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**IDENTIFYING AND CONCEPTUALIZING THE LEARNING STYLES OF
YOUTH REFERRED TO THE JUVENILE COURT SYSTEM**

by

Linda Hall Smith

**Thesis submitted in partial fulfillment
of the requirements for the degree**

of

DEPARTMENT HONORS

In

Family, Consumer and Human Development

Approved:

**Thesis/Project Advisor
D. Kim Openshaw, Ph.D.**

Department Honors Advisor

Director of Honors Program

**UTAH STATE UNIVERSITY
Logan, UT**

2004

RUNNING HEAD: Learning Styles

Identifying and Conceptualizing the Learning Styles of
Youth Referred to the Juvenile Court System

Linda Hall Smith

Utah State University

September 1, 2004

Identifying and Conceptualizing the Learning Styles of Youth Referred to the Juvenile Court System

Introduction

Increasingly youth are being referred to the Juvenile Court for a variety of crimes, including those involving sexually offensive behavior. In the Fall of 2003 the Honorable Judge Gordon Low, of the First District Court in Cache County, State of Utah, requested that a program be developed that would address concerns with regard to the increased frequency of sexually offensive complaints being filed in both the Juvenile, as well as the District Court. His desire was that this program be designed, using an educational format, for youth in Middle and High Schools. Further, it was his intent that it serves a preventative function, thus reducing not only the number of complaints, but also decreases the number of those being arrested for sexually offensive behavior.

Dr. Openshaw agreed to take on this project with the help of Ms. Linda Hall Smith and an offender. During the process of developing the curriculum it was determined that the learning styles of those youth who would be serviced by this program needed to be understood so that the content, exercises, and evaluations to be included would take the learning styles into consideration. This in mind it was determined that a brief learning styles inventory, the "Pedagogical Learning Styles of Juveniles who Offend" (hereafter referred to as the PLSJO) would be developed and administered, not as a research instrument which would allow for the publication of these data, but rather as a device that would assess and provide feedback with regards to learning styles of those being referred to the Juvenile Court so that the curriculum developed would reflect these learning styles.

Brief Review of the Literature

Sexually offensive behavior is on the increase in America. Juvenile perpetration increased steadily from 1983 to 1994, followed by a protracted period of declines from 1992-1997. Since 1997, however, there has been an increase each year at the average rate of over 5% per year. While this may be alarming, in Cache Valley, Utah, incidences and severity of juvenile sexual offenses have more than quadrupled since 1990. From 1990 to 2001 the number of juveniles arrested for sexually offensive behavior, those that would be classified as felony arrests if charged as adults, increased from 22 to 78 (approximately a 300% increase), and those that would have been classified as misdemeanors increased from 5 to 8 (approximately a 50% increase).

Characterizing Adolescents who Offend Sexually

Understanding the severity of the problem and the characteristics of adolescents who offend sexually is critical to the development of a comprehensive sexuality prevention program. 43% of all sexual abuse perpetrators are adolescents, and one-third of sexual offenses against children are committed by teenagers. Contrary to common assumptions, most adolescents who offend sexually have not been victims of childhood sexual abuse.

A diverse population. Adolescents who offend sexually present with such a great degree of diversity that there is no one way to conceptualize them outside of the fact that they have perpetrated or acted out in a sexually offensive manner. For example some are well-functioning youth with limited behavioral or psychological problems while others have major psychiatric disorders, and still others are youth who are conduct disordered and sexually offensive behavior is just one of the various acting out behaviors they engage in. Some come from well-functioning families and others come from highly chaotic or abusive backgrounds.

Some come from financially secure families (i.e., high SES) whereas others come from middle class families and others are in families living in poverty. Some are in middle school while others are in high school, and some are dropouts. What we can say about this population of youth is that they represent a heterogeneous as opposed to a homogenous population.

Reaching out in a preventative fashion. The challenge of every community in America today is to identify the most effective means to reach out to youth, providing them with sufficient information about sexuality and decision making so that the potential likelihood that they will sexually offend is decreased or eliminated. One of the most logical places to provide youth with the information and skills to be effective in their sexual choices is through school systems. As such, during the conversation with the Honorable Judge Gordon Low, it was decided that this would be the initial place for a prevention program to be administered. However, as noted previously, in order to develop the curriculum for such a prevention program it is important that learning styles be assessed to identify the most significant orientations and then incorporate them into the program.

