



Office Use Only Application Number:
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Office of the Vice-President, Research and Innovation

Human Research Ethics Program

ETHICS REVIEW APPLICATION FORM FOR SUPERVISED AND SPONSORED RESEARCHERS

(For use by graduate students, post-docs, residents, external investigators, and visiting professors/researchers)

SECTION A – GENERAL INFORMATION
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<p>Before you start, familiarize yourself with:</p> <p style="text-align: right;"> TCPS2 Application instructions Office FAQs </p>

1. TITLE OF RESEARCH PROJECT

Canadian Campus Fossil Fuel Divestment Campaigns and the Development of Activists

2. INVESTIGATOR INFORMATION

Investigator:

Title (e.g., Dr., Ms., etc.): Mr.	Name: Milan Ilnyckyj
Department (or organization if not affiliated with U of T): Political Science	
Mailing address: Massey College, 4 Devonshire Place, Toronto, M5S 2E1	
Phone: 416-732-6922	Institutional e-mail: milan.ilnyckyj@mail.utoronto.ca

Level of Project:

Student Research:	Doctoral <input checked="" type="checkbox"/>	Masters <input type="checkbox"/>
Post-Doctoral Research <input type="checkbox"/>	Visiting professor/External researcher <input type="checkbox"/>	Course Based <input type="checkbox"/>
CBR/CBPR <input type="checkbox"/>	Other <input type="checkbox"/> (specify:)	

Supervisor/Sponsor (must be a UofT faculty member with research privileges):

Title: Dr.	Name: Robert Vipond
Department: Political Science	
Mailing address: Department of Political Science, 100 St. George Street, Room 3018.	
Phone: 416-978-2846	Institutional e-mail: rvipond@chass.utoronto.ca

Co-Investigators:

Are co-investigators involved? Yes No

Title:	Name:
Department (or organization if not affiliated with U of T):	
Mailing address:	

Phone:	Institutional e-mail:
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Title:	Name:
Department (or organization if not affiliated with U of T):	
Mailing address:	
Phone:	Institutional e-mail:

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

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) Universities in the GTA other than U of T
 International specify site(s)
 Other specify site(s) Most, if not all, research is expected to be conducted remotely through tools such as telephone calls, Skype calls, email, and web-based survey tools like Google Docs. The subject of the research will be campus fossil fuel divestment campaigns at all Canadian universities (in terms of the broad initial census) and then more detailed examination of a selected subset of campaigns. For the campaigns examined in depth in the ethnographic phase, on-campus interviews and participant observation may be undertaken.

(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 <input type="checkbox"/>	Agency:	Fund #: 4 (6 digits)
	Agency:	Fund #:4 (6 digits)
Applied for funding <input type="checkbox"/>	Agency:	Submission date:
	Agency:	Submission date:
Unfunded <input checked="" type="checkbox"/>		
If unfunded, please explain why no funding is needed: Travel will be avoided, with interviews conducted via Skype. Research subjects will not be compensated for participation.		

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: October 2017

Estimated completion date of involvement of human participants or data for this project: September 2019

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.): Approval from supervisory committee members, as well as from the Department of Political Science
- 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.)

(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.

(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.

I have been involved with the climate activist organization and fossil fuel divestment broker 350.org in a number of contexts.

In August and September of 2011, I volunteered as a photographer during 350.org-coordinated non-violent direct action in Washington D.C opposing the Keystone XL pipeline. My photographs from that and other 350.org-organized events are available online and free for non-commercial use under a Creative Commons Attribution-NonCommercial-ShareAlike license.

In June 2012, I volunteered to canvas for 350.org at a planned Radiohead concert in Toronto. With people who I met there, I began to meet informally. That group developed into Toronto350.org. I was the group's first elected president, while it remained organized as a student club at the University of Toronto. Following incorporation under the next president (I stepped aside to concentrate on my comprehensive exams) I was elected to the board for a one year term. The board elected me chair for that period. I have not been involved with Toronto350.org in any capacity since August 2016.

Starting in September 2012 I helped to organize the fossil fuel divestment campaign at U of T. I took part in virtually all of the planning meetings, actions, and meetings with university officials during that campaign. I was the coordinating author of the brief submitted to U of T: "The Fossil Fuel Industry and the Case for Divestment". Following U of T President Meric Gertler's decision not to divest in March 2016 the group disbanded. While the campaign was ongoing I was not planning to carry out my dissertation research on this topic. I changed topics after November 2016 when the results of the US election made my proposed study of resistance to two oil pipelines impractical because of the changing conditions and heightened subject protection risks in the US.

I have not been directly involved in any CFFD campaigns outside U of T.

I am choosing not to use the University of Toronto as a case study for two reasons.

First, I took part as an activist rather than as a researcher. Though the campaign did cooperate with an ambitious ongoing PhD project (leading to Joe Curnow's very interesting work on group dynamics within activist organizations), my decision making at that time was motivated by a desire to see the campaign succeed, rather than to study it critically.

Second, consultation with activists at U of T has been essential for developing this research proposal (<https://web.archive.org/web/20170830204625/https://www.sindark.com/phd/thesis/proposal/CFFD-proposal-2-4.pdf>) and ethics protocol ([URL FORTHCOMING AFTER REB APPROVAL]). It was only through such consultations that I could properly assess the subject protection risks involved in the project. These conversations have also been essential for selecting the research questions and hypotheses. I am grateful to the members of the previous and current U of T divestment campaigns for their dedication as well as for their assistance and guidance.

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.

Since 2011, efforts have been undertaken at many universities and other institutions around the world, seeking to get them to sell stock holdings in fossil fuel corporations. This effort is motivated by concern about climate change and other forms of social injury allegedly imposed by the fossil fuel industry. Organizations which popularized the divestment strategy – notably, 350.org and the Canadian Youth Climate Coalition – have described three principal objectives: changing the behaviour of the target institutions, delegitimizing the fossil fuel industry in the eyes of decision makers and the general public, and developing students into effective and committed climate change activists. This project will look at all accredited universities in Canada to identify which have or have had active climate change activist groups since 2011, and which of those groups have pursued campus fossil fuel divestment (CFFD) as a strategy. The main research question is whether the divestment brokers' third objective is being served and participation in CFFD activism is training and motivating students for further involvement in climate change activism.

For a selected set of small campaigns (those below a certain threshold of peak number of active volunteers) and large campaigns, event catalogs will be developed listing the actions taken by CFFD activists and responses from university administrations, leading up to the present state of the campaign. This information will be supplemented by surveys to be completed by activists and interviews with both CFFD activists and university administrators. Public documents and those volunteered by interview subjects will serve as supplementary sources of information. For ongoing campaigns, participant observation may be used to observe activist actions including planning meetings, marches and protests, and meetings with university officials.

