



Western Research

NMREB Initial Application

1.1

1.1 *If this is the first time you are submitting this particular submission to the REB, select "Initial Submission". If this submission has already been reviewed by the REB and they issued recommendations, select "Response to REB recommendations":

- Initial Submission
- Response to REB recommendations

1.2

1.2 *Complete the Principal Investigator (PI) details:

| *Prefix | *First Name | *Last Name |
|----------------------|---|------------------------------------|
| <input type="text"/> | <input type="text" value="Joseph"/> | <input type="text" value="Lyons"/> |
| Address | <input type="text"/> | |
| | <input type="text"/> | |
| City | <input type="text"/> | |
| Province/State | <input type="text"/> | |
| Postcode/Zip | <input type="text"/> | |
| Telephone | <input type="text"/> | |
| *Email | <input type="text" value="jlyons7@uwo.ca"/> | |

*Western Academic Faculty/Department:

Social Sci.-Political Science

Hospital Department/Division:

N/A

1.3

1.3 *Are there any additional study team members (from Western and/or its affiliate institutions) who are working on this study?

- Yes there are additional study team members
- No other study team members involved

1.3 *Complete the following information for additional study team members (from Western and or its affiliate institutions) who are working on this study:

| Prefix | *First Name | *Last Name |
|---------------------------------|--------------------------------------|---------------------------------------|
| <input type="text" value="Mr"/> | <input type="text" value="Robert"/> | <input type="text" value="Tremblay"/> |
| Address | <input type="text"/> | |
| | <input type="text"/> | |
| City | <input type="text"/> | |
| Province/State | <input type="text" value="Ontario"/> | |
| Postcode/Zip | <input type="text"/> | |
| Telephone | <input type="text"/> | |
| *Email | <input type="text" value="@uwo.ca"/> | |

1.3 *ROLE and DUTIES assigned by the PI to this individual (e.g. John Doe - Research Assistant - involved in recruitment, interviews and analysis of data.):

1.3a *Are there additional study team members to add?

- Yes
- No

1.4

1.4 *Is this study taking place in collaboration with anyone outside Western University and/or its affiliate institutions?

- Yes
- No

1.5

1.5 *Who is the Study Sponsor?

- Industry Sponsored
- External Non-Profit
- External PI
- Local PI
- Self

1.6

1.6 *Is this a student project?

- No
- Yes-Undergraduate
- Yes-Masters
- Yes-PhD
- Yes-Other

1.7

1.7 *Is this research study supported by the United States federal government (including a study funded by a US government agency)?

- Yes
- No

1.8

1.8 *Enter the complete study title:

The Leadership Role of the Chief Administration Officer (CAO) in Smaller Municipalities: Two Profiles

1.9

1.9 *What is the acronym or nickname/short title for the study? (NOTE: The acronym or nickname/short title will be used to identify the study and will be included in all notifications and REB submissions.):

CAO-Profiles

1.10

1.10 *Is this study directly related to a previously approved study at this institution (e.g., is this study a sub-study, extension, rollover, subsequent to a pilot study)?

- Yes
 No

1.11

1.11 *Has the study been reviewed and approved by another REB in Canada?

- Yes
 No

1.12

1.12 *Does this study involve the London hospitals (see HELP text if you are unsure):

- No this study does not involve the London hospitals
 Yes this study involves the London hospitals and this form has been exported from ReDA.
 This study involves the London Hospitals but a ReDA submission has not been completed. NOTE: You cannot submit this application until the ReDA submission has FIRST been completed and you exported from ReDA to WREM.

*As this study is not taking place in the hospital, type in "Western Research Services" in the below Search User text box:

Name

Email

2.1

2.1 *Briefly describe the rationale for this study in lay language (i.e., why is this study being done)? In your response ensure to include relevant background information. Cite references using in-text citations where appropriate and add the reference list as a separate attachment:

The goal of this research project is to identify specific trends and patterns regarding the leadership roles of municipal Chief Administrative Officers (CAO) in smaller municipalities.

