



**Institutional Review Board Application for EXPEDITED or FULL BOARD REVIEW**

Use this form for an expedited or full board review of any student, faculty, or staff research project involving human subjects. For studies that require a full review, please note that the IRB meets once a month and to be considered the project must be submitted ten working days prior to the board meeting.

**Principal Investigator:** Shannon Charity Ericson

**Phone:** (+254) 706-222-803      **Email:** sc.ericson27@gmail.com

**Are you:**

<input checked="" type="checkbox"/> <b>APU student</b>		
	Responsible faculty: Dr. Viv Grigg	Department: Urban & Multi-Ethnic Studies
	Phone: (626) 253-8411	Email: vgrigg@apu.edu
<input type="checkbox"/> <b>APU faculty or staff</b>		
	Chair, dean, or supervisor	Department
	Phone	Email
<input type="checkbox"/> <b>Unaffiliated with APU</b>		
	Institutional Affiliation and Address	
	Faculty Advisor or Chair	Email

List here the names and email addresses of all persons who consent participants, implement research procedures, and collect research data.

Name	Email address
Shannon Ericson	sc.ericson27@gmail.com

**Project Title:** *Perceived & Expressed Discrimination of Urban Refugees in Nairobi, Kenya*

**Is this a Pilot Study?**  Yes     No  
**If Yes, who is your target sponsor?**

<b>Is this research funded by award?</b> <b>If Yes, list the following:</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
1. <b>Funding Agency :</b> (if NIH funded, attach certificate of compliance)	
2. <b>Study Initiator:</b> <input type="checkbox"/> Local Investigator <input type="checkbox"/> Funding Agency	
3. <b>Award Number:</b>	
4. <b>Confirmed or estimated amount of award</b>	

<b>If there is a contract related to this study of which APU is a party, has the office of the General Counsel approved the contract?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
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<b>Is the research project a clinical trial:</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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<b>Expected Research Start Date</b> <i>5/20/2015</i>	<b>Expected End Date</b> <i>7/27/2015</i>
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<b>Recommendation for IRB Review Category (see IRB instructions)</b>	
<input checked="" type="checkbox"/> <b>Full Board Review</b>	
<input type="checkbox"/> <b>Expedited</b> Category # _____ (see page 6 in this handbook)	
If you are requesting Expedited review, give rationale for doing so.	
Please confirm the following:	
Vulnerable population?	<input type="checkbox"/> No
Sensitive topic?	<input type="checkbox"/> No
Exceeds minimal risk?	<input type="checkbox"/> No

Paginate your application once it is complete. Place the page numbers as found in your application into the Index below. Some items may not be needed for your application.

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2014-15 Institutional Review Board Application form, continued

Please complete the following sections in enough detail for the IRB to understand the nature, intent, and procedure of your project. Enter the following information within this document.

1. **Title:** *Perceived & Expressed Discrimination of Urban Refugees in Nairobi, Kenya*

2. **Project Summary:**

*This research project will be conducted to determine the prejudice and discriminatory practices against urban refugees in Nairobi, Kenya. The goals of this research will be to determine how urban refugees feel and think about discriminatory practices occurring against their communities in Nairobi and how native Kenyans feel about refugees and discrimination in Nairobi. It will also contribute to the general body of knowledge regarding urban refugees. Refugees and Kenyans will complete a short survey and be interviewed individually regarding their experiences and thoughts on discrimination based on ethnicity and refugee status. Free thought questions will be used, responses codified and analyzed to determine the themes of prejudice towards refugees and common forms of discrimination faced by urban refugees.*

3. **Research Question:** State your research questions and hypotheses if applicable:

*Questions:*

- What are the differences in perception of discrimination of urban refugees compared to Kenyans in Nairobi?

4. **Foreseeable Benefits:**

a. What, if any, is the immediate benefit of this research to the *participant*?

*The main benefit of the research for participants is an engaging, cathartic conversation with urban refugees regarding their experiences of discrimination. Additionally, it will provide an increase in public understanding and awareness regarding issues facing refugees living in the city.*

b. How does this research benefit the *population of persons similar to participants*? Provide citations and a brief summary:

*This research will contribute to the body of knowledge regarding the well-being and lifestyles of urban refugees and provide a voice for the urban refugee population. It will specifically add insight regarding the issue of discrimination that is largely lacking in this field of research. This will benefit studies related to prejudice, discrimination, stereotypes, xenophobia, and urban refugees. See Scholarly Resource References section on pages 17-18.*

c. Summarize scholarly research with citation. Please limit summary to 500 words. Place references on a separate page with this application.

*In the world today, "as many as almost seven million refugees and asylum seekers are living in cities, potentially more than half of the world's refugees" (Morand, 2012, p. 4). In East Africa, Kenya receives the bulk of refugees, with roughly 54,000 living in Nairobi. While most African countries restrict refugees to living in camps, Kenya allows greater mobile freedom (Hyndman & Nylund, 1998). However, this does not equal just treatment of urban refugees.*

*Historically, there are many reasons for Kenya's hesitancy to accept refugees. Violent outbreaks characterize their nations of origins such as Sudan, Somalia, and Ethiopia (Betts, 2010). Some of this*

violence has been known to follow refugees, leading to terrorist outbursts from Al-Qaeda and most recently from Al-Shabaab (Burns, 2010; Chacha, 2004). Additionally, a history of nationalism from colonial days has been reborn into a second movement, now excluding social groups without a shared history (Kersting, 2009). For refugees entering Kenya within the past decades, there is not enough shared history causing them to be seen as outsiders. Further entrenching false stereotypes, Kenyans are encouraged to believe that refugees are exacerbating problems of urbanization, the struggling economy and national security, often by politicians and the government (Kibreab, 2007; Lomo, 200). This does little to make refugees feel welcome in their first country of asylum.

With these views of refugees, urban refugees tend to face discrimination within the city. Much of this is due to legal barriers and poor implementations of policies intended to aid and protect refugees (Lindley, 2011; Morand, 2012; Umlas, 2011). However, much is also due to societal actions. Refugees seem to experience discrimination on every front. This includes poor access to financial capital, the formal sector of the economy, primary education for children, access to medical care, police brutality, extortion, rape and physical violence, and many others (Campbell & Duplat, 2010; Huot, 2014; Kagwanja, 2000; Karanja, 2010; Metcalfe, et. al., 2011; Parker, 2002; Pavanello, et. al., 2010; Spiegel & Nankoe, 2003; Willems, 2005; "You Are All Terrorists", 2013). Some research has been done relating these experiences with depression and Post-Traumatic Stress Disorder (Ellis, et. al., 2008). Discriminatory treatment such as this has many damaging effects on the refugees who live with it daily.

While many of the mentioned studies include refugees' expressed feelings of discrimination and theories for the development of prejudicial thought, there are still gaps in the research. Much of the research associated with prejudice, stereotypes and discrimination has been done in a Westernized, white-black context, not between other ethnic groups and not often in the developing world. Researchers call for greater studies involving multi-group comparison and highlighting a minority-group frame of reference (Bobo & Fox, 2003). Thus, this research would be beneficial to the current body of literature, as it approaches the study from the perspective of the urban refugees and addresses the comparison of two ethnic groups with the majority population.

#### **5. Target Sample Demographics:**

a. How many total subjects?

*60 participants will be included in the study.*

b. What is the age range?

*Adults aged 18 and above.*

c. Inclusion and exclusion criteria:

*Must be an adult refugee living in a slum of Nairobi or must be an adult Kenyan living in Nairobi.*

#### **6. Recruitment of Participants**

a. How will you obtain names and contact information of potential participants?

*Contact information of potential participants will be supplied by outside translators after receiving approval from HIAS clients that they would like to participate in the study. HIAS clients to be approached for the research will be selected based on a randomly selected sampling. Kenyan participants will also be approached based on a randomly selected sampling of HIAS contacts.*

b. Who will make initial research contact with the participants?

*Outside translators will supply participants with the research information so that they may decide to participate. Clients will be contacted by outside translators based on a randomly selected sampling.*

c. What is the venue for recruitment activities?

*Recruitment activities will be conducted at HIAS Kenya facilities and frequently used local meeting locations.*

d. Provide a copy of the script or text used to recruit participants.

**For Refugees**

*I want to inform you of an opportunity if you would like to participate. A graduate student has decided to do some research on urban refugees and how they experience discrimination in Nairobi. She is looking for refugees that would like to participate in her study and share how they feel about discrimination and maybe some times that they have experienced it. Whether or not you choose to participate in the study, it will not impact any of the services that you receive from HIAS Kenya. If you decide to participate, your information will be kept confidential and you can choose to stop at any time. These papers (informed consent document) contain more information on the research project and contact information if you would like to participate.*

**For Kenyans**

*I want to inform you of a new opportunity if you would like to participate. A graduate student has decided to do some research regarding discrimination in Nairobi. She is looking for people who would like to participate in her study and share their thoughts and opinions. If you want to participate in the study, your information will be kept confidential and you can choose to stop at any time. These papers (informed consent document) contain more information on the research project and contact information if you would like to participate.*

e. Provide letter(s) of approval from an authorized representative of the agency or agencies that will host data collection.

*See page 53 for an authorized letter from HIAS Kenya.*

**7. Protection of potential participants from perceived coercion in recruitment process**

a. What is the PI's professional relationship with potential participants?

*My professional relationship will be as a peer researcher and interviewer.*

b.

- Will professors be recruiting participants from their current classes?  Yes  No
- Is there any unequal power relationship that could influence a person's decision to participate in the research?  Yes  No
- Will large tangible rewards that might induce a potential participant to take unusual risks be offered?  Yes  No
- Will participants be expected to reveal residency status or legal status?  Yes  No

If you answered Yes to any of the above, please comment.

*Recruitment will be done by outside translators hired by HIAS Kenya and the PI. While some individuals may feel pressured to participate given that HIAS Kenya provides them with social services and they are connected to the research, the use of an outside party should alleviate this feeling. This should also be avoided within the recruiting script as they will be told that their*

*participation will not affect their receipt of services. Participants' names will not be recorded so as to ensure confidentiality. Additionally, there may be some felt difference in power due to the history of colonialism in Kenya and given that the PI is white. This will hopefully be alleviated with the presence of a translator from their own ethnic group.*

#### **8. Process to protect privacy**

Privacy is defined as having control over extent, timing and circumstance of sharing oneself with others. Threats to privacy are mitigated by the participant's informed consent of participation in the research.

a. What are the specific research related issues that the participant needs to understand in order to give informed consent?

*Participants' names will not be collected and age will only be determined based on age groups (young adult, middle-aged, senior). Ethnicity and gender will also be noted. This will remain confidential unless the participant consents to their information or picture being used for the research presentation.*

What personal information are you asking the participant to reveal?

*Refugee participants will be asked to share a portion of their history as refugees in Kenya as well as some experiences of discrimination due to their refugee status. Kenyan participants will be asked to share their opinions and viewpoints on issues of ethnicity and discrimination in Nairobi.*

b. How do you plan to educate potential participants about possible risks in the research?

*Potential risks will be made known to potential participants when approached by the translators regarding the research and through the informed consent document. If they consent to participate, they will do so knowing the risks and will have signed the proper informed consent document (pages 19-24) depending on whether they are refugees or Kenyans.*

c. How will the participant affirm they understand?

*According to the HIAS Kenya, most of their clients do not speak English and are not literate. Potential participants will affirm they understand verbally to a translator and make their mark on the informed consent document along with the translator's signature as a witness.*

d. List names of all persons who will discuss Informed Consent documents with potential participants or their guardians.

Name :

*Shannon Ericson, Claudine Hada, Augustin Madaga, Zewditu Afwak, and Fardosa Ahmed (Note: Which two refugee ethnic groups to be included in the research is still being decided. Excluding the PI, these are the names of translators who represent four possible groups. Only two will be chosen.)*

e. Does that person(s) speak the same language as the potential participants?  Yes  No


If no, translations will be required of the recruitment scripts, the Informed Consent forms, and the survey instruments for participants. In some cases the translation can be done by the researcher. Additionally, a back translation must be completed independent of the original translator.

*Translations of the informed consent forms have been completed. To see these informed consent documents, see pages 19-33.*

f. How will you train those people to properly follow the procedures of Informed Consent and to be

aware of confidentiality and privacy issues?

