

Session 9



Considering ethical practice and ethical research

Ethical approval

What are ethics?

- ▶ Justice?
- ▶ Rights?
- ▶ Morals?
- ▶ Duty?
- ▶ Fairness?
- ▶ Responsibilities?
- ▶ Values?
- ▶ Common sense?

What are ethics?

- ▶ *Ethics refers to rules of conduct; typically, to conformity to a code or set of principles* (Robson, 2002:65).
- ▶ In education, this code is set out by the British Education Research Association (BERA)

Why do we have ethical codes?

- ▶ Introduced after WW2 atrocities in death camps
- ▶ How do we regard the data that was collected in the death camps?
- ▶ Data was rigorously collected
- ▶ Data provided information that is highly useful to medical research
- ▶ Should it be used?

Obedience or conformity

- ▶ Stanley Milgram - experiment
- ▶ The level of shock that the participant was willing to deliver was used as the measure of obedience.
- ▶ How far do you think that most participants were willing to go?
- ▶ How many of the 100 participants do you think continued to administer the maximum shock?

Obedience or conformity

- ▶ Yale University students
- ▶ Predicted - no more than 3 out of 100 participants would deliver the maximum shock.
- ▶ Reality = 65% of the participants delivered the maximum shocks.

▶ <http://psychology.about.com/od/historyofpsychology/a/milgram.htm>

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Organ scandal background



Organs were retained at the hospital without consent

The scandal at Alder Hey Children's hospital centres on the retention of hearts and organs from hundreds of children.

The organs were stripped without permission from babies who died at the hospital between 1988-1996.

Hospital staff also kept and stored 400 fetuses collected from hospital around the north west of England.

The findings of an inquiry into the affair have been described by Health Secretary Alan Milburn as "grotesque" and helplines have been set up to deal with calls from distressed parents.

The first organ scandal broke in Bristol in 1998 when it became clear that staff at the hospital had been keeping hearts following surgery at the hospital.

The scandal at Alder Hey emerged almost accidentally when heart specialist Professor Robert Anderson revealed at a separate official inquiry into heart surgery at Bristol that a store of children's hearts was kept at Alder Hey.

And in September it was announced that Birmingham's Diana Princess of Wales Children's Hospital and the Alder Hey Children's Hospital, in Liverpool, had been harvesting organs and tissues from the babies who died at their hospitals.

The same two hospitals that last week were caught up in the cash for tissues row, which revealed that both the Birmingham and Liverpool hospitals had given Thymus glands,

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News and Analysis

Key stories

- ▶ Pathologist's defence
- ▶ Organ summit called
- ▶ Van Velzen suspended
- ▶ Police called in
- ▶ At a glance
- ▶ Report in detail
- ▶ Fears of backlash
- ▶ 100,000 organs kept
- ▶ Where organs are held

Background

The pathologist

The families

AUDIO VIDEO
TALKING POINT
FORUM

- ▶ Leading pathologist quizzed

Internet links:

- ▶ Royal College of pathologists
- ▶ Alder Hey Children's Hospital

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Top Health stories now:

- ▶ Postcode lottery in GP services
- ▶ IVF mix-up heads for court
- ▶ Transplant first for cancer patient
- ▶ Costly wait with dementia symptoms
- ▶ Chicken checked for BSE
- ▶ New hope for Aids vaccine
- ▶ Campaign to end stigma

► <http://news.bbc.co.uk/1/hi/1136723.stm>

Are 'ethics' absolute?

- ▶ Ethical decisions are usually *choices* related to the balance between benefit and risk
- ▶ These choices are guided by:
 - Ethical guidelines
 - Ethics committees
 - Ethics approval processes

Are 'ethics' absolute?

- ▶ Is there a 'right' and 'wrong' response to an ethical dilemma?