While the learning styles of all youth are important, it seems that assessing the learning styles of those who are being referred to the Juvenile Court would be of greatest relevance so that the materials can meet the needs of this specific population. Thus, the focus of this study is to have the PLSJO administered to youth who have been referred into the juvenile court system by probation officers working with these youth, and from the information gleaned there from to develop the curriculum content and exercises for the prevention program. While the basic objectives of the program have been developed (see Appendix A), it will be

important that the content associated with each of the objectives be created taking the learning styles into consideration.

Methods

Sample. Youth from whom data with regards to learning styles will be collected will be those who are referred to the juvenile court system and have been assigned a probation officer. These youth may be on probation, in the custody of youth corrections, or have been referred to therapy. As such, professionals involved with youth in each of these areas will be asked to help in the gathering of information regarding the learning styles of juveniles who have offended in general. It is anticipated that there will be mixture of both males and females, however, in that there is a greater number of males referred than females, it is likely that the distribution of males versus females will be skewed in favor of males. It is anticipated that data will be collected from approximately 100 youth, with an approximate distribution being 25% females and the remaining 75%, males.

Measurement. The Pedagogical Learning Styles of Juveniles who Offend (PLSJO) is composed of the following areas of measurement (see Appendix B).

- Demographic information
- Self-perception as related to criminal involvement
- Perception of overall school experience and attitude towards school
- Perception of personal learning style
- Learning style inventory

Procedures. The PLSJO will be administered to the youth agreeing to participate in the study by their probation officer, youth corrections officer, or therapist. Youth will be invited to participate, though their participation will be voluntary. Once the inventories have been

completed they will be forwarded to the PI and Co-PI for analysis purposes prior to the development of the prevention program curriculum.

Confidentiality. To protect the confidentiality of the participants, several methods have been incorporated:

- There will be no identifying information on any of the instruments that are provided to the PI and Co-PI,
- Neither the PI nor the Co-PI will have access to identifying information at any time nor will they meet with the youth, and
- All information will be collected by those who work with the youth and provided to the PI and Co-PI.

Analysis

As noted from the instrument included in Appendix B, the data gathered will be analyzed for the purpose of determining the types and frequency of learning styles, as well as to understand the perception of youth with regards to how best to provide information to others. The data included will be quantitative and qualitative in nature.

Quantitative Research Questions

These research questions focus specifically on the educational experience youth, who are involved in the juvenile court system, are having. To examine their experience the questions in the inventory reflect both their perception of their attitude about their school experience, as well as their learning style which is acquired through two separate methods, namely their perception to several styles presented to them (a direct method) and their responses to a learning styles inventory (indirect method).

Research Question No. One. How do youth describe their experience in school?

Research Question No. Two. How do youth perceive their attitude about their involvement in school?

Research Question No. Three. What method of learning, according to the perception of the participants, works best for them?

Research Question No. Four. According to responses to the Learning Style Inventory, what are the most predominant styles of learning utilized by these youth?

Research Question No. Five. Is there a difference in learning style when comparing data acquired from the direct question method with that of the indirect.

Qualitative Research Questions

Qualitative questions are designed to gain a personal insight into how information may have prevented involvement in criminal behavior and what advice they would provide, if any, to deter the involvement of others.

Research Question No. One. If you had had the opportunity to have received information about criminal behavior before you became involved in the specific behavior you were brought before the court for, would this have prevented your involvement?

Research Question No. Two. Do the youth involved in the various crimes understand how their crimes could have been prevented?

Research Question No. Three. Do the youth involved in the various crimes understand how their decision to be involved in criminal behavior is related to peers they are involved with?

Research Question No. Four. What advice would youth, who are involved in the juvenile court system, give those who are either not involved in criminal activity or have not been identified by the court at this time.

Research Question No. Five. If youth, who are involved in the juvenile court system,
decline to provide advice, why is this?

Appendix A

Program Objectives

Overall Program Objectives

Sexuality

Youth will be able to:

- Identify, describe and provide examples of common sexually offensive behaviors
- Identify, define and provide examples of various forms of sexually offensive behavior according to moral and legal standards
- Differentiate between “normal” age-appropriate sexual behaviors and those identified as sexually offensive

Legality of sexual behaviors

Youth will be able to:

- Identify, describe and discuss the laws that are associated with sexual behavior
- Identify and describe the “conditions” of “true consent”

Sexually offensive behavior: What makes a perpetrator?

