




# Participants and Research Ethics

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# Participants and Research Ethics

→ how should the participants be treated

- the rights of your research participants
- the ethical responsibilities towards those who are involved in your research
- the difficulties of being an ethical researcher
- how to analyse and evaluate the ethics of research

# Participants

- the people directly involved in your research
- you as the researcher, along with your colleagues if you are in a research team
- the members of the academic community
- people who may use or be affected by any computer-based product you design and create

# The Law and Research

→ your research and behavior must be legal

- data protection rights of individuals
- whether it is permissible to offer a prize draw to encourage people to participate in your research
- intellectual property rights

⇒ possible to do research that is legal but not ethical

# Ethical Researcher

- treat everyone involved in your research fairly and with honesty
- ensure that your participants suffer no adverse consequences
- explain the purpose of the project, its funding, whether and how other people will be involved in it, and what ethical issues have been considered
- ⇒ if the project does not satisfy these aspects, you should redesign it

# The rights of your research participants

- Right not to participate
- Right to withdraw
- Right to anonymity
- Right to confidentiality
- Right to give informed consent



# Right to give informed consent

→ their consent is given only when they have first been made fully aware of the nature of the research and their involvement

- the purpose of the research
- who is undertaking the research
- what will be involved
- how long this is likely to take
- whether they will receive any expenses, payment or incentive
- how their data will be used

⇒ good practice to provide these details in writing

# Informed consent

- » must be informed that they have the right not to participate or to withdraw at any time

**Einverständniserklärung**

Ich \_\_\_\_\_  
(Name, Vorname)

Geburtsdatum \_\_\_\_\_

Erkläre, dass ich die Probandeninformation zur Studie:  
„Titel der Studie“

Und diese Einverständniserklärung zur Studienteilnahme erhalten habe.

Ü Ich wurde für mich ausreichend mündlich und/oder schriftlich über die wissenschaftliche Untersuchung informiert.

Ü Ich erkläre mich bereit, dass im Rahmen der Studie Daten über mich gesammelt und anonymisiert aufgezeichnet werden. Es wird gewährleistet, dass meine personenbezogenen Daten nicht an Dritte weitergegeben werden. Bei der Veröffentlichung in einer wissenschaftlichen Zeitung wird aus den Daten nicht hervorgehen, wer an dieser Untersuchung teilgenommen hat. Meine persönlichen Daten unterliegen dem Datenschutzgesetz.

Ü Ich weiß, dass ich jederzeit meine Einverständniserklärung, ohne Angabe von Gründen, widerrufen kann, ohne dass dies für mich nachteilige Folgen hat.

Ü Mit der vorstehend geschilderten Vorgehensweise bin ich einverstanden und bes



# Your ethical responsibilities

- No unnecessary intrusion
- Behave with integrity
- Follow appropriate professional codes of conduct
- No plagiarism
- Be an ethical reviewer



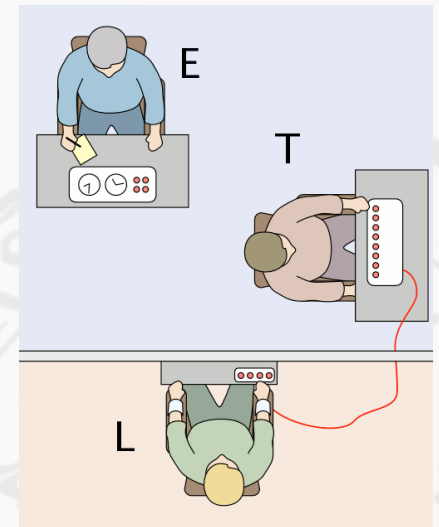
# Be an ethical reviewer

- carry out reviews as promptly as possible
- maintain the confidentiality of the content of the paper you are reviewing
- write the review in a professional way

# The Milgram Study (Stanley Milgram 1974)

→ examine willingness of participants to obey an authority figure who instructed them to perform acts conflicting with their personal conscience