*I will arrange a meeting with all of the translators that will be approaching the potential participants and a CITI-based training will occur before they begin to obtain consent and contact information or assist in conducting the interviews. This reduced ethics training is designed for those whom English is a second language, their culture has different configurations to US legal systems, and yet they will be assisting a US student in translation or engagement with research subjects. It is not designed to replace the expectation that those engaged with human subject research with APU students and trained in academics, with high level English should access the CITI training.*

*To see this simplified CITI-based training  see pages 36-48. Letters denoting their agreement to this training can be found on pages 49-52.*

g. Do all persons who will have any interaction with participants have current certification in the protection of human subjects?  Yes  No

Do all persons who will have access to research data have current certification in the protection of human subjects?  Yes  No

**Include a copy of all CITI Completion Reports with the application. CITI training must have been completed within the prior three years. If a member of the research team is currently affiliated with another institution, include a copy of their training certificate as required by that institution.**

h. After the participant has read the informed consent form, will you affirm with your signature that you believe the participant understands the content of the Informed Consent?  Yes  No

i. Include a copy of the Informed Consent document, prepared according to the template (found in the Appendix) for face-to-face consent or the template for electronic consent. If children are participants, address the Informed Consent to parents and address an Assent Document to children. If the research involves a focus group, the Informed Consent must state that the Primary Investigator cannot guarantee that participants will honor privacy pledges. Informed Consent templates can be found in the Appendix on pages 42-46.

*See pages 19-33 of this document for the Informed Consent documents.*

## 9. Confidentiality

a. Will you store the Informed Consent forms and research data separately?  Yes  No

b. How will you de-identify research data?

*Names of participants will not be noted so that specific data cannot easily be connected to specific participants.*

c. Is there a document that links participants' names with corresponding research code numbers?

Yes  No

If Yes, is the document stored separately from the research data?

Yes  No

d. How will you protect the security of the documents?

*Digital copies of the documents will only be on my personal computer under password protection. Any hard copies of the documents will be stored in folders in my personal residency under lock and key.*

e. Do you plan to use electronic surveys?  Yes  No

If Yes, do you agree to decline the privilege of access to personally identifiable data?

Yes  No



**10. Risks for physical discomfort and emotional distress associated with research procedures**

a. What components of the research procedures might cause physical discomfort or emotional distress for participants?

*For refugees, talking about past experiences dealing with discrimination in Kenya could be traumatic and distressing for individuals such as refugees who have often already undergone trauma as a result of fleeing their home countries. For Kenyans, it may be uncomfortable to talk about discrimination in Nairobi.*

b. What is the anticipated evidence of physical discomfort or emotional distress?

*The PI will be observant of the participants' physical responses to interview questions, such as facial expressions, eye contact, body positions, excessive fidgeting and crying. These are common indicators of emotional distress which the PI is prepared to notice due to her bachelor's degree in social work.*

c. How will the researcher respond to evidence of physical discomfort or emotional distress?

*The PI will respond to these evidences of emotional distress by asking the participants how they are feeling. If participants respond with negative feelings, the PI will suggest ending the interview and refer participants to services provided for them by HIAS Kenya.*

d. What resources are available to the participant that may experience distress?

*HIAS Kenya has a number of services available to their clients, who will be the participants of this study. These services include counseling which would be of most help in the event that the research interviews remind them of past traumatic events leading to emotional distress. The PI will refer participants to this service.*

**11. International or Cross Cultural Research**

Do potential participants reside outside the US?

Yes  No

Will the research be conducted in a cross cultural setting?

Yes  No

If Yes to either question provide evidence that research procedures are sensitive to the local research context. Possible sources of evidence are approval from an IRB in the host country, or written approval from a governmental health or education agency in the host country. See page 11 in the handbook for more information.

*Written approval of this research is provided by Joshua Mwaka, local resident of Nairobi and Director of MATUL in Kenya who has supervised multiple MATUL theses previously. He is also a professor of Carlile College, a local college which focuses on social and economic development in Africa and informal settlements. Additionally, he is a PhD candidate in social economic development, having experience in research and academic study. He has reviewed this research plan and has deemed it culturally appropriate. See page 54 for this letter.*

Some research will require translations of Informed Consent forms and survey instruments for participants. Translations are generally done by someone other than the researchers. Additionally, a back translation must be completed independent of the original translator.

**12. Quantitative Research – Survey Methods**

a. For paper and pencil questionnaires, identify who will distribute questionnaires to participants

and how participants will return marked questionnaires to the researcher.

*The PI will distribute the surveys to participants during a short meeting for the purpose of conducting the survey and will collect them at the end of the meeting. For groups that are less literate, the surveys will be done orally, in private, with the translator and the PI.*

- b. For web platform responses to questionnaires, identify materials for directing the participant to the platform and how participant will respond.

N/A

- c. Describe the evidence that questionnaires are appropriate for the participants.

*Free thought surveys will be best for analyzing paradigms regarding discrimination. For refugee participants, this will be conducted orally and will be written for Kenyans due to illiteracy and literacy statistics. HIAS Kenya believes that these surveys will be appropriate for the participants and will be particularly helpful in uncovering the true thoughts and opinions of the participants. This is also supported by the research findings of Niemann, et. al. (1994).*

- d. Describe your plan for analyzing questionnaire data. List a specific statistical technique (univariate or multivariate).

*Data will be analyzed first using a univariate analysis to obtain an overall understanding of felt discrimination of refugees by ethnicity and general prejudice of Kenyans towards non-Kenyans. Then, a multivariate analysis will be conducted to determine if age and gender has any correlation with the felt discrimination of refugees or the general prejudice of Kenyans towards non-Kenyans.*

### **13. Quantitative Methods – Experimental**

- a. Describe research question and relevant hypotheses
- b. Describe independent and dependent variables
- c. Describe your procedure for random selection and assignment of participants to experimental and control groups.
- d. Describe venue for research activities
- e. Describe independent variable materials or activities
- f. What experimental interventions will be used to measure independent and dependent variables
- g. Describe activities and/or materials for the control group
- h. Describe other procedures designed to enhance internal and external validity.
- i. Identify data collection intervals
- j. Describe plan for monitoring treatment integrity
- k. Describe evidence that experimental and control materials and/or activities are appropriate for participants
- l. Describe evidence that measures are appropriate for participants

m. Describe your data analysis plan

**14. Qualitative Research Methods**

a. Explain theory/conceptual framework guiding data collections, including reference to established researchers who have conducted studies with similar procedures.

*This research and data collection is based off of action research and participatory research approaches. Questions during personal interviews will be used to guide the discussion, but the interview will largely be determined by the participant. By using personal interviews and stories, the research will be more observational in nature. These methods have been found to be particularly effective for eliciting viewpoints and determining patterns of thought (Desai & Potter, 2006).*

b. Explain steps taken to ensure methodological and data analytic rigor (including but not limited to the utilization of qualitative analysis software programs), including reference to established researchers who have conducted studies using similar procedures.

*The methodology for this research has been reviewed and revised by qualified HIAS Kenya staff members to ensure that it is statistically and academically significant as well as culturally appropriate. Additionally, all questions are written to be objective and open-ended to ensure that the researcher is not leading the participants, using a free response methodology. This has been proven to be effective in obtaining automatic responses of participants, especially in regard to opinions relating to ethnicity and stereotypes (Niemann, et. al., 1994). While the research includes the use of a voluntary sample which limits the study, this seems to be the most ethical way of recruiting research participants.*

c. Do you plan to interview participants?  Yes  No

d. Interview questions are found on page 15.

e. Data analysis procedures, including coding and software

*Data from interviews will be analyzed and coded according to key words, phrases, or paradigms. This data will then be entered into SPSS for further analyzing and statistical results. Possible coding categories would be time lived in Kenya, violence, extortion, sexual abuse, legal barriers, police brutality, physical identifiable, gender, etc.*

f. Do you plan a focus group?  Yes  No

If Yes, focus group questions are found on page \_

g. Data analysis procedures, including coding and software

**15. Research Plan**

List approximate dates for major activities in your research plan.

TASK	BEGIN DATE	END DATE
Recruit research participants & plan interview sessions	May 20, 2015	June 10, 2015
Explain & sign informed consent documents	May 20, 2015	June 5, 2015
Conduct field work: surveys & interviews	June 5, 2015	July 5, 2015
Review & analyze field work	June 5, 2015	July 5, 2015
Write thesis	June 5, 2015	July 15, 2015
Create charts & diagrams of data	July 1, 2015	July 3, 2015

Review & edit thesis – complete final draft	July 1, 2015	July 15, 2015
Prepare a presentation of the research	July 7, 2015	July 10, 2015
Present/distribute research findings	July 10, 2015	July 20, 2015

**16. California Experimental Subjects Bill of Rights**

If your research involves an experimental clinical procedure, have you included the California Experimental Subjects Bill of Rights with your application?  Yes  No  N/A

**17. Use of Private Health Information**

If your research requires medical records, have you included the Authorization for Use of Private Health Information with your application?  Yes  No  N/A

**18. What is your plan for sharing your findings with the scholarly community?**

*My research findings will be presented to HIAS Kenya, a refugee organization working with refugees in Nairobi, as well as to any refugees who participated in the research that are interested in the results. The research will also be shared with Fahamu Networks for Social Justice, a local social advocacy organization. Finally, the research will be presented at an annual faculty gathering of MATUL research. Publishing in an international journal will also be considered.*

**19. I have read and understand Azusa Pacific University's policy on Integrity in Research**

Yes  No

If a survey of Azusa Pacific University students, faculty, staff or alumni will be used for this research, the researcher agrees to contact the Office of Institutional Research and Assessment.

**SIGNATURES:**

**All applications must include a current CITI Completion Report for the applicant and the reviewers. Reviewers certify that the application has been reviewed for clarity, validity, and the protection of human subjects.**

**For STUDENT Applications:**

<b>Principal Investigator:</b> (If more than one investigator, include names and signatures)		
Shannon Ericson	<i>Shannon Ericson</i>	3/27/2015
Print Name	Signature	Date

<b>Reviewed by Faculty Advisor with current human subject protection certification:</b>		
_____	_____	_____
Print Name	Signature	Date

<b>Department Chair or designee with current human subjects protection certification:</b> I have reviewed this application and determined that the departmental requirements are met, the investigator(s) has/have adequate resources to conduct the research, and the research design is sound and has scientific merit.		
_____	_____	_____
Print Name	Signature	Date

<b>Dean or dean designee:</b>		
_____	_____	_____
Print Name	Signature	Date

**For FACULTY/STAFF Applications:**

<b>Principal Investigator</b> (If more than one investigator, include list of names with email addresses and signatures)		
_____	_____	_____
Print name	Signature	Date

<b>Department Chair or designee with current human subjects protection certification:</b> I have reviewed this application and determined that the departmental requirements are met, the investigator(s) has/have adequate resources to conduct the research, and the research design is scientifically sound and has scientific merit.		
_____	_____	_____
Print name	Signature	Date

<b>Dean or dean designee:</b>		
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_____	_____	_____
Print name	Signature	Date

**THE COMPLETED, SIGNED APPLICATION WITH SUPPORTING DOCUMENTS MUST BE SENT IN ONE .pdf FILE TO:**

**Joanie Stude, IRB Coordinator, at [jstude@apu.edu](mailto:jstude@apu.edu)**

*Please note: The Institutional Review Board (IRB) at Azusa Pacific University (APU) is charged with oversight of the protection of human subjects in experimental research. Receiving IRB approval does not constitute institutional approval of the project by APU. If the responsible investigator believes that the project might be inconsistent with the mission and values of APU or potentially not represent the University in a favorable light, it is recommended that the responsible investigator contact their Dean.*

**For IRB Use Only**

Approved by **Expedited Review**

No further review needed unless the protocol changes or research continues past one year.

Signature: IRB Chair or Designee \_\_\_\_\_

Date of Approval \_\_\_\_\_

Date Approval Expires \_\_\_\_\_

Approved by **Full Board Review**

**Not Approved – Resubmission Required**

Signature: IRB Chair or Designee \_\_\_\_\_

Date of Approval \_\_\_\_\_

Date Approval Expires \_\_\_\_\_

## **Additional Information**

### **Personal Interview Questions**

#### **For Refugees**

- How long have you lived in Nairobi?
- How do you perceive ethnicity?
- How does ethnicity affect your daily living?
- How do you believe ethnicity affects life in the city of Nairobi?
- Do you think discrimination is a big problem in Nairobi?
- What are some things that individual people can do to reduce discrimination?
- What are some things groups of people could do to reduce discrimination?
- What could the government or the UNHCR do to reduce discrimination?