In Canada, the municipal CAO position is very important. Most Canadian municipalities have now moved to a CAO model (Siegel and Fenn 2017) whereby the CAO is the main conduit between council and administration and is ultimately responsible for policy development and implementation. However, the position has received very little research attention. The contributions of David Siegel (2010; 2015a,b) are the most significant, but he has focused on larger municipalities.

Siegel conceptualizes the role of the CAO as leading in three directions: down, out, and up (2015a). In terms of leading down, the CAO is viewed as council's only employee overseeing all departments and corporate activities. It involves managing resources, both human and financial. Part of this dimension is overcoming silos by ensuring horizontal integration and administrative coordination in the organization. Leading out addresses relationship building with the media, residents, businesses, and other levels of government. It is an ambassador-type role, which stems from both New Public Management (seek out partnerships) and New Public Service (promote citizen engagement). Siegel suggests that leading up to council is the most difficult as it does not involve formal authority, but rather power flowing from influence. This relates to the relationship of trust between council and the CAO which is based on competency, action, and communication. Policy-making and agenda setting are also part of leading up.

This project will replicate Siegel's research with smaller municipalities. The profiles of two experienced CAOs from smaller municipalities will assist in comparing and contrasting large and small municipalities. The purpose is to determine if there are any significant differences that only apply in the rural context or within smaller municipalities. This topic is relevant given the impact of local government on a community's overall health and vitality.

Upload any reference sources (if applicable):

| Type | Name | File Name | Date | Version | Size |
|------------|--------------|-------------------|-------------------------|---------|---------|
| References | Bibliography | Bibliography.docx | 22/May/2018 12:00:00 AM | 1 | 21.6 KB |

2.2

2.2 *Indicate your general research questions and/or hypotheses:

The main research question is the following:

How does municipal size affect the leadership role of the CAO?

Thanks to Siegel we know something about larger municipalities and the two profiles of CAOs from smaller jurisdictions can be compared against his cases.

2.3

2.3 *Indicate your study design and methodology by checking off all relevant designs below:

- Quantitative
- Qualitative
- Mixed methods
- Survey research
- Pilot study/proof of concept
- Secondary data
- Cross-sectional
- Longitudinal
- Randomized
- Observational
- Experimental
- Community-based
- Other

2.4

2.4 *Describe your study procedures (i.e., how are you doing it?):

Two profiles of experienced chief administrative officers (CAOs) operating in smaller municipalities will be developed through document analysis and semi-structured interviews. The CAOs were pre-selected and both served on the Board of Director of the Association of Municipal Managers, Clerks & Treasurers of Ontario. They each have more than 20 years experience and are generally recognized in their field.

For each CAO, an additional five people will be interviewed to outline and assess the leadership capabilities and qualities of these leaders. The five individuals will represent different facets of the CAO's work, including members of council, subordinates, community partners, and colleagues operating in a similar position at another municipality. On a smaller scale, this replicates the method employed by Siegel in his 2015 book, *Leaders in the Shadows: The Leadership Qualities of Municipal Chief Administrative Officers* (University of Toronto Press).

2.5

2.5 *Indicate which of the following study instruments will be used in this study:

- Paper survey(s)/Questionnaire(s)
- Online survey(s)/Questionnaire(s)
- Interview(s) Guide
- Focus group(s) Guide
- Non-participant Observation Guide
- Participant Observation Guide
- Other (e.g., visual/auditory stimuli, data collection forms, etc.)
- None

*Will the interview be audio-recorded?

- Yes
- No

*Who will transcribe the audio-recordings from the interview(s)?

Transcription will be done by the researcher, Mr. Tremblay.

*Is audio-recording optional or mandatory for the interview(s)?

- Mandatory
 Optional

How will you record the data if participants do not agree to be audio-recorded in the interview(s)?

The researcher will take notes.

Please note that your document name will appear on the approval notices. Ensure you name your document something that reflects what the document is (e.g., debriefing script, date). Avoid using slang, student names, etc. Upload only the clean version here (i.e., not the tracked copy). Do not include “clean” in the document name.

