

PROTOCOL NARRATIVE
University of California, Irvine
Institutional Review Board

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(please update with each revision)

HS#: _____
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Title: Developing Futures: Oil and Visas in Dakar, Senegal
Lead Researcher Name: Caroline M. Melly

All sections of the narrative must be completed within the form field provided. Do not leave any fields blank.
Handwritten and/or incomplete forms will be returned.

SECTION 1: BACKGROUND AND PURPOSE OF THE RESEARCH

Provide a brief explanation of the research project. State its overall objectives, specific aims and rationale. Please provide relevant background information on the hypothesis to be tested and the procedures/products/techniques under investigation, including references/citations, if applicable.

Note: If you are applying for exempt or expedited status, please provide a justification for the appropriate category here.

This proposed dissertation project examines two particular effects of neoliberal policy—investment in resource extraction and the international redistribution of labor—in order to better understand how people conceptualize future possibility in Dakar, Senegal. More specifically, this research focuses on the efforts of Petrosen, Senegal's national oil company, to promote multinational investment in petroleum exploration, and Senegalese efforts to obtain visas for employment abroad. Both of these practices seem, at first glance, to be unsuccessful: a half-century of exploration has yielded no significant petroleum reserves, and many visa-seekers are unsuccessful despite repeated applications. This project uses ethnographic methods to better understand why these practices persist and what sorts of future hopes and possibilities they enable. This research seeks to reconceptualize these “doomed” development practices not as misinterpretations or misapplications of neoliberal ideology, but rather as alternative configurations of development discourse that produce particular possibilities in Dakar, Senegal.

Specifically, I will examine: (1) how the Senegalese state has used law to create the conditions of possibilities for neoliberal development; (2) how different actors interpret and apply these laws to uncover alternative possibilities; and (3) the alternative visions of future national development that are then enabled by these unintended possibilities.

This research will involve: (1) Archival research at the National Agency for the Promotion of Investment and Large-Scale Projects (APIX) in Dakar; (2) Interviews with geoscientists and multinational investors at Petrosen and with Senegalese citizens seeking visas for employment abroad; and (3) Participant observation at Petrosen, in people's homes, at visa application offices, and at community events. Because I have designed these activities to present minimal risks to participants and other individuals who may be affected by the research, I submit this application for expedited review.

SECTION 2: BACKGROUND AND EXPERTISE OF STUDY TEAM

Provide information about the Lead Researcher, co-investigators, and other research personnel listed in the application and how their training and expertise is relevant to their specific roles as members of the study team. If applicable, include information about relevant licenses/medical privileges.

I am a fourth year graduate student in sociocultural anthropology at the University of California, Irvine. In June of 2005, I advanced to candidacy. My studies have included advanced courses in ethnographic methods and research design, all of which included coursework on the ethical implications of anthropological research with respect to human subjects. My research activities will include recruitment of research participants, the administration and securing of informed consent, the administration of study procedures, data analysis, and final write-up activities. As part of my program of study, I have studied intensively the available literature on Senegal (and West Africa more generally). I spent two months during the summer of 2004 in Dakar; during this time, I lived with a Senegalese family, took part in community events, meeting with university professors, and learning more about common Senegalese priorities, hopes, and concerns. I have made extensive contacts in Dakar, at the national university (Université Cheikh Anta Diop, Dakar), at Petrosen, and in the community. Babacar Fall from the Université Cheikh Anta Diop has agreed to supervise this research (see attached letter), and the university is in the process of a formal academic affiliation. Dr. Babacar Fall is a historian who does work on population studies, particularly on the use of the internet as a tool for development. He will meet with me several times a month to give me feedback about the progress of my research. He will ensure that the research is conducted in a culturally sensitive manner and will guide my writing of culturally appropriate interview questions. He will introduce me to other scholars working at the university.

Bill Maurer is Associate Professor of Anthropology at UCI. He will serve as the Faculty Sponsor for the project. In his recent work, he has been analyzing the cultural forms of money and finance more broadly, via research into "alternatives." This research explores on-the-ground, everyday understandings of money among people who are forging their own forms of finance, through Islamic and offshore banking, and non-state currencies. Professor Maurer's work has been supported by the National Science Foundation (1999-2002, NSF Grant SES-9818258, Law and Social Sciences Program, "Alternative Globalizations: Community and Conflict in New Cultures of Finance") and the Russell Sage Foundation (2003-2004). His duties in this project will involve the supervision and guidance of the Lead Researcher.

