

Research Ethics in Social Sciences, Humanities, and Education Workshop

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Feb. 07, 2023, 10:00am - 11:30am

Speaker: Dean Sharpe, Research Ethics Manager, Research Ethics Manager, Social Sciences, Humanities & Education

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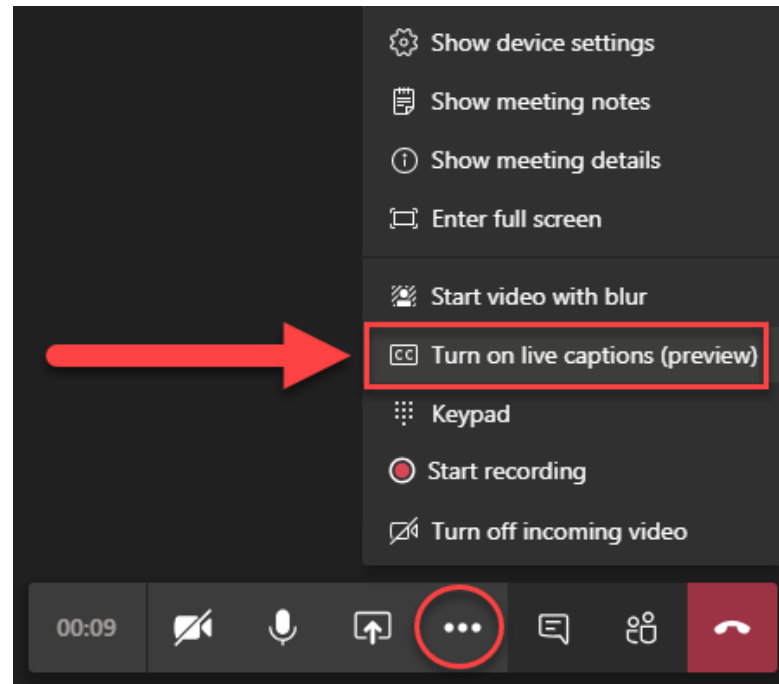
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Dean Sharpe Research
Ethics Manager, Social
Sciences and Humanities

Turn captions on and off

- Go to your meeting controls
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Housekeeping

- This webinar is being recorded and transcribed
- Please mute your audio and turn off your video
- A link to the recording and presenter slides will be sent to all participants after the session
- The chat may also be shared
- For those joining this session as a program requirement, please ensure your display name is your full name.
- We will hold questions until the end
- Please put questions into the chat box

LAND ACKNOWLEDGEMENT

We wish to acknowledge this land on which the University of Toronto operates.

For thousands of years it has been the traditional land of the Huron-Wendat, the Seneca, and the Mississaugas of the Credit.

Today, this meeting place is still the home to many Indigenous people from across Turtle Island and we are grateful to have the opportunity to work on this land.



Speaker

Dean Sharpe

Research Ethics Manager, Social
Sciences, Humanities & Education
Research Oversight & Compliance
Office (ROCO)

University of Toronto

Research Ethics in the Social Sciences & Humanities

Dean Sharpe, Ph.D.

Human Research Ethics Unit

University of Toronto

February 2023

Outline

1. Research ethics framework & culture
2. Proportionate review & risk
3. Preparing a protocol: research ethics issues

History

Nuremberg Code (1947)

- WWII crimes against humanity

Declaration of Helsinki (1964)

- World Medical Association, drug trials

Belmont Report/Common Rule (1979)

- Research scandals (e.g., Tuskegee syphilis study)

Tri-Council Policy Statement (1998, 2010/2014/2018/2022) & MOU

- Canadian research council guidelines

Tri-Council Policy Statement, 2nd Ed. (TCPS-2, 2010-14-18-22)

Research ethics: key principles and issues

- Respect for human dignity
 - Autonomy . . . e.g., consent
 - Welfare . . . e.g., privacy, confidentiality
 - Justice, fairness, equity . . . e.g., vulnerability
- Risks versus benefits

System of research participant protection

- Prior review of protocols: Human Research Ethics Unit (HREU) & Research Ethics Boards (REBs)

REBs

Quorum

- 5 members, women & men
- 2 expertise in relevant disciplines, fields, methods
- 1 knowledgeable in ethics
- 1 no affiliation with the institution
- 1 knowledgeable in relevant law (biomed research)

University of Toronto: 2 boards

- “Social Sciences, Humanities & Education” (incl. management, law, computer science, . . .)
- Health Sciences

Research Ethics Culture: Integral Part of Scholarly Process

Excellence in research & excellence in research ethics go hand in hand; not about authority

- Mandated by research funding bodies
- Researchers: Take possession, conception to completion: expert on groups/topics/methods -> expert on consent/confidentiality; budget for it, have models on hand, supervise/educate...push back if ill informed
- Reviewers: informed, principles based, tightly reasoned, collegial tone...open to counter-argument

Research Ethics Culture: Inter-disciplinarity

Myth that REBs fixated on “biomedical model”

