

Reed College  
Human Subjects Research Committee (IRB)  
Project Approval Form 2003/2004

## INSTRUCTIONS FOR SUBMISSION

To initiate review of your project by the HSRC, please first read the document entitled "Categories and Procedures of Review" and, if appropriate, "Research Projects in Classes." Please note that, in addition to this form, you may need to download one or more of the three appendices, if your project focuses primarily on Children (Appendix A), will be done outside of North America (Appendix B), or will involve a waiver of written consent procedures (Appendix C).

The Committee encourages you to ask questions before submitting the approval form. A list of members of the Committee can be accessed from the HSRC home web page via the "Committee Members" button. Members of the Committee welcome your questions at any time.

To facilitate its work, the HSRC has established a set of review cycles, the dates of which are reproduced below. Projects requiring full committee review should be submitted on one the review cycle submission dates, unless other arrangements have been made through the Chair of the Committee. Projects that may qualify for "exemption" from full committee review or for expedited review can be submitted at any time.

**Please submit one hard-copy of the approval form and any necessary Appendices, bearing the appropriate Cover Page signature, to Jen Negen, Psy 116. In addition, please submit an electronic copy of the form and any necessary Appendices to [jen.negen@reed.edu](mailto:jen.negen@reed.edu).**

### 2003/2004 HSRC Review Cycles

<b>Proposals Submitted by noon on:</b>	<b>Committee meets:</b>	<b>Notification by:</b>
Oct 15	Oct 30	Nov 3
Nov 3	Nov 13	Nov 17
Nov 24	Dec 4	Dec 8

Approximate spring semester dates:

Jan 19	Jan 29	Feb 2
March 1	March 11	March 15
April 5	April 15	April 19
May 3	May 11	May 14

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NOTE: Please download to your computer and use Word to supply requested info.

**COVER PAGE**

Project Title: \_Ethnographic interviews with transnational Otavalo Community Members

Submission Date: \_October 15, 2003\_\_\_\_\_

Name of Primary Investigator: Annashay Sutherland\_\_\_\_\_

Address: \_Reed College box 1437\_\_\_\_\_

Faculty Advisor (if applicable): \_\_\_\_Bridget Hayden\_\_\_\_\_

Signature of Faculty Advisor: \_\_\_\_\_  
(signature indicates that the proposal has been read and approved.)

Please indicate your agreement to the following stipulation:

I will promptly report changes in the proposed study and any unanticipated problems involving risks to participants, including adverse reactions, to the Human Subjects Research Committee.

\_\_\_\_\_  
Signature of Primary Investigator

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If your submission is **similar to** a submission that has been approved previously (within the past two academic years, 2001-2003), please identify that proposal by Project Name and Primary Investigator. Because we are changing the format of proposals so radically (fall, 2003), you will need to fill out this new form fully. However, the process of review will be aided by reference to the previous proposal.

**A. BASIC PROTOCOL INFORMATION:**

1. Is this study being performed at sites other than the Reed College campus?  
☒ YES ☐ NO

If YES, list other sites: As yet unknown, likely Portland Saturday Market, neutral public places such as cafes, Barcelona Spain in public markets and neutral public spaces such as cafes

2. Is this study being funded by the federal government or by some other agency that requires certification of review by the Reed College HSRC? ☐ YES ☒ NO

If yes, list funding information (including agency and protocol number) and append a copy of the funding application:

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3. Does the research require approval from one or more non-Reed organization(s) or IRB(s)?  
☐ YES ☒ NO

If YES, does the other organization/IRB require review by Reed's HSRC (IRB)?  
☐ YES ☐ NO

Attach application to other organization and, if approval has been granted, documentation of the approval.

NOTE: If the study is not federally funded and will be run at an off-campus site, AND if the research has been approved by an appropriate off-campus IRB, STOP HERE. Submit only the Cover Page, this page of the application, and the approved application to the off-campus IRB.

