

A faint, light gray world map is visible in the background, centered on the Pacific Ocean. The map shows the outlines of continents and major landmasses.

SBPD8001 PREPARING FOR DOCTORAL RESEARCH

02 Research Ethics

TOPICS

- Application for Ethical Approval (PG2/E1)
- Risks to stakeholders
- Regulations
 - UK Data Protection Act
 - Hong Kong (Privacy) Ordinance
- Application for Ethical Approval (PG2)
 - Section E: Details of Research Activity
 - Section F: Scope of Research Activity
 - Section G: Intended Participants
 - Section H: Anticipated Risks
 - Section I: Feedback, Consent and Confidentiality
 - Section J: Data Protection and Storage
- Checklist

ETHICAL APPROVAL FORM

- Application for Ethical Approval (PG2/E1)
 - Read the Research Integrity and Ethics Code of Practice before completing this form
 - <https://www.uwtsd.ac.uk/media/uwtsd-website/content-assets/documents/research/research-ethics-integrity-code-practice.pdf>
- Guiding Principles (Section 19)
 - Responsibilities to research participants
 - Beneficence and non-Maleficence (do no harm)
 - Informed consent (adults)
 - Informed consent (children)
 - Exceptions
 - Anonymity and confidentiality

RESEARCH ETHICS

- The term “research ethics” refers to the moral principles and actions guiding and shaping research from its inception through to completion, the dissemination of findings and the archiving, future use, sharing and linking of data.
- *“Integrity without knowledge is weak and useless, and knowledge without integrity is dangerous and dreadful.”*