#### **For Kenyans**

- How long have you lived in Nairobi?
- How do you perceive ethnicity?
- How does ethnicity affect your daily living?
- How do you believe ethnicity affects life in the city of Nairobi?
- Tell me the first three words that come to your mind when you hear these words:
  - Ethiopian
  - Congolese
  - Somali
- Do you think there are refugees in Nairobi and the slums?
- Do you think ethnic discrimination is a problem in Nairobi?
- What are some things that individual people can do to reduce discrimination?
- What are some things groups of people could do to reduce discrimination?
- What could the government or the UNHCR do to reduce discrimination?

## Survey Questionnaires

### For Refugees

- What is your gender?
  - Male
  - Female
- What is your ethnicity?
  - Ethiopian
  - Congolese
  - Somali
- What is your age?
  - 18-30
  - 31-50
  - 50+
- Tell me the first three words that come to your mind when you hear this word: Kenyan
- What are some physical features that you have that you think make you stand out from locals?
- Name the first three places that come to mind in which you feel safe and well-treated.
- Name the first three places that come to mind in which you feel unsafe and are treated poorly.

### For Kenyans

- What is your gender?
  - Male
  - Female
- What is your age?
  - 18-30
  - 31-50
  - 50+
- Tell me how you believe people should be treated.
- Tell me the first three words that come to your mind when you hear each of these words:
  - Ethiopian
  - Congolese
  - Somali
- Tell me the first three physical features that you notice for each ethnicity:
  - Ethiopian
  - Congolese
  - Somali
- Name the first three places that come to mind in which you feel safe and well-treated.
- Name the first three places that come to mind in which you feel unsafe and are treated poorly.



## Scholarly Resource References

- Betts, A. (2010). Survival migration: a new protection framework. *Global Governance*, Vol. 16.
- Bobo, L.D. & Fox, C. (2003). Race, racism, and discrimination: bridging problems, methods, and theory in social psychological research. *Social Psychology Quarterly*, Vol. 66, No. 4.
- Burns, A. (2010). Feeling the pinch: Kenya, Al-Shabaab, and East Africa's refugee crisis. *Refuge: Canada's Periodical on Refugees* 27(1).
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Perceived & Expressed Discrimination of Urban Refugees in Nairobi, Kenya

Shannon Ericson

IRB#44-15

### **INFORMED CONSENT FORM**

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**Voluntary Status:** You are being invited to participate in a research study conducted by the researchers listed above. You are being asked to volunteer since you meet the requirements for enrollment into this study. Your participation is voluntary which means you can choose whether or not you want to participate. You may withdraw any time without penalty. If you decline to continue, any data gathered to that point may be used in data analysis. If you choose not to participate, there will be no loss of benefits to which you are entitled. Before you can make your decision, you will need to know what the study is about, the possible risks and benefits of being in this study, and what you will have to do in this study. The research team is going to talk to you about the study, and they will give you this consent form to read. You may also decide to discuss it with your family or friends. If you find some of the language difficult to understand, please ask the researcher and/or the research team about this form. If you decide to participate, you will be asked to sign this form.

**Purpose:**

The study for which you are being asked to participate is designed to determine the extent to which urban refugees living in Nairobi, Kenya feel discriminated against.

**Procedure:** To be a voluntary participant in this study, you will be asked to share your personal opinions regarding discrimination, xenophobia, as well as personal experiences of discrimination in Nairobi, Kenya. You will be asked to be honest in all of your responses and these will be kept confidential unless you allow for them to be used in public presentations of the research findings. Participants will participate in a short survey and a personal interview.

**Commitment and Compensation:** Your total participation in the study will take approximately 2 hours over 2 sessions. Each session will last approximately 1 hour.

You will not receive financial compensation for participation in the study.

**Possible Risks & Benefits:** It is expected that participation in this study may provide you with more than minimal risk or discomfort, meaning that certain interview questions may bring up distressing past experiences and feelings. It is possible that these questions may not cause emotional distress, but it is also possible that re-traumatization could occur. If you feel uncomfortable or distressed, please tell the researcher and she will ask you if you want to continue. Because this research does not have anything to do with the services you are receiving, you can withdraw at any time. Through participating in this study, you may gain insight into issues of discrimination and feel validation in having your story heard. Your participation in this study will help improve the knowledge of discrimination of urban refugees. Your participation may also help other people with similar concerns.

**Confidentiality & Consent:** The investigator and staff involved with the study will keep your personal information collected for the study strictly confidential. Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only

with your permission or as required by law. Your identity will be kept strictly confidential by not documenting your name and only using ethnicity, gender, and age as demographics. No other identifying information will be obtained for this study. Additionally, all digital data will be stored on only one computer that is password protected and all physical data will be stored in a folder under lock and key whenever it is not being analyzed. No person other than the investigator will have access to the research data.

This document explains your rights as a research subject. If you have questions regarding your participation in this research study or have any questions about your rights as a research subject, please contact the Principal Investigator, Shannon Ericson, using the information at the bottom of this form. Concerning your rights or treatment as a research subject, you may contact the Research Integrity Officer at Azusa Pacific University (APU) at +1-626-812-3034 or at dguido@apu.edu.

**New Information:** During the course of this study, we may discover information that could be important to you. This includes information that, once learned, might cause you to change your mind about being in the study. We will notify you as soon as possible if such information becomes available.

**Publishing:** In the event of this study being published, this document demonstrates my consent to the utilization of direct quotations being used unless otherwise stated.

**Conflict of Interest:** The Principal Investigator has complied with the Azusa Pacific University Potential Conflict of Interest in Research policy.

**Consent:** I understand that my participation in this study is entirely voluntary and that I may refuse to participate or may withdraw from the study at any time without penalty. I understand the procedures described above, and I understand fully the rights of a potential subject in a research study involving people as subjects. My questions have been answered to my satisfaction. I agree to participate in this study either in a personal interview, a focus group, or a combination of both. I have received a copy of this consent form.

- I agree to my picture being used
- I do not agree to my picture being used
- I agree to the use of direct quotations
- I do not agree to the use of direct quotations

\_\_\_\_\_  
Participant's Mark    Witness's Signature    Date

I have explained the research to the subject or his/her legal representative and answered all of his/her questions. I believe he/she understands the information described in this document and freely consents to participate.

\_\_\_\_\_  
Signature of Principal Investigator    Date    Time

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Perceived & Expressed Discrimination of Urban Refugees in Nairobi, Kenya

Shannon Ericson

IRB#44-15

### FORMULAIRE DE CONSENTEMENT

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**Statut volontaire :** Vous êtes invité à participer à une étude menée par les chercheurs répertoriés ci-dessus. On vous demande de faire du bénévolat puisque vous répondez aux exigences pour l'inscription dans cette étude. Votre participation est volontaire ce qui signifie que vous pouvez choisir si vous voulez ou non participer. Il peut se retirer en tout temps sans pénalité. Si vous refusez de continuer, toutes les données recueillies à ce point ne peuvent être utilisées pour l'analyse des données. Si vous choisissez de ne pas participer, il n'y aura pas de perte d'avantages auxquels vous avez droit. Avant que vous puissiez prendre votre décision, vous aurez besoin de savoir ce que l'étude est d'environ, les risques et les avantages d'être dans cette étude, et ce que vous devrez faire dans cette étude. L'équipe de recherche va vous parler de l'étude, et ils vont vous donner ce formulaire de consentement à lire. Vous pouvez également décider d'en discuter avec votre famille ou vos amis. Si vous trouvez certains de la langue difficile à comprendre, veuillez demander au chercheur et/ou l'équipe de recherche sur ce formulaire. Si vous décidez de participer, il vous sera demandé de signer ce formulaire.

**Objet l'étude:** pour laquelle on vous demande de participer est conçu pour déterminer la mesure dans laquelle réfugiés urbains vivant à Nairobi, au Kenya se sentent victimes de discrimination et de l'omniprésence de préjudiciable pensée les Kényens locaux contre les réfugiés vivant à Nairobi, au Kenya.

**Procédure :** Pour être un participant volontaire dans le cadre de cette étude, il vous sera demandé de partager vos opinions personnelles au sujet de la discrimination, la xénophobie, ainsi que les expériences personnelles de discrimination à Nairobi, au Kenya. Il vous sera demandé d'être honnête dans toutes vos réponses et elles seront gardées confidentielles sauf si vous permettent de les utiliser dans des présentations publiques des conclusions de la recherche. Les participants participeront à l'une ou l'autre des entrevues personnelles.

**Engagement et indemnisation :** Votre participation totale dans l'étude prendra environ 2 heures à 2 sessions. Chaque session durera environ 1 heure. Vous ne pourrez pas recevoir une compensation financière pour la participation à l'étude.

**Risques possibles & avantages:** il est prévu que la participation à cette étude vous fournira plus de risque minime ou de l'inconfort, c'est-à-dire que certaines questions d'entrevue risquent de ramener affligeant des expériences et des sentiments. Il est possible que ces questions ne peuvent provoquer des chocs émotionnels, mais il est également possible que la re-traumatisme pourrait se produire. Si vous vous sentez mal à l'aise ou affligés, veuillez en informer le chercheur et elle vous demandera si vous souhaitez continuer. Parce que cette recherche n'a rien à voir avec les services que vous recevez, vous pouvez retirer à tout moment. Vous ne recevrez pas d'avantages directs de la participation à cette étude; cependant, votre participation à cette étude aidera à améliorer la connaissance de la discrimination à l'égard des réfugiés urbains. Votre participation peut également aider d'autres personnes ayant des préoccupations semblables.

**Confidentialité & consentement :** l'enquêteur et le personnel qui participe à l'étude va garder vos informations personnelles recueillies pour l'étude strictement confidentielle. Toute information obtenue dans

le cadre de cette étude, et qui peuvent être identifiées avec vous resteront confidentielles et ne seront divulguées qu'avec votre permission ou dans la mesure requise par la loi. Votre identité sera strictement confidentielles par pas documenter votre nom et uniquement en utilisant l'ethnicité, le sexe et l'âge et que les données démographiques. Aucune autre information d'identification seront obtenus pour cette étude. En outre, toutes les données numériques seront stockées sur un seul ordinateur qui est protégé par un mot de passe et toutes les données physiques seront stockées dans un dossier sous clé à chaque fois qu'il n'est pas en cours d'analyse. Aucune personne autre que l'enquêteur aura accès aux données de recherche.

Ce document vous explique vos droits en tant que sujet de recherche. Si vous avez des questions concernant votre participation à cette étude de recherche ou si vous avez des questions sur vos droits en tant que sujet de recherche, veuillez communiquer avec l'enquêteur principal, Shannon Ericson, en utilisant les informations au bas de ce formulaire. Concernant vos droits ou de traitement comme un sujet de recherche, vous pouvez contacter la recherche Agent d'intégrité à Azusa Pacific University (APU) au 1-626-812-3034 ou à [dguido@apu.edu](mailto:dguido@apu.edu).

**Nouvelles informations** : Au cours de cette étude, on peut découvrir des informations qui pourraient être importantes pour vous. Cela inclut des informations qui, une fois appris, pourrait vous faire changer d'avis au sujet actuellement à l'étude. Nous vous informerons dès que possible si ces informations deviennent disponibles.

**Publication** : Dans le cas de cette étude en cours de publication, ce document démontre que mon consentement à l'utilisation des citations directes utilisé sauf indication contraire.

**Conflit d'intérêt** : l'investigateur principal s'est conformé aux Azusa Pacific University conflit d'intérêt potentiel de la politique de recherche.

**Consentement** : Je comprends que ma participation à cette étude est entièrement volontaire et que je peux refuser de participer ou peut se retirer de l'étude à tout moment sans pénalité. Je comprends les procédures décrites ci-dessus, et je comprends parfaitement les droits d'un sujet potentiel dans une étude de recherche impliquant des personnes en tant que sujets. Mes questions ont reçu une réponse à ma satisfaction. Je suis d'accord pour participer à cette étude, soit dans une entrevue personnelle, un groupe de discussion, ou une combinaison des deux. J'ai reçu une copie de ce formulaire de consentement.

- Je suis d'accord à mon image utilisé
- je ne suis pas d'accord pour ma photo utilisé
- I conviennent à l'utilisation de citations directes
- I ne sont pas d'accord pour l'utilisation de citations directes

Participant Mark

témoin de la Signature

Date

J'ai expliqué la recherche pour le sujet ou son représentant légal et ont répondu à toutes ses questions. Je crois qu'il/elle comprend les informations décrites dans ce document et librement consent à participer.