I conducted the translation of the study information sheet document under the guidance of Julien Weber, UCI PhD candidate in the French Department. Mr. Weber is a native French speaker and is conducting research on the politics of translation. He can be contacted at jweber@uci.edu.

SECTION 3: RESEARCH METHODOLOGY/STUDY PROCEDURES

Describe how the research will be conducted, providing detailed information about all study procedures, including screening procedures required for study participation and any follow-up monitoring. Provide the approximate duration of each procedure. Identify any procedures that are experimental/investigational and explain how they differ from standard procedures (medical, psychological, educational). If deception will be used, provide justification and explain plans for debriefing. If placebo will be used, provide rationale and explain why active control is not appropriate. If validated data collection instrument(s) will be used, provide reference(s)/citation(s) here (if unvalidated instruments will be used, please provide copies).

(1) Building a Database of Neoliberal Policy and Legislation.

I will first spend two months exploring the infrastructure of neoliberal economic policy in contemporary Dakar, Senegal. More specifically, I will collect and build a database of archival materials involving neoliberal development policy at the Agence Nationale Chargée de la Promotion de L'Investissement et des Grands Travaux (APIX). APIX is an autonomous organization that promotes Senegal to investors, works to improve the business environment in Senegal, and receives and processes applications for investment certification and registration. The agency houses an extensive database of economic, financial, technical, and commercial data and regulations. I will collect archival material relevant to that describes the contours and content of laws and policies that regulate economic activity in Senegal. I am specifically interested in gathering information about the nation's oil industry (one of the priority sectors for international investment identified by APIX) and migration (the "Entrepreneurial Diaspora" program promotes and directs the investment of diasporic remittances in Senegal). I will collect national-level statistics about immigration (how many people apply for and are granted visas, to which countries people migrate, how long they stay, immigration laws); remittances (how many people remit, how much money is given, where the money is allocated, any laws concerning remittance practices); multinational investment practices and laws (who invests, what benefits are given to multinational investors, what benefits are allowed local workers, labor legislation), and petroleum exploration (laws concerning labor and local lands, contracts). The statistics and documents that I gather will bolster the ethnographic evidence collected in later stages of research. I have been granted verbal permission to access these archival materials.

(2) Participation Observation.

Participant observation is an absolutely vital component of this research project, as it will allow me to trace how the laws and policies examined in the archival phase of research are applied, interpreted, and contested in daily practice. Over a period of six months, I will conduct participant observation at Petrosen and at embassies with those involved with oil exploration and/or visa application and will spend time with these informants at home, at work, at community events, etc. I will attend meetings and contract negotiations at Petrosen, will participate in the daily activities of the company, and will join expeditions to the "field" to collect geological data. I will attend a global petroleum conference, held annually in Morocco, with Petrosen's representatives. I will attend lectures given by geology professors at Dakar's Université Cheikh Anta Diop (UCAD). I will also accompany visa-seekers to the American Embassy to complete paperwork. I will spend time with families with loved ones abroad, and I will visit organizations and private companies that offer visa application services. The employees of Petrosen have enthusiastically endorsed this project and have granted me verbal permission to conduct research at their central offices in Dakar.

(3) Semi-Structured Interviews.

Semi-structured interviews, to be conducted over a period of six months, will enable me to grasp how people articulate their concerns and hopes for the future, and how they link these discussions to the development strategies in which they participate. Interviews will be conducted in French, unless the informant prefers to use English, and will typically last 45 minutes to an hour. They will be conducted at a public location chosen by the interviewee or in the interviewee's home, depending on his or her preference. All semi-structured interviews will be taped, with the permission of the interviewee.

Subject Groups:

(a) Those involved with the Petrosen project: Geoscientists, office workers and other staff members; multinational investors; geologists at local universities; experts at the Ministère de l'Energie, des Mines et de l'Industrie (Ministry of Energy, Mining, and Industry). Using snowball sampling, I will recruit 20 people involved with oil exploration to participate in interviews.

(b) Those involved with Visa Applications: Those applying for visas at various embassies; immigration officials; those working for visa application services; those who have family members working abroad. Using snowball sampling, I will recruit 20 people involved with visa applications to participate in interviews.

