

Nov 16 2020

The Legacy Leadership Lab, an initiative of the Waterloo Institute for Social Innovation and Resilience and the University of Waterloo, has invited you to attend a three-day online workshop as part of their workshop series.

This workshop series is part of a research project intended to generate new tools, partnerships, and research to support SME succession and social purpose conversions, and enhance the community's understanding of capacity gaps and challenges facing SMEs with potential to be investment-ready social purpose organizations. The workshops are designed to (1) understand the current approach taken by small- and medium-sized enterprises (SME) to succession planning and ownership transition; (2) identify key actors, resources, and policies that enable and constrain ownership transfer; (3) explore the possibility of using the transfer of ownership to improve the social and/or environmental performance of SMEs; and (4) identify opportunities for improving the system. Workshops 3 and 4 of the series are also designed with the express purpose of designing specific interventions into the ownership transfer ecosystem that will facilitate more and better social acquisitions in Canada. The ownership of these interventions will be determined by workshop participants (participants can choose to license through Creative Commons or pursue their own intellectual property rights) and will not rest with the University of Waterloo.

Please note that:

1. Participation in this study is voluntary. It will involve participating in a three-day online workshop which will be hosted on the web conferencing software Zoom Video Communications. Additional online tools (e.g. Google Docs, Loomio, Mural) may be used to support participant collaboration.
 - a. Recording and Transcription of Workshop: The research team will record the video and audio contributions of all workshop participants as an input to the research study, and will later transcribe the recordings for analysis. This transcription will be done by an external transcription service. Shortly after the workshop has been completed, you will be sent a copy of the transcript to give you an opportunity to confirm the accuracy of our conversation and to add or clarify any points that you wish. Contributions made via the additional online tools will also be recorded as a research input.
 - b. Attribution of Contributions: The research team may identify you as a research participant (including title and organization) and directly attribute quotes to you.



- c. Live Streaming and Dissemination of Audio and Video Recording: The online workshop will be streamed live using an online service (e.g. Youtube, Facebook), and the recording will be uploaded to public websites (e.g. Youtube, University of Waterloo website). The intent is to allow a public audience to watch the proceedings to generate broader interest in the topic of SME succession and social purpose conversion. The risk associated with this is equivalent to sharing your views and opinions openly in a public venue (e.g. panel conversation at a public conference).
 - d. Use in Other Research: The transcription of the workshop, and the contributions made via the additional online tools, may be used for other research projects and may be shared with other academic researchers with common interests. Dr. Sean Geobey will be responsible for ensuring that any use of the transcribed workshop is consistent with this information letter and consent form, and all applicable University of Waterloo policies.
 - e. Continued Participation: Between workshops, participants may be invited to continue collaborating using additional online tools. Participants are free to decline the invitation to continue collaborating. All contributions made on the additional online tools will be recorded as a research input.
2. The research team may request a follow-up interview (that you are free to decline) to expand on the ideas that you contributed during the workshop. It will involve an interview of approximately 1 hour in length that will occur via a mutually agreed upon method of communication (e.g. Skype, Zoom, phone). The interview may be conducted by a research assistant.
- a. Recording and Transcription of Interview: With your permission, audio of the interview will be recorded to facilitate collection of information, and later transcribed for analysis. This transcription will be done by an external transcription service, and the transcription then stored on a secure server. Shortly after the interview has been completed, you will be sent a copy of the transcript to give you an opportunity to confirm the accuracy of our conversation and to add or clarify any points that you wish.
 - b. Attributions of Contributions: With your permission, the research team may identify you (including title and organization) as a research participant and directly attribute quotes to you, as recorded on the transcription. The risk associated with this is equivalent to sharing your views and opinions openly in a public venue.