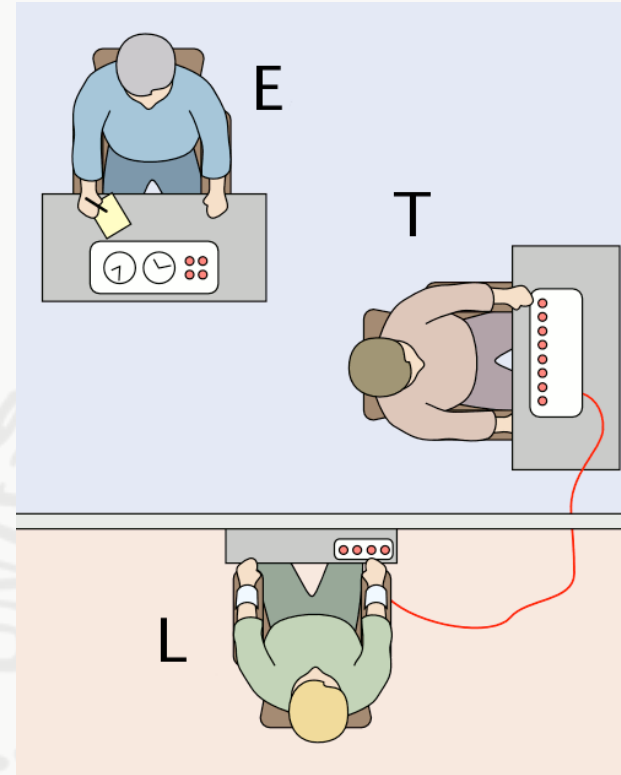
- 3 persons involved:
  - experimenter (E) → actor
  - learner (L) → actor
  - teacher (T) → actual subject of the experiment



# The Milgram Study

» Variations of the proximity between:

- the teacher and the learner
- the teacher and experimenter



# Stanford Prison Experiment



<http://claratsi.files.wordpress.com/2013/06/the-experiment-movie.jpg>



# Stanford Prison Experiment



<http://2.bp.blogspot.com/-ZDDgof7HtoY/T4kOrGyDw5I/AAAAAAAAAw4/caXxCBdvTI4/s1600/a.jpg>



<http://www.rioleo.org/images/report/stanford.jpg>



<http://1000weirdfacts.com/wp-content/uploads/2011/11/stanford-prison-experiment.jpg>

# Stanford Prison Experiment

- conducted at Stanford university in August 1971
- 24 participants
- random assignment of prisoner and guard roles in a mock prison
- participants adapted to their roles beyond expectations
- escalated very quickly → aborted after only 6 days
- prime example for unethical research

# Difficulties of being an ethical researcher

- naturalistic research with greatest validity when participants do not realize they are being observed
- ethical concerns may require that participants are informed that they are being watched



# Difficulties of being an ethical researcher

- different cultures may have different ethical codes
- some data can only be obtained if the participants are deceived
- pressure of companies / organizations to achieve results
- how do you know what is ethical?

# How to analyse and evaluate the ethics of research

- guidelines
- frameworks
- evaluation guide



# Ethical Guidelines for human trials

## **British Psychological Society**

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Respect for the autonomy and dignity of a person

Maximising Benefit and minimizing harm

Social Responsibility

Scientific Value

## **American Psychological Association**

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Respect for people's rights and dignity