(c) Those involved with both visa applications AND the Petrosen project: Using snowball sampling, I will recruit 5 participants who are simultaneously involved with oil exploration (as geoscientists, professors, etc.) AND who are applying for visas or have close family members working abroad.

This phase of research will also clarify This phase of research builds most explicitly on the methodologies of Textor (1980), whose “Ethnographic Futures” project focuses on people’s speculation about future events and possibilities as a means to understand the underlying cultural assumptions and social change. Following Textor’s intervention, my interview guide will focus in particular on general opinions about development (“What does it mean to develop? Will Senegal ever achieve development? If so, when? If not, why not? Is it a matter of individual or communal action?”); optimistic outlooks (“What do you hope to be doing in one/five/ten years? What goals do you have for yourself/your family? What hopes do you have for Senegal?”); pessimistic forecasts (“Do you have any fears about the economic security of your family or your community? If so, what are they?”); and most likely scenarios (“What do you think you will most likely be doing in one/five/ten years? Describe Senegal’s probable future. Who is/is not included in this national future?”). I am interested in using interviews to better understand how my informants link their participation in particular activities to larger projects of neoliberal development. This phase of research will also clarify the degree to which the terms of neoliberalism—including choice, risk, speculation, investment, and partnership—pervade people’s discussions of future (im)possibility.

Textor, R. 1980. *A Handbook on Ethnographic Futures Research*. Stanford: Stanford University Press.

SECTION 4: SUBJECTS (PERSONS/CHARTS/RECORDS/SPECIMENS)

Describe the characteristics of the proposed subject population, including criteria for study inclusion and exclusion (age, sex, health status, language group, etc). If a “vulnerable” population of subjects (i.e., minors, prisoners, cognitively impaired adults) will be used, explain what additional protections will be provided to protect their rights and welfare. If a population group (e.g., non-English speakers, women, children) will be excluded, provide a scientific rationale to justify the exclusion. Explain how the number of subjects needed to answer the research question was determined.

The primary criterion for the proposed subject population is the subjects' involvement in oil exploration and/or in visa application processes in Dakar, Senegal. Beginning with the individuals whom I personally know (a group which includes geology professors, Petrosen employees, women whose husbands or brothers work abroad, and hopeful visa applicants), I will conduct a snowball sample to identify 20 participants involved with visa applications, 20 participants involved with the oil industry, and 5 applicants involved with both visa applications and the oil industry (see above). All subjects are adults who are competent to give consent. Because each subgroup requires adequate representation in the research, I have chosen 20 participants involved with the oil industry, and 20 participants that are involved with visa application. I will seek 5 people involved with both oil and visas in order to understand what sort of overlap might occur between the two groups. It is not feasible, in this instance, to expect to find 20 participants who are involved with both the oil industry and visa application. For this reason, I have chosen to sample 5 participants to get some idea of the overlap/divergence that might occur between these two larger sampled groups.

SECTION 5: RECRUITMENT/INFORMED CONSENT

State where and how subjects will be recruited and under what circumstances they will provide informed consent. If applicable, attach letters of permission/cooperation from agencies or organizations involved in off-site subject recruitment. If a consent form will be used, refer to the UCI consent form template for assistance and attach the appropriate number of copies. If minors will be included, an

assent form may be required. If the researcher is the subjects' instructor, physician, or supervisor, or if vulnerable subject populations will be enrolled, explain what precautions will be taken to minimize potential coercion. If advertisements or a letter of invitation will be used to recruit, attach copies. **Note: If written consent will not be used, provide justification here and describe plans for verbal consent. If no consent will be obtained, explain why a waiver is necessary.**

I have been granted verbal permission to conduct participant-observation at Petrosen. Permission will not be required at the Ministry of Energy and Mines, as interviews will be conducted off-site at a location chosen by my interviewees. Permission will not be required at the American embassy, as I am an American citizen and frequently visit the embassy. I will enter areas that are always open to American citizens. As described above, informants will be recruited for interviews and participant-observation through snowball sampling procedures. Because of the safeguards explained in Section 6 below, the research is expected to present no more than a minimal risk of harm to participants. Furthermore, the research will involve no procedures for which written consent is normally required outside of the research context, and I therefore request a waiver of documentation of informed consent for the interview portion of the research. I will present to each potential subject a study information sheet, written in French, as a basis for his or her verbal consent for participation (see study information sheet, attached). A waiver for informed consent for the observation portion of this research is requested because this portion of the research involves no known risk to participants.