*Upload the interview guide attachment (including the general questions/probes):

| Type | Name | File Name | Date | Version | Size |
|-----------------|---|--|-------------------------|---------|---------|
| Interview Guide | Questions Casavecchia-Somers | Questions Casavecchia-Somers.docx | 14/May/2018 12:00:00 AM | 1 | 19.8 KB |
| Interview Guide | Questions Smibert | Questions Smibert.docx | 14/May/2018 12:00:00 AM | 1 | 19.8 KB |
| Interview Guide | Questions Council | Questions Council.docx | 14/May/2018 12:00:00 AM | 1 | 19.5 KB |
| Interview Guide | Questions Staff | Questions Staff.docx | 14/May/2018 12:00:00 AM | 1 | 16.0 KB |
| Interview Guide | Questions Partner-Outside Organizations | Questions Partner-Outside Organizations.docx | 14/May/2018 12:00:00 AM | 1 | 19.2 KB |

*Of the study instruments being used, clarify which ones are not standardized instruments:

Interview guides are standardized but the interviews are semi-structured. It is impossible to account for all possible follow up questions.

2.6

2.6 *Do you have any supplementary tables or figures to accompany your study procedures description?

- Yes
 No

2.7

2.7 *Do you have a separate protocol/research plan?

- Yes
 No

2.8

2.8 *Does this study include any deception or withholding of key information?

- Yes
 No

2.9

2.9 *Will a debriefing be given to participants in this study?

- Yes
 No

2.10

2.10 *Will this research take place in a K-12 classroom system or child-care system?

- Yes
 No

2.13

2.13 *What is the anticipated number of participants and/or what will be the rationale/decision-making framework for ending sampling?

A total of up to 12 people will be interviewed, including each Chief Administrative Officer (CAO) being profiled.

For each CAO, an additional five people will be interviewed to outline and assess the leadership capabilities and qualities of these leaders. The five individuals will represent different facets of the CAOs work, including members of council, subordinates, community partners, and colleagues operating in a similar position at another municipality.

This is a similar approach taken by David Siegel in Leaders in the Shadows (2015). He interviewed the CAOs twice and interviewed individuals from the CAOs work and area of influence to develop profiles of each leader.

2.14

2.14 *What are the inclusion/exclusion criteria?

Participants will be pre-selected.

2.15

2.15 *Will study participants be selected based on culture, religion, race, disability, sexual orientation, ethnicity, linguistic proficiency, sex or age?

- Yes
 No

2.16

2.16 *Will you utilize a screening form/questionnaire to determine eligibility after participants have been recruited?

- Yes
 No

2.17

2.17 *Indicate how the results will be communicated to participants and other stakeholders (e.g.; advocacy groups, scientific community):

***To Participants**

- Group Debriefing
 End of Study Letter
 Publication
 Participants will be invited to contact researchers
 No Plan
 Other

***To Other Stakeholders:**

- Thesis/Dissertation
 Presentation(s)
 Publication
 Other
 No plan

*Justify No Plan:

The material is generally not intended to be presented to an external audience.

3.1

Date Printed: 23 May 2018

Form Reference: NMREB Initial Application - 1.yons

Project ID: 111994

Principal Investigator:

3.1 *What recruitment material(s)/method(s) are being used? (select all that apply):

- None
- Brochures, flyers, posters
- Newspaper ad
- Radio ad
- Telephone call script(s)
- Email script(s)
- Website (e.g. Facebook, Twitter)
- Video (recordings will not be reviewed without scripts)
- In-person recruitment
- Recruitment database (e.g. SONA)
- Third-party organization or recruitment company
- Survey Panel (e.g. Mechanical Turk)
- Snowball sampling
- Other

3.1.6a *Specify how you have access to or will obtain potential participants' email addresses:

The CAOs' email addresses are published on their respective municipal websites. The five other interviews per candidate will be identified based on publicly available information, such as municipal documents, media reports, and public websites or directories.

3.1.6b *Specify who is making initial contact:

The researcher, Mr. Tremblay.

3.1.6c *Does the person making initial contact have a relationship with the participant?

- Yes
- No

3.1.6d *Describe the nature of the relationship:

Mr. Tremblay served on the board of directors of the Association of Municipal Managers, Clerk and Treasurers with the two CAOs. He does not know or have a personal relationship with the other 10 interviewees.