Samuel Johnson

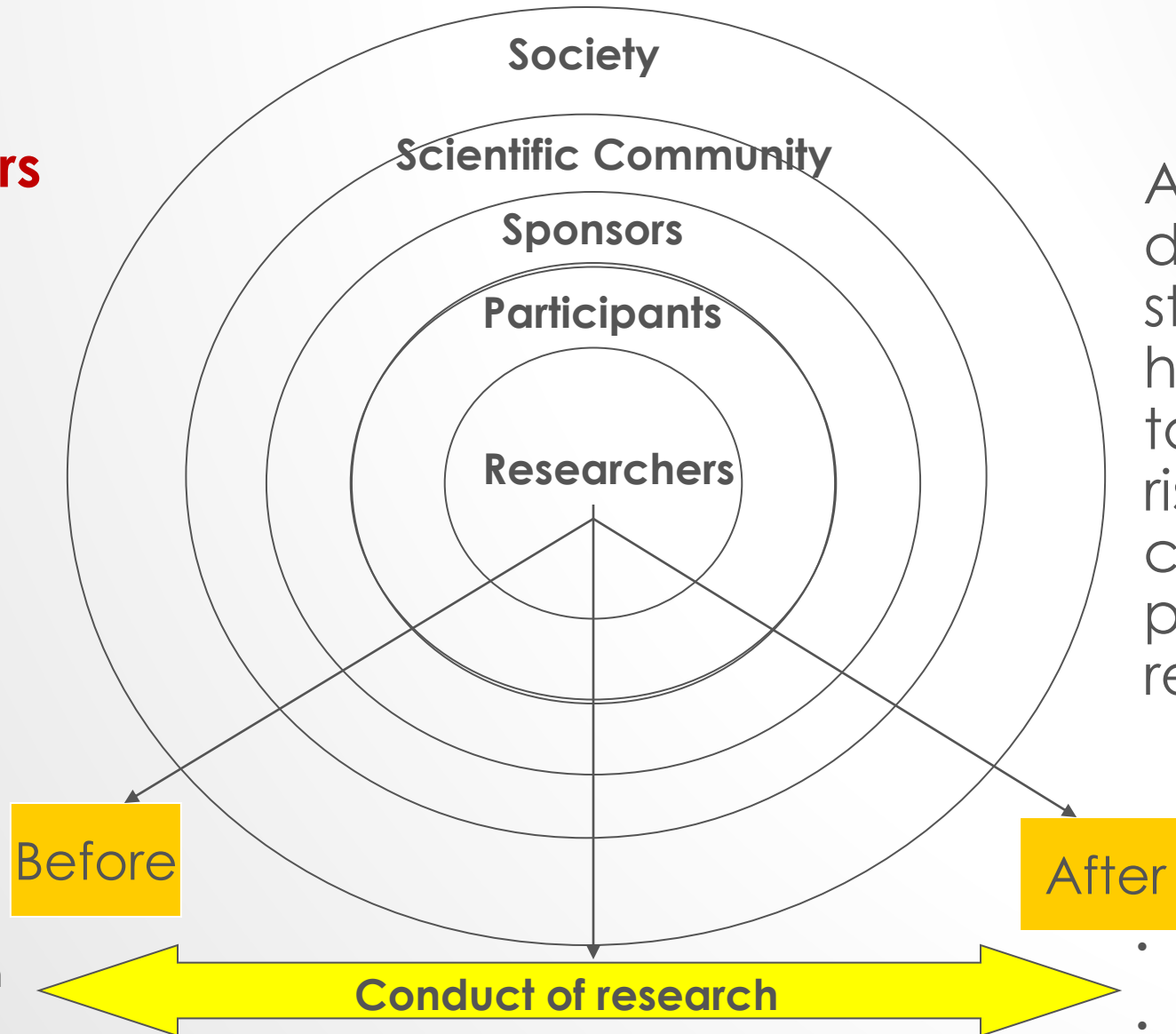
CLEAR UNDERSTANDING OF BENEFITS, RISKS AND HARMS

- Research involving people should benefit society and not harm participants.
- The researcher must consider the risk of harm or discomfort to participants, such as deception or privacy invasion.
- Risks should be explained in terms of their likelihood of occurrence.
- People have different perceptions of risk, and the researcher must ensure participants understand the potential risks.
- The researcher must be ready to explain the risks to participants if they ask.

RISKS TO STAKEHOLDERS

Five Stakeholders

1. Scientific community
2. Society
3. Sponsors
4. Participants
5. Researchers



Assess the risks to different stakeholders and how you attempt to minimise any risks, including contingency plans, in your research design

- Research problem/question identification
- Risk assessments

- Provide feedback to participants
- Report write up and presentation of findings

1. ETHICS & SOCIETY

- Moral and social responsibility
 - Is the research moral and socially responsible?
 - Ethical if the research aims to develop a better understanding of sex/drug tourism
 - Unethical if the research aims to promote sex/drug tourism
- Impact on everyday lives
 - Will everyday life experiences be adversely altered?
 - Unethical if day trippers were interviewed for two hours
- Gatekeepers
 - Have gatekeepers (those who give access to a research field) been informed of the research?
 - E.g., General managers, parents, etc.
- Social “good”
 - What is the social good of the research? (e.g., avoid gambling problems)

2. ETHICS & SCIENTIFIC COMMUNITY

- Follow a good academic practice and avoid fraud and plagiarism
- Protection of the reputation of the scientific community
- Production of ethical research
- A Baptist University professor was accused of misleading public by rushing out results of unfinished popularity survey on candidates in chief executive race “ Jan 19 2012, SCMP

3. ETHICS & SPONSORS

- Conditional research
 - Is limited with time, money, personnel, and research design constraints.
- Non-conditional research
 - Allows the researchers autonomy in the development of the time lines and the research design that are used.
- Deception
 - Researchers cannot always be fully aware of how their research will be used.
 - Very often, a disclaimer will be added to the report*

*** The University requires that research results provided by the authors not be used in any way that implies the University's endorsement of a particular product or service.**

4. ETHICS & PARTICIPANTS

Example: Gang Leader for a Day

> A researcher examined the gang activities in the government housing near the University of Chicago. The gang leader made the researcher leader for a day to show him how difficult running a gang was. This gave the researcher invaluable insight into the economics and social rules of a U.S. gang, but many have criticised this research. For example, he would have been party to many examples of illegal activity, and harm to individuals e.g. beating up gang members and selling drugs.

