AND REVIEW TYPE

See the *Instructions for Ethics Review Submission Form* for detailed information about the Risk Matrix.

26. RISK MATRIX: REVIEW TYPE BY GROUP VULNERABILITY and RESEARCH RISK

(a) Indicate the Risk Level for this project by checking the intersecting box

	Research Risk		
Group Vulnerability	**Low**	**Medium**	**High**
Low	**1** ☑	**1** ☐	**2** ☐
Medium	**1** ☐	**2** ☐	**3** ☐
High	**2** ☐	**3** ☐	**3** ☐

(b) Explain/justify the level of research risk and group vulnerability reported above:

We are working with organizations that are currently training youth for workforce integration to evaluate the impact of the training. This is work that is already ongoing and our research is intended to assist these organizations to strengthen their training program. There is no risk to participating individuals of which we are aware.

(Please note that the final determination of Review Type and level of monitoring will be made by the reviewing University of Toronto REB)

Based on the level of risk, these are the types of ethics review that an application may receive:

Risk level = 1: Delegated Review; Risk level = 2 or 3: Full Board Review

For both delegated and full reviews (SSH&E, HS, or HIV), please submit one electronic copy of your application and all appendices (e.g., recruitment, information/consent and debriefing materials, and study instruments) as a **single** Word document or a pdf. *Do not submit your entire research proposal.* Please ensure that the electronic signatures are in place and e-mail to **new.ethics.protocols@utoronto.ca**

The deadline for delegated review (SSH&E or HS) is EVERY Monday, or first business day of the week, by 4 pm. Information about full REB meeting and submission due dates are posted on our website (SSH&E, HS or HIV).

HIV REB reviews all applications at full board level but applies proportionate review based on the level of risk.

All other submissions (e.g., amendments, adverse events, and continuing review submissions) should be sent to ethics.review@utoronto.ca

SECTION G – SIGNATURES

27. PRIVACY REGULATIONS

My signature as Principal Investigator, in Section G of this application form, confirms that I am aware of, understand, and will comply with all relevant laws governing the collection and use of personally identifiable information in research. I understand that for research involving extraction or collection of personally identifiable information, provincial, national and/or international laws may apply and that any apparent mishandling of personally identifiable information must be reported to the Office of Research Ethics.

As the UofT **Principal Investigator** on this project, my signature confirms that I will ensure that all procedures performed will be conducted in accordance with all relevant University, provincial, national and international

policies and regulations that govern research involving human participants. I understand that if there is any significant deviation from the project as originally approved I must submit an amendment to the Research Ethics Board for approval prior to implementing any change.

Signature of Principal Investigator:_  Date: June 6, 2017

As the **Departmental Chair/Dean**, my signature confirms that I am aware of the requirements for scholarly review and that the ethics application for this research has received appropriate review prior to submission.

In addition, my administrative unit will follow guidelines and procedures to ensure compliance with all relevant University, provincial, national or international policies and regulations that govern research involving human participants. My signature also reflects the willingness of the department, faculty or division to administer the research funds, if there are any, in accordance with University, regulatory agency and sponsor agency policies.

Print Name of Departmental Chair/Dean (or designate) : Professor Nina Bascia

Signature of Departmental Chair/Dean: _____ Date:
(or authorized designate)

Appendix A

WISE Project for Training At-Risk Youth
A Survey of Organizations

Prior to submitting our proposal, we discussed with your organization the purpose of our study and your organization agreed to participate and indicated its support for the research. Nevertheless, we are required by the University of Toronto to submit a letter of informed consent to each of the participating organizations and obtain your signature below.

As explained, the goals of this study are to track youth over time who are trained for workforce integration by a group of organizations in Ontario and to obtain information on whether their circumstances are improving economically, socially and psychologically. In addition, we intend to help your organization to assess through using social accounting whether the return (economic and social) is commensurate with the investment. In order to undertake the research we will need participants from your training programs to take a survey of their progress and if they choose to volunteer for an interview. All of the people who participate will do so voluntarily and with informed consent. We would ask your organization only to promote the participation and its benefits. We will provide a modest amount of compensation for each of the survey and the interview. We will have a separate informed consent form that each individual will need to sign prior to participating.

The survey, which is estimated to be 25 to 30 minutes in length, is part of a project funded by Employment and Social Development Canada and is being conducted by researchers at the University of Toronto. Your organization's participation in this study and the data generated through the study are completely confidential. The responses from youth participants will not identify either them or your organization by name in any presentation of results.

If you wish to be informed of the results, you may leave your email address in the space provided at the end of the consent form. Your contact information will only be used to send your organization the results of the study. Responses of the participants from your organization will be stored on a secure server and/or an encrypted file on the researcher's computer during data collection and analysis. At the end of the study the information provided by the participants, which cannot be used to identify the person or your organization, will become part of an open-access dataset that can be shared among researchers, policy actors, and other stakeholders to advance knowledge on the outcomes of work integration social enterprises in Canada.