4. Although the IRB ultimately determines which type of review your protocol will receive, please consult the guidelines in the document entitled "Categories of Review" and then check the category of review you believe applies.
- ☐ Exempt  
☒ Expedited  
☐ Full

5. Please indicate whether the primary focus of your research will be on one or more of the following populations:

☐ Children (individuals <18 years) **COMPLETE APPENDIX A**  
☐ Individuals who are or may be decisionally impaired  
☐ Prisoners  
☒ Individuals who live outside the US **COMPLETE APPENDIX B**  
☒ Non-English speakers **COMPLETE LANGUAGE SECTION OF APPENDIX B**  
☐ Elected or appointed public officials or candidates for public office

**B. SUMMARY** (all categories of review)

1. Provide a *brief* summary of the purpose of the research (3-5 sentences).

This research will provide qualitative data from a small sample of members of the transnational Otavalo community who sell Ecuadorian woven goods and other crafts at street fairs in Portland, Seattle and Barcelona, Spain, in order to enrich my thesis project on the relationship between ethnic identity and transnational craft-selling experiences. Casual participant observation and more structured interviews will attempt to explore how informants define their relationship to “Otavalo culture” and its relevance to their own identities at home and abroad. The material I gain from these interviews will give me a basis to evaluate theoretical works on globalization, transnationalism and ethnicity in terms of my respondents’ experiences and a basis for comparison with other works on contemporary issues in Otavalo.

**C. BACKGROUND** (only if your proposal requires Full Review, 500 words maximum)

1. Provide a brief summary of prior, relevant research findings and the importance of the knowledge you expect to gain.

N/A (Proposal requires expedited review)

**D. PARTICIPANTS** (all categories of review)

1. Does your research involve only accessing an existing database(s) \_\_\_\_YES \_\_X\_NO  
If NO, **STOP HERE**.

If YES, list the database(s) and then **SKIP TO** Section G, and fill out items 2-4.

2. Describe the participant population: I will recruit possible participants among the Otavalo street vending communities in Portland and Barcelona. These are small groups, with about 4 Otavalos in Portland and perhaps several dozen in Barcelona. I will recruit by discussing my project and myself with candidates and explaining the interview goals and process casually before asking for participation. I will try to stress that participation is completely voluntary. In this respect my sample will be self-selecting.

NOTE: If your study involves only:

- a. \_\_\_\_\_the observation of public behavior of elected or appointed public officials or candidates for office
- b. \_\_\_\_\_research on normal educational practices in accepted educational settings, in which any presentation or publication of the data will not identify individual participants

**STOP** here and do not submit the remaining pages of this form.

3. Identify all criteria for inclusion and exclusion of participants. Provide rationales where these may not be obvious.
- a. Inclusion: Informed consent and willingness to participate
  - b. Exclusion: I can only anticipate excluding a participant if there are too many willing respondents for the amount of funds I am awarded. In this case exclusion would only occur after funds were exhausted. Possibly I would also exclude participants if I felt uncomfortable working with them due to personality conflicts, but I do not anticipate this.

## 4. Recruitment.

If your study involves only the observation of public behavior, check here \_\_\_\_\_ and **SKIP TO** Sections G and H.

- a. How will potential participants be identified? Attach recruitment ads and/or letters if appropriate.

In Portland, I have already identified several candidates for interviews at the Saturday Market. I will also recruit by asking these folks if they have friends or acquaintances that might be interested.

In Barcelona I assume my recruitment process will follow along the same lines. Otavalos in street markets are usually visually identifiable by the type of wares they sell; I will approach various people until I find interested folks and then try to expand my sample using their networks of acquaintances

If it is not obvious from the recruitment ad or letter:

- b. How will potential participants be screened for inclusion and exclusion criteria?

N/A

- c. What will they be told about the purposes of the research before being asked for consent to participate?

I will freely discuss the various aspects of my project with informants before they are asked for consent. They will be informed the purpose of the research is to complete my senior thesis and be informed about what a thesis entails, as well as being informed about the main questions guiding my project on Otavalo: how community or ethnic identity is constructed under transnational conditions.

## **E. PROCEDURES** (all categories of review EXCEPT as otherwise indicated in Section D)

### 1. Provide the following information:

- a. Expected duration of individual participation: \_Interviews of 1-2 hours, more if participant is willing\_\_\_\_\_
- b. Study location(s): \_\_Neutral public spaces in Portland and Barcelona, Spain, particularly street vendors' kiosks and/or parks, cafes\_\_\_\_\_
- c. Type or amount of compensation to participant, if any: \$9/hr for interviewing time.