- Protection of rights
 - Protect the rights of both human and non-human participants
- Harm
 - Physical harm
 - Psychological harm
 - Some studies could induce psychological stress, anxiety or humiliation (e.g., disclosure of sexual behaviour, Facebook's psychological experiment).
 - Legal harm
 - The disclosure of illegal, sexual or deviant behaviour could cause adverse effects (e.g., drug users or dealers could be prosecuted)

CONTINUED...

- Voluntary participation
- Informed consent given by the participant
 - subjects are well informed about the study, the potential risks and benefits of their participation
- The right of the participant to refuse and withdraw
- The right of the participant not to be deceived or to be harmed
- The right of the individual to have personal information or data treated as confidential or anonymous
- The right of research participants to access the research findings
- Deception and covert research
 - Deception occurs when participants are deceived about some aspect of the research
 - Covert research involves research in which the participants are not informed or aware of their participation.

5. ETHICS & SELF

- A researcher must avoid:
 - Misconduct (fraud and plagiarism)
 - Use of power or political manipulation of data

GENERAL DATA PROTECTION REGULATION AND DATA PROTECTION ACT

- The EU General Data Protection Regulation (GDPR) and the UK Data Protection Act 2018 govern the processing (acquiring, holding, using, etc.) of personal data in the UK.
- DPA does not apply to research data in general, nor to anonymised data.
- A person's identity can be disclosed from:
 - direct identifiers such as names, addresses, postcode information, telephone numbers or pictures;
 - indirect identifiers which when linked with other publicly available information sources, could identify someone, e.g. information on workplace, occupation or exceptional values of characteristics like salary or age.

HONG KONG - PERSONAL DATA (PRIVACY) ORDINANCE

- Personal Data
 - The information which relates to a living person and can be used to identify that person.
 - It exists in a form in which access or processing is practicable.
 - Examples of personal data protected by the Ordinance include names, phone numbers, addresses, identity card numbers, photos, medical records and employment records.
- Data User
 - A person who, either alone or jointly or in common with other persons, controls the collection, holding, processing or use of the data. The Data User is liable as the principal for the wrongful act of its authorised data processor.

Source: Privacy Commissioner for Personal Data

https://www.pcpd.org.hk/english/data_privacy_law/ordinance_at_a_Glance/ordinance.html

DATA PROTECTION PRINCIPLES

1. Data Collection Principle:

- Personal data must be collected in a lawful and fair way, for a purpose directly related to a function /activity of the data user.
- Data subjects must be notified of the purpose and the classes of persons to whom the data may be transferred.
- Data collected should be necessary but not excessive.

2. Accuracy & Retention Principle

- Practicable steps shall be taken to ensure personal data is accurate and not kept longer than is necessary to fulfil the purpose for which it is used.

3. Data Use Principle

- Personal data must be used for the purpose for which the data is collected or for a directly related purpose, unless voluntary and explicit consent with a new purpose is obtained from the data subject.

DATA PROTECTION PRINCIPLES

4. Data Security Principle

- A data user needs to take practicable steps to safeguard personal data from unauthorised or accidental access, processing , erasure, loss or use.

5. Openness Principle

- A data user must take practicable steps to make personal data policies and practices known to the public regarding the types of personal data it holds and how the data is used.

6. Data Access & Correction Principle

- A data subject must be given access to his/her personal data and allowed to make corrections if it is inaccurate.