Both your organization and any of the individual who agree to participate can withdraw from the study without explanation at any time before the researchers begin aggregating the data from all participants. Survey participants can also refuse to answer any question by skipping over the question on the survey. If, after completing the survey, they decide they would like to withdraw their results from the study, they may do so by emailing either Dr. Andrea Chan, andreanw.chan@mail.utoronto.ca or Professor Jack Quarter, jack.quarter@utoronto.ca. The same is true if they agree to an interview. All of this information will be explained to the individuals when we seek their consent to participate in the study. Your organization may also contact the University of Toronto Office of Research Ethics at ethics.review@utoronto.ca or 416-946-3273 with questions relating to your rights as a research participant.

The possible benefits of this project to your organization is that it will provide longitudinal information on the progress of your trainees and the project will help your organization to build a social accounting system.

I hope that you decide to participate. Thank you.

Sincerely,

Professor Jack Quarter
OISE/University of Toronto

_____

The research study you are participating in may be reviewed for quality assurance to make sure that the required laws and guidelines are followed. If chosen, (a) representative(s) of the Human Research Ethics Program (HREP) may access study-related data and/or consent materials as part of the review. All information accessed by the HREP will be upheld to the same level of confidentiality that has been stated by the research team.

****

On behalf of my organization, _____NAME_____, I _____ have read and understood the study description above and give my consent to participate in this study under the terms described above.

Yes
No

(Need more information (contact the researcher at the email addresses above.)

If you would like to receive a copy of the study's results, please provide an email address where we can forward the report: _____

Please print this page to retain a copy of the consent form for your records

Appendix B

WISE Project for Training At-Risk Youth: Individual Letter

The goals of this study are to follow over time youth who are receiving employment training and to obtain information on whether your circumstances are improving economically, socially and psychologically. In addition to this first survey, we would ask to follow-up with you in 6 months, and once a year for up to three years.

In order to undertake the research we will need participants from your training programs to take a survey of their progress and, if they choose, to volunteer for an interview. All of the people who are willing to participate over the 3 years will do so voluntarily and with informed consent. We will provide $_____[i] for taking each of the survey and $_____ for each of the interview.

The survey, which is estimated to be 25 to 30 minutes in length, is part of a project funded by Employment and Social Development Canada and is being conducted by researchers at the University of Toronto.

Your participation in this study and the data generated through the study are completely confidential. Your responses will not identify either you or your organization by name in any presentation of the study's results. We ask you to insert your name, your organization's name, and your contact information below only so the leaders of the research team have a record of who has participated and for us to follow-up with you at a later time.

If you wish to be informed of the study's results please check the box at the end of the consent form. Your responses will be stored on a secure server and/or an encrypted file on the researcher's computer during data collection and analysis. At the end of the study the information you provided, which cannot be used to identify you or your organization, will become part of an open-access dataset that can be shared among researchers, policy actors, and other stakeholders who may also be interested in studying participant outcomes of work integration social enterprises in Canada.

Even if you agree to participate, you can decline to answer any question on the survey by skipping over the question. You can also withdraw from the study without explanation at any time before the researchers begin aggregating the data from all participants. If, after completing the survey, you decide that you would like to withdraw your results from the study, you may do so by emailing either Dr. Andrea Chan, andreanw.chan@mail.utoronto.ca or Professor Jack Quarter, jack.quarter@utoronto.ca. The same is true if you agree to a follow-up interview to the survey. You may also contact the University of Toronto Office of Research Ethics at ethics.review@utoronto.ca or 416-946-3273 with questions relating to your rights as a research participant.

The possible benefits of this project to your organization is that it will provide longitudinal information on the progress of its trainees over time. As mentioned, there will be a modest compensation for participation both in the survey and, should you decide, the interview too.

I hope that you decide to participate. Thank you.

Sincerely,

Professor Jack Quarter
OISE/University of Toronto

_____

The research study you are participating in may be reviewed for quality assurance to make sure that the required laws and guidelines are followed. If chosen, (a) representative(s) of the Human Research Ethics Program (HREP) may access study-related data and/or consent materials as part of the review. All information accessed by the HREP will be upheld to the same level of confidentiality that has been stated by the research team.

****

I _____NAME_____have read and understood the survey description above and give my consent to participate in this study and for the researchers to incorporate my responses into the survey write-up and the open-access dataset under the terms described above.

Tel: _____

Email: _____

Yes
No

(Need more information (contact the researcher at the email addresses above.)

□ I would like to be notified of the study's results at the following email address:
_____

Please print this page to retain a copy of the consent form for your records

_____

[i] The exact amount may change. Although the estimate is for participants to receive a $40 and $70 honoraria for completing the baseline survey and in-depth interview, respectively, the amounts may change for subsequent surveys/interviews during the follow-up period, depending on the number of participants.