Youth will be able to:

- Describe the evolution of thinking errors as they pertain to the process of objectification and sexual perpetration
- Identify and describe key thinking errors associated with both rationalization and justification
- Describe key factors associated with perpetration and “relapse”
- Identify, describe and discuss the consequences (e.g., personal, social, and financial, as well as community) associated with violations of laws associated with sexual behavior.

Implications of sexually offensive behavior: The victim

Youth will be able to:

- Identify, describe and discuss the consequences of sexually offensive behavior on the victim(s) (primary, secondary and tertiary)

Principle based decision making: Making the right choice for the right reason

Youth will be able to:

- Define what a principle is, identify 10 personal principles, and organize these principles into a personalized mission statement
- Within a principle based context, describe how to implement a personalized safety plan which is aimed at reducing the risk of sexually offensive behavior

Appendix B
The Pedagogical Learning Styles of Juveniles who
Offend (PLSJO)

Pedagogical Learning Style for Juveniles who Offend
Draft (Meaning formatting, not content)

Demographics

Age

Gender

Race (please check one) Caucasian, Hispanic, African American, Asian, Native American, Other

Current grade in school 6 7 8 9 10 11 12

Do you belong to a religious or faith community (please check one)? Yes No

If yes, how often do you attend church?

1 time per week 2 times per month Holidays only

Do you believe what is taught in your church?

Yes No

What is your current offense(s) status(es) (please check all that apply)

Custody of Youth Corrections

 Community based program

 Proctor placement

 Residential work camp

 Locked detention/secure care

 Home detention

 Observation and assessment

Probation

State Supervision

Custody of Child & Family Services

Please check the box or boxes that best describe the behavior for which you have been or are involved in court:

Assault

Drugs and alcohol

Sexual behavior

Theft

Other (please explain)

Learning Style Assessment

If you had the opportunity to learn about the crime (punishment, effects on victim, family, friends, peers, etc.) you have been charged with before you were involved in the crime, would the information have prevented your involvement or made a difference?

Yes

No

If yes, what would you have liked to learn?
If yes, what would have helped?

If no, would anything have helped
prevent your involvement?

Some people learn best by experiencing something, or hearing information, or by seeing pictures or information?

What method of learning would work best for you—experiencing something, hearing about information, or learning by seeing, or a combination? Please list the following methods in order of importance to you with number five being the most valuable form of learning, and number one being the least valuable to you.

Lecture	12345
Group discussion	12345
Presentation by an offender	12345
Video	12345
Experiential (riding with a cop)	12345
Reading materials	12345
Self lookup on internet	12345

If we have not identified the method by which you prefer to learn, please tell us about it.

Learning Style Inventory

- I would rather read material in a textbook than listen to a lecture.
Often Sometimes Never
- I benefit from studying with a partner or study group
Often Sometimes Never
- In my spare time, I like to do projects that involve my hands (e. g., painting, constructing using tools, etc.)
Often Sometimes Never
- I find graphs and diagrams useful in clarifying concepts
Often Sometimes Never

5. I benefit more from lab classes than lecture classes
Often Sometimes Never
6. I find it useful to read out loud when reading a textbook.
Often Sometimes Never
7. Reviewing information on flashcards helps me remember it.
Often Sometimes Never
8. I like solving mazes and jigsaw puzzles.
Often Sometimes Never
9. I can find the mistakes in my written work.
Often Sometimes Never
10. I find myself talking out loud when studying to myself.
Often Sometimes Never
11. As a child, I liked to engage in physical activities during my free time.
Often Sometimes Never
12. I would rather listen to a book on tape than read it.
Often Sometimes Never
13. I like solving crossword or word search puzzles.
Often Sometimes Never
14. I tend to "doodle" during lecture by writing on my notebook pages.
Often Sometimes Never
15. When trying to remember a phone number, I let my "fingers do the walking," i.e. my fingers seem to remember the number on their own.
Often Sometimes Never
16. As I child, I liked to read books during my free time.
Often Sometimes Never
17. I would rather listen to a lecture than read the material in a book.
Often Sometimes Never
18. I can use a map effectively to get myself to a new location.
Often Sometimes Never
19. As a child, I liked to listen to stories told to me or stories on tape, record player, or radio.
Often Sometimes Never