3.1.6e *Describe what steps will be taken to ensure it does not exert undue influence on the person to participate:

Should one of the two CAOs wishes to withdraw from the study, then only one profile will be undertaken. If someone does not wish to participate, fewer people can be interviewed or another person approached.

Please note that your document name will appear on the approval notices. Ensure you name your document something that reflects what the document is (e.g., debriefing script, date). Avoid using slang, student names, etc. Upload only the clean version here (i.e., not the tracked copy). Do not include "clean" in the document name.

3.1.6f *Upload email script:

| Type | Name | File Name | Date | Version | Size |
|-----------------------|-------------------|------------------------|-------------------------|---------|----------|
| Recruitment Materials | Recruitment_Email | Recruitment_Email.docx | 14/May/2018 12:00:00 AM | 1 | 760.7 KB |

4.1

4.1 *Is a waiver of the requirement to obtain informed consent being requested for this study?

- Yes
 No

4.2

4.2 *Indicate the age and/or decision-making capacity of your participants to determine what type of consent is needed (select all that apply):

- Participants are persons aged 18 or older who do not have diminished capacity. Only participant consent is required.
 Participants are university students (age is not relevant). Only participant consent is required.
 Participants are aged 13-17 and I will be seeking participant consent only. I do not wish to seek parental/guardian consent.
 Participants are aged 13-17 and I will be seeking both parental/guardian consent and participant assent.
 Participants are aged 7-12. Both parental/guardian consent and participant assent are required.
 Participants are under the age of 7. Parental/guardian consent is required, but formal assent is not required.
 Participants have diminished capacity (age is not relevant). I will be seeking Substitute Decision Maker (SDM) consent and participant assent (if possible).

4.3

4.3 *Which of the following forms of consent/assent will be used? (select all that apply):

- Written consent/assent (this is the default option recommended by TCPS II; it provides clear documentation of consent/assent)
 Verbal consent/assent (e.g., for a telephone interview)
 Implied consent/assent (e.g., checking an explicit box indicating consent, accessing the survey, etc.)

Please note that your document name will appear on the approval notices. Ensure you name your document something that reflects what the document is (e.g., debriefing script, date). Avoid using slang, student names, etc. Upload only the clean version here (i.e., not the tracked copy). Do not include "clean" in the document name.

*Upload clean versions of all applicable written letters of information and consent and/or assent forms:

| Type | Name | File Name | Date | Version | Size |
|------------------------|---|--|-------------------------|---------|----------|
| Written Consent/Assent | Letter of Information and Consent_Written | Letter of Information and Consent_Written.docx | 22/May/2018 12:00:00 AM | 1 | 764.0 KB |

*Justify why verbal consent/assent will be obtained instead of written consent/assent:

Verbal consent would only apply if the interview is being undertaken over the telephone and written consent is not obtained in advance.

*How will verbal consent/assent be documented/noted by the researcher?

It will be audio-recorded or transcribed as part of the research notes and data.

Please note that your document name will appear on the approval notices. Ensure you name your document something that reflects what the document is (e.g., debriefing script, date). Avoid using slang, student names, etc. Upload only the clean version here (i.e., not the tracked copy). Do not include "clean" in the document name.

*Upload clean versions of all applicable letters of information that will be provided/read to participants/parents/guardians/SDMs and the verbal consent/assent script that will be used to obtain and document consent:

| Type | Name | File Name | Date | Version | Size |
|-----------------------|--|---|-------------------------|---------|----------|
| Verbal Consent/Assent | Letter of Information and Consent_Verbal | Letter of Information and Consent_Verbal.docx | 22/May/2018 12:00:00 AM | 1 | 765.3 KB |

4.4

4.4 *Is there a relationship between the potential participant and the person obtaining consent?

- Yes
 No

*Explain the nature of the relationship (e.g., supervisor of employees, teacher of students, or other such relationships):

The two CAOs being profiled served on the board of directors of the Association of Municipal Managers, Clerks and Treasurers with Mr. Tremblay, the researcher. They are colleagues as CAOs.

*Describe what steps will be taken to ensure it does not exert undue influence on the person to participate:

Participation will be voluntary.

