

CONSENT TO PARTICIPATE IN RESEARCH

Study Title: Diverse knowledge systems for the examination of localized dynamics of sea otter and abalone populations in Sitka Sound, Alaska

UCSC Study # HS-FY2021-74

INTRODUCTION

You are invited to take part in a research study conducted by Taylor White (“Researcher”) and Dr. Peter Raimondi from the department of Ecology & Evolutionary Biology at the University of California, Santa Cruz. Before you decide whether or not to participate in the study, you should read this form and, if there is anything you do not understand, ask questions.

There will be anywhere from 30 to 75 adult individuals (aged 18 or older) that consent to participate in in this study (“Participants” or “Stakeholder Participants”). Participants are “stakeholders” and include local sea otter harvesters, Alaska Native traditional and customary harvesters, local subsistence or historical commercial abalone harvesters, and tour guides or community members with knowledge of abalone and/or sea otter populations in Southeast Alaska.

PURPOSE

The purpose of this research is to understand local trends of pinto abalone and sea otter populations, following the re-establishment of sea otters to Sitka Sound (“Research”). Research aims to outline abalone and sea otter population dynamics during the ongoing harvest of both species. Local and Indigenous knowledge shared during interviews is integral to advancing the understanding of local sea otter and abalone dynamics and it is the first step in supporting tribal and stakeholder sovereignty in the management and future research of these culturally important Research focal species: sea otter and abalone.

To address the Research purpose, Researcher (Taylor White) will collect Participant information via:

- interviews, mapping exercises, and surveys of local and Indigenous Knowledge on historic trends of pinto abalone abundance and harvest in Sitka, Alaska
- questions that document knowledge of abundance and available legally-sized abalone at identified harvest sites before, during, and after sea otter population establishment; and before, during, or after commercial abalone fisheries
- questions that explore local and Indigenous knowledge of areas in Sitka Sound with current high, medium, or no sea otter abundance and determine areas as longest occupied, recently established, or previously established by sea otter populations
- questions on known local sea otter movement the movement and sea otter abundance changes in areas surrounding Sitka, Alaska, along with questions identifying sea otter hunting pressures in areas and factors, including socio-ecological factors that affect yearly otter harvest (e.g., tannery access, seasonal otter movements, poor weather years)

Participant information may be used in:

- assessments on the current relationships between sea otter abundance, occupation, and harvest, to current abalone densities and size frequencies in Sitka Sound
- determinations areas of greatest shifts in abalone and sea otter abundance to aid in understanding local patterns
- protected and archived Research records containing information released here by Participants
- Researcher presentations of Research findings and future engagement with Participant Stakeholders
- the identification of knowledge gaps, resulting hypotheses, and management suggestions with Participants Stakeholders, and co-production of a document highlighting future research recommendations for regional managers and stakeholders
- production of an outreach video highlighting the history of sea otter re-establishment in Sitka Sound, local trends following establishment, and current interactions between sea otters, pinto abalone populations, and community members
- a radio piece highlighting shared history, research, and the community connection to dynamic marine resources
- semiannual progress reports and a final programmatic report to the study sponsor, the North Pacific Research Board (NPRB)
- presentations of research findings for publication by an appropriate scientific journal and presentation of Project results at a scientific conference within one year of completion of the Research (January 2025)
- a collaborative document outlining future research and management recommendations following interviews with Participants

WHAT WILL YOU DO IN THE STUDY?

If you decide to take part in this study, you have the option to participate in:

- 1) a 15-minute Online Survey; or
- 2) an hour-long Audio/Video Recorded Interview (in person, in Sitka, or online via Zoom); or
- 3) an hour-long Non – Recorded Interview (in person, in Sitka, or online via Zoom)

A 15-minute Online Survey or Audio/Video Recorded or Non-Recorded Interview

Each consists of three sections: semi-structured questions to understand your relationship with abalone, and sea otters; mapping exercises for abundance and harvest information; and a structured questionnaire for a measured degree of change. The Online Survey will be abbreviated and solely on an online platform.

Note: You may opt-out of Audio/Video recordings during Interviews

Participant Stakeholder Meetings

If you participate in an Interview or the Online Survey, you are also invited to join additional meetings to discuss Project findings in the months following initial Project Research. All meetings are voluntary, only involve project Participant Stakeholders, and are not a requirement for initial Interview or Online Survey participation. During meetings, Participant Stakeholders will review initial trends in data, and work to address any additional questions or concerns remaining by developing a research and management plan for Sitka Sound. There will be at least two 2-hour Participant Stakeholder meetings at Sitka's ANB Hall Sitka in fall/winter of 2022 (synchronous online joining options).