The theoretical framework for this project is drawn from the social movements and contentious politics literatures. In particular, this includes the idea that activist actions can be interpreted as performances drawn from a broader repertoire. That thinking informs the plan to create detailed timelines of actions taken by campaigns and the responses from universities as part of the second phase ethnographic portion of the project. The contentious politics literature also incorporates competition in issue framing (such as the differing positions of activists and administrators on the proper role of universities in dealing with climate change); mobilizing structures (particularly activist networks through which strategic and tactical thinking diffuse); and political opportunities (including the specific decision makers targeted by campaigns and the contextual factors that affect their willingness to divest). The social movement literature also includes a great deal of analysis on the internal functioning of campaigns, including forms of deliberation, internal power relations, and disagreements about allyship and intersectionality (what non-divestment political objectives and movements to support, and how to do so). Each of these major components of the contentious politics framework is directly applicable to CFFD activism, which will represent a valuable new empirical case of a rapidly

expanding social movement. Some specialized features of CFFD activism, detailed further in my full research proposal, suggest that this case will also allow for theoretical development.

Because disagreement about strategy, tactics, and allyship is central to this project's main research question, it is necessary to speak with activists with a diverse range of views, including those who endorse unusually confrontational and combative tactics. These may include criminality, specifically in the form of acts of civil disobedience such as continuing a sit-in after being legally ordered to disperse or trespassing in order to drop a banner. The political science literature on social movements includes analysis of 'radical flank effects' – sometimes cases where the presence of some number of more extreme individuals makes less extreme activists seem more moderate and worthy of support, while in other cases the visibility of extremists allows for mainstream decision makers and the general public to dismiss the demands and reasoning of the social movement as a whole. Examining the tensions between strategic perspectives among CFFD activists will allow this project to contribute to the literature, as well as generate comprehensive information about what responses universities make when confronted with a variety of tactics. Disagreement within CFFD campaigns can also be analyzed in the context of their internal efforts to be democratic and inclusive in decision making. The "Jemez Principles for Democratic Organizing", an activist manifesto, acknowledge some of the tradeoffs associated with efforts at being internally inclusive and democratic, specifically that an emphasis on internal diversity may delay the attainment of other goals and exacerbate interpersonal conflict.

So far, only a small set of scholarly analyses of the CFFD movement have been published as theses, book chapters, and articles. None examines more than a handful of campaigns, or seeks to identify broad patterns and outcomes in the CFFD movement. The existing CFFD literature suffers from three central limitations. To begin with, analyses to date have concentrated on a single campaign or a small set — usually those in which the authors have been personally involved. So far there have been no broad comparative studies of many campaigns which have taken place at similar institutions. They have also concentrated heavily on institutional response as an outcome: did the targeted university wholly reject the campaign, make some non-divestment concessions, or commit to divestment? Analyses to date have also been self-consciously motivated by a desire to help the movement succeed, or to shape it in particular directions like greater emphasis of the 'climate justice' frame or an intersectional approach to allyship. A comprehensive survey of Canadian campaigns, followed up by detailed analysis of a selected subset, will help to address these limitations.

This project's primary research objectives are to:

- a) Produce the first comprehensive data set on which Canadian universities have had climate change activist groups or fossil fuel divestment campaigns since 2011
- b) For selected subsets of small and large campaigns, identify the major decisions and actions undertaken by both CFFD activists and university administrations
- c) Examine the relationship between the strategies and tactics chosen by CFFD campaigns, including cooperative and confrontational strategies, and the decisions made about divestment by universities so far
and
- d) Study the effect of taking part in CFFD activism upon students, including:
 - i) Changes in their subsequent political behaviour, in both conventional politics and social movements
 - ii) Changes in activists' views on the effectiveness and desirability of various strategies and tactics
 - iii) Changes in activists' "theories of change" – their big-picture perception on plausible steps between the *status quo* and their preferred final political state (see p. 9-10 of my research proposal)

It is hypothesized that CFFD campaigns will sometimes experience tensions between choices that do most to advance the goal of activist development and those that most increase the odds of the target university actually divesting. Specifically, more cooperative tactics are expected to raise the odds of a sympathetic administration deciding in favour of divestment, whereas more confrontational tactics may do more to recruit

and motivate volunteers, as well as build social networks between activists which will sustain their enduring involvement in CFFD and other campaigns. Institutional factors will be more likely to affect the odds of divestment at any particular institution than strategic choices by activists. These factors include relevant precedents in how previous non-fossil fuel divestment petitions have been dealt with, along with broader patterns of institutional decision making with regards to matters of environmental sustainability and engagement with contentious political issues broadly. Activist development within CFFD campaigns is expected to be affected most by the social character of the organization and the related subjective experience of participation, along with the developing pattern of action, response, and counter-response between the campaign and the administration.

References:

- Curnow, Joe and Allyson Gross. "Injustice Is Not an Investment: Student Activism, Climate Justice, and the Fossil Fuel Divestment Campaign". In: *Contemporary Youth Activism: Advancing Social Justice in the United States*. Ed. by Jerusha Conner and Sonia M. Rosen. Westport, Connecticut: Praeger, 2016.
- Diani, Mario. "'Leaders' or Brokers? Positions and Influence in Social Movement Networks". In: *Social Movements and Networks: Relational Approaches to Collective Action*. Ed. by Mario Diani and Doug McAdam. Oxford: Oxford University Press, 2003.
- Fujii, Lee Ann. "Research Ethics 101: Dilemmas and Responsibilities". *PS: Political Science & Politics* 45.4 (2012): 717-723.
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- Giugni, Marco G. "Was it Worth the Effort? The Outcomes and Consequences of Social Movements". *Annual Review of Sociology*. 24: 371-393. 1998.
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- Hadden, Jennifer. *Networks in Contention: The Divisive Politics of Climate Change*. New York: Cambridge University Press, 2015.
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- Hazan, Louise. "Is divestment working?" 2016. url: <https://gofossilfree.org/europe/is-divestment-working/>.
- LeQuesne, Theo. "Revolutionary Talk: Communicating Climate Justice". MA thesis. University of California, Santa Barbara, 2016.
- McAdam, Doug. *Freedom Summer*. Oxford: Oxford University Press, 1988.
- McAdam, Doug and Hilary Schaffer Boudet. *Putting Social Movements in their Place: Explaining Opposition to Energy Projects in the United States, 2000-5*. Cambridge: Cambridge University Press, 2012.
- Mosley, Layna ed. *Interview Research in Political Science*. Ithaca: Cornell University Press, 2013.
- Schatz, Edward. *Political Ethnography: What Immersion Contributes to the Study of Power*. Chicago: University of Chicago Press, 2009.

Schiefeling, Todd and Andrew John Hoffman. "Bill McKibben's Influence on U.S. Climate Change Discourse: Shifting Field-level Debates Through Radical Flank Effects". *Organizations & Environment*, Forthcoming. url: https://papers.ssrn.com/sol3/papers.cfm?abstract_id=2957590

Southwest Network for Environmental and Economic Justice. "Jemez Principles for Democratic Organizing". 1996. url: <http://www.ejnet.org/ej/jemez.pdf>

Tarrow, Sidney G. *Power in Movement: Social Movements and Contentious Politics*, 3rd ed. Cambridge: Cambridge University Press, 2011.

Tilly, Charles. *Contentious Performances*. Cambridge: Cambridge University Press, 2008.

Yona, Leehi and Alex Lenferna. Fossil Fuel Divestment Movement within Universities. 2016. url: https://www.academia.edu/22720888/Fossil_Fuel_Divestment_Movement_within_Universities.

See also: <https://www.sindark.com/phd/thesis/proposal/key-texts.pdf>

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.