2. Provide a specific description of what each participant will be asked to experience or to do. **NOTE:** Append all questionnaires, surveys, and sample items from computerized tasks. For structured interviews, provide interview protocol. For unstructured interviews, describe the goals of the interview and any topics to be avoided. Approved research protocols may be listed by name.

Interviews will be relatively unstructured, but I do hope to touch on some major themes and questions. The first part of the interview will gather basic data on participants' pertinent biographical information including connections (historical, familial, etc) that facilitated transnational craft selling. Next I will ask participants about their history of involvement in the crafts market and prior history of travel or vending and returns trips to Ecuador (making clear that I am not interested in disclosure of any immigration status-related information). With the biographical details established, I will attempt to elicit discussion on the subjective experiences of international travel and craft selling. Other topics for discussion will include subjects' views on how travel experiences have affected themselves and acquaintances, what they hope to obtain as a result of international craft selling (materially and personally), the motivations for engaging in such ventures, how they do or do not keep a connection with Otavalo or with other Otavalans in diaspora, and how they define Otavalo 'cultural traditions' and how they do or do not maintain connections to these traditions. Discussion may deviate from these topics, as I think I could gain other important insights by letting participants guide the conversation. But because of my limited budgeted hours, it will be important that I touch on the material here.

**F. RISK/BENEFIT ASSESSMENT** (all categories of review EXCEPT as indicated in Section D)**1. Benefits**

- a. Describe the potential direct and indirect benefits, if any, to participants. (Note: incentives for participation should not be included here.)

**2. Risks**

- a. Indicate whether the research involves any of the following by checking in front of applicable items.

☐ Deception

☐ Procedures that may result in mental or emotional stress, such as induction of negative mood, damage to self-esteem, manipulation of attitudes, exposure to aversive stimuli

☐ Procedures that may involve physical harm to participants, such as ingestion of any substance, physical exercise, invasive physiological measurements

☐ Presentation of materials and/or behaviors commonly regarded as socially unacceptable within the setting of the research

☐ Procedures that might be regarded as invading privacy

☒ Possible/probable disclosure of information that could be harmful to participant (e.g., criminal behavior, immigration status, information that might affect academic or employment status, information that could affect the participant's reputation or be considered stigmatizing)



- b. For each of the risks indicated above (append additional pages if necessary)
- i. Describe why the procedure is necessary. If possible, provide at least one previous reference upon which your procedure(s) is/are based, indicating and justifying any changes you have made to this procedure.

It is *not* necessary to the project that informants reveal any sensitive personal information, and it will not be questioned for. There is a *possibility* that informants might volunteer or reveal such information in the course of interviewing. (See below).

- ii. Describe how you will minimize any risks posed.

Therefore, I will explicitly include in the consent form the interviewee's total freedom to not disclose such personal information, and their right to request that certain information not be used or kept in records. If a participant voluntarily discloses information such as immigration status that I consider sensitive, I would not include it in my thesis, or I would contact the participant for express permission to include such data.

## **G CONFIDENTIALITY ISSUES**

1. Will you be audio/video taping or photographing participants? ☒ YES ☐ NO  
If YES: provide a rationale for taping/photographing. Describe confidentiality procedures, including what will become of records after use (e.g., shown at scientific meetings, erased), the final disposition of the records (e.g., destruction, archiving), and a reasonable timeline by for this disposition.

NOTE: Be sure to include a separate signature line for permission to tape or photograph in the informed consent document. Where written consent is waived by the IRB, participants should be asked to confirm their consent as part of the recorded material.

I anticipate audiotaping interviews to provide a supplement to my written notes and in order to review them for my own understanding. Since I have not received funds to cover the cost transcription, I will keep the interviews on tape and expect to refer to them during the course of the year. To protect confidentiality, I will store the tapes marked with a pseudonym such as "band practice session," and keep the tapes in my sole possession, not sharing their contents with anyone apart from the parts that pertain to my thesis. My written notes will be carefully monitored so they do not contain identifying details. I will archive the tapes and notes after use in case of possible future research.