Ethical behaviour and teachers

EWC Requirements

EWC Code of Professional Conduct and
Practice for Registrants with the
Education Workforce Council

[http://www.ewc.wales/site/images/documents/regulatory
/EWC Code of Professional Conduct Practice E.pdf](http://www.ewc.wales/site/images/documents/regulatory/EWC%20Code%20of%20Professional%20Conduct%20Practice%20E.pdf)

Registered teachers must:

- ▶ base their relationship with pupils on trust and respect;
- ▶ have regard to the safety and wellbeing of pupils in their care;
- ▶ work in a collaborative manner with teachers and other professionals, and develop and maintain good relationships with parents, guardians and carers;

Ethical practice

Is this straightforward?

- ▶ The ethics of respect
 - ▶ superhero / villain play
 - ▶ requiring sitting
- ▶ The ethics of trust, honesty and integrity
 - ▶ concealing our purposes
- ▶ Confidentiality
 - ▶ what is confidential knowledge

Ethical practice

- ▶ ... making (ethical) judgements about behaviour
- ▶ <http://www.youtube.com/watch?v=E3h-T3KQNxU>

In the classroom

- ▶ Teacher as role model
- ▶ In loco parentis?

Dilemma

The mood at Swansea High School is tense with anticipation. For the first time in many, many years, the rugby team has made it to the county semi-finals. The community is excited too, and everyone is making plans to attend the big event next Saturday.

Dilemma

Nathan, the coach, has been waiting for years to field such a team.

Only one more week to practice, he tells his team that not a rule can be broken.

Everyone must be at practice each night at the regularly scheduled time - No Exceptions.

Dilemma

On Tuesday, Michael is late to the practice.

Michael is late because he had to take his little sister to the doctor as she is very ill.

Dilemma

The rule says that anyone who breaks a rule should be suspended for one full week.

If Nathan follows the rule, Michael will not play in the semi-finals. But the whole team is depending on him.

What should Nathan do?

Dilemma

On Wednesday, Ryan was late because he was given detention for not doing his homework.

Ryan is a brilliant rugby player. If he does not play, they are unlikely to win.

What should Nathan do now?

Anonymity and confidentiality

Anonymity and confidentiality

‘The confidential and anonymous treatment of participants’ data is considered the norm for the conduct of research’ (BERA, 2018:21)

- ▶ The participants in your research have the right to privacy.
- ▶ This is achieved through ensuring you manage your research data with confidentiality and anonymity in mind.

Confidentiality / Anonymity

- ▶ ... are not the same.
- ▶ All participants should be made fully aware of the degree of anonymity provided by the researcher.
- ▶ **Confidentiality** means not disclosing information from a participant in any way that might identify that individual or allow them to be traced.
- ▶ **Anonymity** means the researcher or another person cannot identify the participant from the information provided.

Confidentiality

- ▶ Confidentiality means that only the investigator(s) can identify the responses of individuals.
- ▶ The researchers must make every effort to prevent anyone from outside of the study connecting individuals with their responses.

Confidentiality / Anonymity

- ▶ Anonymity is particularly tricky when using video and/or digital data.
- ▶ The BERA guidelines are helpful and detailed in this regard (see p.21-25).
- ▶ The implications of the General Data Protection Regulations (GDPR) are significant and researchers should be familiar with the implications of these for their research.

Anonymisation of data

- ▶ Being able to share your research is important. However, ethically we must protect our participants.
- ▶ Wherever possible, you should not collect identifying information (such as name, address) for your participants.
- ▶ You should anonymise your data at source.

How can you anonymise data?

- ▶ The process of anonymising data requires that identifiers are changed in some way.
- ▶ This might mean identifying information is removed, substituted or generalised.
- ▶ Remember that a person's identity can be disclosed from:
 - **Direct identifiers** such as names, postcode information or pictures.
 - **Indirect identifiers** which, when linked with other available information, could identify someone, for example information on workplace, occupation, salary or age.