Contact with research subjects will take place in two phases, distinguished by the complexity of the interviews to be undertaken as well as the plausible subject protection concerns of interview subjects. The first of those phases is the census of accredited Canadian universities. The purpose of this is only to determine which schools have climate change activist organizations or divestment campaigns, approximately how many students were involved at the peak of these campaigns, and what formal decisions if any have been taken by the university. In this phase, no plausible risks to interview subjects have been identified. Those approached would include activists, university staff and faculty members, and others involved in carrying out or responding to CFFD campaigns.

The second phase is an ethnographic examination of a selected subset of 'large' and 'small' CFFD campaigns, defined using data on peak volunteer participation. For each case, a detailed timeline will be created, showing all identifiable actions undertaken by the CFFD campaign and the responding administration. This information will come from publicly available sources, including media reports. It will also be obtained through interviews with activists and others associated with CFFD campaigns, as well as in the form of documents provided by members of these campaigns including the minutes of meetings and other potentially relevant materials. 'Broker' individuals, from organizations which have been actively seeking to promote fossil fuel divestment at a variety of institutions and aid the diffusion of strategies and tactics, will also be interviewed in this phase. In the case of ongoing campaigns, participant observation might usefully complement document analysis and interviews. For instance, this could allow better understanding of decision making processes within activist organizations.

The full departmentally-approved research proposal contains detailed information on methodology: <https://www.sindark.com/phd/thesis/proposal/CFFD-proposal-2-4.pdf>

Phase I: Census

To collect comprehensive data about the presence or absence of climate change activist groups and CFFD campaigns at Canadian universities, the following information will be collected:

1) Searching Google, Twitter, and Facebook to identify any 350- or Fossil Free- branded campaigns at the institution

- 2) Scanning a suitable news database for the name of the institution and "divestment", "climate change", and "fossil fuel"
- 3) Contacting the university administration to ask about whether any relevant campaigns have taken place
- 4) Contacting the student government with the same question
- 5) Contacting a small sample (up to 5) faculty members with specializations in environmental science or policy to ask about whether any campaigns have happened

For universities where divestment campaigns are identified, activists involved (identified through publicly available documents like media releases) will be asked to estimate the peak number of volunteers in the busiest week of the campaign as well as the average number of people present at planning meetings. This will allow for campaigns to be categorized as large or small.

The questions which will be posed of interview subjects in this stage can be provided in advance. Given the uncontroversial nature of the information being collected, it is not anticipated that research subjects will face any risk from participating in this phase of the research. It is expected that this phase of the project will be based on "interaction with individuals who are not themselves the focus of the research in order to obtain information", as described in section 2.1 of the TCPS2. Nonetheless, out of caution subjects in this phase will still be advised about the risks and benefits associated with the project and asked to provide written consent.

Phase 2: Ethnography

The results of the census will be used to select a feasible set of small and large campaigns for close examination. This selection will be made based on the information collected in the census phase and in consultation with the supervisory team. The size of campaigns will be determined based on estimates from activists of the peak number of people who volunteered for at least one hour during the busiest week and estimates of the average number of people present at planning meetings. The value of looking at both large and small campaigns is based on the expectation that they will have different internal dynamics and decision making procedures and that will help to answer questions about how the organizational culture of CFFD campaigns affects activist development.

Interviews of activists and university administrators will be used to develop event catalogs of the actions taken by both CFFD campaigns and universities in response. Interviews with activists will also be used to gain information about their strategic decision making, including decision making processes like voting. Surveys will also be employed, largely on the basis that there is a higher likelihood that people peripherally involved with a campaign will complete a short simple survey rather than agree to be interviewed. In all cases, these research materials will be collected to understand the internal dynamics of campaigns, their decision making procedures, examples of contention in their internal deliberations, and how CFFD participation has affected activists.

Written materials provided by activists and university administrators will be used to supplement this analysis. From activists, these may include minutes of meetings; email or other electronic communications; personal diaries, blog posts, social media posts, or reflections; and analyses of campaign strategies and outcomes, such as "power analyses". From university administrators they may include published documents, minutes of meetings, correspondence, and other documents they consider relevant to the research project.

Surveys completed by activists will be conducted with web-based tools such as Google Docs. These surveys will not explicitly ask for personally identifying information, but it is plausible that other people who are sufficiently well informed about the campaign could identify survey respondents based on what they say.

Participant observation may be employed in the event that selected CFFD campaigns are ongoing, they are undertaking relevant actions while this research project is ongoing, and it is practical to be physically present. Two kinds of CFFD campaign activities might be useful subjects for participant observation: planning meetings and other decision making forums in which strategies are discussed and selected and direct actions

such as protests, sit-ins, and marches. At meetings where activists have a reasonable expectation of privacy, recordings will not be made and notes will not include information which would identify specific individuals. University responses amenable to participant observation might include meetings of deliberating bodies which are open to the public. Any participant observation undertaken during this project will be conducted in accordance with article 10.3 of the TCPS2. If feasible, all those present will be advised on the purpose of the research being undertaken and subject protection measures in place, as well as being given copies of the phase 2 (ethnography) information and consent letter. This would be feasible, for instance, if attending a planning meeting. For observations of large actions taking place in public, such as marches or protests, this approach would not be feasible. Instead, subject protection would be provided by avoiding the collection of personally identifying information. Such observation would not allow for the identification of the participants in the dissemination of results, would not be staged by the researcher, and would be non-intrusive. As such, it should be regarded as being of minimal risk.

(b) Attach a copy of all questionnaires, interview guides and/or any other instruments.

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

- 1) Information and consent letter for phase 1 (census)
- 2) Information and consent letter for phase 2 (ethnography)
- 3) Phase 1 questions
- 4) Outline of phase 2 semi-structured interview topics

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.

Three sets of activists are relevant for this study:

a) Those who will be contacted for the initial Canada-wide census could include anyone publicly identified with a campus climate change activist group or CFFD campaign or anyone with knowledge about these groups and campaigns. Only minimal information will be sought from these subjects, including when their group or campaign was established and how many volunteers were involved during a representative week from the busiest period.

b) For campaigns selected for more detailed study, anyone who was a volunteer or organizer within the CFFD campaign is eligible as a research subject. Following a common convention in environmental non-governmental organizations (eNGOs), I will refer to anyone dedicating their effort to supporting a divestment campaign as an "activist" or "volunteer", while those whose involvement extends to coordinating the efforts of others are "organizers", regardless of whether they have a formal title within a divestment organization. Both activists and organizers will need to be interviewed to assemble a variety of perspectives on each campaign. For small campaigns, perhaps 3-10 activists will serve as a sample for interviews and surveys. For larger campaigns, more activists (perhaps 10-20) may be sought as interview subjects, while as many as possible (perhaps 50+) will be sought as survey respondents. Organizers will generally be better placed to provide information relevant to my research questions than volunteers, though the experiences of people only loosely affiliated with CFFD campaigns will be useful for understanding dynamics of activist recruitment and development, as well as the relative prevalence of factors that motivate people to stop participating.

c) Activists involved in non-selected campaigns or working with broker organizations may also be eligible for interview or survey participation, provided their experience has the potential to aid understanding of this project's research questions. Such research subjects may provide context on the broader CFFD, fossil fuel divestment, and climate change activist movements – including in terms of the role of broker organizations

and individuals, the relative importance of different movement objectives, as well as major ongoing debates about strategy and allyship.