2. Will you be collecting any obvious identifiers (names, social security numbers, detailed physical descriptions, genealogies, addresses, etc.?) ☒ YES ☐ NO

Will you be collecting data that, when considered in light of the potential participant pool, could lead to the identification of an individual participant? Examples include autobiographical accounts, identifiable patterns of demographic information.

☒ YES ☐ NO

If YES to either of these questions,

- i. Specify to the extent possible what information will be collected and why.

Personal histories and names will be collected if the interviewee is comfortable doing so. This information might include details that could identify an individual. This type of information is context necessary for interpreting the data in the interviews, though real names will not be used in the final thesis.

- ii. Specify the procedures for coding and/or storing the data so that confidentiality of individual participant data is protected.

Autobiographical details could reveal the identity of individuals considering the small demographic of Otavalo community in any given city. I will discuss this with interviewees to find out what they feel comfortable revealing.

3. If data are coded, will you retain a master list linking study codes and direct identifiers? ☐ YES ☐ NO

- a. If YES, explain why this is necessary, how and where you will secure the master list, and how long it will be kept.

4. Please provide the following information about confidentiality of data:

- a. Will information that could identify the participant be shared in any way? ☒ YES ☐ NO

If yes, explain:

As mentioned above, incidental identifying information (because of the sheer small size of the Portland community) may appear in my thesis, a document that I assume will have limited impact and circulation outside of Reed. Should I decide to use this data for future research, the passage of time and the frequently changing demographics of migration and settlement will make these details obsolete for identifying individuals.

- b. Describe your plan for presentation and/or publication, as well as data retention and future use of records:

As stated above, the data will be used in my thesis. I would prefer to keep the data in my possession for possible later use (i.e. in independent research), but will follow the committee's opinion on the subject.

**H. INFORMED CONSENT** (all categories of review except as indicated in Section D)

1. Please note whether written informed consent will be sought from all participants, or whether a waiver is being requested (if so, complete APPENDIX C).

☐ Written informed consent will be sought from all participants.

☒ Waiver of written consent is being requested. Verbal consent will be sought from participants.

☐ Waiver of informed consent is being requested.

Append all consent documents and/or scripts.

2. Describe the context in which consent will be sought, when consent will be sought, how often consent will be sought (if appropriate), as well as who will be responsible for seeking consent from participants.

I will be responsible for seeking consent from participants. I will do so after participants express interest in the project, and before beginning any formal interview process with each subject. I hope to maintain frequent dialogue about consent during the interview process as well.

**Appendix B****International Research or Research with non-English speaking participants**

1. If the research has not undergone IRB or equivalent ethics committee review from the host country or performance site, provide a rationale. (Note: the HSRC recognizes that such review is not always possible or appropriate.)  
N/A
2. Specify your familiarity with and/or knowledge of the local research context.  
Barcelona is home to one of the primary permanent expatriate populations of Otavalos. To my knowledge the research context in Barcelona as regards issues of sensitivity and immigration status will not be significantly different from Portland, though there will probably be more permanent Spanish residents in Barcelona than in Portland. In addition, some Barcelona Otavalos have been cited as having a particularly unique relationship to “traditional culture,” leading the Otavalo cultural renaissance from abroad. My interviews in Barcelona will include some reference to this fact.
3. Specify additional risks participants might face as a result of their membership in the population being studied and/or as a result of the local research context. Indicate how you intend to minimize these risks.  
As members of a small and competitive artisan/tourist economy, vendors will not want their selling locations or strategies shared or publicized. This is not an area of focus or inquiry for my research. I will minimize the risk of my interviewees losing business and suffering economically during time set aside for interviews by working within a schedule they elaborate and compensating them fairly for their time.
4. Language Issues  
In what language(s) will the research be conducted? \_\_\_\_\_Spanish and english\_  
Are you fluent in this language, or will a translator be used? \_\_I am fluent\_\_\_\_\_  
  
If a translator will be used, how will the translator be identified and trained in confidentiality issues? If the use of a translator poses any additional risk to participants, indicate how you will minimize these risks?  
N/A  
Indicate how the **consent documents/scripts and research instruments will be translated.**  
I have translated the consent scripts with help from my advisor, also a Spanish speaker
5. Confidentiality  
Specify how data will be taken out of the country, including the procedures in place to protect confidentiality: I will take tapes and notes out of the country by airplane. I do not anticipate risks to confidentiality in this area since I will be traveling on a tourist visa and there would be no reason to search my bags; even if I were to be randomly checked, the taped and written data would not be of interest to airport security. The tapes will be labeled with a pseudonym that will give no idea of their content, such as “band demos.”