Signature du chercheur principal

Date

Heure

Shannon Charity Ericson

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Mtazamo na Uonyeshaji wa chuki wa wakimbizi wanaoishi Nairobi, Kenya  
Shannon Ericson  
IRB#44-15

### FOMU YA IDHINI

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**Hiari waushirika:** Umepewa fursa ya kushiriki katika utafiti unaofanywa na watafiti waliotajwa hapo juu. Unaweza kujitolea kufanya utafiti huu kwa vile ulikidhi mahitaji yaliyowekwa ili uweze kujiandikisha katika utafiti huu. Ushiriki wako ni kwa hiari yaani waweza chagua kushiriki au la. Waweza kuondoka wakati wowote bila adhabu. Utakapo kataa kuendelea na utafiti huu data uliyokusanya yaweza kutumiwa katika uchambuzi wa data. Kama utakataa kushiriki, hakutakua na hasara za faida unazo haki. Kabla ya kufanya uamuzi wako unahitajiwa kujua utafiti huu unahusu nini na faida au hatari zinazoweza kutokea kutokana na ushiriki wako. Timu ya utafiti itakueleza kuhusu mambo haya na watakupa fomu ya idhini. Waruhusiwa kujadiliana na marafiki au familia kuhusu utafiti huu. Utakapo shindwa kuelewa lugha iliyotumiwa hapa, waruhusiwa kuuliza usaidizi kutoka waliokatika timu ya watafiti. Ukiamua kushiriki basi utahitajiwa kutia sahihi katika fomu hili.

**Kusudi:**

Utafiti huu umetengenezwa ili uweze kuamua kiwango ambacho wakimbizi wanaoishi Nairobi wanahisi ubaguzi na kiwango ambacho wakenya wanachangia kuonyesha chuki kwa wakimbizi hawa.

**Utaratibu:** Ili uweze kushiriki katika utafiti huu utahitajika kupeana maoni zako kuhusu chuki kwa wakimbizi na wageni kutoka nchi geni. Utatakikana kupeana mawazo ya ukweli na maoni haya yatawekwa kwa siri yaani 'confidential' na bila ilani yako hazitatumiwa katika vitabu au mikutano. Washirika watapata kuzungumza moja kwa moja na wanaofanya utafiti au kwa njia ya mkutano ya watu wengi (groups)

**Msimamo na Fidia:** Utaweza kushiriki muda was aa moja (1hr) katika mahojiano. Utafanya mahojiano mawili. Hautapewa pesa au fidia zozote baada ya kufanya mahojiano haya.

**Hatari & faida:** UShiriki wako waweza kukukubusha mambo ya uchungu yaliyofanyika. Ukumbusho waweza kusababisha kiwewe. Ukiskia kwamba hauwezi jibu swali unaloulizwa au kiwewe kimekushika mwambie anayekuhoji na umwambie kama unataka kuendelea na mahojiano au la. Wakubalishwa kuwacha kupeana ushuhuda kwasababu utakachosema hapa haitaathiri huduma unazopewa. Waweza kukataa kupeana ushuhuda. Ushuhuda wako utaweza kusaidia kuelewa chuki ambayo wakimbizi wanaonyeshwa.



**Siri & Idhini:** Anayechunguza ataweka mambo utakayomwambia kwa siri na hakubalishwi kuyaongelea mpaka utakapompa ruhusa. Tutahakikisha kua hautaweza kutambulika. Kuongezea, data yote itahifadhiwa katika kompyuta moja itakayokua na password ambayo itapewa mtu mmoja tu na kuwekwa salama. Lakini wakimbizi wengine mnaoshiriki nao wanaweza kupeana maneno (information) utakayo peana.

Karatasi hili linaeleza haki zako kama mhojiwa. Ukiwa na maswali kuhusu hii utafiti na unavyo husika basi waweza ongea na Principal Investigator, Shannon Ericson, using the information at the bottom of this form. Concerning your rights or treatment as a research subject, you may contact the Research Integrity Officer at Azusa Pacific University (APU) at +1-626-812-3034 or at dguido@apu.edu.

**Habari mpya:** Katika ushirikiano wetu twaweza gundua habari zitakazokufaidi. Habari hizi zaweza kukusababisha kusikia ya kwamba hautaki kushiriki katika utafiti huu. Tutakuambia kuhusu habari hizi tutakapo kutana nazo ili uweze kufanya uamuzi wako.

**Uchapishaji:** Utafiti huu utakapoweza kuchapishwa basi nimepeana ridhaa ya kuweza kutumiwa kama mshirika. Hii idhini yasisitiza ya kuwa nimepeana idhini ya kuchapisha nakala hizo bila kupeana habari za kinyumbani (personal information)

**Conflict of Interest:** Principal Investigator pamoja na Azusa Pacific University Potential Conflict of Interest in Research wameandaa policy.

**Idhini:** Naelewa kwamba ushiriki wangu katika utafiti huu ni kwa hiari na kwamba naweza kukataa wakati wowote kupeana habari bila adhabu yoyote. Naelewa utaratibu ulioelezwa hapo juu pamoja na haki zangu kama mshiriki katika utafiti unaohusu watu kama washirika. Maswali nilizokuanazo zimejibiwa kikamili na nimetosheka. Nakubali kuhojiwa moja kwa moja au kwa kikundi. Nimepokea nakala ya fomu hii ya idhini.

- Nimekubali picha yangu kutumiwa  Sijakubali picha yangu kutumiwa  
 Nimekubali maneno yangu kuchapishwa vilivyo  Sijakubali maneno yangu kuchapishwa vilivyo

\_\_\_\_\_ Alama ya mshiriki

\_\_\_\_\_ Sahihi ya anayeshuhudia

\_\_\_\_\_ Tarehe

Nimeeleza utafiti huu kwa mshirika huyu na wakili wake na nikajibu maswali zote alizouliza. Naelewa ya kwamba anaelewa mambo iliya andikwa katika karatasi hii na amepeana idhini ya kushiriki kikamili.

\_\_\_\_\_ Sahihi ya Principal Investigator

\_\_\_\_\_ Tarehe

\_\_\_\_\_ Saa

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Fikrada iyo cabirka midabtakoorka qaxooti magaaleedka ku nool Nairobi, Kenya  
Shannon Ericson  
IRB#44-15

### **Foomka oggolaanshaha lasoo wargaliyey**

**Xaalada iskaa wax u qabso:** waxaa laguugu casuumay in aad ka qeyb qaadatid cilmi baaris ay samaynayaan cilmi baraayasha kor lagu xusay. Waxaa lagaa codsanayaa inaad uga qeybqaadatid si iskaa wax uqabso ah maadaamo aad aqbashay shuruudaha isdiiwaangalinta cilmi bariistan. Ka qeyb qaadashadaada waa si iskaa wax uqabso ah taas oo macneheedyahay in aad doraan kartid in aad ka qayb qaadatid ama aadan ka qayb qadaan. Waad ka laaban kartaa qo'aankaaga xilli kasta ciqaab la'aan. Haddii aad diidid inaad wadid, wax kasto oo aad soo aruurisid ilaa meeshaas waxaa loo isticmaali karaa faaqidaada iyo falanqaynta. Haddii aad qo'aansatid in aadan ka qayb qaadadanin, majirto wax faa iido ah oo aa waynaysid taasoo aad heli laheyd. Ka hor inta aadan gaarin qo'aankaada, waxaad ubahaantahay in aad ogaato waxaa cilmi baristu ku saabsantahay. Kooxda cilmi baarista ayaa kaaga warami doonta wax kasto oo ku saabsan cilmi barista waxaa ayna ku siin doonaan foomkaan oggolaanshaha si aad u aqrisato. Xitaa waxaa goaansankartaa inaa kalatashatid qooyksaada ama saaxiibadaada. Haddii ay luuqada qaar kugu adkaato fahankeedu fadlan su'aal kooxda cilmi barista. Haddii aad qo'aansatid inaad ka qaybqaadatatid waxaad buuxinaysaa foomkan oggolaanshaha waadna sexeexaysaa.

### **Ula jeedka:**

Cilmi baarista aad ka qayb qaadatayso waxaa loogu talagalay inaa lagu ogaado midabtakoorka ku haysta ama lagula koco qaxootiga Nairobi Kenya ku nool. midabtakoorka qaxooti magaaleedka kunool gudaha Nairobi, Kenya ee kaga aadan fikradaha dhinaca u jiifa ee dadka dagan Kenya ku qabaan qaxootiga ku nool gudaha Nairobi, Kenya

**Habka :** in aad noqotid ka qaybqaate daraasaadkan, waxaa lagama maarmaan ah in lagu waydiiyo fikrada haaga qaaska ah ee ku aadan midabtakoorka, nacaybka iyo qibradahaaga qaaska ah ee midabtakoorka kajira Nairobi, Kenya waxaa lagaa codsanayaa in aad si daacadnimo ah uga jawaabto jawaabaha aad bixinayso waxaa ay noqonayaan kuwo la illaliyo marka laga reebo inaa oggolaatid in loo isticmaalo bandhigid bulshaseedka laga helay cilmi barista ka qayb qaateyaasha waxaa ay ka qaybqaadanayaan waraysiyo shaqsi shaqsi ah, koox koox ah ama labadaba.

**Go'aanka iyo magdhowga:** guud ahaan ka qaybqaadaashada cilmi baaristaan waxaa ay qaadanaaya celcelis muddo labo saac ah ee labada kulanba kulan kasta waxa uu soconayaa ugu badnaan hal saac.

maku helaysid wax dhaqaalo ah ka qaybqaadashada darasadan.

**Khatarta iyo faa iidada macquulka ah:** waxaan rajaynaynaa kaqaybqaadashada daraasadan inay ku siin doonto khatar yar ama raaxo yari, macnaha su'aalaha qaar waxaa laga yaabaa inaa keenaan walwal ku aadan noloshadii hore iyo dareenkaaga waa macquul in ay suaalahaan keenin niyad jab xun lakin waa macquul in walaac uu dib ka dhaco. Haddii aad ka qaybqaadanayso koox wadatashi waxaa macquul ah in xubno katirsan kooxda ay kula wadaagaan warbixino shaqsiyadeed. Waxaa kaloo jira fursado aad kula kulmi kartid khatar aan lafilanaynin, sida in aad soo bandhigtid warbixinno qaas u ah naftaada ama faquuqid dheeraad ah. Haddii aa darentid walwal saa id ah, fadlan usheeq cilmi baaraha waxayna ku waydiidoonta inaad wadi kartid iyo inkale maxaa yeelay cilmi bariistaan wax shaqo ah kuma lahan adeega aa helis. Waad ka bixi kartaa xilli kasta.

Maka heleysid faa iido toos ah ka qaybqaadashada daraasadan: hadaba ka qaybqadaasahaada daraasadan waxaa ay gacanwayn kaa siinaysaa kor u qaadista aqoonta midabtakoorka qaxooti magaaleedka. Ka qaybqaadashada waxaa kalooy caabin karta dadka kale ee qaba mid la mid ah tan.

**Kalsoonida iyo ogolaanshaha:** cilmi baadhaha iyo shaqaalaha ku howlan daraasaadkan way ilaalin doonaan warbixinaha iyo akhbaaraadhaha lagaa qaado waxaana lagu siinayaa kalsooni buuxda. Waxaa lagu xaqiijinayaa wixii warbixin ah ee lagaa qaado ee la xidhiidha cilmi baadhista inay noqon doonto mid xafidan oo aana cidna lala wadaagin adoon ogolaanin ama aana loo siticmaali doonin si sharciya ka baxsan. Aqoonsigaaga waanu qarin doonaa waxaanu xasil ahaan u isticmaali doonaa qabiilkaaga jinsidaada hadii aad tahay lab ama dhedig iyo da dada, ma jirto wax aqoonsigaaga ku saabsan oo kale oo lagu waydiini oo la xidhiidha cilmi baadhista. Waxaa dheeraad ah wixii sawir la xidhiidha ee kale ee lagaa qaado waxaa lagu xafidi hal computer oo lagu qufulay lanbar sir ah wixii kale qoraal ahna waxaa la galin meel xafidan oo quful fure lihi ku xidhanyahay markasta oo aana falanqayn lagu samaynaynin cid aana ahayn qofka cilmi baadhista ku hawlan oo heli karaa ma jiro waxbixinta cilmi baadhista, sikastaba ha ahaatee fursad yar ayaa jirta oo dadka kula joogaa ay warkaaga dad kale la wadaagi karaan hadaad waraysi koox laga qaadayo qayb katahay.