Concern for other's welfare

Professional and Scientific Responsibility

Integrity

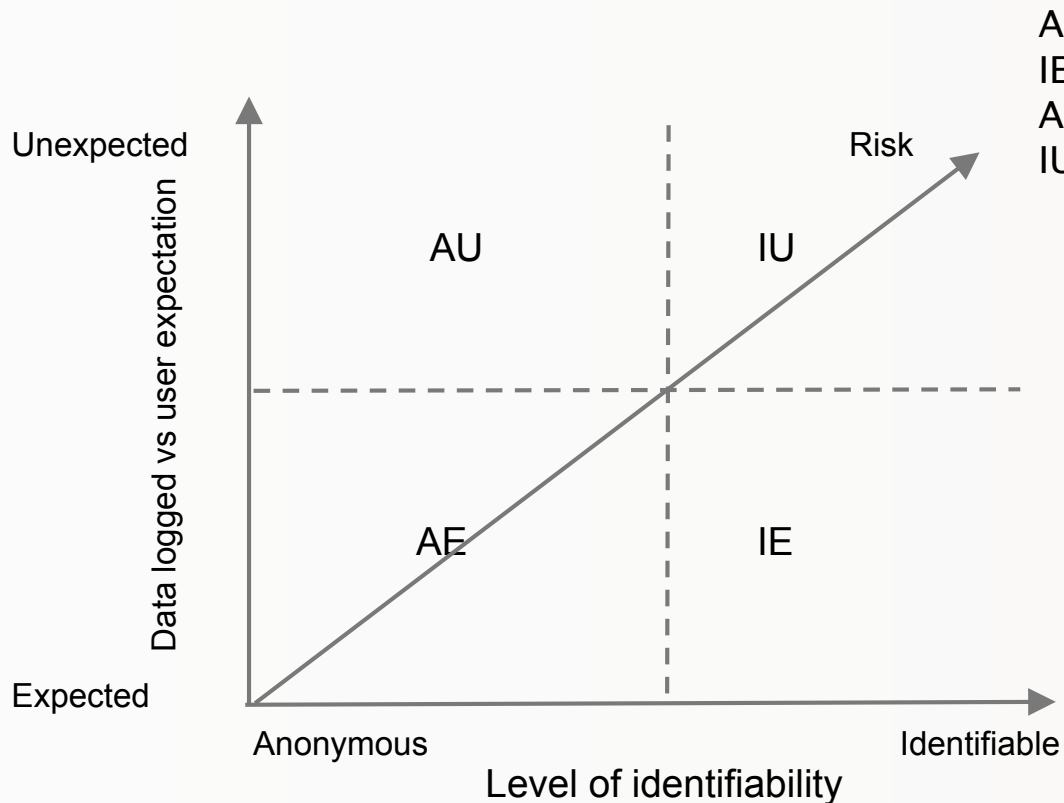
Competence

# Practical Framework

1. Preparatory Phase
2. Research Phase
3. Closing Phase

Langheinrich, M., Schmidt, A., Davies, N., & José, R. (2013, June). A practical framework for ethics: the PD-net approach to supporting ethics compliance in public display studies. In Proceedings of the 2nd ACM International Symposium on Pervasive Displays (pp. 139–143). ACM.

# HCI TWO LEVEL APPROACH



AE = Anonymous Data, Expected Collection  
IE = Identifiable Data, Expected Collection  
AU = Anonymous Data, Unexpected Collection  
IU = Identifiable Data, Unexpected Collection

McMillan, D., Morrison, A., & Chalmers, M. (2013, April). Categorised ethical guidelines for large scale mobile HCI. In Proceedings of the SIGCHI Conference on Human Factors in Computing Systems (pp. 1853–1862). ACM.

# Level of identifiability

- AE (Anonymous, Expected)
  - general guidelines suffice
- IE (Identifiable, Expected)
  - show collected data
  - offer clear controls to delete data
- AU (Anonymous , Unexpected)
  - dialog asking to confirm consent about unexpected data being shared
- IU (Identifiable, Unexpected)
  - same as above actively interrupt users with summaries of collected data

# Evaluation Guide

Do the researchers...

- ... discuss the ethics of their research?
- ... discuss whether they were guided by any code of ethical conduct?
- ... tell us of any ethical dilemmas they faced and how they evolved them?

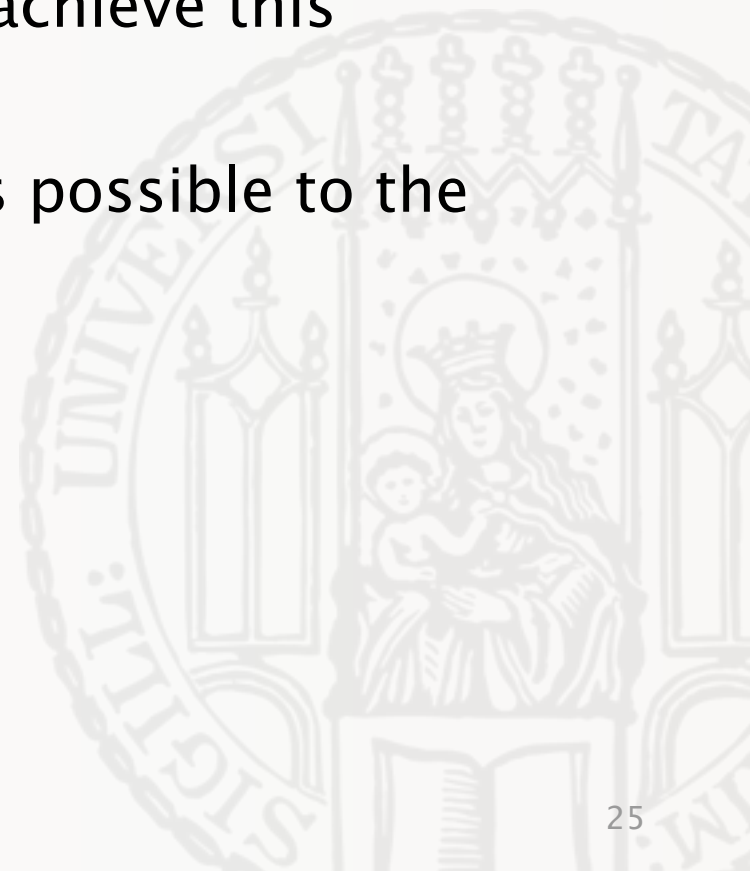
# Evaluation Guide

- Are there additionally ethical issues you think the researchers would have needed to address?
- Overall, how ethically do you think the researchers behaved?
- How effectively do you think the research has been reported?



# Take Away Message

- your research should be both legal and ethical
- try to follow ethical guidelines to achieve this
- try to give as much information as possible to the participants



# Discussion

- Own experiences / dilemmas?
- Do you think the Milgrim Study or Stanford Experiment could have been avoided if the guidelines were followed?
- Is it ethical to tell the participant that he had bad results in the study?