## Appendix C Request for Waiver or Alteration of Informed Consent

I. Waiver of Written Informed Consent

Written consent may be waived for this research because:

\_\_\_\_ The only record linking the participant and the research would be the consent document AND the principal risk to participants is potential harm resulting from breach of confidentiality via the consent document. Each participant will be asked whether the participant wants documentation linking her/him with the research and the participant's wishes will govern.

**OR**

\_\_\_x\_\_\_ The research presents no more than minimal risk of harm to participants (for example, none of the risks in Section F.2) and involves no procedures for which written consent is normally required outside of the research context.

If a waiver of written consent is granted by the HSRC, verbal consent must be sought and documented.

\_\_\_x\_\_\_ In place of written consent, I will obtain verbal/spoken consent. Describe how verbal consent will be documented.

I will obtain verbal consent with the use of a pre-written consent script (attached) translated into Spanish. I will run through the consent script at the beginning of the first formal interview, or before this if the informant has questions or concerns about consent. I will document consent in my written notes.

## II. Waiver of Informed Consent

In certain cases, the requirement for consent can be waived altogether. **ALL** of the following conditions must be met in order for the research to be eligible for a waiver:

\_\_\_\_ (1) The research presents no more than minimal risk of harm to participants.

\_\_\_\_ (2) The waiver will not adversely affect the rights and welfare of the participants.

\_\_\_\_ (3) The research could not practicably be carried out without the waiver.

\_\_\_\_ (4) Whenever appropriate, the participants will be provided with additional pertinent information after participation.

Please outline your arguments in support of this request.

*“Ethnographic Interviews with Transnational Otavalo Community Members”*

I, (Annashay Sutherland, Anthropology student at Reed College, Portland, OR USA), invite you to contribute to my Senior Thesis Project (a long independent research paper all students must write to graduate). My thesis is about the history of the Otavalo tourist market and its current international aspect. Through this part of the study I hope to learn about transnational experiences of Otavalos and their perceptions of community and tradition. Your personal experience with selling crafts internationally and your opinions and perceptions of these experiences will be a valuable asset to this study.

Your participation involves an interview with me, which will take approximately one or two hours and will be compensated in cash at a rate of ten dollars per hour. I may ask you if you wish to continue with more interviews, for which you would be paid the same rate. The interview will be open-ended, and will include questions on your experiences selling crafts and your opinions on what it means to be Otavalan.

With your permission, I will tape record this interview, but if you are not comfortable being tape-recorded I will record your answers by hand. Your participation in this study will be entirely confidential, which means that only I will have access to the tapes after the interview. I intend to keep these records for use in possible future projects, but I will keep careful track of them so that no one else gains access, and I will not use your name or any details that could personally identify you in my written documents. If you agree to this, I might quote your exact words in my thesis, again without any identifying information.

Also, your participation in this study is voluntary. It's important to me that you feel comfortable and know that you may refuse to answer any question at any time, or stop the interview altogether at any time. At any time before the end of the interview, you may request that I erase all or part of your previously recorded answers. You may also contact me before April 20, 2004 to withdraw all or part of your interview.

I will give you my contact information and I will be glad to answer any questions or doubts about my study. You can also address questions or doubts about the project to my thesis advisor, Bridget Hayden, a Spanish-speaking anthropologist; I will give you her contact information as well.