For university administrators, any who have been involved in decision making in response to CFFD campaigns will be eligible research subjects, as well as those identified as public spokespeople in university media releases. It is not expected that more than 5 or so administrators will have been involved in responding to any particular CFFD campaign to such an extent that their involvement as a research subject would be desirable.

(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.)

Audio recordings and survey responses may both contain personally identifiable information, though participants will be presented with a range of confidentiality options including a high-security option in which all personally identifiable materials will be immediately destroyed once they have been converted into a non-identifying format (such as by transcribing an interview into text and omitting potentially identifying details).

(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.

N/A

(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.

This is the researcher's first academic study of this type, though I have been extensively involved in climate change and CFFD activism since 2011. Preparation for the research has already included significant consultation about methodology with climate change activists and scholars of political science and sociology. It has also included the review of previously published research involving similar questions and methods, as well as academic writing on interview and survey techniques and participant observation. I have completed qualitative methods coursework and research ethics training at U of T.

As preparation for this research project, I conducted a test interview as part of a qualitative methods course. I spoke with Cheryl McNamara, a prominent organizer with the Toronto chapter of the Citizens' Climate Lobby. The test interview was valuable for better understanding the effective use of a semi-structured model. I also used my paper for the 2017 Canadian Political Science Association conference to test methods for identifying activists from media reports.

The supervisor of this project has experience from his own research of the requirements for research that involves human subjects.

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.

For the study, interviewees and survey subjects will be recruited by me through several means including efforts to acquire lists of CFFD campaign participants from campaigns themselves and broker organizations like 350.org. These lists would ideally include contact information. In some cases, initially identified CFFD activists may be asked to distribute information about the project to other potential activist research subjects. Activists will also be identified by seeking out publicly-identified spokespeople for CFFD groups from materials including media reports and press releases. Activist participants may also be sought through social media channels including Facebook and Twitter. In addition, a snowball method will be used to identify further research subjects and relevant actors. In this process, known interviewees will be asked to share researcher contact information with possible new participant. This process abides by research ethics standards, as it does not require known interviewees to share third party data with the researchers, but enables possible contact with interested participants.

Particular efforts will be made to recruit participants who were CFFD activists at one point but who have ceased to be involved in the movement due to a feeling that it has been ineffective, disagreement with group members about strategies and tactics, or interpersonal conflict. Speaking with such people will be important for the main research questions of this project, specifically the desire to identify the range of reactions to participation in CFFD campaigns and the relative frequency of different outcomes (remaining involved in climate activism, future involvement in other forms of activism, discontinuation of involvement in activism, etc).

University administrators will be identified through university websites and staff directories, as well as by means of any individuals mentioned in university press releases or statements to the media.

In the case of ongoing campaigns, participant observation may be undertaken using the prior work of Joe Curnow on the University of Toronto campaign as a model. Campaigns selected for participant observation could be those at which relevant actions are taking place during the time when this study is ongoing and where it is feasible to be physically present.

Translation of recruitment materials into French for the benefit of those at Francophone institutions or in provinces where French is an official language is not expected to be necessary, as both activists and university administrators are expected to be sufficiently proficient in English to make use of English language materials.

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 <input type="checkbox"/>	No <input checked="" type="checkbox"/>
In-kind	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
Other	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

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

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

No funding is available for this purpose.

No payment or compensation will be provided to research subjects. Participants will be informed of the voluntary and uncompensated nature of their participation, and will be free to choose whether to participate under these conditions.

In cases where interviews are held in person in commercial spaces (such as coffee shops), the researcher may offer to purchase coffee or lunch for the interviewee. This will not be offered as compensation for the interview material or information, but instead to avoid placing additional burdens on interview subjects already volunteering their time and expertise. In such circumstances, the interviewee will be informed that they may still withdraw at any time, and the meal/drink creates no obligation for them to continue their participation.

The research questions for this dissertation have been chosen in consultation with CFFD activists. In a non-material sense, they may benefit from reading academic work published on the basis of this research. Of course, individuals who do not choose to take part in interviews or complete surveys will equally have access to all such publications.

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

Compensation is not offered and so would not be affected. Participants are free to withdraw at any time.

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 X No

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

(iv) Legal risks (e.g., apprehension or arrest, subpoena): Yes X 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.

Minor psychological and emotional risks may arise because of the interpersonal character of CFFD campaigns, which are often organized between friends. This could make questions about campaign effectiveness and internal disagreements emotionally sensitive. Also, CFFD campaigns are characterized by internal contention about tactics, allyship, and other topics. Research participants who choose to allow themselves to be quoted, and whose statements are remembered by others involved in the campaign who could read published research, could be at risk of being de-anonymized or of experiencing interpersonal conflict arising from ongoing contention about a past or ongoing campaign. This might include feeling uncomfortable, embarrassed, or upset.

Related minor social risks exist. Organizers who advocated strategies later deemed ineffective by some, for example, may suffer a loss of status or reputation as a result. Likewise, those who consider that their involvement in an activist campaign of this type is not a matter of public record, loss of privacy may arise as a result of quoting interviews or documents.

Some CFFD campaigns include acts of civil disobedience: deliberate moral choices to violate the law for a political purpose, with full and public acceptance of the legal consequences. (The Keystone XL arrests outside the White House in 2011 are an example from elsewhere in the climate change activist movement.) Most often these consist of sit-ins in which orders to disband are disregarded. Some campaigns have also trespassed for purposes like dropping banners in highly visible locations. In some cases, incidental property damage may have arisen from activist actions like marches or protests. This creates some legal risk for research subjects who may themselves have been involved in any such actions.

All interview subjects will be warned that it's not impossible that a police force, intelligence service, court, or other government entity will demand access to research materials like interviews and transcripts, or may obtain such research materials via clandestine means. Third party requests for access to research materials may also be initiated by university administrations. Interview subjects will be told that only crimes which meet the definition of civil disobedience should be mentioned. Interview subjects will be specifically warned not to discuss any other criminal activities, whether witnessed personally or otherwise understood to have occurred. Participants will be told that they can request that interview recording be paused at any time, in order to make comments which will not be included in recordings, interview transcripts, or handwritten interview notes.

At the time of any writing-up or publication, all of these risks will determine what additional protections are added to any comments attributed. People who did not request anonymity may be granted it retroactively at the researcher's discretion. Other measures may be taken to protect interview subjects. I am grateful to Dr. Lee Ann Fujii for her extremely valuable guidance on risks faced by interview subjects and means for mitigating them when publishing academic writing.

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

No potential direct benefits to participants are expected.

The activist community and the community of university administrators responding to their demands may both benefit from access to the most comprehensive study to date of CFFD campaigns, the events they have included, and the effects they have had on activist participants.

The primary audience for this dissertation is scholars of politics seeking to understand the changing character of climate change and energy politics in Canada. It also includes those focused on theoretical and empirical questions about how social movements in general operate and how they influence societal outcomes more than the specific objectives of the CFFD movement, as well as how social movements operate in relation to transnational issues, through youth participation, and through modern electronic communication networks.

