

Consent to Participate in Research Study

We are asking you to participate in a research study titled “Data Flows in a University: Tracing a Topology of Data at Cornell.” We will describe this study to you and answer any of your questions. This study is being led by Prof. Malte Ziewitz, Department of Science & Technology Studies, Cornell University.

I. What the study is about

This study is part of a semester-long class project in an undergraduate course, Data Science & Society Lab (STS 3440). The purpose of this study is threefold. First, it seeks to provide a high-level understanding of how personal data managed by the many departments and agencies of Cornell flows across the university. Second, it seeks to give students a hands-on approach to engaging in public discussions about data and data science. Finally, it offers students an opportunity to develop their research skills and experience conducting research as part of a team. The study asks: How is data collected, stored, and used across Cornell? We are interviewing Cornell employees to better understand data policies and practices and how they vary across the institution. A large group of employees are being interviewed, from diverse backgrounds, fields, and levels, including personnel involved in the collection, storage, management, and use of personal data as well as the building of tools to manage such data. The goal of the research is to provide an exploratory map of the practices that promote and impede the flow of data as it moves through organizational units.

II. What we will ask you to do

We will ask you to participate in an interview that is expected to take approximately 30 minutes. The interview will focus on the data policies, practices and systems relevant to your everyday work. We will ask for your permission to audio record the interview, but audio recording is not required for participation. Regardless of the mode(s) of participation employed, you will have discretion about what information to provide. You will also have the ability to specify restrictions on the use of this information, as described in section VIII below.

III. Risks and discomforts

We do not anticipate any physical, emotional, or legal risks from participating in this research. If you request that some information that you provide be treated as confidential material, we will protect this information as described in section VIII. However, there is always a small risk of a breach of confidentiality, and therefore are some risks to reputation.

IV. Benefits

There are no direct personal benefits to you from participating in this research. We hope to learn more about how organizations manage the flow of data. We hope that the findings of this research will contribute to efforts to effectively reflect on and address data and society issues related to the flow of data.

V. Compensation for participation

There is no payment or other compensation for taking part in the study.

VI. Audio Recording

We would like to audio record this interview because this provides more accurate and complete information than do written notes. Audio recordings will be transcribed and the transcripts and original recordings will be kept for at least two years after completion of the study.

Please sign below if you are willing to have this interview audio recorded. You may still participate in this study if you are not willing to have the interview recorded.

- I do not want to have this interview recorded.
- I am willing to have this interview recorded.

Signed: _____

Date: _____

VII. Privacy/Confidentiality/Data Security

Your name and NetID will always be kept confidential and will never be used in the presentation of results in this work. Please indicate how you would like us to handle the information you provide when reporting our research. There are two options:

Option A: Neither your name nor job function will be included in reports of the research, but the name of your office may be included. If you choose this option, we will treat your name and job title as confidential. The original recordings and transcripts will be treated as confidential material, available only to the research team and stored in encrypted digital files. When reporting the results of this research, we will protect your identity by removing any references to or suggestions of your job title. Quotations from your interviews may be included in our publications, but your name will not be associated with them. You and your workplace may be identified with a generic phrase, such as “an employee in the Office of Financial Aid,” “an employee at Cornell IT.” In some cases, pseudonyms may be used. Knowledgeable people may be able to make educated guesses about the identities of people and organizations doing unique data work, so absolute confidentiality cannot be guaranteed. (Note: If you choose this option, we may contact you via email or other means at some point in the future to request permission to identify you as the source of specific quotations or facts. You will be under no obligation to grant such permission.)

Option B: Your name will not be included in reports of the research but your job title and the name of your office may be included. If you choose this option, we will treat your name as confidential but will identify your job title and office. The original recordings; any photographs of documentation or on-screen applications; and interview transcripts will be treated as confidential material, available only to the research team and stored in encrypted digital files. When reporting the results of this research, we will protect your personal identity. Quotations from your interviews may be included in our publications, but your name and job title will not be associated with them. You may be identified with a generic phrase, such as “an *administrator in the Department of Science & Technology Studies*” or “Financial Aid Counselor at the Office of Financial Aid.” In some cases, you may be identified using a pseudonym. Knowledgeable people may be able to make educated guesses about the identities of people doing unique data work, so absolute confidentiality cannot be guaranteed. (Note: If you choose this option, we may contact you via email or other means at some point in the future to request permission to identify you as the source of specific quotations or facts. You will be under no obligation to grant such permission.)

Please indicate your choice below.

- I do not want my name or job title to appear in presentations of the research, but my office may appear (Option A).
- I do not want my name to appear in presentations of the research, but my job title or office may appear (Option B).

Signed: _____ Date: _____

We plan to retain the unedited interview transcripts for at least two years. The transcripts will contain information that could be used to identify you, including your name and where you work. Only members of the research team will be given access to the unedited transcripts, and these data will be kept in encrypted files on a secure server. Your information will not be redistributed for future research studies. *Please note that email communication is neither private nor secure. Though we are taking precautions to protect your privacy, you should be aware that information sent through e-mail could be read by a third party.*

VIII. Taking part is voluntary

Your involvement is voluntary and you may refuse to participate before the study begins, discontinue at any time, or skip any questions/procedures that may make you feel uncomfortable, with no penalty to you, and no effect on your relationship with Cornell University.

IX. If you have questions

The main researcher conducting this study is Malte Ziewitz, a professor at Cornell University. Please ask any questions you have now. If you have questions later, you may contact Malte Ziewitz at mcz35@cornell.edu. If you have any questions or concerns regarding your rights as a subject in this study, you may contact the Institutional Review Board (IRB) for Human Participants at 607-255-5138 or access their website at <http://www.irb.cornell.edu>. You may also report your concerns or complaints anonymously through Ethicspoint online at www.hotline.cornell.edu or by calling toll free at 1-866-293-3077. Ethicspoint is an independent organization that serves as a liaison between the University and the person bringing the complaint so that anonymity can be ensured. You will be given a copy of this form to keep for your records.

Statement of Consent

I have read the above information, and have received answers to any questions I asked. I consent to take part in the study.

Your Signature _____ Date _____

Your Name (printed) _____

Signature of person obtaining consent _____ Date _____

Printed name of person obtaining consent _____

This consent form will be kept by the researcher for at least five years beyond the end of the study.