Note: These meetings will not be visually or audio recorded, however, de-identified meeting minutes prepared by the Researcher may be shared among Stakeholder Meeting Participants.

RISKS OR DISCOMFORTS

The Researcher will use a data management plan to protect the confidentiality of the research data. She will follow the data management recommendation provided by the UCSC Information and Technology Services (ITS) Unit Information Security Lead (UISL) to maintain the confidentiality of information provided by Participants. If you plan to take an Online Survey, but have data security concerns with the use of your personal survey device (e.g., your laptop, tablet, phone), please request an offline, in-person digital survey.

Because of the security measures the Researcher will take to protect your confidential information, the risk of unauthorized disclosure of such information is low. However, if a third-party obtains your confidential information from a source other than the Researcher, the third-party may make an unauthorized disclosure of your confidential information. Therefore, you should take measures to protect your confidential information from disclosure to, or access by, a third-party.

What benefits can be reasonably expected?

The results of this research will contribute to:

- the understanding of local trends of pinto abalone and sea otter populations, following sea otter re-establishment and sea otter harvest;
- a clearer understanding of shellfish population trends following sea otter reintroduction, occupation, and movement, in Sitka Sound, Alaska;
- bridging gaps in available data on local dynamics of harvested abalone and sea otter populations;
- the support of tribal and stakeholder sovereignty through their involvement in data collection and co-management suggestions for sea otters, and abalone

Can you be withdrawn from the study without your consent?

You may be withdrawn from the study if you do not follow the instructions given by the study investigators.

CONFIDENTIALITY

Any and all publicly-available Project findings will not disclose your personally identifiable information unless you consent to the use of your personally-identifiable information below or the Researcher is legally obligated to disclose the information under applicable law.

Importantly, your harvest locations will not be made public, and georeferenced areas and identifiable information will be obscured before data storage *unless you consent to share the information as provided below in this form.*

Confidentiality management of:

Georeferenced Information

- will not be made publicly available by the Researcher, Taylor White
- all georeferenced data approved by Participants for storage will be maintained by STA, otherwise georeferenced locations will be obscured prior to data storage and sharing.

Paper Copies

- maps, consent forms, and question/survey responses are scanned and saved to a Master Encrypted Hard Drive
- paper copies will be shredded within 1 month of collection

Note: Upon a Participant's request, Taylor White will provide Participants with their own completed mapping exercises, survey/interview responses.

Confidentiality management of:

All Other Research Data

All metadata, video/audio recordings and scanned paper consent forms, mapping exercises, survey/interview responses, and notes will be kept in a Master Encrypted Hard Drive.

Taylor White will have sole access to the Master Encrypted Hard Drive and will retain the master encrypted hard drive for three years following the conclusion of the Research, and then she will destroy the Master Encrypted Hard Drive (as required by the Research funder, The North Pacific Research Board).

Ms. White will use de-identifiable and non-georeferenced data in Research (as described above) and use those “scrubbed” data in scientific publications. Those data will be publicly available through the publisher.

Note: If you need to correct the research data you provided as a result of participating in the Research, please contact Taylor as soon as possible and please note, that after the research data has been analyzed and published, it may not be possible to correct your research data.

Two different versions of data will be distributed via encrypted hard-drives and available as follows:

Sitka Tribe of Alaska Offices (STA)

- Versions of georeferenced, identifiable or de-identifiable data will be retained indefinitely at STA offices **(as consented by the Participant on this form)**.
- Participants can request to have access of their data (per STA research policy)
- Non-participants may request from STA copies of the non-georeferenced data, the de-identified data and certain identifiable data such as quotes and audio or visual clips that a Participant has authorized to be made publicly available that are maintained on the STA hard drive, but may not access these data unless approved by STA.

North Pacific Research Board (NPRB)

- NPRB maintains non-georeferenced/de-identified information and research findings that are managed by AXIOM data managers in Anchorage and are publicly available at any time
- NPRB reserves the right to distribute any and all information pertaining to data and analysis found in reports provided by the Researcher to NPRB
- NPRB has the right to make the de-identified and non-georeferenced data publicly available, without your additional consent.

FUTURE RESEARCH

It is essential to note that this Project includes disclosing confidential information on managed species, and use and distribution of this information must first be approved by those individuals to which information belongs. Even if coordinates are provided by Participants, they will not be included in georeferenced maps. Confidential information approved for disclosure may be published in an academic journal, included in, Ms. White’s dissertation, presented at a science conference or otherwise made publicly available (see page 2 examples). In accordance with North Pacific Research Board (NPRB) project award policies, select data from the Research will be transferred to NPRB.