The background features abstract, overlapping geometric shapes in various shades of blue, primarily concentrated on the right side of the frame. The shapes include triangles and polygons of different sizes and orientations, creating a dynamic, layered effect. The colors range from a light, airy blue to a deep, saturated navy blue. The overall composition is clean and modern, with the text 'Behaving ethically' positioned on the left side against a plain white background.

Behaving ethically

You will need to consider:

Consent (voluntary, informed consent)

Voluntary informed consent

This is a fundamental tenet of ethical behaviour in research.

- ▶ *'It is normally expected that participants' voluntary informed consent to be involved in a study will be obtained at the start of the study, and that the researchers will remain sensitive and open to the possibility that participants may wish, for any reason and at any time, to withdraw their consent' (BERA, 2018:9).*

You will need to consider:

Assent

- ▶ UNCRC Article 12: children should have a say in matters that affect them

You will need to consider:

- ▶ Who needs to give consent?
- ▶ How will you ask for it?
- ▶ Participants' right to withdraw

Behaving ethically

The three focus children chosen to take part in the focus group also need to understand their right:

- ▶ to refuse to participate without adverse consequences;
- ▶ not to answer specific questions without having to give a reason;
- ▶ to withdraw from the research at any point without adverse consequences.

Ideas for ongoing consent

- ▶ Some researchers use a smiley/sad-face or tick/cross system to ensure on-going consent. This can also be done with reversible statement cards.
- ▶ By giving children a reversible card they can simply switch the card over to indicate that they are happy to continue or that they wish to leave.



I am happy to continue
I would like to
leave

Example

- ▶ Llinos is researching the extent to which the Nursery children choose a variety of playful activities over the period of a session, or tend towards the same ones. She has decided that video-recording three sessions and tracking children's movements between play choices and time spent at each choice will provide her with some useful data.
- ▶ How might Llinos:
 - inform the children about what she is planning to do?
 - decide whether children can opt out of the video? If so, how does she secure this option?
 - seek children's assent to have their play choices tracked to help her research?
 - secure ongoing assent from the children to be involved?

Illustration...assent from young children

- ▶ Some researchers use different coloured badges, stickers or bands for children to wear to show if they are happy to be observed
- ▶ After explaining that there is a video recording of the Nursery session that will be watched later, children can choose yellow or green badges, stickers or bands to indicate if they are happy for their teachers to watch them later on the video. (They can't, in this case, choose not to be videoed).
- ▶ Children have access to the badges, stickers or bands throughout the session so can change their minds at any point.



Ethics Form

- ▶ What can you offer in FULL confidence?
 - ▶ never promise what you cannot offer
- ▶ Adult participants must be fully (and accurately) informed
- ▶ Children must not be misled and should be informed as fully as appropriate

Behaving ethically

‘Ethical practice in research involves thoughtful reflection about how one ought to proceed in any given situation ... it is more than simply the avoidance of being unethical or conforming to regulations’

(McGinn 2014: 159)