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 the first – census – phase, all potential research subjects will be sent a letter outlining the ethical protocol under which this research is being conducted. Those who request it will be granted access to the departmentally-approved research proposal and IRB-approved ethics protocol. They will be assured that any personal details about them will be retained only for the internal record-keeping of the research project (including to facilitate follow-on interviews) and that nothing they say will be directly quoted without their express permission.

For the second – ethnography – phase a second letter will be distributed, informing subjects of the anticipated risks associated with participation, the purposes of the research, and the policies on confidentiality and data protection which will be observed by the doctoral student and supervisory committee members.

In each phase, research subjects will be asked to affirm by a suitable means – such as physically signing a copy of the letter summarizing the ethics protocol or sending an email affirming their acceptance – that they consent to participate in this study, subject to the protections detailed in the ethics protocol, and with the option to freely withdraw at any time in a way that will have no adverse consequences for them. A database will be maintained offline on a password protected computer with an encrypted file system. This database will document which phase(s) research subjects have consented to and which confidentiality options they have chosen.

(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 information and consent letters for each phase of the project will describe how personally identifiable information will be handled, and all interview subjects will be offered a menu of confidentiality options including those under which they will never be directly quoted.

20. CONSENT DOCUMENTS

(a) **Attach an Information Letter/Consent Form**

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**
 - 1) Information and consent letter for phase 1 (census)
 - 2) Information and consent letter for phase 2 (ethnography)
 - 3) Phase 1 questions
 - 4) Outline of phase 2 semi-structured interview topics

(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.

For individuals who do not consent to take part in the study, only publicly available information will be retained.

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.

N/A

(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.

N/A

(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.

N/A

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.

As noted in the information and consent letters, participation in interviews and surveys is entirely voluntary. If a participant does agree to be interviewed or surveyed, the individual is free to withdraw from the interview at any point.

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

Interview data from participants who choose to withdraw from the interview will be destroyed. Withdrawal will have no consequences for the participant.

(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 X, with different options for participants No

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

Interviews will include identifiers for research subjects, generally including their name, the institution at which they have been active, contact information, and recordings of their voice. Given the relatively low risks to interview subjects, and the likelihood that even anonymized research material could be linked back to individuals by a sufficiently determined third party, interview recordings and transcripts will not be de-linked from identifiers, but will rather be handled as confidential information stored in keeping with U of T's data security standards and accessible only to members of the research team. Individuals with elevated concerns about risks from participation may select the maximum protection option below, in which no materials retained will include identifiers. Surveys will not include questions intended to yield personally identifiable responses, but the content of answers may nonetheless allow specific individuals to be identified by people knowledgeable about the campaign. Interview subjects may also make reference to their own survey answers.

With the written consent of the subjects, I plan to record all of the interviews which this project will involve, whether they take place by telephone, electronic means like Skype, or in person. Recording will serve multiple purposes: to reduce the need to take copious notes while also managing the semi-structured discussion, allowing for the correction of subsequent failures of memory, and providing confidence that the statements of interview subjects have been properly understood. Each interview will be approximately 0.5 – 2.0 hours, with the average interview expected to last about an hour. Heavily-involved organizers and brokers may be interviewed several times. Written consent to be interviewed will be based on a menu of available confidentiality options, ranging from unlimited use including publishing the recording or transcript of the interview to the most protective option, in which the recording will not be transmitted and will only be used to make a non-identifying transcript or summary before the file is destroyed by being overwritten multiple times on the hard drive or flash memory where it was stored. Specifically, the options which I intend to provide are:

Maximum protection: I will make a recording of the interview which will not be transmitted electronically except from a digital recording device to a computer. Using the recording, I will promptly produce a summary or transcript designed to exclude any details which would identify the subject. Once this document is complete, I will destroy the recording file(s).

Recording retained — no quotation: The subject agrees that I will retain the interview recording indefinitely for reference and I will not quote any part of it in any publication arising from this research.

Recording retained — anonymous quotation only: The subject agrees that I will retain the interview recording indefinitely for reference and will only use anonymous quotations in any publication.

Recording retained — quotes attributed: The subject agrees that I will retain the interview recording indefinitely for reference and that I may attribute quotations to them publicly.

No confidentiality: The subject agrees that any recordings, summaries, transcripts, or notes based on the interview may be published.

I will explain to subjects both the degree of plausible protection afforded to them by each option, as well as the academic and methodological advantages and disadvantages of each. Subjects will be told that while interviews are in progress, they are free to stop the discussion at any time. Subjects will also be told that regardless of which level of confidentiality they choose, my treatment of research materials will be governed by this project's data protection policy and by the project's policy regarding compliance with third party requests for access, such as any received from university administrations or state security (police or intelligence) services. An offline database stored on a password-protected computer with an encrypted file system will be maintained which, for each interview subject, shall include which phase(s) of the project they have consented to, what confidentiality option they selected, the means of their written consent (including where any paper record is stored), and contact information to be used to provide notice of any external pressure to disclose participant data.

The confidentiality option selected will establish the minimum level of protection for the interview subject. At the time of writing up the dissertation and any other scholarly work deriving from this research further protection may be applied in order to mitigate any risks to interview subjects.

(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)

Contentious tactics are a central part of what this study will examine. Because this project will involve interviews discussing criminality (civil disobedience such as building occupations) there is some risk that third parties will seek access to research materials including interview recordings and transcripts.

This research project is designed to minimize risks of external pressure to disclose research materials. The risk of such a request will be mitigated in several ways. Before all interviews subjects will be given a definition of civil disobedience and directed not to discuss any other kind of criminal activity, even incidentally. Subjects will be advised of the distinction between criminality already known to the authorities (such as a sit-in that has been reported in the media) and unknown criminality. In the latter case, they will be directed not to identify individuals involved in such actions. Interview subjects will also be told that they can request a pause in interview recording and note taking at any time, in order to disclose potentially sensitive information without leaving an enduring accessible record.

A response to external disclosure pressure has been agreed between the researcher and members of the supervisory committee. If such requests are not accompanied by a valid court order such as a subpoena, they will not be complied with. In the event that a request for access is accompanied by a court order, disclosure will be resisted and legal counsel and institutional support will be sought. This resistance will be based on the Wigmore Criteria, and specifically the fact that research materials have been collected in a confidence that they will not be disclosed; that this confidentiality is essential to the full and satisfactory maintenance of the relation between the parties and to the effective investigation of this project's research questions; that in relations with activists and those they are seeking to influence the opinion of the community ought to be sedulously fostered; and that the injury that would inure to the relation by the disclosure of the communications would be greater than the benefit thereby gained for the correct disposal of litigation. In the event of any pressure to disclose research material from an outside authority all interview subjects who could potentially be affected shall be notified, unless such notification is expressly prohibited by a valid court order.

Contact information for interview subjects shall be retained for this purpose, as well as to enable any follow-up interviews that seem useful.

The risk of clandestine access to research materials by university administrations, police forces, intelligence services, fossil fuel corporations, anti-environmentalist individuals, and others will be mitigated by storing research materials on encrypted file systems, using encrypted data transmission channels, limiting the extent to which computer systems are connected to the internet, the operation of intrusion detection systems, and through any other means deemed necessary and appropriate during the course of the project.

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.