- c. Use in Other Research: The transcription of your interview may be used for other research projects and may be shared with other academic researchers with common interests. Dr. Sean Geobey will be responsible for ensuring that any use of the transcribed interview is consistent with this information letter and consent form, and all applicable University of Waterloo policies.
3. Records (including video and audio recordings, and contributions made via the additional online tools) taken during the workshops and interviews will be stored securely on University of Waterloo servers for a minimum of 7 years. All records will be destroyed according to University of Waterloo policy.
4. You may request to see the researchers' notes that reference you directly at any time, withdraw your consent to participate, and have your data destroyed by contacting Dr. Sean Geobey at sean.geobey@uwaterloo.ca.
 - a. General: You may withdraw up until March 31st, 2021 at which point the results may be published and it will not be possible to withdraw consent. You may instruct that we destroy workshops notes that are specific to you, and your interview transcripts and audio recording at any time.
 - b. Interviews: The results of your participation may be used to inform the creation of subsequent workshops, so it will not be possible to withdraw consent insofar as your participation influences the researchers' design of subsequent workshops. A participant can withdraw their interview contributions from inclusion in subsequent workshops and publications
 - c. Workshops: Participant contributions at a workshop cannot be withdrawn as they will become publicly available when the audio and video recordings are streamed online, and removing the contribution of an individual is not possible due to the group nature of a workshop with individual contributions merging into group contributions. A participant can withdraw their workshop contributions from inclusion in subsequent publications.
5. When information is transmitted over the internet privacy cannot be guaranteed. There is always a risk your responses may be intercepted by a third party (e.g., government agencies, hackers). University of Waterloo researchers will not collect or use internet protocol (IP) addresses or other information which could link your participation to your computer or electronic device without first informing you.
6. This research is funded by the Investment Readiness Program at the Government of Canada.



This study has been reviewed and received ethics clearance through a University of Waterloo Research Ethics Committee (ORE #41635). If you have questions for the Committee contact the Office of Research Ethics, at 1-519-888-4567 ext. 36005 or ore-ceo@uwaterloo.ca.

For all other questions, or if you would like additional information to assist you in reaching a decision about participation, please contact Sean Geobey by email at sean.geobey@uwaterloo.ca.

CONSENT FORM

By signing this consent form, you are not waiving your legal rights or releasing the investigator(s) or involved institution(s) from their legal and professional responsibilities.

I have read the information presented in the information letter about a study being conducted by Dr. Sean Geobey of the Faculty of Environment at the University of Waterloo. I have had the opportunity to ask any questions related to this study, to receive satisfactory answers to my questions, and any additional details I wanted.

I am aware that I have the option of allowing interview proceedings to be recorded to ensure an accurate recording of my responses. This audio will be transcribed and I will have the opportunity to review the transcription and clarify or retract my responses.

I am able to turn off the microphone and camera on my device to prevent data from being captured by the workshop recording; however, this will limit my ability to participate in the workshop.

I am aware that excerpts from the proceedings may be included in publications and workshops to come from this research, and that quotations may be directly attributed to me by name, title, and organization.

I was informed that I may withdraw my consent until March 31st, 2021 without penalty by advising the researcher; however, my contributions will be used as inputs to subsequent workshops and publications may be released before March 31st, 2021.

I am aware that all audio and video recordings of all workshop participants will be made available publicly which limits my ability to withdraw consent.

With full knowledge of all foregoing, I agree, of my own free will, to participate in this study.

YES NO



I agree to have audio and/or video of my interview recorded.

YES NO

I acknowledge and accept that audio and/or video of my workshop participation will be recorded.

YES NO

I acknowledge and accept that the researchers will live stream and post recorded audio and/or video of my workshop participation with the intent of disseminating this audio and/or video to a public audience.

YES NO

I agree to allow my contribution to be used for other similar research, and for transcriptions and records to be shared in accordance with University of Waterloo policies with other researchers who have a common interest

YES NO

I agree to the use of direct quotations attributed to me in any publication or workshop resulting from this research.

YES NO

I agree that the research team may request a follow-up interview to expand on the ideas that I contributed during the workshop, and that I am free to decline this interview request.

YES NO

Participant Name: _____ (Please print)

Participant Signature: _____

Date: _____