**Spanish Version**

Soy Annashay Sutherland, estudiante de antropología en Reed College, Pórtland, Oregon, Estados Unidos. A usted le invito a participar en un proyecto vinculado a mi tesis (un ensayo de mas o menos 100 paginas que cada estudiante necesita escribir en el último año para graduarse). Estoy escribiendo sobre la historia de Otavalo y el mercado turístico, y su aspecto internacional

actual. En estas entrevistas espero comprender más sobre las experiencias transnacionales de los Otavalos y sus ideas sobre la comunidad y la tradición en el ámbito transnacional. Su experiencia personal en la venta de artesanías en otros países y sus opiniones de dichas experiencias serán contribuciones substanciales a mi proyecto.

Su participación en este estudio involucra una entrevista conmigo, de una duración de una o dos horas. Al terminar con la entrevista Usted recibirá el equivalente de diez dólares por hora en efectivo. Es posible que después yo le invite a continuar con más entrevistas pagadas en la misma forma. La entrevista será de tipo informal, pero pueda que incluya preguntas su trayectoria de vida que culminó en ser vendedor de artesanías. También las preguntas se enfocarán en qué significa “ser Otavalo” y qué es “la Otavaleñidad” para Usted.

Con su permisión, grabaré a esta entrevista con grabadora de cassettes, pero si no está cómodo(a) con la grabación, tomaré sus respuestas a mano. Su participación es totalmente confidencial, que quiere decir que 1) soy la única persona quién tendrá acceso a los cassettes después de la entrevista (aunque los guardaré para posiblemente utilizar en proyectos en el futuro) y que no 2) usaré su nombre verdadero ni 3) detalles/datos personales que Ud. no quiere incluir en ningún documento escrito. Sin embargo, si Usted está de acuerdo, yo podría citar sus palabras directas en la tesis, pero en este caso cambiaré información alguna que identificaría a Usted.

Es necesario que Usted sepa que su participación es *totalmente opcional*. Para mí es muy importante que Usted se siente cómodo(a), y sabe que puede negar a responder a cualquier pregunta mía cuando quiera y también decidir simplemente terminar con la entrevista en cualquier momento. En cualquier momento antes de que se termine la entrevista, Ud. puede ordenarme a borrar partes o todas de sus respuestas previas—También me puede contactar antes de 20 Abril 2004 para cortar toda o parte de la entrevista. Le daré mis datos de contacto y me puede contactar con preguntas o dudas algunas. También si tiene preguntas o preocupaciones por el estudio le daré los datos de contacto para mi tutor académico, Bridget Hayden, una antropóloga hispanohablante.

**Printed Version:**

Your participation in this interview-based study is voluntary. I will be glad to answer any questions you may have about the study. You may also contact me at any time before April 20, 2004 to withdraw all or part of your interview. (Annashay Sutherland, Box 1437 Reed College, 3203 SE Woodstock Blvd. Portland, OR 97202, 503-517-5042, [annashay@reed.edu](mailto:annashay@reed.edu)). If you have other questions or concerns about this study, you may also contact my thesis advisor, Bridget Hayden, a Spanish-speaking anthropologist (Reed College, Department of Anthropology, Portland Oregon, 97202, USA; [bridget.hayden@reed.edu](mailto:bridget.hayden@reed.edu)) or Dell Rhodes, Chair of the Reed College Human Subjects Research Committee (Reed College, Portland, Oregon, 97202 USA; [dell.rhodes@reed.edu](mailto:dell.rhodes@reed.edu)).

Su participación en esta entrevista es voluntaria. Yo estaré dispuesta a responder a cualquier pregunta que tenga Ud. sobre el estudio. Me puede contactar antes del 20 Abril 2004 para retirar parte o toda de su entrevista. Mis datos de contacto son: Annashay Sutherland, Reed College Box 1437, 3203 SE Woodstock Blvd., Portland, OR 97202, [annashay@reed.edu](mailto:annashay@reed.edu). Si tiene otras preguntas o dudas sobre mi estudio, puede también contactar a mi tutor academico, Bridget Hayden, una antropologa hispanohablante (Reed College, Department of Anthropology, Portland Oregon, 97202, USA; [bridget.hayden@reed.edu](mailto:bridget.hayden@reed.edu)) o Dell Rhodes, Jefa del Reed College Human Subjects Research Committee (Reed College, Portland, Oregon, 97202 USA; [dell.rhodes@reed.edu](mailto:dell.rhodes@reed.edu)).