4.5

4.5 *Given your study sample, is it likely that participants may have communication difficulties (e.g., who may need translation, who are illiterate, who may have trouble understanding or producing speech) and who may require special support?

- Yes
 No

5.1

5.1 *Are there any direct benefits to study participants?

- Yes
 No

Describe any direct benefits to the study participants:

The study will result in profiles of the two main participants, who will gain some insight on how they are perceived by those they work with.

5.2

5.2 *Describe the potential benefits to society:

The information gathered may assist in providing recommendations and best practices that will assist in the recruitment and retention of professionals and senior managers within smaller local government organizations.

5.3

5.3 Are there any foreseeable potential risks, harms, vulnerabilities or inconveniences as a result of participating in this study?

- Yes
 No

*List and describe any foreseeable potential risks, harms, vulnerabilities or inconveniences:

This study involves documenting perceptions and views on two professionals who are identifiable individuals. There exists risk to the Chief Administrative Officers being profiled in terms of reputation. Some participants will also be expressing views about organizational superiors.

*Indicate how you will minimize any potential risks, harms, vulnerabilities or inconveniences in this study:

Participation is voluntary. Even if participants consent to participate, they have the right to not answer individual questions or withdraw from the study at any time. If they decide to withdraw from the study, the information provided by them will not be used as part of the study.

5.4

5.4 *Is there a foreseeable likelihood that, in the course of this research, you will acquire information that is legally required to be reported (for example, abuse or neglect of a child, reports of harm to self or others, etc.)?

- Yes
 No

6.1

6.1 Based on the information in the Data Security and Confidentiality-Guidance Document, are you collecting any information for the purposes of this study (e.g., including written consent) that could reveal the participant's identity (i.e., directly or indirectly)? (see help text):

- Yes
 No

6.2

6.2 *Identify all identifiable information that will be collected for this study. (Select all that apply):

- Full Name
 Initials
 Address
 Full Postal Code
 Partial Postal Code
 Telephone Number
 Email Address
 Full Date of Birth
 Partial Date of Birth
 IP Address
 Audio Recording (i.e., any recording of voice)
 Video Recording (i.e., any recording of a person and/or identifiable environment such as a home)
 Photographs (i.e., any photograph of a person and/or identifiable environment such as a home)
 Student Number
 Other

*Justify Full Name:

Participants may be identified in the study as part of the profiles.

*Justify Telephone Number:

Required if a telephone interview is required and/or to contact the participant.

*Justify Email Address:

Required to contact the participant.

*Justify Audio Recording:

If the participant consents to the audio-recording of the semi-structured interview.

6.3

6.3 *Indicate how study participants will be identified in the study records (e.g., study number, pseudonym):

By name and date.

6.4

6.4 *Will there be a unique code linking identifiers to the study participant?

- Yes
 No

*Explain why the study data must remain identifiable:

The study involves profiles of two individuals and people they work with. Participants will be identified.

6.5

6.5 *Indicate the extent to which the study participant is able to withdraw their data from the research study and any limitations on the withdrawal:

Participation in this study is voluntary. They may decide not to be in this study. Even if they consent to participate, they have the right to not answer individual questions or withdraw from the study at any time. If they decide to withdraw from the study, the information provided by them will not be used as part of the study. They do not waive any legal right by signing this consent form.

6.6

6.6 *How will study participants' data be reported in the dissemination of results (e.g., aggregated data, identifiable descriptors, de-identified descriptors, co-authors, direct quotes, etc.):

Identifiable descriptors and direct and indirect quotes.

7.1

7.1 **Will you be physically transporting or electronically transmitting any [identifiable or de-identified] study records outside Western and/or its affiliate institutions? (e.g., audio recordings, questionnaires, interview transcripts, signed consent forms, etc.):

- Yes
 No

7.2

7.2 *Will the transportation or transmission of study records conform to the requirements of the Data Security and Confidentiality-Guidance Document, Section A - Transportation and Transmission of Study Records?

- Yes
- No

7.3

7.3 *Will any individuals/groups/organizations outside of the study team have access to identifiable study records?

- Yes
- No

8.1

8.1 *How are you storing your study records?