PG2 – ETHICS FORM

SECTION E: DETAILS OF RESEARCH ACTIVITY

Introduction to the Research (maximum 300 words per section)

- Ensure that you write for a non-specialist audience when outlining your response to the three points below:
 - **Purpose of research activity**
 - **Proposed research questions**
 - **Aims of research activities**
 - Objectives of research activity
- Purpose of research activity: Demonstrate, briefly, how existing research has informed the proposed activity and explain
 - What the research activity will add to the body of knowledge
 - How it addresses an area of importance.

EXAMPLE*

- Purpose (reasons)
 - The research purpose is to develop a better understanding of the factors that are crucial to the success of budget hotels in China.
- Research questions
 - What are the most influential factors effecting the success of budget hotels in China?
 - What are the different perspectives towards CSFs among customers, professionals, investors, and authorities?
 - What are the profiles of the typical guests in budget hotels in China?
 - What areas should budget hotels focus on to better serve their guests?

* Hua, Chan, & Mao (2009). Critical success factors and customer expectation in budget hotel segment: A case study of China. *Journal of Quality Assurance in Hospitality & Tourism*, 10(1), 59-74.

EXAMPLE*

- Aims of research activity
 - Aim is what you want to know (your goal) while objectives are the specific steps you will take to achieve your aim.
 - **To evaluate the critical success factors (CSFs) of budget hotels in China.**
 - **Theoretical implications/contributions** (what the research activity will add to the body of knowledge?)
 - **Managerial implications** (how it addresses an area of importance.
- Objectives of research activity
 - To identify the critical success factors (CSFs) of budget hotels in China.
 - To examine the perceptions of customers, professionals, investors, and authorities towards the CSFs of budget hotels in China.
 - To identify the profiles of the typical guests in budget hotels in China.
 - To explore customers' expectations of budget hotel services in China.

THE WELL-BEING OF FUTURE GENERATIONS (WALES) ACT 2015

- Does your research relate to one or more of the seven aims of the Well-being of Future Generations (Wales) Act 2015?
 - A prosperous Wales
 - A resilient Wales
 - A healthier Wales
 - A more equal Wales
 - A Wales of cohesive communities
 - A Wales of vibrant culture and thriving Welsh language
 - A globally responsible Wales

SECTION F: SCOPE OF RESEARCH ACTIVITY

Will the research activity include:

- Use of a questionnaire or similar research instrument?
- Use of interviews?
- Use of focus groups?
- Use of participant diaries?
- Use of video or audio recording?
- Use of computer-generated log files?
- Participant observation with their knowledge?
- Participant observation without their knowledge?
- Access to personal or confidential information without the participants' specific consent?

SECTION F: SCOPE OF RESEARCH ACTIVITY

Will the research activity include:

- Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?
- Performance of any acts which may cause embarrassment or affect self-esteem?
- Investigation of participants involved in illegal activities?
- Use of procedures that involve deception?
- Administration of any substance, agent or placebo?
- Working with live vertebrate animals?
- Procedures that may have a negative impact on the environment?
- Other primary data collection methods. Please indicate the type of data collection method(s) below.

PG2 – ETHICS FORM

SECTION G: INTENDED PARTICIPANTS

Participant numbers and source

- Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?
- How many participants are expected?
- Who will the participants be?
- How will you identify the participants?

SECTION H: ANTICIPATED RISKS

- Risk to Participants and how will you mitigate the risk to participants?
- Risk to investigator and how will you mitigate the risk to investigator?
- Risk to university and how will you mitigate the risk to university?
- Risk to the environment and how will you mitigate the risk to environment?

SECTION I: FEEDBACK, CONSENT AND CONFIDENTIALITY

- Feedback: What de-briefing and feedback will be provided to participants, how will this be done and when?
- Informed consent: How will participants give their consent? (verbally, by signing a consent form or submitting the questionnaire)
 - Example: By submission of a completed questionnaire, I hereby consent to participate in the captioned research.
- Confidentiality/anonymity: How will you protect participants' confidentiality/anonymity?