SECTION 6: ANTICIPATED RISKS/RISK MANAGEMENT

Describe all known risks to subjects (e.g., injury, stress, discomfort, invasion of privacy) and address in terms of probability and magnitude of potential harm. Where appropriate, discuss measures that will be taken to minimize known risks. State whether study procedures may involve risks to the subject (or embryo or fetus, if the subject is or may become pregnant) that are currently unforeseeable. Explain why study risks are reasonable in relation to the potential benefits to subjects and to society.

This research project involves very minimal risks for participants. Risks such as discomfort and anxiety, which are commonly involved in ethnographic fieldwork, will be minimized by informing subjects that participation in the study is entirely voluntary, and that they always retain the right to end the interview or to withdraw any data that they provide or already have provided. In addition, I will consult with a native French speaker when constructing my interview questions. This will assure that culturally sensitive issues are handled properly.

SECTION 7: POTENTIAL BENEFITS

Discuss the benefits that may accrue directly to the subjects as well as to society. If there is no direct benefit anticipated for the subjects, please state such. **Do not include compensation in this section.**

This study's conclusions would be beneficial to policy experts charged with drafting regulations regarding migration or resource extraction, and to international practitioners who implement and evaluate development practices in Africa and elsewhere. This research would provide insight into the effects of "failed" development projects on local populations and decisions, and it would shed light on how such projects become categorized as "unsuccessful" in the first place. There will be no direct benefit to participants.

SECTION 8: ALTERNATIVES TO PARTICIPATION

Describe appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject and assure that these will be discussed with potential subjects before they are enrolled. If no alternatives exist, please state such. If this is not a treatment study, answer "N/A."

NA

SECTION 9: ADVERSE EVENT REPORTING/MANAGEMENT

Explain how subjects' unexpected negative outcomes/experiences will be managed. Describe plans for provision of treatment for study-related injuries and how costs of injury treatment will be covered. Discuss procedures for reporting AEs to the UCI IRB (in writing within 10 working days for all, verbal within 48 hours with 10-day written follow-up for hospitalization/death).

No negative outcomes/experiences are anticipated. Adverse Events, Unanticipated Problems, and Violations will be reported to the University of California, Irvine Institutional Review Board as required per the Adverse Event/Unanticipated Problems Reporting System.

SECTION 10: COSTS

Identify and estimate those costs to be borne by subjects or their insurers, including costs of standard medical interventions or procedures. If subjects/insurers will be billed for an experimental drug or device, evidence of prior FDA approval for billing of subjects must be provided. If there are no costs to subjects/insurers, please state such.

There are no costs to subjects.

SECTION 11: COMPENSATION

If subjects will be compensated for their participation, provide detailed information about the amount and the method/terms of payment. If non-monetary compensation (e.g., course credit, services) will be offered, explain how it will be provided. If no compensation will be provided, please state such.

Subjects will not be compensated for participation.

SECTION 12: CONFIDENTIALITY OF RESEARCH DATA

Explain the extent to which confidentiality of subject information will be maintained, and describe how subject privacy will be protected. Discuss who will have access to study records and how the records will be secured. Identify whether any data will be collected anonymously (i.e., no direct or indirect identifying information will be documented, no code linking back to identifiers will be created/accessed). Describe how study records, including data collection instruments, audio- and video-tapes, etc., will be maintained (and eventually destroyed, if applicable) and who will have access to them. If a Certificate of Confidentiality will be/has been sought from a federal agency, state so here.

All collected research data will be stored on a password-protected computer accessible by the lead researcher alone. All aspects of data collection and reporting, including note-taking, research reports, and formal publications, will ensure anonymity to the fullest extent possible. All hand-written notes will be transcribed on computer and immediately destroyed. All sound files recorded on a digital recorder will be transferred to the computer and immediately erased. Research participants will be assigned a numerical code, and will be referenced via these codes to the fullest extent possible in note-taking and any subsequent form of reportage. In certain occasions, identifying information may be necessary in order to secure additional contact with the subject. For example, interview transcripts may be tagged with contact information in case follow-up interviews are required. In these cases, the documents will be kept in a locked cabinet file accessible by the lead researcher alone. Furthermore, any markers of identification will be destroyed once they are no longer needed. All data collection records will be electronically filed for three years after the completion of the research.