- Paper
- Electronic
- Both (Paper and Electronic)

8.2

8.2 *Will the storage of study records conform to the Data Security and Confidentiality-Guidance Document, Section B - Storage, Retention and Destruction of Study Records?

- Yes
- No

8.3

8.3 *Will someone other than the local Principal Investigator be retaining the study data?

- Yes
- No

*Specify who will store the data:

Researcher, Mr. Tremblay

*How will the data be stored?

All research data will be stored for seven years and encrypted on a password-protected device, specifically on the researcher's work-issued computer in a secured/password protected folder.

*Where will the data be stored?

All research data will be stored for seven years and encrypted on a password-protected device, specifically on the researcher's work-issued computer in a secured/password protected folder.

8.4

8.4 *Confirm that the study records will be retained by the PI for a minimum of 7 years as per regulatory guidelines (e.g., granting agency guidelines):

Yes

8.5

8.5 *Will you be retaining identifiable information for longer than 7 years?

Yes

No

9.1

9.1 *Will participants receive any of the following? (select all that apply):

- Compensation for participation
- Incentives for participation (e.g., performance-based)
- Reimbursement for expenses that participants will accrue
- Entry into a draw
- None of the above

10.1

10.1 *Is this study funded?

Yes

No

11.1

11.1 *Will the PI or Co-Investigator(s) or anyone connected to them through their interpersonal relationship (including their partners, family members, or their former or current professional associates) receive any personal financial benefit in connection with this study?

Yes

No

11.2

11.2 *Will the PI or Co-Investigator(s) or anyone connected to them through their interpersonal relationships (including their family members, friends, or their former or current professional associates) receive any personal (financial or otherwise) benefits including patent or intellectual property rights, royalty income, employment, share ownership, stock options, etc?

- Yes
 No

11.3

11.3 *Is the PI or Co-Investigator(s) aware of any other community relationships, academic interests, financial partnerships, or economic interests (e.g., spin-off companies in which researchers have stakes or private contract research outside of the academic realm) or any other incentives that may compromise their integrity, independence or ethical duties in the conduct of the research?

- Yes
 No

11.4

11.4 * Is the PI or Co-Investigator(s) aware of any institutional conflicts of interest (financial or non-financial) that may have an impact on the research?

- Yes
 No

11.5

11.5 *Does the PI or Co-Investigator(s) or anyone connected to them through their interpersonal relationships (including their family members, friends, or their former or current professional associates) have any proprietary interest in the product under study or in any entity that is sponsoring or otherwise supporting the conduct of the study?

- Yes
 No

11.6

11.6 *Will or does the PI or Co-Investigator(s) or anyone connected to them through their interpersonal relationships (including their family members, friends, or their former or current professional associates) have any association or connection with an entity that is sponsoring or otherwise interested in the outcome of the study? (e.g., consultant, advisor, board member, employee, director, etc.)

- Yes
 No

*Describe the association or connection:

Mr. Tremblay served with both Chief Administrative Officers on the Association of Municipal Managers, Treasurers and Clerks of Ontario (AMCTO). They are colleagues occupying similar functions at different municipalities and often network. AMCTO is not involved in this study in any fashion.

*Describe the proposed management plan:

Participation will be voluntary with participants able to withdraw at any time.

11.7

11.7 *Are there any other real, potential or perceived conflicts of interest to declare to the REB?

- Yes
 No

13.1

13.1 *Please confirm that if this is the first time you are submitting this particular application form to the REB, select "Initial Submission". If this application form has already been reviewed by the REB and they issued recommendations, select "Response to REB recommendations":

- Initial Submission
 Response to REB recommendations

13.2

13.1 *Principal Investigator Signature/Attestation:

- As the PI, I attest that, to the best of my knowledge, the information in this application is complete, current and accurate;
- As the PI, I assume full responsibility for the scientific and ethical conduct of the study at this institution;
- As the PI, I agree to conduct this study in compliance with TCPS2 (2nd edition of Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans); AND with all other applicable laws, regulations or guidelines;
- As the PI, I certify that all Co-investigator(s), researchers and other personnel (research team) involved in this project at this institution are appropriately qualified and experienced, or will undergo appropriate training to fulfill their role in this project;

- As the PI, I acknowledge that I am responsible for promptly reporting to the REB, through the electronic application system, any proposed specific:

- modifications or amendments, such as changes in PI, changes in Co-investigator (if applicable), changes to the consent form, etc.;

- -all local reportable events that meet the REB reporting criteria, including but not limited to local unexpected, serious adverse events (SAEs), privacy breaches, protocol deviations and any new information that may adversely affect the safety of the participants or significantly affect the conduct of the trial;

- progress report (renewal/ continuing review form), annually or as often as requested by the REB;

- study completion or termination.