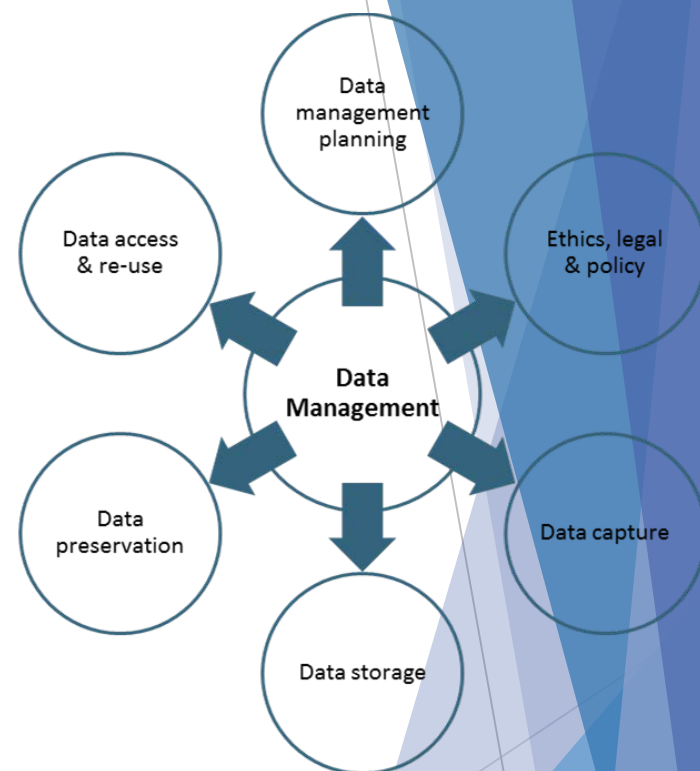
Data Management

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1. The ethical considerations of data management.



- ▶ All research and enquiry involves dealing with data.
- ▶ This data can take many different forms e.g. the results of surveys, observations or interviews.
- ▶ Managing your research data in an ethical manner is crucial to the research process.
- ▶ In particular, ensuring that you consider how best to **create, store, protect, share and preserve** your data is essential.



2. Key considerations



Research practices must ensure that research data and records are:

- ▶ Accurate, complete, authentic and reliable
- ▶ Identifiable, retrievable, and accessible
- ▶ Retained in a safe and secure manner
- ▶ Retained in a manner that is compliant with legal obligations
- ▶ Available to others in line with appropriate ethical, data sharing and open access principles
- ▶ Commensurate with the legitimate interests and protection of human participants of research data.

(UWTSD Research Data Management statement, 2018)

Storing your research data

- ▶ You must ensure that you store your research data securely.
- ▶ For example, you may use electronic devices which have password protection and data encryption.
- ▶ You may avoid using portable storage devices like USB sticks
- ▶ Data should not be sent via email or other forms of media that can be hacked.
- ▶ Hard copies of any records should be stored in secure premises.
- ▶ All members of a research team should understand how to protect the data.
- ▶ See BERA (2018: 25).



Any questions?



Ethical Approval

Do I need ethical approval?

- ▶ In schools and other education settings we might ask whether we need ethical approval when our research is related to developing our teaching practice (our pedagogy)
- ▶ All research requires you to consider the ethical implications; when you are asking participants to do or provide anything that is in addition to normal classroom activity then usually you need to seek ethical approval

Do I need ethical approval?

Your ethical approval form **MUST** be submitted and approved before you begin any research.

Ethics Committee and the Ethical Approval Process

PGCE Ethics Forms Process

- ▶ ALL ethics forms will be read by module teaching staff;
- ▶ You will receive individual feedback – approved / conditional approval / reject.
- ▶ If you gain conditional approval, you will need to make the changes noted **IN RED** and resubmit your form.
- ▶ If your form is rejected, this will mean that you have significant changes to make and you should contact Catherine for support.

PGCE Ethics Forms Process

Then:

- ▶ The 'Yr Athrofa' Ethics Committee will receive a sample of ethics forms from across the cohort.

Ethics Committee

- ▶ An ethical approval panel or ‘ethics committee’ is a group of people, with good collective understanding of research ethics, who meet to discuss the ethical implications of research proposals;
- ▶ The ethics committee will consider the researcher’s proposed actions in meeting the ethical implications;
- ▶ The panel can usually approve, conditionally approve or reject applications;

PGCE Ethics Forms Process

- ▶ If your form will be a part of the sample, you will receive an email from me on Wednesday. You will then need to email your form to me, labelling the document as follows:

SURNAME_NAME_PROGRAMME_DATE

e.g. SMITH_JOHN_PPGCE_230119

- ▶ NB Sometimes, an issue raised by the Ethics Committee can mean that ALL students need to make the same amendment.

You **MUST NOT** carry out any research until you have ethical approval.

Things to think about and do before tomorrow's sessions:

- ▶ Anonymity / confidentiality
 - ▶ Consent / assent
 - ▶ Data management
-
- ▶ Download the UWTSD Ethics Form from Moodle onto your laptop OR print out a copy.