- Dedicated boards for social sciences & humanities: researchers from psych, anthro, soc, polisci...review psych, anthro, soc, polisci...
- Qualitative methods, emergent themes, but tight parameters regarding group, topic, method; meaningful discussion, what types of issues reasonably foreseeable
- Nonetheless, element of inter-disciplinarity; researchers shouldn't write with such technical jargon that only people in sub-sub-discipline would understand; should rite for reasonable person, educated lay person standard

Research Ethics Culture: Evolution & Development

TCPS-2

- More open/inclusive definition of research: *disciplined, systematic...not generalizable*
- New qualitative research chapter—explicitly acknowledges ongoing consent process, range of methods, roles, media, open-ended/emergent designs
- Clearer explanations of exemption, delegation/reporting

Group- & methods-specific guidelines

- Indigenous peoples...Community Engagement; Ownership Control Access and Possession (OCAP), agreements
- Community-based research...conception to completion: consultative, iterative...explicit agreements on principles

Research Ethics Culture: Proportionate Approach

Exempt: program evaluation, standard professional practice/training/service learning, reflective practice

- May be high risk; discipline-specific guideline/codes help

Delegated: *minimal risk*, on par with daily life (but see risk matrix) ~90% of protocols in SSH

- Undergrad: Delegated Ethics Review Committees
- Grad & faculty: review by 1 REB member

Full REB: Greater than minimal risk (but see risk matrix)

Continuing: annual renewals, amendments, adverse events, completions, small chance of a site visit

Research Ethics Culture: Nuanced, Grounded Approach to Risk?

Minimal risk...on par with daily life...or greater

- Blunt instrument: binary, categorical, inherently relativizable
- Many complexities regarding groups, topics, methods need to be taken into account

E.g., merely by virtue of involving . . .

- Children; low-income country; talking to adults about moderately sensitive topics; using deceptive methods . . .
. each in and of itself doesn't necessarily trigger full-REB review
- Need to think rigorously about vulnerability & research risk

Proportionate Review & “Risk”

Group vulnerability: narrow & broad construals; diminished autonomy? Base rates for risk?

- Physical (e.g., health crisis, service dependence)
- Psychological (e.g., age, capacity, recent trauma)
- Socio-legal (e.g., stigma, under table, undocumented)

Research risk: probability & magnitude of reasonably foreseeable, identifiable harm

- Physical (e.g., new diagnoses, side effects)
- Psychological (e.g., stress, anxiety)
- Socio-legal (e.g., dismissal, deportation, reporting, subpoena)

Proportionate Review & Risk Matrix

Review Type by Group Vulnerability & Research Risk

	<u>Research Risk</u>		
<u>Group vulnerability</u>	Low	Med	High
Low	Del.	Del.	Full
Med	Del.	Full	Full
High	Full	Full	Full

Preparing a Protocol

Forms, Deadlines, Guidelines...

(see HREU website links at end)

- Thesis proposal should be approved by thesis committee
- Follow model protocol; work closely with supervisor
- Use resources: HREU website; workshops/seminars; UT guides on consent docs, data security, key informant interviews, participant observation, deception/debriefing, student participant pools
- Each section brief, clear, consistent, focused on ethics
- Append all recruitment & consent scripts, flyers, letters
- Undergrad submission: to local DERC coordinator, or MRHP if no local DERC coordinator
- Grad/faculty submission: through MRHP
 - Delegated: weekly, Mondays by end of day
 - Full REB: monthly (except Aug), check website for deadlines

Research Ethics Issues: Free & Informed Consent

Quality of relationship from first contact to end

- Emphasis on process: not signature on paper; not jargony; not contractual/legalistic (*I the undersigned... I understand that..I understand that..I understand that..*)
- Group-appropriate process & language: researcher identity, affiliation, research topic, nature of participation, voluntariness, risks, confidentiality (or not)
- Variations, as appropriate, with clear rationale:
 - Verbal (literacy, criminality, cultural appropriateness), phone, web
 - Capacity-appropriate assent, proxy consent (e.g., parent, substitute decision maker)
 - Deception & debriefing
 - Admin consent, community consultation, ethics approval

Deception & Debriefing

Not inherently unethical: good vs. bad practices

- See TCPS-2, Article 3.7A & B and commentary
- Is it *necessary*? Rigourously think through justification
- *Low risk*—i.e., vulnerable group? sensitive topic?
- *Immediate, full debriefing*? Clear, explicit explanation:
 - What elements were deceptive—remove any misconceptions
 - Explain why necessary; why important—not arbitrary/capricious
 - “Re”-consent option--i.e., can withdraw if not satisfied
- Report any concerns to REB

Research Ethics Issues: Privacy & Confidentiality

Collection, use, disclosure though life of project

- Some projects: name participants, attribute quotes; most projects: maintain confidentiality
- Recruitment: e.g., snowball, distribution/disclosure?
- Data collection: e.g., notes/recording; 1-on-1/groups
- Data management plan:
 - Identifiable information (collected/separated/de-linked?)
 - Safeguards (double locking/encryption?)
 - Retention/destruction (identifiability, sensitivity, richness, disciplinary standards? Not simply: *When will you destroy...*)
- Publication: pseudonyms, generics, aggregates
- Limits: duty to report (abuse, suicidality, homicidality)
- External pressure to disclose: criminality (subpoena)