Qoraalkani wuxuu qeexayaa xuquuqdaada ku wajahan maadada cilmi baadhista. Markaa hadaad suaalo qabto ku saabsan ka qaybqaadashada cilmi baadhista ama aad qabto suaalo ku saabsan xuquuqdaada ee maadadan fadlan la xidhiidh masuulka maadadan cilmi baadhiseed hogaanka u ah shonnon Ericson adoo isticmaalaya foomkan meeshuu ku dhamaado xidhiidhka ku qoran. Wixii ku saabsan xuquuqdaada ee maadadan waxaad kala xidhiidhi kartaa madax xafiiseedka sharaf dhowrka ee Azusa Pacific University (APU) waxaadna ka wici kartaa +1-626-812-3034 ama email ugu dir ciwaanka ah [dguido@apu.edu](mailto:dguido@apu.edu).

Warbixn cusub: wakhtiga cilmi baadhista waxaan heli karnaa warbixin laga yaabo inay muhiim kuu tahay adiga, waxaa kamid ah warbixin markaad barato sababi karta inaad badasho niyadaada ku saabsan cilmi baadhista waanu kusoo ogaysiinaynaa isda ugu dhakhsaha badan haday soo baxaan macluumaad noocaas ah.

**daabacaadda:** hadii ay dhacdo in cilmi baadhista lasoodabaco ,qoraalkaani wuxuu qexaaha ogolaanshaha in warbixin si toos aah la iiga soqatay la isticmaalo. Haddii sidaas si an ahayn ana lagu qeexiin.

**Iskahor imaadka danaha:** madaxa cilmi baadhista wuxuu ku xadiidanyahay shurucda cilmi baadhista ee kuwajahan khatarta ah inay iska hor imaadan danaha sida kuxusan shurucda cilmi baadhista.

**Oggolaansho:** waan fahmay in kaqayb qadashadeyda cilmi baadhista ay tahay mid iskaa wax uqabso ah oo an diidi karo inaan kaqayb qato ama aan kalanoqdo cilmi baadhista iyado oona mutaysaneyniin wax qanaax ah. Waxaan sido kale si dhameys tiran ufahmay habka iyo arimaha kor ku xusan xuquuqda suurtoqalnimada maadada sida ku xusan cilmibaadhista inaa dadka loo isticmaalo maado ahaan. Su'aalaheyga waa la iiga jawabay waanan kuqanacsanahay. Waan yeelay in aan kaqayb qaato cilmi baadhista anigo La ila yeelanayo waraysi shaqsi ahan,kooxda diirada ama iskujiir oo labadabo. Waana helay koobi foomkan ah

- waan ogolahay inaa sawiro la iga qaado o la isticmaalo
- ma ogolaanin inaa sawiro la iga qaado oo la isticmaalo
- waxaan ogolaaday inaa oraah toos ah la iga qaado
- ma ogolaanin inaa oraah toos ah la iga qaado

---

Calaamada ka qayb qaataha

sexeexa markhaatiga

taariikhda

Waan u qeexay cilmi baadhista maadada ama isaga ama iyada xaga wakiilka sharciga ah wuuna iiga jawaabay wayna iiga jawaabtay dhamaan suaalahaygii.

Waxaan aaminsanahay inuu isagu ama iyadu u fahmay ama ay fahantay macluumaadka lagu sharaxay qoraalkan wuxuuna si dhamaystiran u ogolaaday inuu ka qayb qaato.

---

Sexeexa madaxa cilmi baadhista

taariikhda

saacada

Shannon Charity Ericson  
P.O. Box 51358-00100, Nairobi, Kenya  
Phone: +254-706-222-803  
Email: sc.ericson27@gmail.com



Local Kenyans' Opinions on Discrimination in Nairobi, Kenya  
Shannon Ericson  
IRB#44-15

### **INFORMED CONSENT FORM**

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**Voluntary Status:** You are being invited to participate in a research study conducted by the researcher listed above. You are being asked to volunteer since you meet the requirements for enrollment into this study. Your participation is voluntary which means you can choose whether or not you want to participate. You may withdraw any time without penalty. If you decline to continue, any data gathered to that point may be used in data analysis. If you choose not to participate, there will be no loss of benefits to which you are entitled. Before you can make your decision, you will need to know what the study is about, the possible risks and benefits of being in this study, and what you will have to do in this study. The research team is going to talk to you about the study, and they will give you this consent form to read. You may also decide to discuss it with your family or friends. If you find some of the language difficult to understand, please ask the researcher and/or the research team about this form. If you decide to participate, you will be asked to sign this form.

**Purpose:**

The study for which you are being asked to participate is designed to determine the discrimination of urban refugees residing in Nairobi.

**Procedure:** To be a voluntary participant in this study, you will be asked to share your personal opinions regarding discrimination of individuals as well as various policies both formal and informal that are in practice in Nairobi, Kenya. You will be asked to be honest in all of your responses and these will be kept confidential unless you allow for them to be used in public presentations of the research findings. Participants will participate in a short survey and a personal interview.

**Commitment and Compensation:** Your total participation in the study will take approximately 2 hours over 2 sessions. Each session will last approximately 1 hour.

You will not receive financial compensation for participation in the study.

**Possible Risks & Benefits:** It is expected that participation in this study will provide you with no more than minimal risk or discomfort, meaning that it will not exceed embarrassment or discomfort that you might experience on a normal day. If you feel uncomfortable or distressed, please tell the researcher and she will ask you if you want to continue. Because this research is voluntary, you can choose to withdraw at any time. By participating in this study, you may learn more about issues of discrimination. Your participation in this study will help improve the awareness of discrimination within the Nairobi population. Your participation may greatly help this research study and further findings.

**Confidentiality & Consent:** The investigator and staff involved with the study will keep your personal information collected for the study strictly confidential. Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only with your permission or as required by law. Your identity will be kept strictly confidential by not documenting your name and only using ethnicity, gender, and age as demographics. No other identifying information will be obtained

for this study. Additionally, all digital data will be stored on only one computer that is password protected and all physical data will be stored in a folder under lock and key whenever it is not being analyzed. No person other than the investigator will have access to the research data.

This document explains your rights as a research subject. If you have questions regarding your participation in this research study or have any questions about your rights as a research subject, please contact the Principal Investigator, Shannon Ericson, using the information at the bottom of this form. Concerning your rights or treatment as a research subject, you may contact the Research Integrity Officer at Azusa Pacific University (APU) at +1-626-812-3034 or at [dguido@apu.edu](mailto:dguido@apu.edu).

**New Information:** During the course of this study, we may discover information that could be important to you. This includes information that, once learned, might cause you to change your mind about being in the study. We will notify you as soon as possible if such information becomes available.

**Publishing:** In the event of this study being published, this document demonstrates my consent to the utilization of direct quotations unless otherwise stated.

**Conflict of Interest:** The Principal Investigator has complied with the Azusa Pacific University Potential Conflict of Interest in Research policy.

**Consent:** I understand that my participation in this study is entirely voluntary and that I may refuse to participate or may withdraw from the study at any time without penalty. I understand the procedures described above, and I understand fully the rights of a potential subject in a research study involving people as subjects. My questions have been answered to my satisfaction. I agree to participate in this study either in a personal interview, a focus group, or a combination of both. I have received a copy of this consent form.

I agree to my picture being used

I do not agree to my picture being used

I agree to the use of direct quotations

I do not agree to the use of direct quotations

\_\_\_\_\_  
Participant's Mark

\_\_\_\_\_  
Witness's Signature

\_\_\_\_\_  
Date

I have explained the research to the subject or his/her legal representative and answered all of his/her questions. I believe he/she understands the information described in this document and freely consents to participate.

\_\_\_\_\_  
Signature of Principal Investigator

\_\_\_\_\_  
Date

\_\_\_\_\_  
Time

Shannon Charity Ericson  
P.O. Box 51358-00100, Nairobi, Kenya  
Phone: +254-706-222-803  
Email: [sc.ericson27@gmail.com](mailto:sc.ericson27@gmail.com)



Madhumi ya wakenya kuhusu jamii ya watu wa Nairobi, Kenya  
Shannon Ericson  
IRB#44-15

### Barua ya taarifa hii

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**Hali ya kujitolea:** Unakaribishwa kuchangia kuwa utafiti ya masomo iliofanywa na watafiti wafwatayo. Unaulizwa kujitolea kwaajili umehitimu kuchangia utafiti huu. Mchango wako nikujitolea kwa vile umehitimu lakini unaweza kutojitolea kama hutaki kujitolea. Unaweza wacha kujitolea wakati wawote ambayo unataka bila shida yeyote. Ukiamua kuwacha kujitolea wakati wawote matokeo ya habari ya awali ya naweza kutomika katika utafiti. Ukiamua kutojitolea katika utafiti huu, hautapoteza faida yeyote ama ahadi yeyote uliopewa awali. Kabla ufanya uamuzi wakuchangia katika utafiti huu, lazima ujue utafiti huu unahusu nini, madhara na faida zakuwa katika utafiti huu, na unacho tarajiwa kufanya katika utafiti huu. Watifiti wataweza kukwelekeza kuhusu utafiti huu, na kupatia barua hii kusoma. Unaweza kujadili na familia na marafiki wako. Ukipata maneno mengine yakiwa mgumu kuelewa, unaombwa kuuliza watifiti wakati wawote kuhusu barua hii. Ukiamua kuchangia katika utafiti huu, utaulizwa kutia sahihi katika barua hii.

**Kusudi:** Utafiti ambayo unaulizwa kuchangia imetengenezwa kuskia madhumi ya wanajamii wanaishi Nairobi kuhusu matibabu ya kila mmoja Nairobi.

**Utaratibu:** Kujitolea katika utafiti huu, utaulizwa kutoa madhumuni yako mwenyewe kuhusu matibabu ya wanajamii. Pia ya sera rasmi na isiorasmi amabayo inafanywa mjini Nairobi. Utaulizwa kukuwa waminifu kwa kila majibu yako kuwa ni ukweli. Majibu yako yatawekuwa siri ijapo ukikubali ya tumike katika utafiti ao kuelimisha adhira. Washiriki watachangia katika mahojiano ya ana kwa ana, makundi ndogo ndogo, ama zote zifuatanavyo.

**Ahadi na Fidia:** Ushiriki wako katika utafiti huu utachukua muda wa masaa mawili kwa kikao mbili kila wakati. Kila wakati wamkutano.

Hautapewa pesa kama faida kushiriki katika utafiti huu.

**Madhara na Faida:** Inatarajiwa kushiriki katika utafiti huu hautakupea madhara yeyote. Inamanisha kuwa haitakutoa fadhi au aibu yeyote ambayo unaweza pata kwa siku ya kawaida. Kama kuchangia katika vikundi vidogo vidogo, kunauwezikano ya wanavikundi hao kutomia maneno yako. Kuna pia madhara ya siopangwa ambao unawezakutoklezea kama kutoa siri yako ya ndani. Ukiskia hauko huru, unaweza kuuliza mtafiti kama munaweza kuendelea. Kwa sababu utafiti huu ni wakitojelea na unaweza kuwacha wakati wawote. Hautapata faida ya moja kwa moja kwa kuchangia katika utafiti huu. Lakini, kuchangia kwako katika utafiti huu itasaidia kuelimisha wanajamii wa Nairobi. Mchango wako utasaidia utafiti huu na utafiti zingine.

**Siri na Ruhusa:** Mtafiti na wafanyakazi wengine ambao wamehusika katika utafiti huu wataweka mchango wako wa utafiti huu siri kati yao na wewe. Taarifa yeyote ambayo yetajadiliwa kuhusina na utafiti huu utabaki siri kati yetu watafiti na wewe. Lakini, yanaweza kutumika kwa idhini yako ama kwa kazi ya sirikali. Majina yako yatawekwa fiche bila kutumia jina lako tutatumia kabila lako, miaka lako, au jinsia. Hakuna chochote ya kitambulisho itatumika ama kuwekwa kwajili ya utafiti huu. Kuongezea, habari zote za utafiti huu zitaifadhiwa katika tarakilishi moja yenye neno la siri kisha kifunguo kitaifadhiwa vizuri katika kabati iliofungua. Hakuna

yeyote atakubaliwa kufikia habari hii isipokuwa mtafiti mwenyewe. Lakini, kunawezikano ya washiriki wengine wanzatumia habari hii wanapokuwa katika vikundi vidogo vidogo.

Barua hii inaelezea haki yako kama somo la utafiti. Ukiwa na swali yeyote kuhusu ushiriki yako kuhusu utafiti huu ama kujua haki yako kama somo la utafiti, tafadhali pigia mtafiti wako, Shannon Ericson, ukutumia nambari ilio hapo chini. Kuhusu haki yako kama somo la utafiti, unaweza kupigia mkuu wa utafiti huu katika [Azusa Pacific University] (APU) kwa nambari +1-626-812-3034 ama kwa [dguido@apu.edu](mailto:dguido@apu.edu).