For interview material, only the researcher and supervisory committee will have access to notes and data files (e.g. MP3 files) from the interviews. Surveys will be undertaken using a web-based tool such as Google Docs, using a password-protected account, ideally from a provider like Google that offers intrusion detection tools. Physical documents will be kept in the researcher's home or U of T offices; all electronic files will be on password protected computers with encrypted hard drives. As interview notes may be taken by hand, some notebooks (hard copy data) may be used; these will be protected in line with U of T practices (restricted access where possible, reasonable security precautions for protection of high-value assets).

Where feasible, paper records will be digitized and stored on encrypted file systems. This will mitigate risks associated with any possible loss of theft of research materials, since the contents of encrypted drives will not be accessible to unauthorized parties.

For materials on the public record, such security efforts will not be needed; however, general practice by researchers will be to keep electronic records on password-protected, encrypted systems. If any fieldwork is undertaken, electronic research data will be stored on a private laptop, which is both encrypted and password-protected.

(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.

Following the completion of the research project, the interview information will be kept in secure facilities (physical or virtual) at the University of Toronto and/or by the research team. This material will be retained indefinitely as an input to likely extensions of the project, including looking at the experiences of universities outside Canada, and at investing organizations aside from universities such as faith organizations, municipalities, and private foundations. Participants will be informed of the intention to carry out such follow-on work, and that interview and survey data will be retained for that purpose.

Retention of information is motivated in part by the desire to meet high standards in transparency and publication quality. In particular, it is motivated by the Data Access and Research Transparency Initiative (DART) principle that "researchers have an ethical obligation to facilitate the evaluation of their evidence based knowledge claims through data access, production transparency, and analytic transparency so that their work can be tested or replicated".

The minor risks faced by research subjects in this study can mostly be expected to be fairly short-term in nature. It would be strange for a university to suddenly decide to discipline a student, faculty member, or administrative staff member several years after a CFFD campaign ended. Similarly, any plausible retaliation from corporations targeted by CFFD campaigns seems likely to occur soon after or during the campaign, rather than after it. As such, retaining research materials indefinitely does not further increase the risk of

participating in surveys or interviews, especially when other protections have been offered during interviews (anonymity, off-the-record comments). Such indefinite retention does, however, hold the promise to be valuable in follow-on work.

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

For interviews and surveys, anonymity and confidentiality will be the choice of the participant; for actions taken in public and statements made on the public record, such confidentiality will not be expected by the participant.

(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.

Direct access to interview and survey data will not be provided to other researchers and users, though it may be quoted in keeping with the anonymity option selected by research participants.

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

Group Vulnerability	Research Risk		
	Low	Medium	High
Low	1 <input checked="" type="checkbox"/>	1 <input type="checkbox"/>	2 <input type="checkbox"/>
Medium	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
High	2 <input type="checkbox"/>	3 <input type="checkbox"/>	3 <input type="checkbox"/>

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

Two main groups of research subjects are involved: student activists and university administrators. Neither is exposed to particular concern regarding pre-existing physiological or health conditions, cognitive or emotional factors, or socio-economic or legal status. Indeed, aside from the youth of the students, both groups may be expected to occupy comparatively privileged socio-economic or legal positions, suggestive of generally low group vulnerability. As such, no research subjects are expected to be in a situation of diminished autonomy, or one where they are unable to comprehend the ramifications of consenting to participate.

Research risk does exist for both groups, including socio-economic or legal ramifications such as stigma, loss of employment, deportation, or criminal investigation. Research participants who choose to be quoted in public documents may find that their statements strain social relationships between them and their associates, activist organizations, or employers (both for university administrators and for students employed by their schools, such as many graduate students). Some CFFD campaigns involve acts of civil disobedience, such as occupation of universities buildings which continues after a police order to disperse. Participants may therefore face risk of criminal investigation, and third parties including university administrations, police organizations, and intelligence organizations may request or seek to compel access to research materials.

(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.

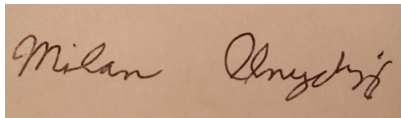
All other submissions (e.g., amendments, adverse events, and continuing review submissions) should be sent to ethics.review@utoronto.ca

SECTION G – SIGNATURES

27. PRIVACY REGULATIONS

My signature as 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.

For U of T **student researchers**, my signature confirms that I am a registered student in good standing with the University of Toronto. My project has been reviewed and approved by my advisory committee or equivalent (where applicable). If my status as a student changes, I will inform the Office of Research Ethics.

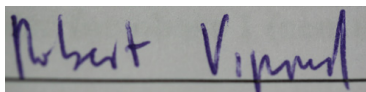
Signature of Investigator:		Date: <u>2017-10-08</u>
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For **Graduate Students**, the signature of the Faculty Supervisor is required. For **Post-Doctoral Fellows** and **Visiting Professors or Researchers**, the signature of the Faculty Sponsor is required. In addition to the supervisor/sponsor, the chair or the dean of the UoT sponsor's/supervisor's department is required to approve and sign the form

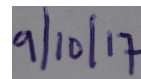
As the UofT **Faculty Supervisor** of this project, my signature confirms that I have reviewed and approve the scientific merit of the research project and this ethics application submission. I will provide the necessary supervision to the student researcher throughout the project, to ensure that all procedures performed under the research project will be conducted in accordance with relevant University, provincial, national or international policies and regulations that govern research involving human subjects. This includes ensuring that the level of risk inherent to the project is managed by the level of research experience that the student has, combined with the extent of oversight that will be provided by the Faculty Supervisor and/or On-site Supervisor.

As the UofT **Faculty Sponsor** for this project, my signature confirms that I have reviewed and approve of the research project and will assume responsibility, as the University representative, for this research project. I will ensure that all procedures performed under the project will be conducted in accordance with all relevant University, provincial, national or international policies and regulations that govern research involving human participants.

Signature of Faculty Supervisor/Sponsor:



Date:



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) : Dr. Antoinette Handley

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



Date: October 10, 2017

Appendix 1: Information and consent letter for phase 1 (census)

[Letterhead]

[Date]

Dear participant,

My name is Milan Ilnycky and I am a PhD student in the Department of Political Science at the University of Toronto. I am working on a PhD dissertation that will examine how participation in campus fossil fuel divestment (CFFD) campaigns affects the development of activists. This is an information and consent letter for potential research subjects who may be involved in the first phase (census) of this research project.

This study will be carried out in Toronto, Ontario under the supervision of Professor Robert Vipond, Professor Kate Neville, and Professor Joseph Carens. The data is being collected for the purpose of a PhD thesis, academic research articles, conference presentations, and presentations to interested organizations.

This question will be investigated in two phases and this informed consent guide pertains to the first phase: a census of all accredited Canadian universities in which the presence and size of climate change activist and CFFD campaigns was assessed. It is expected that this phase of the project will be based on interaction with individuals who are not themselves the focus of the research in order to obtain information. The information being collected is not sensitive or personal and no risks are expected for participating in this phase of the research. Nonetheless, out of caution, subjects in this phase will still be advised about the risks and benefits associated with the project and asked to provide written consent.