Research Ethics Issues: Conflict of Interest

Commercialization, investment? Typically role-based: concurrent dual roles, undue influence

- E.g., researcher + instructor/minister/manager
- Real, potential or perceived, should inform REB and participants of non-research roles
- May have to manage—e.g., avoid direct recruitment, remain blind to participation until after relationship ends
- May have to abandon one interest

Research Ethics Issues: Inclusion/Exclusion Criteria

Equity, justice—fair distribution of benefits/burdens

- Clear, consistent basis for inclusion/exclusion
- Sometimes multi-step process for recruitment, screening, inclusion/exclusion (e.g., diagnostic categories, cut-off scores on standardized measures)

HREU Website Links

Forms, Procedures, Guidelines

Submit through MRHP, see user guide, FAQs, help desk (416-946-5000, RAISE@utoronto.ca)

- <http://aws.utoronto.ca/services/my-research-mr/>

UT resources, procedures, guidelines, boards & dates

- <https://research.utoronto.ca/ethics-human-research/ethics-human-research>
- <https://research.utoronto.ca/ethics-human-research/human-ethics-principles-and-guidelines>
- <https://research.utoronto.ca/ethics-human-research/protocol-submission-deadlines-who-submit-human-research>

HREU

Contacts

Delegated review specialist—new submissions

- sasmita.rajaratnam@utoronto.ca, 416-978-6899

Continuing review specialist—renewals, completions, site visits

- cindy.sandel@utoronto.ca, 416-946-5606

Research ethics analyst—research ethics consults

- kristina.ognjanovic@utoronto.ca, 416-978-4104

Manager, Social Sciences, Humanities and Education
Research Ethics Board

- dean.sharpe@utoronto.ca, 416-978-5585




References

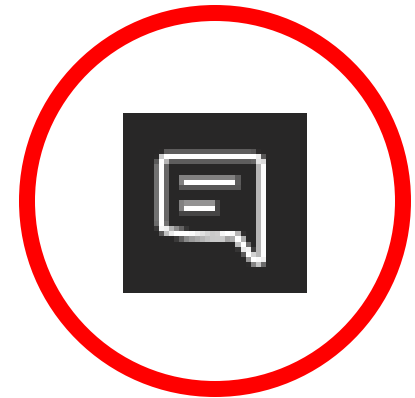
Tri-Council Policy Statement, 2nd Ed. (TCPS-2, 2022), and
TCPS-2 tutorial

- https://ethics.gc.ca/eng/policy-politique_tcps2-eptc2_2022.html
- <http://tcps2core.ca/welcome>
- <http://tcps2core.ca/login>

Q & A – How to ask questions

Please use the Chat or "Raise your hand" features:

- Click on the  icon in the bottom menu to bring up the Meeting Chat pop-out window.
- Type your question and hit Enter on your keyboard or click the  button to submit.
- *Please note: You may be asked to Unmute to clarify your question.*
- Use the “Raise your hand”  feature and unmute yourself once you are called upon to ask your question.



Upcoming Event:

Applying an EDI Lens to TCPS2 for Ethical and Responsible Research Practices

Date:

Feb. 24, 2023

10:00 am - 11:00 am

Learning Together:

Applying Equity, Diversity, and Inclusion
Concepts in Research Ethics Review

Workshop 1: Applying an EDI Lens to TCPS2 for Ethical and Responsible Research Practices

February 24, 2023 | 10:00 - 11:00 am

<https://cris.utoronto.ca/related/learning-together-edi-reb/>



Dr. Nicole Kaniki

Director, Equity, Diversity & Inclusion in
Research & Innovation



Centre for Research
& Innovation Support

<https://cris.utoronto.ca/event/applying-an-edi-lens-to-tcps2-for-ethical-and-responsible-research-practices-2/>

Upcoming Event:

UTSC OVPRI Research Excellence Lecture Series – with Professor Andrea Charise

Date:

Mar. 01, 2023

11:00 am – 12:00 pm

Celebration of **RESEARCH EXCELLENCE** Lecture Series

Research Excellence Lecture Series

The first Wednesday of the Month starting November 2022

<https://cris.eve.utoronto.ca/home/events/2914>



This series features award-winning UTSC faculty presenting cutting-edge research, sharing innovations and discoveries that are advancing new knowledge and improving lives in Canada and around the world. Reflecting the diversity of faculty accomplishments in the humanities, social sciences and physical and life sciences, and from both emerging and established scholars, this series will showcase UTSC's innovative research environment.

 UNIVERSITY OF TORONTO SCARBOROUGH

Office of the Vice-Principal Research

<https://cris.utoronto.ca/event/utsc-ovpri-research-excellence-lecture-series-with-professor-andrea-charise-mar-01-2023/>

Thank you!

- A link to the recording, presenter slides, and feedback form will be sent out after the session
- Follow-up questions can be addressed to cris@utoronto.ca