All georeferenced information will be obscured and identifiable information will be scrubbed prior to data transfers to NPRB and UCSC. STA will receive scrubbed data unless participants consent to share additional identifiable and georeferenced data here.

COMPENSATION

A Participant may receive either \$75 gift card or a comparably-priced gift (boots or a drybag) for participating in an Interview. For participation in the Online Survey, you may receive a \$15 gift card or a comparably-priced gift (a stainless-steel cup or a coffee mug).

Note: There will be no monetary costs to you for participating in this study.

VOLUNTARY PARTICIPATION

Your participation is completely voluntary; you are free to change your mind at any time and quit the study. You may skip any questions you do not wish to answer. Whatever you decide will in no way affect or result in loss of compensation to which you are otherwise entitled. You can withdraw at any time by simply leaving the interview or stakeholder meeting.

RIGHTS AND CONCERNS

If you have questions about this research study, please contact Taylor White, graduate student researcher (twhite1@ucsc.edu, 907-738-1798). You may also contact the faculty member supervising this research: Dr. Peter Raimondi (raimondi@ucsc.edu, 831-459-5674). If you have any questions regarding your rights as a Participant, please contact the University of California Santa Cruz, Office of Research Compliance Administration at 831-459-1473 or orca@ucsc.edu.

Please indicate your Research participation consent below

For 15- minute Online Surveys

- I **consent** for the information I provide in the online survey to be used for the Research and **consent** for all de-identified information and non-georeferenced data that I provide to be made publicly available.
- I **consent** for some identified information that I provide to be made publicly available (i.e., quotes) and wish to be contacted of such use by the Researcher in advance.
- I **do not consent** for the information I provide in the online survey to be used for the Research or for all de-identified information and non-georeferenced data that I provide to be made publicly available.

For Interviews not audio/video recorded

- I **consent** for the information I provide in the Interview to be used for the Research and **consent** for all de-identified information and non-georeferenced data that I provide to be made publicly available.
- I **do not consent** for the information I provide in the Interview to be used for the Research or for all de-identified information and non-georeferenced data that I provide to be made publicly available.

For Audio/Video Recorded Interviews

- I **consent** to be audio/video recorded and for the information I provide in the audio/video recording to be used for the Research.
- I **do not consent** to be audio/video recorded and for the information I provide in the audio/video recording to be used for the Research.
- I **consent** for all de-identified information and non-georeferenced data that I provide to be made publicly available.
- I **consent** for some identified information that I provide to be made publicly available (e.g., quotes, audio or video clips) and wish to be contacted of such use by the Researcher in advance.
- I **do not consent** for any identifiable information I provide to be made publicly available

Note: Stakeholder Meetings will not be recorded and any notes taken will not identify individuals but will be used for the Research.

Please indicate your Research participation consent below

Data in a hard drive stored by STA (indefinitely)

Note: Georeferenced information will not be made public.

- I **consent** for my identifiable information, identifiable research data, and identifiable georeferenced data to be maintained by STA on an encrypted hard drive.
- I **consent** for my identifiable information, identifiable research data, and **non**-georeferenced data to be maintained by STA on an encrypted hard drive and no georeferenced data.
- I **only consent** for my identifiable information and identifiable research data, to be maintained by STA on an encrypted hard drive. NO georeferenced data.
- I **only consent** for my georeferenced data to be maintained by STA on an encrypted hard drive.
- I **do not consent** for my identifiable information, identifiable research data, and identifiable georeferenced data to be maintained by STA on a hard drive.

Data maintained on a protected hard drive by the UCSC Researcher (Taylor White) for three years following Research conclusion

Note: your consent to this storage is required to participate in the Research survey

- I **consent** for my personally identifiable information (including meta data, video and audio recordings, consent forms, georeferenced mapping exercises, survey/interview responses, and notes) to be stored by Taylor White for three years after the Research has been concluded, when Ms. White will destroy the MASTER Encrypted Hard Drive that contains such information.

Reminders: Data to be maintained indefinitely in a hard drive by the sponsor (NPRB) will not contain identifiers or identifiable georeferenced information. Data to be maintained indefinitely by STA will only include the approved information you, the Participant, consent to here.

SIGNATURE

Signing this CONSENT TO PARTICIPATE IN RESEARCH means that you have read and understood the provisions of this document and that you voluntarily agree to participate in the Research in accordance with the provisions of this document

Signature of Participant

Date

Typed/printed Name