**Habari Mpya:** Wakati utafiti huu tunaweza kugundua habari amabayo inweza kuwa ya muhimu kwako. Habari hii inaweza kukusababaisha kuwacha kushiriki katika utafiti huu ukiyaelewa vyema. Tutakujulisha haraka iwezakanavyo habari kama hiyo ikiweza kutokea.

**Kuchapishwa:** Habari hii ikichapishwa katika magazeti, barua hii inaonyesha kuwa nimekubali ninakuliwe kama mshiriki utafiti huu.

**Migogoro ya Maslahi:** Mtafiti amezingatia na sera ya Azusa Pacific University kwa Migogoro ya Maslahi katika Utafiti.

**Ruhusa:** Ninaelewa kuwa ushiriki wangu katika utafiti wa somo hii ni wakijitolea na pia ninauhuru wakuwacha kushiriki katika utafiti wa somo hii wakati wawote bila adhibu yeyote. Ninaelewa utaratibu ambao umeelezwa hapo juu vyema. Na ninaelewa vyema haki yangu katika kushiriki katika utafiti wa somo hii. Maswali yangu yamejibiwa vyema na nimeridhika. Nimekubali kushiriki katika utafiti hii katika mahojiano ya ana kwa ana, makundi ndogo ndogo, ama zote zifuatanavyo. Nimepokea nakala ya barua hii.

Nimekubali picha langu litumike  
 Nimekubali kunakuliwa

Sijakubali picha langu litumike  
 Sijakubali kunkuliwa

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Sahihi ya Mshiriki

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Sahihi ya Mshahidi

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Terehe

Nimeelezea utafiti kwa mshiriki ama mwakilishi wake na kujibu swali zao zote. Nina mimi ameelewa habari ambayo imeelezwa katika barua hii na amekubali kushiriki.

---

Sahihi ya Mtafiti  
Shannon Charity Ericson  
P.O. Box 51358-00100, Nairobi, Kenya  
Simu: +254-706-222-803  
Email: [sc.ericson27@gmail.com](mailto:sc.ericson27@gmail.com)

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Terehe

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Saa





Potential Conflict of Interest Disclosure Form

Everyone engaged in research at Azusa Pacific University (see definition of covered individual) must complete the "Potential Conflict of Interest Disclosure Form," at least annually during the conduct of research, per the Policy for Conflicts of Interest in Research (the "Policy").

Name: Shannon Charity Ericson Date: 3/27/2015

Title of Proposed Research: Perceived & Expressed Discrimination of Urban Refugees in Nairobi, Kenya

Potential or Secured Funding Source: N/A

Submitted with: [ ] Sponsored Research Routing Form [ ] Annual Update [x] IRB or IACUC Proposal [ ] Other (e.g., change of circumstances)

1. Do you have any significant financial interest (as defined in the Policy) that, to an independent observer, would reasonably appear to be affected by research in which you are involved or that exist in entities whose financial interests to an independent observer would reasonably appear to be affected by your research (e.g., stock values, etc.)?

Yourself: \_\_\_Yes \_\_\_X No Your spouse or dependent children: \_\_\_Yes \_\_\_X No

2. Separate from regular research payments (as defined in the Policy), have you received in the last 12 months or will you receive in the next 12 months more than \$5,000 in cash or of monetary value from an entity that could reasonably appear to be affected by this research?

Yourself: \_\_\_Yes \_\_\_X No Your spouse or dependent children: \_\_\_Yes \_\_\_X No

3. Do you consult or have a financial interest with any commercial funding source that also sponsors clinical trials or other research at the University in which you simultaneously are responsible for the design, conduct or reporting of the University project?

Yourself: \_\_\_Yes \_\_\_X No Your spouse or dependent children: \_\_\_Yes \_\_\_X No

4. Do you serve as an officer, director, employee, or member of an advisory committee or review board of an organization (whether paid or unpaid) that is related to your research interest (or that could reasonably appear to be affected by your research)?

Yourself: \_\_\_Yes \_\_\_X No Your spouse or dependent children: \_\_\_Yes \_\_\_X No

5. Would your school or academic department receive anything of value from any commercial funding source that sponsors your research (other than compensation disclosed in the budget submitted to the Office of Research and Grants with your grant proposal)?  Yes  No
6. Do you use or propose to use University facilities or personnel to conduct research or testing for any outside interests other than sponsored projects approved by the University?  Yes  No
7. Do you engage in external professional or commercial activities (e.g., external consulting) related to your research?  Yes  No
8. Did you receive any reimbursement for travel or sponsored travel related to your institutional responsibilities from an entity other than a federal, state, or local governmental agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education?  Yes  No
9. Do you have a *conflict of interest* (as defined in the *Policy*) or the appearance of any *conflict of interest* (including bias) between your personal financial, relational, or other interest and your involvement in this research project?  Yes  No
10. Is there anything not covered in the above questions that you believe might constitute a potential conflict of interest or create the appearance of being a conflict of interest related to this research?  Yes  No

**If you answered “yes” to any question above (#1-10), attach a separate page describing the nature and amount of any interest noted.**

Are you the Principal Investigator or are you responsible for the design and conduct of this research project?  
 Yes  No

If yes, please identify faculty, staff, students, and other collaborators who will be working with you on this research project.

Name, Affiliation: Cecilia Kavita, Programs Coordinator of HIAS Kenya

Name, Affiliation: \_\_\_\_\_

Name, Affiliation: \_\_\_\_\_

Name, Affiliation: \_\_\_\_\_

If any of the *covered individuals* listed above has IRB approval from another institution related to this study, please provide a copy of that IRB approval.

**I attest that I have disclosed any and all significant financial and other interests, as well as those of my spouse and children, which, to an independent observer might reasonably appear to affect or be affected by my research.**

*Shannon Ericson*

Urban and Multi-Ethnic Studies

3/27/2015

Signature

Department/Division

Date

# Training in Ethics in Human Subject Research



## **Module Training for MATUL student research support staff**

*“This reduced ethics training is a simplified training designed for those for whom English is a second language, their culture has different configurations to U.S. legal systems, and yet they will be assisting a U.S. student in translation or engagement with research subjects.”*



# Introduction

## **This training will cover:**

- How to decide what are appropriate risks and benefits of research when people are involved.
- Guidelines for how to select people to participate in research
- Informed consent in different research settings

## **Ethics in Research involves three basic ethical principles:**

- *Respect for Persons*
  - People should be allowed to freely make their own decisions
  - People who cannot make their own decisions (children, mentally ill, etc.) should have protection
- *Kindness*: Do not harm. Maximize possible benefits & minimize possible harms
- *Justice*: Fairness in distribution of possible benefits and risks

## **The implications in practice are:**

### 1. Get Informed Consent

People involved in research can choose what will or will not happen to them

They have enough information about the research, understand it, and willingly agree to participate

### 2. Assessment of Risk & Benefits

The researcher and another group of people on a review board, separately review the research proposal and to see if the possible risks and benefits are responsible and fair

### 3. Selection of Participants

Do not take advantage of vulnerable populations (e.g. minorities, economically disadvantaged, prisoners, mentally ill)

*(The Belmont Report became a basis for development of these ideas)*

# Expanded Ethical Principles of the Belmont Report

## 1. Respect for Persons

### a. Independence (Self-rule)

People must be empowered to make decisions about their own actions and life

People's opinion and choices must be respected

People with limited ability to make decisions must be protected as they agree to what is being asked

People who cannot give meaningful consent must not participate in the research

*Example: Children have less ability to make decisions. Consent must come from legal guardian, and researcher must explain to the child the study and process in a way that they can understand.*

### b. Voluntary

People are free to choose to participate in research

People are free to end their participation for any reason without any consequences

### c. Informed Consent

Gives possible participants information they need to make a decision

Helps possible participants to understand information that is given

Shows that the person has a choice to participate in the research

Must include the purpose of study

Must be written so those reading it will understand, this may include a translation into another language

## 2. Kindness

- Do not harm
- Maximize possible benefits and minimize possible harm
- Respecting peoples decisions and protecting them from harm
- Making efforts to do what is good for them and their well-being

### Kindness Defined:

Do not harm

Maximize possible benefits and minimize possible harm

Respecting peoples decisions and protecting them from harm

Making efforts to do what is good for them and their well-being

### Types of Harm:

Psychological, physical distress

Social disrespect or hard to reputation

Putting people in the way of legal harm (for example if you are researching about someone's illegal activities)





## Expanded Ethical Principles of the Belmont Report

*Types of harm:*

- Psychological, physical distress
- Social disrespect or damage to reputation
- Putting people in the way of legal harm (for example if you are researching about someone's illegal activities)

### 3. Justice:

- Fairness in distribution of risks and benefits. Balance the Three Principles:

*Respect, Kindness, and Justice: Must all have the same moral force.*

- What are 3 types of Harm?

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- What are the 3 principles Ethical Principles?

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# Human Subject Research

## Human Subject Research

- "a living individual about whom a researcher (whether professional or student) conducting research obtains (1) Data or information through intervention or interaction with the individual, or (2) private information that can make their identity known."

## What is Human Subject Research?

- "a living individual about whom a researcher (whether professional or student) conducting research obtains (1) Data or information through intervention or interaction with the individual, or (2) private information that can make their identity known."
- "About whom" (not what) means
  - Counts if information is about *someone* or themselves, or their opinion, characteristics, and behavior
  - Does not include information about *something*
- "Interaction" means
  - Communication of any form (face to face or even completely electronic or paper interactions)
- "Intervention" means
  - Physical procedures used to collect data (i.e. experiments)
- "Private information that can make their identity known" means
  - Information about behavior that happens in a public place where a person can expect no one is observing or recording
  - Information given specific purposes by an individual that a person can expect to be private (e.g. medical, school and work records)
  - Information that identifies an individual



# Assessing and Evaluating Risk



## Balancing Risk and Potential Benefits

- Give clear and all the necessary information
- Confidentiality cannot be promised within a focus group setting

## There are Three General Risks possible with Participation in Social and Behavioral Sciences Research

### 1. Invasion of privacy means

Personal information is collected without the participant's knowledge or agreement to do so

Identity is revealed although it was said that this would not happen

### 2. Breach of confidentiality means

If someone who is not meant to see a person's private details, for example about their health, but it is revealed, that person could lose their job.

Data collected made public about sexual orientation could result in a loss of social status and in some countries could get them arrested.

Workers asked to share their attitudes about their managers, could lose their jobs or not receive a promotion if the information is not protected.

Information about illegal activities or immigrant status can have serious legal consequences for subjects.

### 3. Research procedures

Review the literature in a given field to consider possible risks of a participant and how they may be protected.

## Evaluating Risk

### Probability and Amount of Harm:

How likely is it that harm will occur?

How bad is the harm if it happens?

**Situation and Time:** Some risk is more likely to happen in certain cultures or places and at certain times

**Different Populations:** There will be different risks for different kinds of people

- What are the 3 General Risks with participation in Social and Behavioral Science Research?

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- What are the 3 factors in evaluating risk?

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# Assessing and Evaluating Risk

## Evaluating Risk Cautions

- Researchers usually...
  - Underestimate risks involved in activities that they are familiar with.
  - Overestimate the benefits of things that are important to them.
- Possible Participants usually...
  - Overestimate the probability of harm when harms are severe.
  - Underestimate the probability when harms are less severe.
  - Independent evaluation of risk is critical.

## Balancing Risk and Potential Benefits

- Give clear and all the necessary information.
- Confidentiality cannot be promised within a focus group setting.
- Tell the entire process and plan to the participants.
- Design the research to have the least possible risk.

## When the Main Risk is the Data

- Remove all identifying factors as soon as possible.
- Give participants codes instead of using their name.
- Keep code lists and data files in separate safe locations.
- Use computer passwords that only the researchers know.
- Access and store data on computers without Internet connections.

## When the Primary Source of Risk Is the Consent Document

If the only thing that identifies a participant and places him/her at risk for socially damaging or illegal activity is the consent document, it can be removed from the process with permission and substituted for another form (i.e. cover letter, informational sheet or verbal script)

■ What should you do if when the primary source of risk is the consent form?

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## Privacy and Confidentiality

- Are there are enough provisions for protecting the privacy of participants and keeping the confidentiality of data?

**Privacy:** related to methods of gathering information from research

**Confidentiality:** creating ways to protect the information given by the participant

- Are there are enough provisions for protecting the privacy of participants and keeping the confidentiality of data?