No compensation will be provided to interview subjects and no direct material benefits are expected to accrue to any research subjects. Since there have not yet been systematic studies of CFFD campaigns, or studies focused on the consequences of participation on activists, this research is expected to provide benefits by making such information available to all interested parties. The benefits of this study may include a deeper understanding of the ways in which CFFD campaigns across Canada have varied, as well as the range of influences participation in CFFD campaigns has had on the political thought and behaviour of activists. I cannot and do not promise that you will receive any benefits from this study. Participation is not necessary for anyone interested in the conclusions of the research to gain access to them, and subjects who have chosen to participate may withdraw from the study at any time. Participants who desire more information about the project will have free access to the research proposal and ethics protocol, and will have any other questions answered by the researcher.

All participants will be asked to affirm their consent in writing, either by signing a copy of the information and consent letter for the relevant phase (census or ethnography) or by affirming their consent in an email.

Subject's rights

If you have read this letter and decided to participate in the project, please understand that your participation is voluntary and you have the right to withdraw your consent or discontinue participation at any time without penalty.

Thank you very much for considering this request to participate. If you have any questions, please ask.

Sincerely,

Milan Ilnyckyj
PhD candidate
University of Toronto

For questions about this study, contact:

Milan Ilnyckyj
Massey College
4 Devonshire Place
Toronto, ON, M5S 2E1
email: milan.ilnyckyj@mail.utoronto.ca
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Questions, concerns, or complaints: If you have any questions, concerns, or complaints about this research study, its procedures, risks and benefits, or alternative courses of treatment you should contact Milan Ilnyckyj now or later at milan.ilnyckyj@mail.utoronto.ca or 416-732-6922.

Independent of the researcher contact: If you are not satisfied with the manner in which this study is being conducted, or if you have any concerns, complaints, or general questions about the research or your rights as a research study subject, please contact the University of Toronto Research Ethics Board (REB) to speak to an informed individual who is independent of the researcher. You can contact the REB at:

Office of Research Ethics
McMurrich Building, 3rd floor
12 Queen's Park Crescent West
Toronto, ON, M5S 1S8
phone: 416-946-3273
fax: 416-946-5763
email: ethics.review@utoronto.ca

Please return one signed copy to Milan Ilnyckyj and retain the other for your records. Please include your preferred contact information, printed name, and signature.

Appendix 2: Information and consent letter for phase 2 (ethnography)

[Letterhead]

[Date]

Dear participant,

My name is Milan Ilnyckyj and I am a PhD student in the Department of Political Science at the University of Toronto. I am working on a PhD dissertation that will examine how participation in campus fossil fuel divestment (CFFD) campaigns affects the development of activists. This is an information and consent letter for potential research subjects who may be involved in the second phase (ethnography) of this research project.

This study will be carried out in Toronto, Ontario under the supervision of Professor Robert Vipond, Professor Kate Neville, and Professor Joseph Carens. The data is being collected for the purpose of a PhD thesis, academic research articles, conference presentations, and presentations to interested organizations.

This question will be investigated in two phases and this informed consent guide pertains to the second phase: an ethnographic examination of a selected subset of CFFD campaigns in Canada. The first phase was a census of all accredited Canadian universities in which the presence and size of climate change activist and CFFD campaigns was assessed. The ethnographic phase will employ three primary methods, supplemented with the analysis of documents like meeting minutes and campaign strategy documents provided by activists.

The first method will be semi-structured interviews discussing the timeline of events within the campaign, including activist actions and responses from university administrations. Because the aim of the project is to determine the effect of CFFD participation, activists will be asked about their perspectives on activism, tactics and strategies, allyship and intersectionality, and theory of change before their CFFD involvement. Interview subjects will also be asked about the decision making mechanisms used in their campaigns, the subjective personal experience of participation, and disagreements and interpersonal conflicts between activists. They will also be asked to identify other potential interview subjects. The subjects interviewed will mostly be CFFD activists, though university administrators involved in responding to activist campaigns will also be recruited. Administrators will be asked to contribute to the development of detailed timelines for each campaign case study, as well as about the effects of the strategic choices made by CFFD campaigns. Interviews are expected to mostly be conducted remotely by telephone or Skype and to last between 0.5 and 2.0 hours. Particularly active organizers may be asked to take part in more than one interview.

The second method will be surveys administered to activists online. The topics examined will be the same as those in the interviews. The rationale for carrying out surveys as well is that it may allow for data collection from subjects who don't have time to take part in an interview, or who otherwise object to doing so. This project particularly aims to document the experiences of people who have chosen to cease to be involved in CFFD campaigns because of frustration, interpersonal conflict, or other reasons.

The third method, which may be employed if one or more campaign being studied is ongoing and it is practical and potentially useful for the researcher to be present in person, is participant observation. Events observed could include planning meetings, activist actions like marches or protests, and activist

meetings with university administrators. Identifiable information like audio recordings would not be collected during any participant observation.

No compensation will be provided to interview subjects and no direct material benefits are expected to accrue to any research subjects. Since there have not yet been systematic studies of CFFD campaigns, or studies focused on the consequences of participation on activists, this research is expected to provide benefits by making such information available to all interested parties. The benefits of this study may include a deeper understanding of the ways in which CFFD campaigns across Canada have varied, as well as the range of influences participation in CFFD campaigns has had on the political thought and behaviour of activists. I cannot and do not promise that you will receive any benefits from this study. Participation is not necessary for anyone interested in the conclusions of the research to gain access to them, and subjects who have chosen to participate may withdraw from the study at any time. Participants who desire more information about the project will have free access to the research proposal and ethics protocol, and will have any other questions answered by the researcher.

As described in detail in the ethics protocol, participation in this research will create some minor risks for research subjects. These principally consist of the danger that an organization or individual opposed to fossil fuel divestment will seek retribution against them for their participation. No physical risks are expected to be involved with participation. Minor psychological and emotional risks (such as feeling uncomfortable, embarrassed, or upset) can be expected, in particular because CFFD campaigns are often undertaken by groups of friends and research examining disagreements and interpersonal conflicts may give rise to feelings of this type. Similarly, minor social risks (such as loss of status, privacy and/or reputation) can be expected, such as in the case that a strategy favoured by an identified activist is criticized as ineffective by another research subject.

CFFD campaigns also sometimes involve criminality, specifically in the form of acts of civil disobedience like continuing with a sit-in after a lawful order to disperse or trespassing to drop a banner. This creates minor legal risks, as well as a risk that third parties (potentially including universities, police forces, or intelligence services) may seek access to research materials. A response to external disclosure pressure has been agreed between the researcher and members of the supervisory committee. If such requests are not accompanied by a valid court order such as a subpoena, they will not be complied with. In the event that a request for access is accompanied by a court order, disclosure will be resisted and legal counsel and institutional support will be sought. In the event of any pressure to disclose research material from an outside authority all interview subjects who could potentially be affected shall be notified, unless such notification is expressly prohibited by a valid court order. The contact information you provide in your consent document will be retained for this purpose.