- I certify that REB approval and all external and local institutional approvals will be obtained before the study will commence;

- I certify that the research team will adhere to the protocol and consent form as approved by the REB unless to eliminate an immediate safety hazard to participants and in accordance with any conditions placed on the REB approval;

- I certify that all information provided in this application represents an accurate description of the conduct of the study.

Privacy and Security Acknowledgement:

- On behalf of all members of my research team, as the PI, I am aware of my obligations in maintaining the importance of maintaining the confidentiality of personal health information and the privacy of individuals with respect to that information;

- As the PI, I will ensure that the personal information is used only as necessary, to fulfill the specific study objectives and related study questions described in the application approved by the REB. This includes all conditions and restrictions imposed by the REB and the institution in which the study is being conducted, governing the use, security, disclosure, return or disposal of the study participants' personal health information;

- As the PI, I agree to take any further steps required by the REB or the institution to ensure that the confidentiality and security of the personal information is maintained in accordance with the Freedom of Information Protection of Privacy Act (FIPPA), its accompanying regulations, and the Tri-Council Policy Statement.

Signed: This form was signed by Joseph Lyons (jlyons7@uwo.ca) on 23/May/2018 12:24

LETTER OF INFORMATION AND CONSENT

Study Title:

The Leadership Role of the Chief Administration Officer (CAO) in Smaller Municipalities: Two Profiles

Principle Investigator:

Joseph Lyons
Assistant Professor
Director, Local Government Program
Department of Political Science
University of Western Ontario
Social Science Centre, Rm 4162
London, ON N6A 5C2
jlyons7@uwo.ca
519-661-2111, ext. 85168

Co-Investigator:

Robert Tremblay
Chief Administrative Officer/Clerk
Township of Whitewater Region
Address
Tel:
Email: @uwo.ca

Introduction

You are being invited to participate in a research study that will review the leadership of chief administration officers (CAO) in smaller municipal governments, which will result in profiles of two individuals currently serving in the position.

Background/Purpose

Dr. David Siegel, of Brock University, has studied CAOs and how they lead in different ways, including up to council, out to the community, and down to staff and subordinates. He published *Leaders in the Shadows*, which profiled the careers and leadership styles of five respected Canadian CAOs. However, most of these CAOs spent their careers in larger municipalities. This study seeks to build on Siegel's work and methodology to provide profiles of two CAOs from smaller municipalities.

Study Design

This research project will apply the method utilized by Siegel for *Leaders in the Shadows*. Two pre-selected CAOs, who have both served on the Board of Director of the Association of Municipal

Managers, Clerks & Treasurers of Ontario will be profiled and up to five people that they work with will be interviewed to outline and assess the leadership capabilities and qualities of these leaders.

The aim is to ascertain any differences from the profiles prepared by Dr. Siegel and to provide a picture of how operating in a smaller, lower-tier municipal unit compares to working in larger, single-tier units.

Procedures

If you agree to participate in this research study, you will be asked to participate in a semi-structured interview, in person or over the phone, at your convenience. The interviews are anticipated to be approximately one (1) hour in length.

The interviews will be audio-recorded, to be further transcribed by the researcher. You may still participate in the research study if you do not agree to be recorded. In this case, responses will be scribed and hand-written by the interviewer.

Voluntary Participation

Participation in this research study is voluntary. You may decide to not be in this study.

Withdrawal from Study

If you decide to withdraw from the study, you have the right to request withdrawal of information collected about you. If you wish to have your information removed please let the researcher know.

Risks

There are no known or anticipated risks associated with participating in this study. However, you will be identifiable and your comments could be attributed to you.