- **Privacy:** related to methods of gathering information from research

- **Confidentiality:** creating ways to protect the information given by the participant

### What Private Information Needs to be Protected

- Private information
  - Information about behavior that occurs in a setting that a person can reasonably think that no observation or recording is taking place
  - Information which has been provided for specific purposes by an individual that he or she can expect will not be made public (for example, medical information)

### Privacy and Research Methods

- **Participant-** Observational (or Ethnographic) Studies: Researchers are participants as well as researchers, they have two roles
  - If participants are observed and private *identifiable* information is gathered about them without their knowledge and consent, there is a clear violation of rights to privacy and this is not allowed
- **Focus Groups** (where a group of people discuss an issue)
  - Researchers cannot control if group members discuss things outside of the group
  - Researchers must protect recordings and transcripts themselves
  - Researchers cannot ask participants to legally agree to protect the information shared

# Privacy and Confidentiality

- **Snowball Sampling:** A technique to find participants by asking participants to assist the researcher by providing names of other persons that may be interested in the study.

*Extra care should be taken if the participant is part of a vulnerable population (e.g. children, pregnant women, prisoners, elderly, abused, etc.)*

## Privacy and Reporting Laws

- International Privacy Laws

Researchers conducting research abroad should identify privacy laws at the research site that may be relevant for the conduct of research with human participants.

## Certificate of Confidentiality

- Issued to protect identifiable research information from being shared
- May be granted when collecting information that, if shared, could have negative effects for participants or damage their financial standing, employability, or reputation
- May be secured for any sensitive research, regardless of the funding source
- Allows the researcher and others who have access to research records to refuse to share identifying information on individual research participants

Information that can be protected includes, but is not limited to:

Substance abuse or other illegal behaviors

Sexual attitudes

Genetic information

Psychological well-being

- What are the 3 Research Methods in this section?

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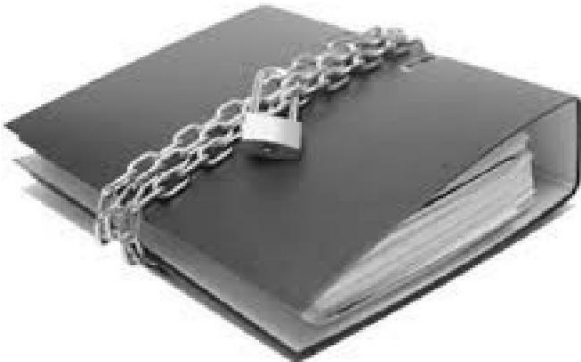
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# International Research

## Local Research Context

- The researcher should have good knowledge of the local context so the rights of participants are protected. Local context knowledge may include:
  - socioeconomic, political, and cultural factors
  - relationships between parents and their children
  - whether certain questions maybe offensive
  - authority structures

- What key areas a Local Researcher should have good knowledge in when doing Inter-national Research?

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## Securing Local Approval

- Local approval of proposed research may be required in some countries, Informed Consent in an international context:
  - Besides participants, who else needs to give consent to research?
  - Is the correct language being used so participants can understand?
  - Is written or oral consent more appropriate?
  - Use of interpreters?
  - Is the age of minors different?
  - Who is the local contact person?

## Quiz

(Must get 3 out of 4 right or have to reset the test)

**What are the three main ethical principles in research?**

*Answer (choose 3):*

- A. Respect for Persons
- B. Writing the research study well
- C. Kindness
- D. Justice
- E. Finding a good research topic

**What are three main types of risks in participating in research?**

*Answer (Choose three):*

- A. Invasion of privacy
- B. Breach of confidentiality
- C. Becoming famous
- D. Research procedures
- E. Neighbor's getting jealous

**Describe one type of private information that needs to be protected.** *Answer (Choose one):*

- A. Information from what is spoken in public gatherings
- B. Information about behavior that occurs in a setting that a person can reasonably think that no observation or recording is taking place
- C. Information which has been provided for specific purposes by an individual that he or she can expect will not be made public

**With foreigners studying internationally which of the following do you not need to consider when evaluating ethics in research:**

- Is the correct language being used so participants can understand?
- Is written or oral consent more appropriate?
- Who is the local contact person?





# *Certificate of Completion*

THIS ACKNOWLEDGES THAT

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HAS COMPLETED THE FOLLOWING

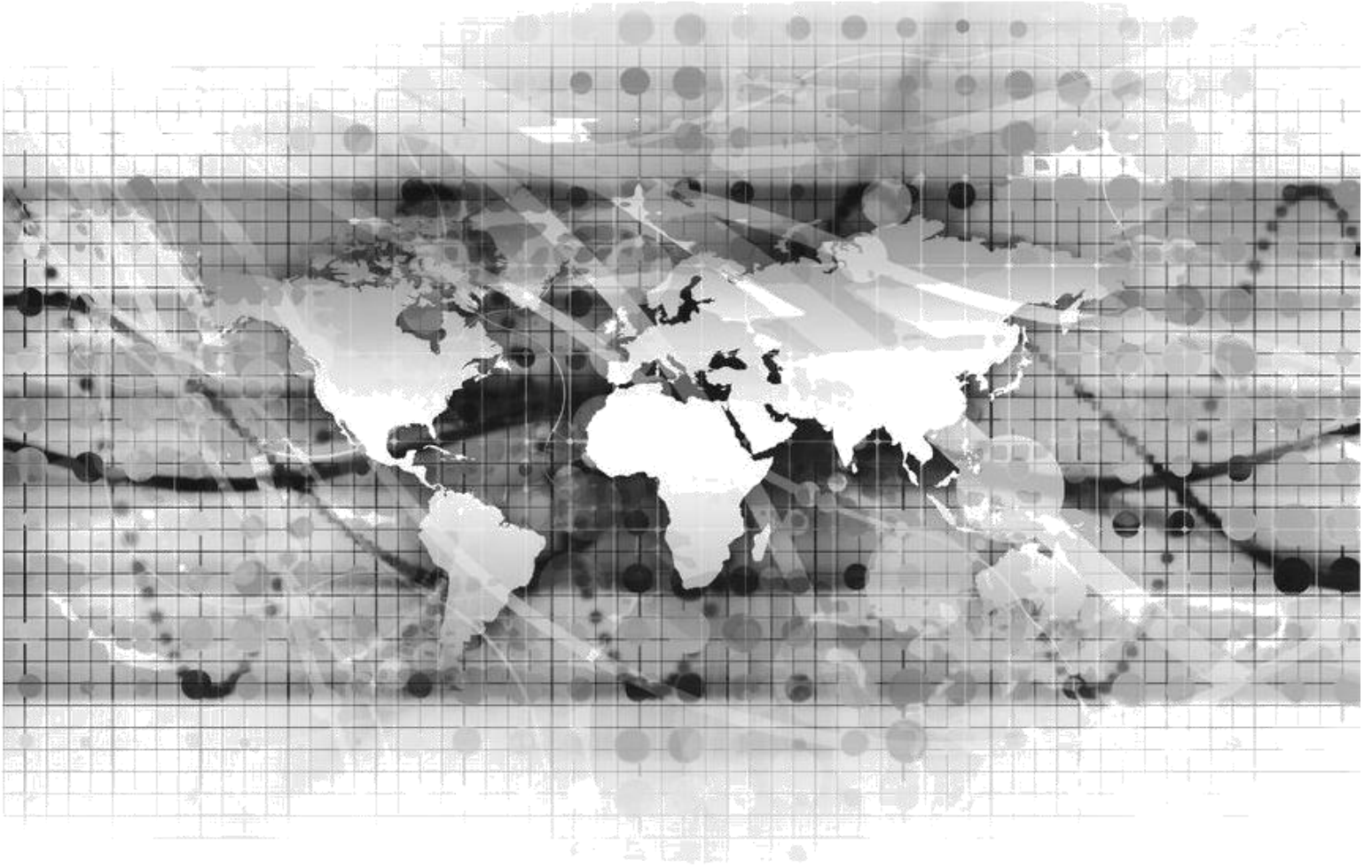
***Training in Ethics in Human Subject Research***

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MATUL STUDENT SIGNATURE

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DATE



29 March 2015

To Whom It May Concern,

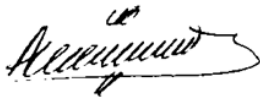
My name is Augustin Madaga and I am a local resident of Nairobi, Kenya. I am fluent in both English and Kinyamurenge, the commonly spoken language among Kinyamurenge Congolese refugees. **Shannon Ericson, the Primary Investigator, is functionally proficient in Kiswahili, the official language of Kenya, but I will be assisting her with her research by translating research materials, participant interviews, and collected data to ensure that research participants are able to communicate in a language that is comfortable for them and that no important details are lost in translation.**

**I will complete a simplified version of the Collaborative Institutional Training Initiative (CITI) modules about conducting ethical research before assisting the Primary Investigator and will be aware of matters concerning:**

- Respect for all persons
- Importance of informed consent
- **Privacy and confidentiality of shared information**

**I will be accompanied by Shannon Ericson, the Private Investigator, at all times when interacting with the research participants. I agree to not share any sensitive or personal information that is disclosed during the research interviews apart from the Primary Investigator.**

Sincerely,

A handwritten signature in black ink, appearing to read 'Augustin Madaga', with a stylized flourish at the end.

Augustin Madaga



29 March 2015

To Whom It May Concern,

My name is Claudine Heda and I am a local resident of Nairobi, Kenya. I am fluent in both English and French, the commonly spoken language among Congolese refugees. Shannon Ericson, the Primary Investigator, is functionally proficient in Kiswahili, the official language of Kenya, but I will be assisting her with her research by translating research materials, participant interviews, and collected data to ensure that research participants are able to communicate in a language that is comfortable for them and that no important details are lost in translation.

I will complete a simplified version of the Collaborative Institutional Training Initiative (CITI) modules about conducting ethical research before assisting the Primary Investigator and will be aware of matters concerning:

- Respect for all persons
- Importance of informed consent
- Privacy and confidentiality of shared information

I will be accompanied by Shannon Ericson, the Private Investigator, at all times when interacting with the research participants. I agree to not share any sensitive or personal information that is disclosed during the research interviews apart from the Primary Investigator.

Sincerely,

Claudine Heda

A handwritten signature in black ink, appearing to read 'Claudine Heda', with a large, sweeping flourish extending to the right.

29 March 2015

To Whom It May Concern,

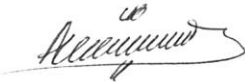
My name is Augustin Madaga and I am a local resident of Nairobi, Kenya. I am fluent in both English and Kinyamurenge, the commonly spoken language among Kinyamurenge Congolese refugees. Shannon Ericson, the Primary Investigator, is functionally proficient in Kiswahili, the official language of Kenya, but I will be assisting her with her research by translating research materials, participant interviews, and collected data to ensure that research participants are able to communicate in a language that is comfortable for them and that no important details are lost in translation.

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- Importance of informed consent
- Privacy and confidentiality of shared information

I will be accompanied by Shannon Ericson, the Private Investigator, at all times when interacting with the research participants. I agree to not share any sensitive or personal information that is disclosed during the research interviews apart from the Primary Investigator.

Sincerely,

A handwritten signature in black ink, appearing to read 'Augustin Madaga', with a stylized flourish at the end.

Augustin Madaga

29 March 2015

To Whom It May Concern,

My name is Fardosa Ahmed and I am a local resident of Nairobi, Kenya. I am fluent in English, as well as Somali and Kiswahili, the commonly spoken languages among Somali refugees. Shannon Ericson, the Primary Investigator, is functionally proficient in Kiswahili, the official language of Kenya, but I will be assisting her with her research by translating research materials, participant interviews, and collected data to ensure that research participants are able to communicate in a language that is comfortable for them and that no important details are lost in translation.

I will complete a simplified version of the Collaborative Institutional Training Initiative (CITI) modules about conducting ethical research before assisting the Primary Investigator and will be aware of matters concerning:

- Respect for all persons
- Importance of informed consent
- Privacy and confidentiality of shared information

I will be accompanied by Shannon Ericson, the Private Investigator, at all times when interacting with the research participants. I agree to not share any sensitive or personal information that is disclosed during the research interviews apart from the Primary Investigator.

Sincerely,

Fardosa Ahmed



29 March 2015

To Whom It May Concern,

My name is Zewditu Afwak and I am a local resident of Nairobi, Kenya. I am fluent in both English and Amharic, the commonly spoken language among Ethiopian refugees. Shannon Ericson, the Primary Investigator, is functionally proficient in Kiswahili, the official language of Kenya, but I will be assisting her with her research by translating research materials, participant interviews, and collected data to ensure that research participants are able to communicate in a language that is comfortable for them and that no important details are lost in translation.