20. When learning a new skill, I would rather have someone demonstrate the skill than listen to someone tell me how to do it.
Often Sometimes Never
21. When trying to remember a phone number, I can see the number sequence in my head, or I "see" the way the numbers look on the phone.
Often Sometimes Never
22. When trying to remember how to spell a word, I spell the letters with my finger in the air or on a table top.
Often Sometimes Never
23. If I have to learn how to assemble something, I would rather look at a diagram than listen to someone tell me how to do it.
Often Sometimes Never
24. When trying to remember how to spell a word, I write down the word using alternate spellings until I see the spelling sequence I think is correct.
Often Sometimes Never
25. When trying to remember a phone number, I "hear" the number sequence in my head in the way someone told me the number or in the way I previously recited the number aloud.
Often Sometimes Never
26. I like "hands on" learning better than learning from lecture or textbook.
Often Sometimes Never
27. I would rather have written directions than oral directions.
Often Sometimes Never
28. When trying to remember how to spell a word, I say the letters or sounds out loud until I think I've got the spelling right.
Often Sometimes Never
29. I learn better by doing than observing.
Often Sometimes Never
30. As a child, I liked to play with puzzles in my free time.
Often Sometimes Never
31. When taking a test, I can "see" the answers in my head as it appeared in my notes or textbook when I studied.
Often Sometimes Never
32. I learn best when physical activity is involved.
Often Sometimes Never

IRB Application Part B

Proposal Title Identifying and Conceptualizing the Learning Styles of Youth Referred to the Juvenile Court System:

Principal Investigator D. Kim Openshaw, Ph.D., LCSW, LMFT

Co-PI/Student Researcher Linda Hall Smith

- (1) Proposed duration of Study: From June 1, 2004 To: June 1, 2005
By federal regulation, all ongoing research protocols must be submitted for complete re-review every three years. Annual reviews will occur as well.
- (2) Is this a multi-center study? Yes No
 If yes, please list other institutions participating and attach a paragraph that explains the responsibilities and obligations of each center and/or each investigator.
 If yes, has this study been, or will it be, reviewed by another IRB? Yes No
 If yes, give name and address of board and date of review _____
- (3) Does the data research involve solely previously existing data? No If yes, then please complete existing data application form.
- (4) Does this study involve participants (or parents or guardians) who are not fluent in English¹?
 Yes No
 If yes, please submit both the English consent form and translation in the appropriate language(s). Participants (or parents or guardians) who do not read and/or speak English *must* have the consent form written in and/or read to them in their native language. They must sign a form indicating that the informed consent has been explained to them, and all questions regarding it have been answered, in their native language
- (5) Number of participants involved 75 – 100 Age ranges 12 to 18 years of age
(Number of participants must be sufficient to appropriately answer the research question Simple subject designs are acceptable if such designs adequately answer the research question.)
- (6) Gender of participants: # of females 25 % # of males 75% If only males or only females are to be used, please explain why _____
- (7) Health Status of Participants: Are participants healthy volunteers?
 Yes No
- (8) Federal guidelines indicate that participants cannot be excluded from research on the basis of race, sex, age, language or disability status. However, if research requires the exclusion of participants based on race, sex, age, language or disability status, please explain. At this point there will be exclusion by language. This project will initially address those who speak the English language. When the curriculum has been developed, test piloted., and outcome examined, then it may be extended to those of other languages.
- (9) Vulnerability of Participants: *(Participants who are vulnerable are often included in research even though they are in protected categories. If yes on any of the below, explain rationale for selecting vulnerable participants, but only if being in a protected category is a focus of the research is*

¹ Subjects may not be excluded from research based solely on language ability.

Appendix C
Application for Review of Research using Human
Participants

Application for Review of Research using Human Participants Part A

Date April 30, 2004

Proposal Title Identifying and Conceptualizing the Learning Styles of Youth Referred to the Juvenile Court System:

(A USU faculty member must be the PI or designated research representative on any research performed at USU. A student researcher should name his/her advisor or chair as the PI. Both student and faculty are required to sign documents.)

Principal Investigator D. Kim Openshaw, Ph.D. College Education Dept. FCHD UMC 2700
Ext. 7-7434 **E-Mail** d.k.openshaw@usu.edu **Funding Source** *(i.e. agency, dept., etc.)* None

Co-PI/Student Researcher Linda Hall Smith Dept. FCHD UMC 2700 Ext. 7-7434

E-mail lsh@cc.usu.edu

(Prior to IRB approval your committee must approve your proposal. Documentation must be included with your submission.)

Note: *Existing Data:* If there is existing data, please complete the online existing data application form.

A. Participants:

i. Explain *who* will be the human subjects Adolescents who have been referred to the Juvenile Court and on probation, in the custody of youth corrections, or those who are involved in therapy settings with Court participating therapists.

ii. Explain *how* they will be recruited (advertisement, referred by someone, etc.) Youth participating in the completion of the inventory will be asked to do so through their probation officer, youth corrections worker, or therapist. The PI and Co-PI will have no contact with the youth.