Numerous methods are being employed to minimize the risks involved in participation. All interview subjects will be offered a menu of confidentiality options, ranging from granting unlimited permission to publish research materials produced in their interviews to a maximally protective option in which all personal identifiers will be promptly removed from all research materials, with original recordings and transcripts then destroyed. Interview subjects may request that recording and note taking be paused at any time. All interview subjects will also be informed that the only form of criminality which they ought to describe is acts of civil disobedience (openly breaking the law and freely accepting the consequences of doing so as part of a political campaign) and that in the case of any such acts not already known to the authorities they should not disclose any personally identifying information for any people involved. All research materials will be kept in locked containers in my home or on password-protected computer systems with encrypted file systems. For full details on the anticipated risks to research subjects and the methods being employed to minimize them, see the full ethics protocol at: [URL ONCE APPROVED]

All interview subjects will be asked to affirm their consent in writing, either by signing a copy of the information and consent letter for the relevant phase (census or ethnography) or by affirming their consent in an email.

Subject's rights

If you have read this letter and decided to participate in the project, please understand that your participation is voluntary and you have the right to withdraw your consent or discontinue participation at any time without penalty. If you decide to cease your participation, your interview and applicable field note data can be destroyed. In addition, you have the right to refuse to answer particular interview questions. All interview subjects will be offered a menu of confidentiality options and the level chosen will establish the minimum level of confidentiality protection which the subject will be provided. In some cases, when writing up results for presentations or publication, interview subjects will be granted a higher level of confidentiality than they requested in order to minimize any risks to them, other research subjects, and third parties who have been involved in CFFD campaigns but who are not research subjects in this project.

Thank you very much for considering this request to participate. If you have any questions, please ask.

Sincerely,

Milan Ilnyckyj
PhD candidate
University of Toronto

For questions about this study, contact:

Milan Ilnyckyj
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Appendix 3: Phase 1 questions

For university administrators, members of student government, and faculty members working on environmental research:

- 1) Since 2011, has a climate change activist group been active at your university?
- 2) Since 2011, has there been a fossil fuel divestment campaign at your university?
- 3) What broad actions, if any, has the university taken in response?

For activists in identified organizations and campaigns:

- 1) In the busiest week of your campaign so far, how many people would you estimate volunteered for the campaign for at least one hour?
- 2) How many people would you estimate were present at a typical planning meeting?

Appendix 4: Outline of phase 2 semi-structured interview topics

A) Questions for activists:

1) Personal background

- What is your status at the university where the CFFD campaign took place?
- Are there any features in your background that you think are relevant for understanding the effect of your CFFD participation?

2) Pre-CFFD political and activist involvement

- Have you previously been involved in any political activity, such as canvassing for a political party?
- Were you involved in any activist campaigns before CFFD? If so, how do you think they affected your perspective on effective and desirable forms of activism when you became involved in the CFFD campaign?
- What opinions did you have on activist strategies and tactics before your CFFD involvement? Could you describe the implicit or explicit theory of change which you held at that point?
- Do you recall specifically what motivated you to become involved in the CFFD campaign? What was your early experience in it like?

3) Questions about personal involvement in the CFFD campaign

- What role(s) did you personally play in the CFFD campaign?
- Which strategies or actions were you involved in developing and implementing?
- How did you feel about the university's responses to your campaign's actions?

4) Questions for constructing a detailed timeline of actions taken by the campaign and responses

- [Specifics for each campaign will be ascertained from publicly available information, forming a skeleton timeline to aid the recollection of interview subjects]
- In as much detail as you can, please describe how your CFFD campaign began (or when you joined it) and the early actions it undertook
- Across the whole campaign, please describe any cycles of action, response, and counter-response that took place between the CFFD campaign and university administration.
- Were any other divestment campaigns happening at the same time? What about contentious activist campaigns with demands other than divestment? If there were such campaigns, how did they affect the CFFD campaign and the university's response to it?
- At what point did faculty become involved in the campaign? How big a role did they play in making strategic choices?

5) Questions about internal campaign dynamics, decision making procedures, and allyship

- How were decisions made in your campaign? Were formal decision making processes used and, if so, did you feel that that is where decision making really happened?
- Did your campaign have any governing documents, like a constitution? Did people have titles? Were there elected positions?
- To what extent do you feel like your campaign was directed by a small group of individuals?
- How were participants motivated or encouraged to join the campaign? Did the campaign include any actions or mechanisms specifically motivated by a desire to keep volunteers active and engaged?
- Can you recall any major disagreements during the campaign, such as about strategies, specific tactics, or potential alliances with other organizations? How were these disagreements resolved?

- CFFD campaigns are often distinguished by the degree to which they embrace cooperative as opposed to confrontational strategies and tactics. What would you say was the balance in your campaign? Did it change at any point and, if so, in response to what?
- Did participants in your campaign propose to ally your organization with any others, such as divestment campaigns with other motives or other social justice campaigns? Did any meaningful allyship actions actually take place? How did deliberations about allyship proceed?

6) Consequences of participation

- How would you describe the outcome of the CFFD campaign in which you were involved? Do you think the outcome had a greater effect on you than the subjective experience of participating in the campaign?
- In what ways did participation in CFFD activism change your behaviour and beliefs?
- Has your perspective on the effectiveness and desirability of activist strategies and tactics changed?
- Has your theory of change become more explicit, or otherwise been altered by your involvement?
- Has participation in CFFD activism changed your thinking about allyship between activist campaigns or progressive organizations?

7) Questions about other potential interview subjects

- Is there anybody else who you think I could usefully speak to about this project's research questions? Would you be willing to share their contact information or otherwise put me in touch with them?

B) Questions for administrators:

1) Personal background

- What is your status at the university where the CFFD campaign took place?
- Are there any features in your background that you think are relevant for understanding the effect of your CFFD involvement?

2) Pre-CFFD political and activist involvement

- Had you previously been involved in any on-campus political issues or activist campaigns?
- If so, how do you think those experiences affected your involvement with responding to CFFD activism?
- Have any previous divestment campaigns taken place at your university? How did the administration respond?

3) Questions about personal involvement in responding to the CFFD campaign

- Through what process did the university administration decide how to respond to activist actions at various times?
- What role did you personally play in those responses?
- What general tone would you say existed between the administration and the CFFD campaign? Was it more cooperative or confrontational? Did the tone shift at any point and, if so, what caused the shift?

4) Questions for constructing a detailed timeline of actions taken by the campaign and responses

- [Specifics for each campaign will be ascertained from publicly available information, forming a skeleton timeline to aid the recollection of interview subjects]

- In as much detail as you can, please describe how your CFFD campaign began (or when you joined it) and the early actions it undertook
- Across the whole campaign, please describe any cycles of action, response, and counter-response that took place between the CFFD campaign and university administration.
- Were any other divestment campaigns happening at the same time? What about contentious activist campaigns with demands other than divestment? If there were such campaigns, how did they affect the CFFD campaign and the university's response to it?
- Did any other events take place during the campaign that may have affected the university's thinking or behaviour, such as significant personnel changes?

5) Questions about the effect of the strategic choices of CFFD activists

- How do you think the strategic choices of the CFFD campaign affected the behaviour of the university and ultimately the decision made regarding whether to divest?
- What other stakeholders factored into the university's decision making? Through what mechanisms did they make their influence felt?
- Did the possibility that fossil fuel divestment would set a precedent for other divestment efforts – such as the BDS campaign targeting Israel – affect the university's decision making?

6) Questions about other potential interview subjects

- Is there anybody else who you think I could usefully speak to about this project's research questions? Would you be willing to share their contact information or otherwise put me in touch with them?