I will complete a simplified version of the Collaborative Institutional Training Initiative (CITI) modules about conducting ethical research before assisting the Primary Investigator and will be aware of matters concerning:

- Respect for all persons
- Importance of informed consent
- Privacy and confidentiality of shared information

I will be accompanied by Shannon Ericson, the Private Investigator, at all times when interacting with the research participants. I agree to not share any sensitive or personal information that is disclosed during the research interviews apart from the Primary Investigator.

Sincerely,



Zewditu Afwak

March 26<sup>th</sup>, 2015

To Whom It May Concern,

I am writing to confirm that I, Cecilia Kavita, the Programs Coordinator of HIAS Kenya, have agreed to working with Shannon Ericson regarding her thesis research on the discrimination of urban refugees in Nairobi, Kenya. I have read the research project proposal and consent to the research taking place at our facilities. I also give permission for HIAS Kenya staff members to contact clients and recruit voluntary research participants. I believe that this research will be mutually beneficial for all involved.

Sincerely,



Cecilia Kavita

Programs Coordinator, HIAS Kenya

Robin Lane, off George Padmore Road, Hurlingham

P.O. Box 58129 – 00200, Nairobi, Kenya

Phone: +254 20 2720114

Email: [ckavita.hiaskenya@gmail.com](mailto:ckavita.hiaskenya@gmail.com)

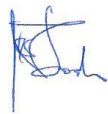
24<sup>th</sup> of March, 2015

To Whom It May Concern:

My name is Joshua Mwaka and I am the Director of MATUL at Carlile College. I am writing on behalf of Shannon Ericson who is conducting research regarding discrimination of urban refugees in Nairobi. I have reviewed her research plan and affirm that it is both culturally sensitive and will be translated into the local language if necessary. As a local resident of Kenya, I believe that she will conduct her research in a culturally appropriate and respectful manner.

If there are any questions regarding this research, please contact me or the student.

Sincerely,



Joshua Mwaka

Phone: +254-735-168-315

Email: [joshua.mwaka@carlilecollege.ac.ke](mailto:joshua.mwaka@carlilecollege.ac.ke)



Shannon Ericson

Phone: +254-706-222-803

Email: [sc.ericson27@gmail.com](mailto:sc.ericson27@gmail.com)

# COLLABORATIVE INSTITUTIONAL TRAINING INITIATIVE (CITI PROGRAM)

## COURSEWORK REQUIREMENTS REPORT\*

\* NOTE: Scores on this Requirements Report reflect quiz completions at the time all requirements for the course were met. See list below for details. See separate Transcript Report for more recent quiz scores, including those on optional (supplemental) course elements.

- **Name:** Shannon Ericson (ID: 4742871)
- **Email:** sericson13@apu.edu
- **Institution Affiliation:** Azusa Pacific University (ID: 2683)
- **Institution Unit:** Transformational Urban Leadership
  
- **Curriculum Group:** Social & Behavioral Research - Basic
- **Course Learner Group:** Same as Curriculum Group
- **Stage:** Stage 1 - Basic Course
- **Description:** Choose this group to satisfy CITI training requirements for Investigators and staff involved primarily in Social/Behavioral Research with human subjects.
  
- **Report ID:** 15572721
- **Completion Date:** 03/18/2015
- **Expiration Date:** 03/17/2018
- **Minimum Passing:** 80
- **Reported Score\*:** 97

REQUIRED AND ELECTIVE MODULES ONLY	DATE COMPLETED	SCORE
Belmont Report and CITI Course Introduction (ID:1127)	03/17/15	3/3 (100%)
History and Ethical Principles - SBE (ID:490)	03/17/15	5/5 (100%)
Defining Research with Human Subjects - SBE (ID:491)	03/17/15	5/5 (100%)
The Federal Regulations - SBE (ID:502)	03/17/15	5/5 (100%)
Assessing Risk - SBE (ID:503)	03/17/15	5/5 (100%)
Informed Consent - SBE (ID:504)	03/17/15	5/5 (100%)
Privacy and Confidentiality - SBE (ID:505)	03/18/15	5/5 (100%)
Unanticipated Problems and Reporting Requirements in Social and Behavioral Research (ID:14928)	03/18/15	4/5 (80%)

For this Report to be valid, the learner identified above must have had a valid affiliation with the CITI Program subscribing institution identified above or have been a paid Independent Learner.

### CITI Program

Email: [citisupport@miami.edu](mailto:citisupport@miami.edu)

Phone: 305-243-7970

Web: <https://www.citiprogram.org>



# COLLABORATIVE INSTITUTIONAL TRAINING INITIATIVE (CITI PROGRAM)

## COURSEWORK TRANSCRIPT REPORT\*\*

\*\* NOTE: Scores on this Transcript Report reflect the most current quiz completions, including quizzes on optional (supplemental) elements of the course. See list below for details. See separate Requirements Report for the reported scores at the time all requirements for the course were met.

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- **Email:** sericson13@apu.edu
- **Institution Affiliation:** Azusa Pacific University (ID: 2683)
- **Institution Unit:** Transformational Urban Leadership
  
- **Curriculum Group:** Social & Behavioral Research - Basic
- **Course Learner Group:** Same as Curriculum Group
- **Stage:** Stage 1 - Basic Course
- **Description:** Choose this group to satisfy CITI training requirements for Investigators and staff involved primarily in Social/Behavioral Research with human subjects.
  
- **Report ID:** 15572721
- **Report Date:** 03/27/2015
- **Current Score\*\*:** 100

### REQUIRED, ELECTIVE, AND SUPPLEMENTAL MODULES

	MOST RECENT	SCORE
History and Ethical Principles - SBE (ID:490)	03/17/15	5/5 (100%)
Defining Research with Human Subjects - SBE (ID:491)	03/17/15	5/5 (100%)
Belmont Report and CITI Course Introduction (ID:1127)	03/17/15	3/3 (100%)
The Federal Regulations - SBE (ID:502)	03/17/15	5/5 (100%)
Assessing Risk - SBE (ID:503)	03/17/15	5/5 (100%)
Informed Consent - SBE (ID:504)	03/17/15	5/5 (100%)
Privacy and Confidentiality - SBE (ID:505)	03/18/15	5/5 (100%)
International Research - SBE (ID:509)	03/18/15	5/5 (100%)
Unanticipated Problems and Reporting Requirements in Social and Behavioral Research (ID:14928)	03/18/15	5/5 (100%)

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- **Name:** Viv Grigg (ID: 4328629)
- **Email:** vgrigg@apu.edu
- **Institution Affiliation:** Azusa Pacific University (ID: 2683)
- **Institution Unit:** MATUL, Urban and Multiethnic Studies
  
- **Curriculum Group:** Social and Behavioral Responsible Conduct of Research
- **Course Learner Group:** Same as Curriculum Group
- **Stage:** Stage 1 - RCR
- **Description:** This course is for investigators, staff and students with an interest or focus in **Social and Behavioral** research. This course contains text, embedded case studies AND quizzes.
  
- **Report ID:** 15459074
- **Completion Date:** 03/09/2015
- **Expiration Date:** 03/08/2018
- **Minimum Passing:** 80
- **Reported Score\*:** 97

REQUIRED AND ELECTIVE MODULES ONLY	DATE COMPLETED	SCORE
Responsible Conduct of Research (RCR) Course Introduction	03/03/15	No Quiz
Research Misconduct (RCR-Basic)	03/02/15	5/5 (100%)
Data Management (RCR-Basic)	03/03/15	4/5 (80%)
Authorship (RCR-Basic)	03/09/15	5/5 (100%)
Peer Review (RCR-Basic)	03/09/15	5/5 (100%)
Mentoring (RCR-Basic)	03/09/15	5/5 (100%)
Collaborative Research (RCR-Basic)	03/09/15	5/5 (100%)
Plagiarism (RCR-Basic)	03/09/15	5/5 (100%)
Responsible Conduct of Research (RCR) Course Conclusion	03/09/15	No Quiz

For this Report to be valid, the learner identified above must have had a valid affiliation with the CITI Program subscribing institution identified above or have been a paid Independent Learner.

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# COLLABORATIVE INSTITUTIONAL TRAINING INITIATIVE (CITI PROGRAM)

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- **Report ID:** 15459074
- **Report Date:** 03/09/2015
- **Current Score\*\*:** 97

REQUIRED, ELECTIVE, AND SUPPLEMENTAL MODULES	MOST RECENT	SCORE
Responsible Conduct of Research (RCR) Course Introduction	03/03/15	No Quiz
Plagiarism (RCR-Basic)	03/09/15	5/5 (100%)
Authorship (RCR-Basic)	03/09/15	5/5 (100%)
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Research Misconduct (RCR-Basic)	03/02/15	5/5 (100%)
Responsible Conduct of Research (RCR) Course Conclusion	03/09/15	No Quiz

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## COURSEWORK REQUIREMENTS REPORT\*

\* NOTE: Scores on this Requirements Report reflect quiz completions at the time all requirements for the course were met. See list below for details. See separate Transcript Report for more recent quiz scores, including those on optional (supplemental) course elements.

- **Name:** Kenneth Waters (ID: 4297382)
- **Email:** kwaters@apu.edu
- **Institution Affiliation:** Azusa Pacific University (ID: 2683)
- **Institution Unit:** Biblical Studies
- **Phone:** 626-815-6000. Ext. 5632
  
- **Curriculum Group:** IRB Members - Basic
- **Course Learner Group:** Same as Curriculum Group
- **Stage:** Stage 1 - Basic Course
- **Description:** This Basic Course is appropriate for IRB or Ethics Committee
  
- **Report ID:** 13732365
- **Completion Date:** 08/19/2014
- **Expiration Date:** 08/18/2017
- **Minimum Passing:** 80
- **Reported Score\*:** 98

REQUIRED AND ELECTIVE MODULES ONLY	DATE COMPLETED	SCORE
Belmont Report and CITI Course Introduction (ID:1127)	08/18/14	3/3 (100%)
History and Ethical Principles - SBE (ID:490)	08/18/14	5/5 (100%)
Defining Research with Human Subjects - SBE (ID:491)	08/18/14	5/5 (100%)
The Federal Regulations - SBE (ID:502)	08/18/14	5/5 (100%)
Assessing Risk - SBE (ID:503)	08/18/14	5/5 (100%)
Informed Consent - SBE (ID:504)	08/18/14	5/5 (100%)
Privacy and Confidentiality - SBE (ID:505)	08/18/14	5/5 (100%)
Genetic Research in Human Populations (ID:6)	08/18/14	2/2 (100%)
Research with Children - SBE (ID:507)	08/18/14	4/4 (100%)
Research in Public Elementary and Secondary Schools - SBE (ID:508)	08/18/14	4/4 (100%)
International Research - SBE (ID:509)	08/18/14	3/3 (100%)
Internet-Based Research - SBE (ID:510)	08/19/14	5/5 (100%)
Research and HIPAA Privacy Protections (ID:14)	08/19/14	5/5 (100%)
The IRB Member Module - 'What Every New IRB Member Needs to Know' (ID:816)	08/19/14	6/7 (86%)

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- **Institution Unit:** Biblical Studies
- **Phone:** 626-815-6000. Ext. 5632
  
- **Curriculum Group:** IRB Members - Basic
- **Course Learner Group:** Same as Curriculum Group
- **Stage:** Stage 1 - Basic Course
- **Description:** This Basic Course is appropriate for IRB or Ethics Committee
  
- **Report ID:** 13732365
- **Report Date:** 03/30/2015
- **Current Score\*\*:** 98

### REQUIRED, ELECTIVE, AND SUPPLEMENTAL MODULES

	MOST RECENT	SCORE
History and Ethical Principles - SBE (ID:490)	08/18/14	5/5 (100%)
Defining Research with Human Subjects - SBE (ID:491)	08/18/14	5/5 (100%)
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International Research - SBE (ID:509)	08/18/14	3/3 (100%)
Internet-Based Research - SBE (ID:510)	08/19/14	5/5 (100%)
The IRB Member Module - 'What Every New IRB Member Needs to Know' (ID:816)	08/19/14	6/7 (86%)
Research and HIPAA Privacy Protections (ID:14)	08/19/14	5/5 (100%)

For this Report to be valid, the learner identified above must have had a valid affiliation with the CITI Program subscribing institution identified above or have been a paid Independent Learner.

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