If you advertise for participants, please include a copy of the advertisement with this form.

iii. Explain *what* they will be asked to do (survey, treadmill test, blood test) _____

B. Risks & Benefits (both risk & benefit must be addressed)

i. What are the potential benefits to be gained from the study? Learning the pedagogical style of youth will permit the development of curricula that will focus on methods that will address the various learning styles in the presentation of the curriculum. When learning styles are incorporated into the curricula, it is assumed that there will be an increased likelihood that the information will be presented in a manner that will allow the youth involved to learn and internalize the information presented.

The IRB takes the position that research involving participants is unethical if the research has no educational or scientific value.

ii. What are the risks or discomforts to the subject(s), and what measures will be taken to minimize the risks? There is only minimal risk that could be attributed to the participation in the completion of the learning styles inventory. The intent is to collect information that will allow the PI and Co-PI to develop a curriculum as requested by the Honorable Judge Gordon Low of the First District Court.

All research has some risk, even if it is minimal. Risks may include loss of confidentiality, anonymity, economic, social, or psychological risks; or physical harms. Please address all relevant risk factors.

C. *Informed Consent* (page 13 in IRB Handbook)

- i. How will the informed consent be obtained? This will be a verbal request of those under the jurisdiction of the First District Juvenile Court through individuals with whom they are currently involved, namely, probation officer, youth corrections worker, or therapist.
(E.g., verbally for phone interview, via use of video tape, in person or via letter sent to home)
- ii. Who will obtain the informed consent? Youth will be asked to participate through their probation officer, youth corrections worker, or therapist.
(E.g., PI, research assistant, teacher, counselor, parent)
- iii. Where will the Informed Consent be obtained? (E.g., on phone, in classroom, in private or group setting) At this point we have been informed that an informed consent may not be needed.

D. *Confidentiality*:

- i. Will the research participants be identifiable to the researchers? Does the researcher or the researcher's representative interact with the participants to obtain the data?
YES _____ NO If no, skip to F.

The participants are identifiable when:

- *The researcher or colleague maintains a coded list that could be used to match names to codes.*
- *Addresses or social security numbers or birth dates or other relatively specific information is collected.*
- *Please realize that in a state, unit, or area with a small population it is often very easy to identify participants from data sets with relatively small sample sizes.*

- ii. What measures will be taken to insure participants' confidentiality? _____
 - a. How will documents be stored? (Locked filing cabinet? Code numbers with code locked up or destroyed? _____)
 - b. How long will identifying information (if any) be kept? _____
- iii. Will audio or video tapes, photographs, DVD, or other electronic records be made (please check all that apply)? YES _____ NO _____ If no, skip to F.
 - a. What measures will be taken to insure confidentiality of these records? _____
 - b. When will these records be destroyed? _____

- E. *Secondary Research Participants*: Will the investigator be asking about individuals *other than those from whom informed consent has been received*? If yes, can these people be identified? (E.g. asking a parent about a child's behavior or a spouse about the other spouse? If no, skip to G).
If yes, please explain _____

- F. *Will the results be published or presented* (publication can include textbooks, training videos, dissertations or masters theses)? There will be no results from this information that will be published. The intent is to identify and conceptualize the primary learning styles associated with this group of youth so that the curriculum to be developed will reflect these styles appropriately.

IRB Application Part B

Proposal Title Identifying and Conceptualizing the Learning Styles of Youth Referred to the Juvenile Court System:

Principal Investigator D. Kim Openshaw, Ph.D., LCSW, LMFT

Co-PI/Student Researcher Linda Hall Smith

- (1) Proposed duration of Study: From June 1, 2004 To: June 1, 2005
By federal regulation, all ongoing research protocols must be submitted for complete re-review every three years. Annual reviews will occur as well.
- (2) Is this a multi-center study? Yes _____ No x _____
 If yes, please list other institutions participating and attach a paragraph that explains the responsibilities and obligations of each center and/or each investigator.
 If yes, has this study been, or will it be, reviewed by another IRB? Yes _____ No _____
 If yes, give name and address of board and date of review _____
- (3) Does the data research involve solely previously existing data? No If yes, then please complete existing data application form.
- (4) Does this study involve participants (or parents or guardians) who are not fluent in English¹?
 Yes ___ No x ___
 If yes, please submit both the English consent form and translation in the appropriate language(s). Participants (or parents or guardians) who do not read and/or speak English *must* have the consent form written in and/or read to them in their native language. They must sign a form indicating that the informed consent has been explained to them, and all questions regarding it have been answered, in their native language
- (5) Number of participants involved 75 – 100 Age ranges 12 to 18 years of age
(Number of participants must be sufficient to appropriately answer the research question Simple subject designs are acceptable if such designs adequately answer the research question.)
- (6) Gender of participants: # of females 25 % # of males 75% If only males or only females are to be used, please explain why _____
- (7) Health Status of Participants: Are participants healthy volunteers?
 Yes x No _____
- (8) Federal guidelines indicate that participants cannot be excluded from research on the basis of race, sex, age, language or disability status. However, if research requires the exclusion of participants based on race, sex, age, language or disability status, please explain. At this point there will be exclusion by language. This project will initially address those who speak the English language. When the curriculum has been developed, test piloted., and outcome examined, then it may be extended to those of other languages.
- (9) Vulnerability of Participants: *(Participants who are vulnerable are often included in research even though they are in protected categories. If yes on any of the below, explain rationale for selecting vulnerable participants, but only if being in a protected category is a focus of the research is*

¹ Subjects may not be excluded from research based solely on language ability.

problematic. That is, for a telephone survey about environmental equity, it is irrelevant if there are participants who are pregnant, physically ill, or over age 65.)

Are participants younger than 18 years of age? Yes No
(go to page 17 of the IRB Handbook)

Are participants older than 65 years of age? Yes No
(go to page 13 of the IRB Handbook, item 2)

Are participants cognitively impaired? Yes No
(Cognitive impairments can include learning disabilities)
(go to page 23 of the Medical Data in IRB Handbook)

Are participants physically ill? Yes No

Are participants potentially pregnant? Yes No
(Most females over age 10 and under age 55 are potentially pregnant.)

Are participants prisoners? Yes No
(go to page 19 of the IRB Handbook)

Are participants institutionalized or adjudicated? Yes No
(in prison, in hospital, in other residential setting)
(go to page 19 of the IRB Handbook)

Are participants at risk for coercion? Yes No
(e.g. students in your class or your employees)

If research involves **any** of the special groups listed in item (9) above, you **must** check one of the following statements:

(1) Use of such participants is a necessary part of the research

OR

(2) Such participants may be included incidentally as members of a more general population

Will any of the data consist of health records? Yes No
If No, then proceed by submitting your application and complete Part C.

If Yes,

a) Are there any personal identifiers of this data? Yes No

c) Have the research participants given separate permission for this data to be used? Yes No

Conflict of Interest Statement:

1. Do you, or to your knowledge does any member of your immediate family¹ have, or expect to acquire during the term of existing or anticipated sponsored project or technology transfer, a significant financial interest² in any business entity³...
- a. Sponsoring the proposed research or substantially-related research? Yes _____ No x _____
- b. Whose business is substantially related to subject matter of your proposed sponsored research or technology transfer? Yes _____ No x _____
- c. Which is requested rights to any USU/USURF technology? Yes _____ No x _____
- d. That may compete for provision of goods or services to be paid for with funds provided under a sponsored project over which you may have signature authority? Yes _____ No x _____
2. Are any of your existing or proposed sponsored projects or technology transfers related to subject matter on which you are aware that any other sponsor or entity has a claim of ownership or other legal interest granted by USU/USURF? Yes _____ No x _____

If the answer to any of the following of the preceding was YES, please complete the entire Office of Sponsored Programs Conflict of Interest Disclosure form (rev 11/00).

¹Parent, sibling, spouse, child or spouse of any of the foregoing.

² "Significant financial interest" means (1) the ownership, either legally or equitably, of at least 5% of the outstanding stock of a publicly held corporation or other business entity where such interest is one percent or more of the equity of the corporation or other entity; (2) the holding of any equity interest in any privately held corporation; (3) the holding of a position as an officer, director or employee of a business entity; (4) a contractual relationship with the entity resulting in compensation in the amount of \$10,000 in the aggregate in the preceding 24 months or during the period of the sponsored project or technology license or assignment.

Notwithstanding the foregoing, "Significant financial interest" does not include interest held indirectly through funds, such as mutual funds, in which the interested party does not control the selection of investments.

³ "Business Entity" means any sole proprietorship, partnership, corporation, joint venture, trust, or any other business entity used for commercial purposes, including parent corporations or any other arrangement in which an entity operates through a subsidiary.