PARTICIPATION INFORMATION FORM

- DATE: / /
- DEAR PARTICIPANT
- My name is xxx. I am studying for a DBA (Doctors of Business Administration) at the Institute of Management and Health of the University of Wales Trinity Saint David, UK. I would like to invite you to participate in my research project titled “xxx xxx xxx”.
- This involves responding to a questionnaire which will assess your responses for xxx xxx. Your contribution would be greatly valued. All answers will be kept strictly confidential.
- If you are interested in a copy of the results, please contact me using the details provided below.
- I thank you in advance for your time and participation. If any questions do arise, feel free to contact me at your convenience.
- If you have any concerns about the conduct of this research study, please do not hesitate to contact Dr XXX by email at xxx@emailaddress.
- Researcher's name and email address

PARTICIPATION CONSENT FORM

PLEASE READ THE FOLLING STATEMENTS CAREFULLY AND TICK THE BOXES

1. I confirm that I have read and understand the information sheet dated/.... /..... for the above study. I have had the opportunity to consider the information, ask questions and have had these answered satisfactorily.
2. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason.
3. I understand that any information given by me may be used in future reports, articles or presentations by the research team.
4. I understand that my name will not appear in any reports, articles or presentations.
5. I agree to take part in the above study.

Name of participant:

Date:

Signature:

SECTION J: DATA PROTECTION AND STORAGE

Will the research activity involve any of the following activities:

- Electronic transfer of data in any form?
- Sharing of data with others at the University?
- Sharing of data with other organisations?
- Export of data outside the European Union or importing of data from outside the UK?
- Use of personal addresses, postcodes, faxes, emails or telephone numbers?
- Publication of data that might allow identification of individuals?
- Use of data management system? (NVivo, SPSS, AMOS, etc.)
- Data archiving?
- If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and DPA (and/or any international equivalent):

SECTION J: DATA PROTECTION AND STORAGE

- List all who will have access to the data generated by the research activity:
- List who will have control of, and act as custodian(s) for, data generated by the research activity:
- Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.

CHECKLIST

Research outcome

- Is there likely to be worthwhile outcome? (The purpose is not to conduct a methodological review, but research should be of sufficient merit to justify the time and effort contributed by participants).
- Do the potential benefits of the research balance against the potential risks to participants?

Risk to researcher (mitigation strategies)

- When conducting fieldwork, researcher will
 - only approach participants in public places
 - inform supervisor/research assistant of date and time of planned interview and will contact once leaving
 - be accompanied by an research assistant

CHECKLIST

Risk to the university (potential misconduct)

- fabrication: making up results
- falsification: manipulating research processes or changing or omitting data without good cause
- plagiarism: using other people's material without giving proper credit
- failure to meet ethical, legal and professional obligations

Risk to participants

- How will permission or access to participants be obtained? Are the gatekeepers involved identified/on board with evidence provided?
- What are the inclusion/exclusion criteria for participants? Are these appropriate?

CHECKLIST

- How will consent be obtained? Is this method appropriate? Can the researcher be sure that participants can give their informed consent that is free from coercion?
- What is the potential for harm to participants – pain, discomfort, stress? (almost all research involving participants will have some potential for physical or psychological harm and the risk should be acknowledged). How will this be minimised/addressed/managed?
- Is the researcher likely to uncover any issues unrelated to the research? (e.g. illegal activity, illness or disease, unfair practice, etc). How will the researcher handle such an eventuality?

CHECKLIST

- Are participants able to withdraw from the research and how will this be done?
- Are participants potentially vulnerable (i.e. because of the situation they find themselves in e.g. asylum seekers, refugees) or vulnerable? Are the implications of this addressed?

Data protection and storage

- What measures have been taken to ensure anonymity, confidentiality, and security of personal information concerning research participants? Are these appropriate to the research? Are these realistic?
- Who will have access to the data?
- How long will data/recordings/samples be held? Does this take into account any intended future use?
- How will they be stored?