Benefits

You may not directly benefit from participating in this study, but the information gathered may assist in providing recommendations and best practices to assist in the recruitment and retention of professionals and senior managers within your local government organization in the future. The final research study will be made available to each of the study participants once completed.

Confidentiality

Participants will be identified by name in the final research study, unless consent is not received. Direct quotes or other identifying information within the publication, such as the local government organization in which you work, will only be used if consent has been given from the participant. All research data will be stored for seven years and encrypted on a password-protected device, specifically on the researcher's work-issued computer in a secured/password protected folder. The information contained in these documents will include the consent form which includes personal information including name, email address and position held. This information will only be available for access by the researcher and the Principle Investigator. No other person, other than Dr. Lyons or Mr. Tremblay will have access to the audio-recording or scribed notes. Representatives of The University of Western Ontario's Non-Medical Research Ethics Board may require access to your study-related records to monitor the conduct of the research.

Compensation

You will not be compensated for your participation in this research.

Rights as a Participant

Your participation in this study is voluntary. You may decide not to be in this study. Even if you consent to participate, you have the right to not answer individual questions or withdraw from the study at any time. If you decide to withdraw from the study, the information collected as it relates to you will not be used as part of the study. You do not waive any legal right by signing this consent form. You will be provided a copy of the written transcript of your interview.

Questions about the Study

If you have any questions about this research study, please contact:

Joseph Lyons
Assistant Professor
Director, Local Government Program
Department of Political Science
University of Western Ontario
Social Science Centre, Rm 4162
London, ON N6A 5C2
jlyons7@uwo.ca
519-661-2111, ext. 85168

Robert Tremblay
Chief Administrative Officer/Clerk
Township of Whitewater Region
Address
Tel: 613-646-2282, 613-639-5115
Email: @uwo.ca

If you have any questions about your rights as a research participant or the conduct of this study, you may contact the Office of Human Research Ethics at (519) 661-3036 or ethics@uwo.ca.

THIS LETTER IS YOURS TO KEEP FOR FUTURE REFERENCE.

CONSENT SCRIPT – Verbal Phone Interviews (if applicable)

Study Title:

The Leadership Role of the Chief Administration Officer (CAO) in Smaller Municipalities: Two Profiles

Participant Name: _____

Date and Time of Phone Interview: _____

Verbal consent must be document either by audio-recording or by the researcher checking the appropriate boxes on behalf of the participant.

Do you confirm that you have read the Letter of Information and have had all questions answered to your satisfaction?

Yes

No

Do you agree to participate in this research?

Yes

No

Do you agree to be audio-recorded?

Yes

No

Do you consent to be identified by name and position in the study and dissemination of this research?

Yes

No

Do you consent to the use of personal, identifiable quotes obtained during the study in the dissemination of this research?

Yes

No

Do you consent to the use of unidentified quotes obtained during the study in the dissemination of this research?

Yes

No

Email Script for Recruitment

Subject Line: Invitation to participate in research:

The Leadership Role of the Chief Administration Officer (CAO) in Smaller Municipalities: Two Profiles

Hello, my name is Robert Tremblay. I am a Master's Student at the University of Western Ontario in the Public Administration Program. I have received your email address from [insert method of obtaining contact information]. You are being invited to participate in a study that I am conducting. My supervisor for this research is Joseph Lyons, a Professor at the University of Western Ontario.

I am conducting an academic study which will review the leadership of chief administration officers (CAO) in smaller municipal governments, which will result in profiles of two individuals currently serving in the position. I would like to conduct a face-to-face or telephone interview with you to discuss your insights and experiences in relation to [name of CAO being profiled]. I have attached a letter of information that provides further details about the proposed study.

If you are willing to participate in this study or would like more information on this study please contact me at the contact information given below.

Sincerely,

Robert Tremblay
Chief Administrative Officer/Clerk
Township of Whitewater Region
Address
Tel:
Email:

Supervisor:

Joseph Lyons
Assistant Professor
Director, Local Government Program
Department of Political Science
University of Western Ontario
Social Science Centre, Rm 4162
London, ON N6A 5C2
jlyons7@uwo.ca
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